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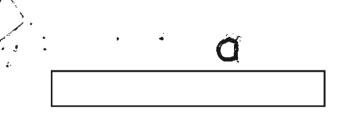


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JUL 1 4 1994 BY COURIER *5191M Special Counsel to the President The White House Washington, D.C. Dear Based on a request received from your office dated June 30, 1994, a Level II background investigation has been conducted concerning Mr. Richard Charles Albert Holbrooke. Enclosed is a summary memorandum containing the results of this investigation, along with copies of three interview providing details of information contained in this summary memorandum. Ъб Several background investigations have been conducted concerning Mr. Holbrooke by the FBI, the Defense Investigative Service, and the Department of State (DOS), the most recent having been by DOS in 1993. The results of those investigations are incorporated in the enclosed summary memorandum. This completes our investigation. Sincerely yours, ·MJG BAK Manuel J. Gonzalez Assistant Director Personnel Division ures (4) (3) 11A-40-1256328 OSED NOTE: This case was opened on 7/1/94. Mr. Holbrooke is currently employed by the Department of State, Washington, D.C., as U.S. Ambassador to Germany. He is being investigated for an Exec AD Adm. unspecified Presidential appointment which requires Senate Exec AD Inv. confirmation (per several newspaper articles, he will be Exec AD LES Asst. Dir.: Assistant Secretary of State for European and Canadian affairs.) Adm. Servs. Crim, Inv. " Ident. NOTE CONTINUED NEXT PAGE insp. IntelL Lab. Legal Coun. Off. Cong. & Public Affs. ROOM 4371 RETURN TO Rec. Mgnt. Tech. Servs. STAN IN ERSE SIDE FUS Training Off. Lialson & Int. Affs. MAIL ROOM GMJ6/BBK 100. DISSEMINATION lephone Rm. rector's Sec'y

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Investigation revealed two former neighbors who made unfavorable comments about appointee's personality; one of them also mentioned two delinquent payments of residence fees to their building. One would not recommend appointee and the other did not know him well enough to comment concerning a recommendation.

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Credit bureau records disclosed a tax lien in California and a judgment in New York City. Prior investigation by OPM determined the California tax lien has been paid. Records of appointee's accounting firm indicate the New York City judgment also has been paid; however, New York City's records indicate that while the basic amount of the judgment has been paid, an interest charge is still outstanding. Court records indicate the judgment has not been satisfied.

Investigation is complete.

Copies of the following interviews were provided to the White House:

Richard Charles Albert Holbrooke conducted by Legat b6 Bonn on 7/13/94, b7c

conducted by New York on 7/13/94, conducted by New York on 7/6/94.

The individual in the Interviews section who requested complete confidentiality is not being disseminated to the White House as it is not truly

derogatory and also because it was received in However, it was written up because he commented that appointee's bookkeeping is a tad sloppy, which corroborates information developed elsewhere during this investigation and during a prior DOS background investigation involving some delinquent financial matters experienced by appointee.

Naturalization information concerning appointee's mother b7C b7C was provided by Senior Immigration Examiner, INS.

The following footnote corresponds to information located in the <u>Agency Checks</u> section of the summary: * 161-4612

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JUL 1 4 1994

RICHARD CHARLES ALBERT HOLBROOKE

This summary memorandum contains the results of a Level II background investigation concerning Mr. Holbrooke, which addressed the past fifteen years of his life. Inquiries were conducted in the United States and Germany as to Mr. Holbrooke's character, loyalty, and general standing, but no inquiries were made as to the sources of his income.

<u>Birth</u>

Previous investigation determined Mr. Holbrooke was born on May 24, 1941, in New York, New York.

Education

Mr. Holbrooke received an A.B. degree in history from Brown University, Providence, Rhode Island, in June, 1962.

Military Service

Mr. Holbrooke indicated no prior military service.

Employment

July, 1979, to January, 1981, and September, 1993, to the present

March, 1981, to April, 1985 (exact dates not recorded) Continued to be employed by the Department of State (DOS), Washington, D.C., formerly as an Assistant Secretary and currently as United States Ambassador to Germany

Public Strategies, Washington, D.C., as Vice President. This company was purchased by Lehman Brothers.

April, 1985, to September, 1993 Lehman Brothers, New York, New York, as a Managing Director

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Richard Charles Albert Holbrooke

March, 1993, to September, 1993 Department of Defense, Washington, D.C., as an unsalaried consultant

Family Status

Mr. Holbrooke is divorced and resides at the American Ambassador's residence, Bonn, Germany.

Records of the Domestic Relations Branch, District of Columbia Superior Court, Washington, D.C., disclosed that from Mr. Holbrooke on

		Records	of	the	same	court	disclosed	that	Mr.	Holbrooke
filed	for	divorce	fro	om						

Mr. Holbrooke's father, Dan Holbrooke, is deceased. Mr. Holbrooke has listed the following living close relatives:

Mother

Trudi Holbrooke Kearl Scarsdale, New York

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Stepfather

Stanley Kearl Scarsdale, New York

Son

Son

New York, New York

New York, New York

New York, New York

Brother

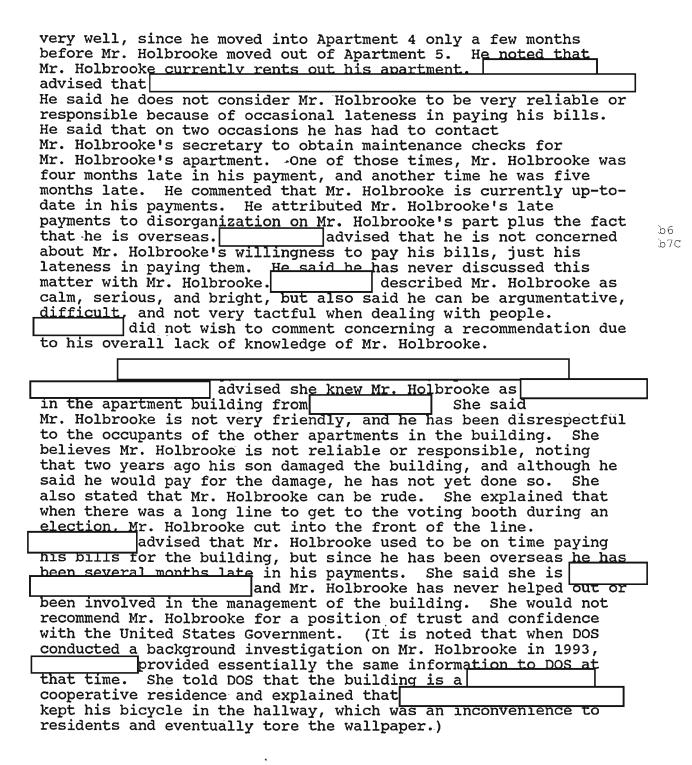
Records of the Immigration and Naturalization Service disclosed that Mr. Holbrooke's mother, Trudi Holbrooke Kearl, became a naturalized United States citizen on April 11, 1945.

Interviews

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				r. Holbro		
until	•	He said	l he does	not know	Mr. Hol	lbrooke

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Richard Charles Albert Holbrooke



Richard Charles Albert Holbrooke

AN INDIVIDUAL, WHO REQUESTED THAT HIS/HER IDENTITY BE
PROTECTED FROM ANYONE OUTSIDE THE FBI, advised he/she has known
Mr. Holbrooke in a professional capacity since Mr. Holbrooke
He/she described
Mr. Holbrooke as intelligent, creative, and energetic, with a
good understanding of foreign policy and experienced in the
workings of government in Washington, D.C. He/she said
Mr. Holbrooke is ethical, avoids conflicts of interest, and did
not accept the position of ambassador to further his own agenda.
He/she stated that Mr. Holbrooke is not always well organized in
the traditional sense, but he keeps a lot of projects going
simultaneously and gets things done. He/she commented that
Mr. Holbrooke would probably not make a good accountant and his
bookkeeping might be a tad sloppy, but Mr. Holbrooke employs
other people to handle such matters. He/she recommended
Mr. Holbrooke for a position of trust with the United States
Government.
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Seventeen additional persons; consisting of current and
former colleagues and coworkers, references, and professional

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former colleagues and coworkers, references, and professional associates, were interviewed. They provided favorable comments concerning Mr. Holbrooke's character, associates, reputation, and loyalty.

All persons interviewed during the course of this background investigation stated they are unaware of any illegal drug use or alcohol abuse by Mr. Holbrooke, nor have they ever known him to exhibit any type of bias or prejudice against any class of citizen or any type of religious, racial or ethnic group. They also commented that they believe Mr. Holbrooke lives within his financial means. All persons interviewed, with the exception of ______ and ______ mentioned above, recommended him for a position of trust and responsibility.

Among those interviewed are the following:

D.C.; Strobe Talbott, Deputy Secretary of State, Washington,

Phyllis E. Oakley, Assistant Secretary of State for Population, Region, and Migration, Washington, D.C.;

 Image: United States Embassy, Bonn, Germany;
 Image: For Administration, for Admi

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Richard Charles Albert Holbrooke

New York, New York; and	Lehman Brothers,
Relations, New York, New York;	Council on Foreign
Committee, New York, New York.	International Rescue

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Financial Responsibility

A search of computerized credit records, which was conducted at FBI Headquarters in July, 1994, disclosed no pertinent information concerning Mr. Holbrooke, except as noted below. The results of additional inquiries concerning these debts are also set forth below:

> Records indicate that the New York City Department of Finance (NYCDOF) received a judgment of \$8,539 against Mr. Holbrooke in 1990. Records also indicate that a \$100 California state tax lien was placed against Mr. Holbrooke in 1991.

Records of the County Clerk's Docket Division, New York State Supreme Court, New York County, disclosed that a judgment of \$8,539.74 was filed against Mr. Holbrooke on April 18, 1990, by NYCDOF. According to court records, this judgment has not been resolved.

Records of NYCDOF, New York, New York, disclosed that Mr. Holbrooke paid \$8,263.59 in 1990. However, he still owes \$326 interest in regards to this matter, and for this reason the New York City Sheriff's Field Collections Investigative Unit put a lien of \$326 against him. The lien will be removed as soon as Mr. Holbrooke pays the outstanding balance.

During a 1993 DOS background investigation of Mr. Holbrooke, records of the Sacramento County, California, Recorder's Office were reviewed and disclosed that a tax lien was filed against Mr. Holbrooke on June 20, 1991, by the California Franchise Tax Board (CFTB) for tax year 1989 in the amount of \$112.26 (including tax, interest, and penalties). Another tax lien was filed against Mr. Holbrooke by the CFTB for the same tax year on August 12, 1991, in the amount of \$123.90 (including tax, penalty, interest, and cost). Both of these liens were released on November 13, 1991. Richard Charles Albert Holbrooke

It is noted that during the 1993 DOS background investigation of Mr. Holbrooke, he was questioned regarding the two aforementioned matters. He stated he was unaware of them and then telephoned his accountant. His accountant advised, by speakerphone, that the City of New York had sent a notice for payment of \$8,000 on December 21, 1988, for estimated payment of unincorporated business tax. Due to oversight this tax was not paid, and a second notice dated January 17, 1990, was sent for payment of \$8,263. This was paid on February 2, 1990. Concerning the two \$100 California liens, the accountant advised they appeared to be state taxes on partnership holdings, and they were paid in 1991. Mr. Holbrooke reaffirmed that he had no knowledge of these two matters and had relied on his accountant to advise him when and where to pay all debts.

Mr. Holbrooke was interviewed during the course of the current FBI background investigation concerning the aforementioned state tax lien in California and the judgment in New York City. As during the 1993 DOS background investigation, he advised he had no knowledge of either matter and then contacted in New York She told him the California tax matter, a \$123 tax lien, City. arose from certain stocks he held in a California firm. It was a tax adjustment and has long since been paid. She said the \$8,500 judgment was in regards to an unincorporated business tax and was paid by the accountants in 1989. told Mr. Holbrooke .b6 to have the FBI contact her directly for complete information b7C concerning these two matters.

Mahoney, Cohen and Company, New York, New York, was thereafter interviewed by the She advised that Mr. Holbrooke paid \$124.14 on FBI. September 17, 1991, as full payment due to the CFTB. She said that since sending in Mr. Holbrooke's check, they have received no further correspondence from CFTB. said that in regards to the judgment in New York City, Mr. Holbrooke received a notice and demand for payment from the NYCDOF on January 17, 1990, for the amount of 8,263.59 for year 1988. She provided a copy of a check indicating Mr. Holbrooke paid the amount in full on February 2, 1990. She does not know why records currently indicate Mr. Holbrooke owes \$8,539.74, but speculated that the amount paid by Mr. Holbrooke was never recorded. She said the accounting firm has not received any further notification from NYCDOF of any amount due, but she will contact NYCDOF to resolve this matter.

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Richard Charles Albert Holbrooke

Law Enforcement Agency Checks

Information has been received from appropriate law enforcement agencies indicating their files contain no record concerning Mr. Holbrooke.

It is noted that an initial check of records of the New York State Department of Motor Vehicles (NYSDMV) indicated that Mr. Holbrooke's driver's license was suspended on May 1, 1993, for failure to answer a summons. Mr. Holbrooke was interviewed by the FBI concerning this matter and he advised that he has never had his driving privileges suspended by New York or any other state. He also displayed a valid driver's license issued in Washington, D.C. He opined there could be some confusion between his name and that of his son, or perhaps someone else of the same name. NYSDMV records were then rechecked and confirmed that Mr. Holbrooke does not have a New York State driver's license. Furthermore, records of the District of Columbia confirmed that Mr. Holbrooke indeed holds a current, valid driver's license issued in Washington, D.C., with no indication of any actions taken against him.

<u>Miscellaneous</u>

A search of NEXIS, a computerized news retrieval service, disclosed no pertinent information concerning Mr. Holbrooke.

Agency Checks

Mr. Holbrooke was the subject of background investigations conducted by the Defense investigative (DIS) Service in August, 1988, and by DOS in June, 1962; December, 1976; and July, 1993. During the course of those investigations, sixty-nine individuals were interviewed and provided favorable comments concerning Mr. Holbrooke. The following information was disclosed during two of those background investigation:

> During the 1976 DOS background investigation, a former supervisor said Mr. Holbrooke was reluctant to give credit to subordinates when it is due. The supervisor recommended Mr. Holbrooke for a position of trust but hesitated to recommend him for a supervisory position because he thought Mr. Holbrooke was too status conscious.

On 7/13/94, Legat contacted Ambassador Holbrooke and obtained the following information.

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He has never had his driving privileges suspended by New York or any other state. He holds a valid drivers license from Washington, D.C. which he displayed to Legat. He opined that there could be some confusion of his name with that of his son, or with someone of the same name.

He was advised of a California Tax Lien in the amount of \$123.00 which came up on his credit record. He was additionally advised of a notation of an \$8,500.00 judgement against him from the New York City Department of Finance from December 1990. He advised that he had no knowledge of either matter. However, he contacted

at 212-490-8000. Normally he would have contacted his who is unfortunately on vacation.

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advised him that the California tax matter had arisen from certain stocks held by him involving a California firm. The tax lien of \$123.00 had been identified as a tax adjustment and has long since been paid. As to the \$8,500.00, that amount had been paid by the accountants in 1989 as an unincorporated business tax. There should be no judgement whatsoever in connection with that issue. has all the relevant records and is awaiting a call from the New York FBI to resolve any questions they may have in this regard. She has been told by the Ambassador to cooperate with the FBI and to await the call from the FBI immediately.

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FD-302a (Rev. 11-15-83) 41. 161B-HQ-4612 7/13/94 Continuation of FD-302 of On Page does not consider the candidate to be very reliable or responsible because of his lateness in the payments of his bills. advised he believes that once you pin the bб candidate down, and the candidate commits to something, then the b7C candidate is good for it, and will meet his obligations. stated he does not know the candidate well enough to comment on his integrity or morals, and has no reason to question the candidate's mental or emotional stability. believes the candidate would maintain confidences and secrets, candidate's loyalty to the United States. loes not know any of the candidate's associates, and is unaware of the candidate's reputation. noted the candidate does not get along with the other tenants in the building, but the candidate has a professional appearance. is unaware of any details of any concealed activity or conduct on the part of the candidate which could be used in any way to subject the candidate to influence, pressure, coercion or compromise, and/or would impact negatively on the candidate's character, reputation, judgement or discretion. is unaware of any illegal drug use, alcohol abuser, or prescription drug abuse on the part of the candidate, and believes the candidate lives within his financial means. tated the candidate has never displayed any form of violent, irrational, or deviant behavior, and the candidate appears to have a stable personality. advised the candidate has never displayed any bias or prejudice towards any group or organization. advised that his comments regarding the candidate are pased on a limited knowledge of the candidate. was unable to recommend the candidate for a position of trust and confidence with the Untied States government based on the fact that he does not know the candidate very well. ______ concluded by stating that the candidate is a smart man and very bright, but that the candidate needs to be more tactful in dealing with people.

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ED-302 (Rev. 3-10-82).

FEDERAL BUREAU OF INVESTIGATION

Date of transcription

7/12/94

was advised of the telephone identity of the interviewing agent, and was advised that the nature of the interview was to conduct a background investigation for government employment regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE. and to verify the candidate's former New York, New York, from residence at August 1988 to September 1993 provided the following information: b6 b7C advised the candidate owns the residence and currently rents the apartment out. advised the candidate lived at the residence from 1988 to 1993, and she has known the candidate since advised the candidate is not very friendly, is disrespectful to the occupants of the other apartments in the building, and is rude to others. stated she is and stated the candidate has never been involved in the management of the building. advised the candidate has never helped out with the building and is an unpleasant person. stated she does not like the candidate's personality very much. and advised the candidate is not responsible or reliable. advised that vears ago there was damage done to the building by and the candidate has never reimbursed the building management. stated the candidate said he would reimburse the building for the damage, but as of this date he has not done so. stated she does not believe the candidate is 100% honest, and the candidate has no integrity or morals. advised the candidate appears to be mentally and emotionally stable. advised she does not know enough about the candidate to comment on the candidate's ability to Investigation on 7/6/94 at New York, New York File # 161B-HQ-4612 by SA Date dictated 7/12/94

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

FD-302a (Rev. 11-15-83) ÷. 161B-HQ-4612 7/6/94 2 Continuation of FD-302 of Page maintain confidences or secrets. stated she is unable to comment on the candidate's ability to exercise discretion, and has no reason to believe the candidate is not loyal to the United is unaware of the candidate's reputation, but States. noted the candidate does not get along with others in the building. does not know enough about the candidate's associates to comment on whether they are law abiding or reputable. advised the candidate presents a professional appearance on the outside but does not have a good personality. noted the candidate can be very rude. Ъб stated that once during election time there was a long line to b7C . trated the candidate cut in line get to the voting booth. to get to the front of the line. advised the candidate used to be on time in paying his bills for the building but since he has been overseas he is several months late in his payments. advised she is unaware of any illegal drug use, alcohol abuse or prescription drug abuse on the part of the candidate, and stated the candidate appears to live within his financial means. _____advised the candidate has never displayed any form of irrational, deviant or violent behavior, but noted the candidate can be argumentative. stated the candidate has never displayed any bias or prejudice towards any group or organization. but the candidate has overall disrespect for everyone. is unaware of anything negative or derogatory regarding the candidate that could be used to coerce him in any way. advised she would not recommend the candidate for a position of trust and confidence with the United States government, and added that she does not have a great feeling that the candidate represents the United States.

Richard Charles Albert Holbrooke

During the course of this background investigation, the records of the following entities were checked and found to contain concerning Mr. Holbrooke, unless otherwise noted in this summary memorandum: b3 per CIA Central Intelligence Agency;

Office of Personnel Management; Securities and Exchange Commission; Department of Defense; Defense Clearance and Investigations Index; DIS; DOS; Public Integrity Section and appropriate United States Attorneys, Department of Justice;

United States Secret Service; and the White House Office.

Searches of the various indices of the FBI, including but not limited to the central index maintained at FBI Headquarters, the index of the Criminal Justice Information Services Division, the indices of appropriate field offices and other appropriate computer data bases, did not identify any documents that contain pertinent information identifiable with Mr. Holbrooke or his close relatives, except the following:

> Mr. Holbrooke was the subject of background investigations conducted by the FBI in 1966 and 1977 in connection with employment at the White House or DOS. During the course of those investigations, fifty-eight individuals were interviewed and provided favorable comments concerning Mr. Holbrooke.

It should be noted that results of the above indices searches reveal only data entered into those indices as of the date each was searched. However, it should also be noted that some delays may occur as to the entry of such data.

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PAGE TWO DE FBINY 0009 UNCLAS ANSWER A SUMMONS, ORDER #T760934, IN WESTCHESTER COUNTY, TOWN OF BEDFORD, NEW YORK.

ON JULY 19, 1994, TOWN COURT, WESTCHESTER COUNTY, NEW YORK, TELEPHONE (914) 666– 6965, ADVISED THE CANDIDATE WAS STOPPED BY THE POLICE ON DECEMBER 3, 1992, AND WAS CITED FOR DRIVING AN UNINSPECTED MOTOR VEHICLE WITH A NEW YORK LICENSE PLATE. THE CANDIDATE FAILED TO ANSWER THE SUMMONS AND HIS LICENSE WAS SUSPENDED ON MAY 1, 1993. THE CANDIDATE HAD A WASHINGTON, D.C. DRIVER'S LICENSE AT THE TIME.

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ADVISED THE CANDIDATE MUST ENTER A PLEA OF GUILTY AND PAY THE \$75.00 FINE TO HAVE THE SUSPENSION REMOVED.

AS NO FURTHER INVESTIGATION REMAINS, NEW YORK CONSIDERS THIS CASE RUC*D.

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EPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
MFO	BUREAU	7/14/94	7/5/94 - 7/13/94
ITLE OF CASE		REPORT MADE BY	TYPED BY:
ICHAD CHARLES	ALBERT HOLBROOKE	PSS	sef
		CHARACTER OF	
		SPIN (B)	Bsub
REFERENC	<u>E:</u> Bureau airtel, d	dated 7/1/94. -P*-	
provisio	ons of the Privacy Antiality, both limit	ct. Express	ted, have not been
derogato			dices revealed no
have met	NOTE: Attempts t with negative resu	o interview r lts due to th	eference e <u>fact</u> has
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-		PARTMENT OF JUSTICE au of Investigation	-
Copy to:			
Report of: Date:	PSS July 14, 1994	Office: WMFO	.b6 .b7C
Field Office File #:	161B-HQ-4612	Bureau File #: 161B-HQ-4	612
Title:	RICHARD CHARLES ALBERT HO	DLBROOKE	· .
Character:	SPECIAL INQUIRY (B)		
Synopsis:		wed. Residence verifie erviewed and commented checked, no derogatory	deand
-	information. PIS checked no derogatory information checked, no record.	l, no record. U.S.S.S. 1. Law enforcement agen	checked, cies
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WMFO 161B-HQ-4612 JLM:laht <u>1</u>

#### EMPLOYMENT

Executive Clerk's Office The White House Washington, D.C.

On July 8, 1994, Special Agent (SA) checked the files of the Executive Clerk's Office, which revealed the following pertinent information regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE:

On March 7, 1977, the appointee was nominated as Assistant Secretary of State and was confirmed on March 23, 1977.

As Assistant Secretary of State for East Asian and Pacific Affairs, the appointee was designated as representative of the President with the rank of Special Ambassador to attend the ceremonies incident to the celebration of the independence of the Solomon Islands. The letter of credence was signed and dated June 28, 1978.

The file contained no additional pertinent information regarding the appointee.

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#### WMFO 161B-HQ-4612 JLM:gf 1

#### EMPLOYMENT

United States Department of State (USDS) 2201 C Street, Northwest Washington, D.C.

The following investigation was conducted by Special b6 Agent (SA) on July 12, 1994, at the above- b7C listed location, regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE:

of <u>State, advised</u> that he has known the appointee for over 20 years. stated that he has worked with the appointee both at the USDS and also in the private sector. L stated that he knows the appointee semi-socially, but the majority of his association is professional. described the appointee as being a very competent, loyal, dedicated, trustworthy, and competent individual. stated he knows of nothing derogatory about the appointee. He stated he had no knowledge of the appointee using or selling illicit drugs or abusing prescription drugs or alcohol. According to him, there is no reason to question the appointee's character, associates, reputation, or loyalty to the United States Government. He stated the appointee is in good physical condition, is emotionally and financially stable, and is an unbiased person. He stated he knows of nothing of a derogatory nature that could be used to blackmail or coerce the appointee, and he highly recommended the appointee for a position of trust and confidence with the United States Government.

 WMFO 161B-HQ-4612 2

an unbiased person. She stated she knows of nothing of a derogatory nature that could be used to blackmail or coerce the appointee, and she highly recommended the appointee for a position of trust and confidence with the United States Government. WMFO 161B-HQ-4612 JLM:gf <u>1</u>

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#### EMPLOYMENT

United States Department of State (USDS) 2201 C Street, Northwest Washington, D.C.

The following investigation was conducted by Special Agent (SA) pn July 12, 1994, regarding the appointee, RICHARD HOLBROOKE at the above-listed location: Ъ6 Ъ7С

State for East Asian and Pacific Affairs, current telephone 736-4572, advised that he has known the appointee since January of 1977. stated that the appointee served at the USDS during the President CARTER Administration from 1977 through 1981. stated that during 1977 and 1978, he was the Special Assistant to the appointee at the USDS.

stated that he has not worked directly with the appointee since 1968, but has seen the appointee on numerous occasions in both a professional and social context over the last described the appointee as being a very capable, 16 years. competent, nignly motivated, honest, well respected, and stated he knows of nothing trustworthy individual. derogatory about the appointee. He stated he had no knowledge of the appointee using or selling illicit drugs or abusing prescription drugs or alcohol. According to him, there is no reason to question the appointee's character, associates, reputation, or loyalty to the United States Government. He stated the appointee is in good physical condition, is emotionally and financially stable, and is an unbiased person. He stated he knows of nothing of a derogatory nature that could be used to blackmail or coerce the appointee, and concluded by stating that he would recommend the appointee highly for a position of trust and confidence with the United States Government.

#### WMFO 161B-HQ-4612 JLM:gf 1

#### EMPLOYMENT

United States Department of State (USDS) 2201 C Street, Northwest Washington, D.C.

The following investigation was conducted by Special Agent (SA) on July 14, 1994, regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE, at the above-listed location:

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Office of Thailand and Secretary for East Asian Affairs, and that he worked in stated that his association over the vears that area. with the appointee is both professional and social. described the appointee as being a dedicated public servant who is extremely capable, intelligent, trustworthy, hardworking, dedicated, and well respected. _____ stated he knows of nothing derogatory about the appointee. He stated he had no knowledge of the appointee using or selling illicit drugs or abusing prescription drugs or alcohol. According to him, there is no reason to question the appointee's character, associates, reputation, or loyalty to the United States Government. He stated the appointee is in good physical condition, is emotionally and financially stable, and is an unbiased person. He stated he knows of nothing of a derogatory nature that could be used to blackmail or coerce the appointee, and he highly recommended the appointee for a position of trust and confidence with the United States Government.

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#### RESIDENCE

United States Embassy Bonn, Germany

The following investigation was conducted by Special Agent (SA) ______ on July 11, 1994, regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE:

Lehman Brothers, 800 Constitution Avenue, Northwest, Washington, D.C., advised that he has known the appointee probably for the last five or six years. stated that he was the Ambassador to Germany for the United States from 1991 through September, 1993, when he was replaced by the appointee. Ambassador to Germany since September, 1993, and is still at the American Embassy in Bonn.

stated that his association with the appointee is mainly on a professional basis: however, he does know the appointee semi-socially. described the appointee as being the type of individual who is of very high character, honest; trustworthy, well respected, likeable, and dependable. stated that he knows of nothing derogatory about the appointee, nor has he ever heard of anything derogatory. had no knowledge of the appointee ever using or selling illicit drugs, or abusing prescription drugs or alcohol. According to there is no reason to question the appointee's character, associates reputation, or loyalty to the United stated that the appointee appears to States Government. be in good physical condition, is emotionally and financially stable, and is an unbiased individual. added that he knows of nothing that could be used to blackmail or coerce the appointee and repeated that the appointee has a very fine reputation. concluded by stating that he would not hesitate at all in highly recommending the appointee for a position of trust with the United States Government.

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#### REFERENCE

Washington, D.C.

The following investigation was conducted by Special Agent (SA) ________ pn July 11, 1994, regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE:

advised that he has known the appointee since the fall of 1969. stated that he and the appointee both work at the Woodrow Wilson Institute and Princeton University together and that he was at the White House during the CARTER Administration and that the appointee was at the United States Department of State (USDS) where they worked very closely together. also stated that from 1981 through 1989, he was the President of Public Strategies and that the appointee was with Public Strategies for about four years during the early described the appointee as being a very honest, 1980s. trustworthy, hardworking, dependable, and likeable individual. stated that he knows of nothing derogatory about the appointee, and has no knowledge of the appointee ever using or selling illicit drugs, or abusing prescription drugs or alcohol. added that he knows of no reason to question the appointee's character, associates, reputation, or loyalty to the United States Government. stated that the appointee appears to be in good physical condition, is emotionally and financially stable, and is an unbiased individual. stated that he knows of nothing that could be used to plackmail or coerce the appointee and concluded by stating that he would highly recommend the appointee for a position of trust with the United States Government.

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#### OFFICIAL PERSONNEL FOLDER (OPF)

United States Department of State (USDS) 2201 C Street, Northwest Washington, D.C.

The following investigation was conducted by Special Agent (SA) on July 11, 1994, regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE:

Room 5428, made the appointee's OPF available for review. The file contained the following pertinent information regarding the appointee since the last investigation was conducted in July, 1993:

ACTION

DATE

March 15, 1993

Accepted a position with the Office of the Secretary of Defense as a consultant. Nonpaid position.

Termination at the Office of the Secretary of Defense of accept

September 22, 1993

September 23, 1993

Appointment by the President as Ambassador to Germany, Chief of Mission, Bonn, Germany.

position with USDS.

The file contained no additional pertinent, nor any derogatory information.

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#### **EMPLOYMENT**

Office of Inspector General (OIG) United States Department of State (USDS) 1700 North Moore Street Room 910 Rosslyn, Virginia

The following investigation was conducted by Special Agent (SA) ______ on July 5; 1994, regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE:

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OIG, USDS, telephoneadvised she could locate no record regarding the<br/>appointee.

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WMFO 161B-HQ-4612 JLM:gf <u>1</u>

#### SECURITY

Office of Diplomatic Security (DS) United States Department of State (USDS) 2121 Virginia Avenue, Northwest Washington, D.C.

A request was made by Special Agent (SA) on July 5, 1994, to review the security file regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE. On July 6, 1994, EMMA NORRIS, Security Specialist with DS at USDS, telephone (202) 663-0185, made the appointee's security file available for review. The following pertinent information was contained in the file regarding the appointee since the last investigation was conducted in July, 1993:

<u>Date</u>

July 9, 1993

#### Action

Security clearance granted up to and including Top Secret, based upon DS investigation, with no derogatory information

The file contained no additional pertinent or derogatory information regarding the appointee.

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161B-HQ-4612 DF

#### U.S. DEPARTMENT OF JUSTICE

PUBLIC INTEGRITY SECTION Criminal Division 1400 New York Avenue, N.W. Washington, D.C.

On July 12, 1994, Investigative Assistant (IA) caused a search to be made of the files of the U.S. DEPARTMENT OF JUSTICE (DOJ), Criminal Division, Public Integrity Section, Washington, D.C., concerning RICHARD CHARLES ALBERT HOLBROOKE and was advised of the following:

Case Management Technician, Public Integrity Section, DOJ, advised IA that a search of the files concerning the appointee was met with negative results.

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WMFO 161B-HQ-4612 JJM:sef <u>1</u>

#### SECURITIES AND EXCHANGE COMMISSION

450 5th Street, Northwest Washington, D.C.

On July 8, 1994, Office of Enforcement, Securities and Exchange Commission, advised Special Agent (SA) that their files reflect no identifiable derogatory information concerning the appointee, RICHARD CHARLES ALBERT HOLBROOKE.

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WMFO 161B-HQ-4612 MLH:mlh

DRIVER'S RECORD

DEPARTMENT OF TRANSPORTATION Bureau of Motor Vehicle Services District of Columbia Government 301 C. Street, N.W. Washington, D.C.

On July 12, 1994, Investigative Assistant (IA) searched the computerized records of the DEPARTMENT OF TRANSPORTATION, Bureau of Motor Vehicle Services, for the District of Columbia Government and determined that no traffic record could be located concerning the applicant, RICHARD CHARLES ALBERT HOLBROOKE.

OPERATORS PERMIT : 132323096 CLASS : D EXPIRES : 2/17/97 0

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WMFO 161B-HQ-4612 MLP:mlp

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NATIONAL PARK SERVICE (NPS) U.S. Park Police Department (PKPD) 1100 Ohio Drive, Washington, D.C.

On July 11, 1994, Investigative Assistant (IA) caused a search to be made of the records of the above captioned agency concerning the appointee, RICHARD CHARLES ALBERT b6 HOLBROOKE. Clerk of the agency reviewed the b7C records and advised that no identifiable Adult Criminal record could be located regarding the appointee. WMFO 161B-HQ-4612 SEF:sef 1

#### LAW ENFORCEMENT AGENCIES

On July 6, 1994, query was made of the Washington Area Law Enforcement System (WALES) computer and it was determined that no record was located at the Metropolitan Police Department concerning the appointee.

It is noted that at all times an indefinite number of unidentified records may not be in the computer and not available for review.

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WMFO 161B-HQ-4612 RLW:rlw 1

AGENCY CHECK

UNITED STATES SECRET SERVICE (USSS) Investigative Support and Research Division (ISRD) 1800 G Street, Northwest Washington, D.C.

n July 12, 1994, Investigative Assistant (IA) caused a search to be made of the files of the United States Secret Service (USSS), Department of the Treasury, Washington, D.C., regarding the appointee, RICHARD HOLBROOKE.

IA That no record was found regarding the appointee RICHARD HOLBROOKE.

No further pertinent information was available.

Memorandum Date 7/14/94 To DIRECTOR, FBI : SPIN UNIT, ROOM 4371, FBIHQ) (ATTN: SAC, WMFO (A-1) (161B-HQ-4612) (RUC) From : RICHARD CHARLES ALBERT HOLBROOKE; Subject: SPIN (B); BUDED: 7/13/94 Re WMFO Pending report, dated 7/14/94. All individuals were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality, both limited and unlimited, have not been

Attached for the Bureau are additional checks concerning the appointee.

(Fax rec'd 7/14 (ATTN: 1-WMFO (1618-4012)





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WMFO 161B-HQ-4612 JJM:jjm

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#### SECURITY OFFICE CHECK

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Office of the Secretary of Defense Security Branch The Pentagon, Room 3B347 Arlington, Virginia

The following investigation was conducted by Special Agent (SA) on July 14, 1994, regarding RICHARD CHARLES ALBERT HOLBROOKE:

Personnel Security Specialist, advised that the records or the security Office indicate that the appointee is curently "Inactive", but that he formerly held a "TS" clearance granted on 4/2/93 based on a DIS investigation on 12/27/88.

b6 Per DOD

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WMFO 161B-HQ-4612 TMF:tmf

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#### OFFICE OF THE INSPECTOR GENERAL

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Department of Defense Office of the Inspector General 400 Army-Navy Drive, Room 1027 Arlington, Virginia

The following investigation was conducted by SpecialAgent (SA, on July 14, 1994, regarding theb6appointee, RICHARD CHARLES ALBERT HOLBROOKE:b7C

advised that the above captioned office has no record for this individual.

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WMFO 161B-HQ-4612 MLH:mlh

> U.S. ATTORNEY'S OFFICE 555 4th Street, N.W. <u>Washington, D.C.</u>

On July 7, 1994, Investigative Assistant (IA) submitted a request for a search to be conducted regarding RICHARD CHARLES ALBERT HOLBROOKE.

On July 14, 1994, IA was contacted by , U.S. Attorney's Office, Liaison of the Pending and Closed Cases of the NARCOTICS, PUBLIC CORRUPTION, ECONOMIC CRIME, b7c TRANSNATIONAL/MAJOR CRIMES UNIT of the above captioned agency. Advised that no identifiable record could be located regarding RICHARD CHARLES ALBERT HOLBROOKE.

On July 13, 1994, IA was contacted by U.S. Attorney's Office, Liaison of the Pending and Closed Cases of the Civil Division. advised that no identifiable record could be located regarding RICHARD CHARLES ALBERT HOLEROOKE.

It should be noted that the index system of the Civil Division, U.S. Attorney's Office, contains only names of plaintiffs, except in Civil Actions brought by the United States against a particular defendant. Suits against government employees who are represented by the United States Attorney would be filed by plaintiff's name and docket number.

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SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE; SPIN; OO:HO	A; BUDED
7/13/94.	b7C
RE BUREAU AIRTEL TO NEW YORK, DATED 7/1/94 AND NY	FD-263,
DATED 7/13/94. RE BUREAU FACSIMILE TO NEW YORK, DATED	7/5/94
AND BUREAU FACSIMILE TO NEW YORK, DATED 7/13/94.	

FOR INFORMATION OF THE BUREAU, A REVIEW OF THE NEW YORK OFFICE GENERAL INDICES REVEALED NOTHING POSITIVELY Identifiable to the candidate's relatives.

ON 7/14/94, IA

CONDUCTED A CHECK WITH

CC DESTROY

PAGE TWO DE FBINY 0047 UNCLAS THE CITY OF NEW YORK DEPARTMENT OF FINANCE-COLLECTION DIVISION, 25 ELM PLACE, BROOKLYN, NEW YORK.

 REVIEWING AGENT, DEPARTMENT OF FINANCE 

 COLLECTION DIVISION, TELEPHONE

 ADVISED THE

 CANDIDATE PAID THE DEPARTMENT OF FINANCE THE AMOUNT OF

 \$8,263.59 IN 1990.

STATED THE CANDIDATE STILL HAS AN OUTSTANDING BALANCE OF \$326.00 OWED TO THE DEPARTMENT OF FINANCE AS OF 7/14/94. ADVISED THE NEW YORK CITY SHERIFF'S FIELD COLLECTIONS INVESTIGATIVE UNIT PUT A LIEN OF \$326.00 FOR INTEREST OWED TO THE NEW YORK CITY DEPARTMENT OF FINANCE BY THE CANDIDATE.

DVISED AS SOON AS THE CANDIDATE PAYS THE REMAINING OUTSTANDING BALANCE OF \$326.00, THE DEPARTMENT OF FINANCE WILL REMOVE THE LIEN.

AS NO FURTHER INVESTIGATION REMAINS, NEW YORK CONSIDERS THIS CASE RUC¹D.

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ROUTING SLIP

July 13, 1994

TO:	Legat Bonn	
FROM:	Director, FBI (161B - HQ - 4612)	
SUBJECT:	RICHARD CHARLES ALBERT HOLBROOKE SPIN; OO: FBIHQ BUDED: 7/13/94	
to Legat	Reference Butelcall from PSS SPIN Unit, this date.	
the invest	ridation indicated below	Ъ6 Ъ7С
Unit, FBIH than COB t	Direct results/questions to PSS SPIN AQ, Room 4371, Ext. to be received by no later today.	

LEADS:

#### LEGAT BONN:

If possible, interview appointee concerning the following matters:

1. Records of the New York State Department of Motor Vehicles (DMV) disclosed that appointee's New York State driver's license was suspended 5/1/93 for failure to answer a summons. DMV records contained no further information concerning this matter. Interview appointee to determine if he has any knowledge about this matter. (It is noted that the New York Field Office is conducting additional inquiries concerning this matter; however, Applicant Supervisor advised that it may not be possible to locate any further records about it.)

2. During a 1993 Department of State (DOS) background investigation of appointee, it was determined that there was a 1991 California state tax lien of approximately \$100 against appointee in Sacramento, California, and a 12/90 judgment of approximately \$8,500 against him by the New York City Department of Finance. DOS interviewed appointee about these matters and he advised he was unaware of them. He then contacted his who advised DOS via speakerphone that he 1.

Routing Slip to Legat Bonn dated 7/13/94 Re: Richard Charles Albert Holbrooke

had handled both matters and they had been paid. DOS verified that the California state tax lien had been lifted but did not verify that the New York City judgment had been satisfied. (The New York Field Office is currently verify that the judgment has been paid.) Interview appointee to obtain his comments concerning these two matters.

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	OFFICE OF THE LEGAL ATTACHE UNITED STATES EMBASSY FEDERAL REPUBLIC OF GERMANY GERMAN FAX NUMBER INTERNATIONAL FAX NUMBER	
	TO:	= =
	FAX NUMBER:	Ъб Ъ7С
	FROM: LEGAT BONN	
	NUMBER OF FOLLOWING PAGES: 3	5
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	APPROVED BY:	5

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To :	Director, FBI Attn: Legat Bonn (161-F	SPIN Unit 3-HQ-4612) (RUC)	Date 7/13	3/94
Subject:	RICHARD CHARLES A SPIN OO: FBIHQ BUDED: 7/13/94	ALBERT HOLBROOKE;		
on 7/13/9		call to Legat	and return	telcal
obtained	On 7/13/94, Legat the following info	contacted Ambass	ador Holbroo	ke and
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December matter. regular arisen fr firm. Th adjustmen that amou unincorpo whatsoeve relevant resolve a told by t	However, he contact <u>t 212-490-8000</u> advised h om certain stocks	that he had no kn ted who is unfor who is unfor im that the Calif held by him invol 00 had been iden been paid. As by the accountants there should h th that issue. There should h th that issue.	owledge of e nave contact tunately on ornia tax ma ving a Calif tified as a to the \$8,5 in 1989 as e no indgeme has a the New Yor regard. She	ither ed his vacation. tter had ornia tax 00.00, an nt 11 the k FBI to has been
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property at

has known Ambassador Holbrooke since 1980 when Holbrooke was serving as an Assistant Secretary of State. He has served under Holbrooke since September 1993 upon Holbrooke's arrival in Bonn. Since that time the two have spent a great deal of time together in connection with their official duties and has served as the

advising him on ethics issues.

does not believe that Holbrooke has any drug or alcohol abuse problems, and has seen him in numerous social situations where he drank sparingly, if at all. There have never been any signs of substance abuse.

is not aware that there are or may have been any personal or professional debts, credit problems, suits or judgements involving Holbrooke, and _____ capacity within the embassy is one where he would have known of any such job-related issues. He is similarly unaware of any criminal charges, arrests, convictions or any hint of any criminal activity on Holbrooke's part.

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does not believe that Holbrooke has ever been denied employment or dismissed from employment. He has no knowledge of Holbrooke's personal life, but has seen no indication that he has any inappropriate contacts with foreign representatives. He is also unaware of any indication of professional complaints or disciplinary action, to include EEO issues, made or taken against Holbrooke.

As to conflicts of interest noted that Holbrooke's prior employment and investments could conceivably result in a conflict of interest, however knows of no such conflict. presumes that has already been addressed within the Legal Section of the Department of State.

is unaware of any psychological or psychiatric counseling or any sort provided to Holbrooke, nor does he see any signs of instability. He is not aware of membership-in any organization which restricts membership based on race, sex, color, religion or national origin. is aware of his membership in any number of foreign affairs organizations such as the Council on Foreign Relations, but does not believe any of these have any restrictive membership covenants.

advised that Holbrooke keeps his personal life to himself, but he is not aware of any indication that Holbrooke is concealing anything which could be used to compromise him in any way. _______ is also unaware of any negligence in paying any sort of taxes, including income, medicare, social security or unemployment taxes. Holbrooke has mentioned that his finances are managed by accountants in New York.

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advised that Holbrooke, as Ambosador, has always assumed full monosibility for his personal openses. He has never asked for any improper benefits. He has always followed counsel on ethics issues. He has never attempted to improperly insert himself in the personnel issues of the embassy, giving his opinion from time to time, but always leaving the final decision to in his role as the Administrative Minister Counselor of the embassy. In that regard, his financial and personnel oversight as Ambassador have been without blemish.

is unaware of any negative factor which could have an adverse bearing on Holbrooke's suitability to perform in a position of trust and senior management in the U.S. Government, or which would adversely impact on his ability to be confirmed or complete the task for which he is nominated. He is incredibly intelligent, and has a broad grasp of policy. He embodies a great deal of energy and imagination. He is willing to make full advantage of opportunities that present themselves. These are all skills that can not be delegated to a lower level, and make him an excellent choice for any policy-level position in Government. Hays recommends him for such a policy-making position.

With all leads covered, this matter is RUC.

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2D-448 (Rev. 5-23-90)	EMPORTANT AND URGENT	Here's another expedite SPIN case.
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ROUTING SLIP

July 13, 1994

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TO: ADIC, New York

**FROM:** Director, FBI (161B - HQ - 4612)

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE SPIN; OO: FBIHQ BUDED: 7/13/94

Reference Butelcall from PSSSPIN Unit,to Supervisorthis date.

Referenced Butelcall advised New York of the following information: Legat Bonn, telephonically advised PSS that he had just interviewed appointee regarding the suspended New York driver's license matter as well as the \$8,500 judgment against him in New York City. Appointee said he has never had a New York driver's license. (Note: Appointee has a vacation residence in Connecticut which he frequented on a nearly weekly or bi-weekly basis, so he may be licensed in that state.) Regarding the judgment, appointee advised he has no knowledge about it and recommended contacting his

for further information. She can be reached at (212) 490-8000.

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Unit,	FBIHQ,	Room	4371,	Ext.		έo	be	receivea by co	B today.

LEADS:

NEW YORK DIVISION:

Contact regarding the judgment against appointee is the who was interviewed by the Department of State (DOS) regarding this matter during DOS's 1993 background investigation of appointee. is out of the office and unavailable at the present time. Appointee said would be familiar with his affairs and is expecting to be contacted by the New York FBI.

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	PRECEDENCE Immediate Priority Routine	<ul> <li>Top Secret</li> <li>Secret</li> <li>Confidential</li> <li>Sensitive</li> <li>Unclassified</li> </ul>	Sender's In	mitted: itials: Pages:	• • •
	To: $FBI NY$ Facsimile number:	of Office)	Date:	7-13-94	,
	Attn: <u>Super</u> ^{(Name} From: <u>SPIN</u>	visor			bб b7С
	subject: <u>Richar</u>	d Charles Alber	t Holbrooke	2	
		1: 7-13-94			
	·	uctions: <u>Ploque</u> h	and carry	to 161 Sup	entres.
	Originator's Name	Number	Telepho	ne:	
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ROUTING SLIP

July 13, 1994

TO: ADIC, WIED, News York

FROM: Director, FBI (161B - HQ - 4612)

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE SPIN; OO: FBIHQ BUDED: 7/13/94

Reference Bureau fax to New York et al dated 7/1/94; Bureau Routing Slip to New York dated 7/5/94; New York Pending report of SA dated 7/12/94; and Butelcall from PSS SPIN Unit, to New York Supervisor this date.

Per referenced Butelcall, New York should conduct the investigation and/or provide the information indicated below.

Direct results/questions to PSS SPIN Unit, FBIHQ, Room 4371, Ext. <u>TO BE RECEIVED BY NO LATER</u> THAN COB TODAY, 7/13/94. PER THE DIRECTOR, THE RESULTS OF THIS INVESTIGATION MUST BE PROVIDED TO THE WHITE HOUSE BY NO LATER THAN FRIDAY, 7/15/94.

LEADS:

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NEW YORK DIVISION:

1. Insure that New York indices are checked on all relatives residing in New York's territory.

2. Insure that coworkers at Lehman Brothers are interviewed today.

3. Insure that all persons interviewed are questioned regarding if they are aware of anything in appointee's background that could be used to influence, coerce, or pressure him, etc.

4. Conduct further investigation regarding the suspension of appointee's driver's license on 5/1/93 for failure to answer a summons.

Ъ6 Ъ7С FD-263 (Rev. 4-30-85)

# FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DAT	Е	INVESTIC	GATIVE PERIOD	
NEW YORK	BUREAU	7/3	13/94	7/5/9	4 - 7/13/94	
TITLE OF CASE	· · · · · · ·	REPO	ORT MADE BY		··	TYPED BY:
RICHARD CHARLES AL	BERT HOLBROOKE	SA				ts
		CHA	RACTER OF C	SE		
		ŞPI	ĹŊ			

#### REFERENCE:

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Bureau airtel to NY dated 7/1/94, Bureau facsimile to Ny dated 7/1/94, and Bureau facsimile to NY dated 7/13/94.

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#### ADMINISTRATIVE:

All persons interviewed were furnished the appropriate provisions of the Privacy Act of 1974. Express promises of confidentiality, both limited and unlimited have not been granted.

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	UNITED STATES DEP Federal Bureau	ARTMENT OF JUSTICE	
Copy to:			
Report of: Date:	SA July 13, 1994	· Office: NEW YORK	b6 b7C
Field Office File #:	161B-HQ-4612	Bureau File #: 161B-HQ-4612	
Fitle:	RICHARD CHARLES ALBERT HOL	BROOKE	
Character:	SPIN		
Synopsis:			
	Additional neighbor intervi interviewed. Credit check DMV checked.	iewed. Employment-coworkers . Tax Manager interviewed.	- -
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#### EMPLOYMENT

Lehman Brothers (aka Shearson Lehman Brothers) 200 Vesey Street New York, New York April 1985 to September 1993

The following investigation was conducted by SA on July 13, 1994, regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE:

Lehman Brothers. 200 Vesey Street, New York, New York, telephone advised she has known the candidate for nine years, and stated she worked next to the candidate's secretary. Rescribed the candidate as knowledgeable, intelligent, and a person that everyone loved.

States, and his associates are responsible and reliable.

advised the candidate got along well with others, and presented a professional appearance. unaware of any illegal drug use, alcohol abuse, or prescription drug abuse on the part of the candidate. The candidate appears to have a lifestyle that is consistent with his financial means, and has never displayed any irrational, violent, or deviant behavior. The candidate has a stable personality, and has never displayed any bias or prejudice towards any group or organization is unaware of any details of any concealed activity or conduct which could be used to subject the candidate to influence, pressure, coercion or compromise, and/or would impact negatively on the candidate's character, reputation, judgement or discretion. ______ concluded by highly recommending the candidate for a position of trust and confidence with the Untied States government, and added that the candidate could be president of the United States.

Lehman Brothers, 200 Vesey Street, New York, New York, telephone (212) 526-2146), advised he has known the candidate for ten years, and last saw the candidate at a dinner at house which the

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#### 161B-HQ-4612

candidate attended before he left for Germany. described the candidate as very nice, knowledgeable, enjoyable to have around, friendly, and a responsible and reliable individual.

advised the candidate has the highest integrity and morals, and is mentally and emotionally stable. stated the candidate can maintain confidence and secrets, and can exercise appropriate discretion added the candidate is an honest man with an excellent reputation , both personally and professionally. advised the candidate is loyal to the United States and has reputable and law abiding associates. advised the candidate gets along well with others, and presents a professional appearance.

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is unaware of any illegal drug use, alcohol abuse, or prescription drug abuse on the part of the candidate, and believes the candidate lives within his financial means. The candidate has never displayed any form of violent. irrational, or deviant behavior, and has a stable personality. Istated he is unaware of any details of any concealed conduct or activity on the part of the candidate which could be used to subject the candidate in any way to influence, pressure, coercion or compromise, and/or would impact negatively on the candidate's character, reputation, judgement or discretion.

has never seen the candidate display any bias , or prejudice towards any group or organization. MARTINEZ concluded by highly recommending the candidate for a position of trust and confidence with the United States government.

advised the candidate's associates are reputable and law abiding. The candidate gets along well with others, and is good at getting along well with others <u>hdded</u> that the candidate presents a professional appearance. is unaware of any illegal drug use, alcohol abuse, or prescription drug abuse on the part of the candidate, and has a lifestyle that is consistent with his financial means. The candidate has never 161b-HQ-4612

displayed any irrational, deviant, or violent behavior, and has never displayed any bias or prejudice towards any group or organization. stated the candidate has a stable personality. is unaware of any details of any concealed activity or conduct which could be used in any way to subject the candidate to influence, pressure, coercion or compromise and /or would impact negatively on the candidate's character, reputation, judgement or discretion. advised the candidate has a shrewd way to assess people and gain their confidence. stated the candidate was very successful as an investment banker.

concluded by highly recommending the candidate for a position of trust and confidence with the United States government. b6 b7C

The following investigation was conducted by SA regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE: The following individuals were not aware of any details of any concealed activity or conduct on the part of the candidate which could be used in any way to subject the candidate to influence, pressure, coercion or compromise, and/or would impact negatively on the candidate's character, reputation, judgement or discretion. Citizens Committee of New York City, 305 7th Avenue, New York, New York, telephone (212) 989-0909. The Council on Foreign Relations, 58 East 68th Street, New York, New York, telephone (212) 734-0400. International Rescue Committee, 386 Park Avenue South, New York, New York, telephone (212) 551-3000.

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#### CREDIT CHECK:

City of New York Department of Finance-Collection Division 25 Elm Place Brooklyn, New York

The following investigation was conducted on July 12, 1994, by IA regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE:

According to the NYSSC-County Clerks Docket Division, New York County, the judgement concerning the candidate in New York City has not been resolved. The judgement was filed on 4/18/90 by the Department of Finance-Collection Division for the amount of \$8,539.74, and was issued to RICHARD CHARLES ALBERT HOLBROOKE, Social Security Account number: 132-32-3096. Warrant number B0359322.

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MISCELLANEOUS - CREDIT CHECK - TAX MANAGER:

The following investigation was conducted on July 13, 1994, by SA regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE:

Mahoney, Cohen and Company, 111 W. 40th Street, New York, New York, telephone (212) 490-8000, was contacted regarding the tax lien in Sacramento, California, and the judgement in New York City concerning the candidate. _______advised the candidate has resolved both of these matters and both amounts due have been paid in full.

advised the candidate paid the amount of \$124.14 on 9/17/91 in full payment of the balance due to the State of California, Franchise Tax Board, P.O. Box 2952, Sacramento, California for the tax year 1989. facsimile of a letter from the candidate's to the State of California. Franchise Tax Board which

to the State of California, Franchise Tax Board which refers to a check in the amount of \$124.15, which paid off the tax lien. _______advised Mahoney, Cohen and Company has not received any further notification by the State of California, Franchise Tax Board regarding any amount due by the candidate.

Stated the candidate had a judgement in New York City for the year 1988. advised the candidate received a notice and demand of payment from the City of New York, Department of Finance, on 1/17/90 for the amount of \$8,263.59. advised the candidate paid the amount in full to the City of New York, Department of Finance, 25 Elm Place, Brooklyn, New York on 2/2/90. provided a copy of the check written to the New York City Department of Finance in the amount of \$8,263.59.

stated she did not now the reason the City of New York, Department of Finance-Collection Division currently has the candidate owing a balance due of \$8,539.74. suggested that the amount paid by the candidate was never recorded by the Department of Finance. Cohen and Company has not received any notification of any amount due from the candidate to the New York City Department of Finance. Stated she would contact the New York City, Department of Finance-Collection Agency, 25 Elm Place, Brooklyn, New York to resolve the discrepancy.

Ъ6 Ъ7С 161B-HQ-4612 RE: HOLBROOKE MFW:mfw

#### NEW YORK STATE DEPARTMENT OF MOTOR VEHICLES

On 7/13/94, the records of the NYS Department of Motor Vehicles were searched regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE and the following information was reported; THERE WAS NO RECORD OF THIS CANDIDATE. THIS CANDIDATE DOES NOT HAVE A VALID NEW YORK STATE DEPARTMENT OF MOTOR VEHICLES DRIVERS LICENSE.

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### FEDERAL BUREAU OF INVESTIGATION

	REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD	
	NEW YORK	BUREAU	7/12/94	7/5/94 - 7/12/94	
	TITLE OF CASE			REPORT MADE BY	
	RICHARD CHARLES AL	BERT HOLBROOKE	SA		ts
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#### **REFERENCE:**

Bureau airtel to NY dated 7/1/94, and Bureau facsimile to Ny dated 7/1/94.

#### ADMINISTRATIVE:

All persons interviewed were furnished the appropriate provisions of the Privacy Act of 1974. Express promises of confidentiality, both limited and unlimited have not been granted.

A review of the New York Office general indices revealed nothing positively identifiable to the candidate.

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161B-HQ-4612

#### LEADS:

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1. Candidate's employment at Lehman Brothers;b6<br/>b7cLehman Brothers, is currently out of town andwill not return until 7/18/94.will provide names of<br/>coworkers who worked with candidate at Lehman Brothers.

2. Record check for further information regarding the New York City Department of Finance judgement concerning the candidate dated December 1990.

FD-204 (Rev. 3-3-59)	O O					
	UNITED STATES DEPARTMENT OF JUSTICE Federal Bureau of Investigation					
	•	Ъб Ъ7С				
Copy to:						
Report of: Date:	SA Office: NEW YORK July 12, 1994					
Field Office File #:	161B-HQ-4612 Bureau File #: 161B-HQ-4612					
Title:	RICHARD CHARLES ALBERT HOLBROOKE					

Character: SPIN

Synopsis: Neighborhood verified. Organizations verified. DMV license suspended. Arrest check negative. United States Attorney's Office - negative.

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161B-HQ-4612 TS:ts

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NEIGHBORHOOD:

New York, New York August 1988 to September 1993

The following investigation was conducted by SA regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE:

advised the candidate New York, telephone is her stated that she and her husband have bб rented the apartment since but that neither she or b7C her husband know the candidate very well. stated she has only met the candidate once and has spoken with him on the phone only once or twice. stated she cannot comment on the candidate because she does not really know the candidate, and does not know much about the candidate. noted that her husband does not have much contact with the candidate either. stated when she and her husband moved into the apartment, the apartment was nicely kept. stated she pays the rent to the

On 7/5/94, FEDERAL BUREAU of INVESTIGATION (FBI) cards were left at the residents of Apartments 2, 3, and 4 at New York, New York, but were met with negative results.

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161B-HQ-4612 TS:ts	
EMPLOYMENT:	
Lehman Brothers (aka Shearson Lehman Brothers) 200 Vesey Street New York, New York April 1985 to September 1993	
The following investigation was conducted by SA regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE:	
On July 6, 1994, of Employee Records, Lehman Brothers. 200 Vesey Street, New York, New York, telephone verified the candidate's employment as the Managing Director from 4/1/85 to 9/22/93.	Ъ6 Ъ7С
Lehman Brothers, 200 Vesey Street, New York, new York, telephone (212) 526-7200, from July 6, 1994 to July 11, 1994, but were met with negative results. is currently out of town and will not return until 7/18/94. will be able to provide additional names of individuals at Lehman Brothers that worked with the candidate during the above captioned time period.	

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ORGANIZATION:

Citizens Committee of New York City 305 7th Avenue New York, New York 1992 to 1993

The following investigation was conducted by SA on July 12, 1994, regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE:

Citizens Committee of New York City, 305 7th Avenue, New York, New York, telephone (212) 989-0909, advised the candidate was a member of the Board of Directors for the Committee for two years. stated the candidate resigned from the Committee when he went to work for the State Department. advised a member must be an outstanding New Yorker who is willing to work for the committee and the city to help volunteer organizations throughout the city. dvised there are 27 members on the Board, and the organization does not restrict its membership or discriminate based on sex, race, religion, national origin, age, or handicap.

has known the candidate for over two years and described the candidate as smart; funny, pleasant, and easy to be around. The candidate is responsible and reliable with the highest integrity and morals advised the candidate is mentally and emotionally stable and can maintain confidences and secrets. The candidate exercises appropriate discretion and is an honest person. Added the candidate takes honesty seriously and has a sterring reputation. The candidate is very highly thought of in the business world. advised the candidate gets along well with others, and displays a professional appearance. advised that one of the candidate's strengths is an ability to hold his own in telling you what he thinks, but at the same time handling it diplomatically.

advised the candidate's associates appear to be reputable and law abiding, and the candidate is loyal to the United States. _______ is unaware of any illegal drug use, alcohol abuse, or prescription drug abuse on the part of the candidate. The candidate appears to have a lifestyle that is consistent with his financial means, and has never displayed any form of irrational, violent, or deviant behavior. The candidate has a stable personality, and has never displayed any bias or prejudice towards any group or organization. _______ is unaware of anything negative or derogatory regarding the candidate, and highly recommended the candidate for a position of trust and confidence with the United States Government. bб b7С

ORGANIZATION:

The Council on Foreign Relations 58 East 68th Street New York, New York <u>1992 to 1993</u>

The following investigation was conducted by SA on July 11, 1994, regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE:

The Council on Foreign Relations, 58 East 68th Street, New York, New York, telephone (212) 734-0400, advised the candidate was a member on the board of Directors for the Council on Foreign Relations for the above captioned time period, and was a member of the Council for twenty b7c years. stated the candidate gave up his position for the Council on Foreign Relations when he became the Ambassador to Germany.

stated the organization was 2,500 members, and that in order to become a member a person has to nominated by a current member and then voted in by the membership.

advised the organization does not discriminate based on sex, race, religion, national origin, age or handicap.

has known the candidate for a few years and described the candidate as an outstanding person in the community. The candidate is responsible and reliable, and his integrity and morals are without question. advised the candidate is mentally and emotionally stable and can maintain confidences and secrets. The candidate exercises appropriate discretion and is an honest person. stated the candidate has a very high reputation and is known as a hard charging guy who can accomplish things. stated the candidate gets along well with others, and displays a professional appearance.

advised the candidate's associates appear to be reputable and <u>law abiding</u>, and the candidate is loyal to the United States. is unaware of any illegal drug use, alcohol abuse, or pres<del>cription</del> drug abuse on the part of the candidate. The candidate appears to have a lifestyle that is consistent with his financial means, and has never displayed any form of irrational, violent, or deviant behavior. The candidate has a stable personality, and has never <u>display</u>ed any bias or prejudice towards any group or organization. is unaware of anything negative or derogatory regarding the candidate, and highly recommended the candidate for a position of trust and confidence with the United States Government.

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161B-HQ-4612 TS:ts

ORGANIZATION:

International Rescue Committee 386 Park Avenue South New York, New York 1990 - 1994

The following investigation was conducted by Special Agent on July 5, 1994, regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE:

International Rescue Committee, 386 Park Avenue South, New York, New York, telephone (212) 551-3000, advised the candidate was a former member on the Board of Director's for the International Rescue Committee.

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stated the candidate has been a member since the 1980's and just recently resigned from the committee. As a matter of policy, the candidate resigned from the committee when the candidate started working for the government. stated the committee helps refugees overseas and also helps those refugees who are admitted legally to the United States. advised members names are proposed to the board, and the newly proposed member is then interviewed by those already on the board. stated the board votes once a year to elect new The only membership requirement to the members to the board. board is an interest in refugees and an ability to be helpful to refugees. The board consists of 60 members, and does not have any restrictions to include race, sex, religion, national origin, age or handicap.

has known the candidate for ten years and described the candidate as an outgoing public figure who is highly regarded in all circles. Stated the candidate is responsible and reliable, with the highest morals and integrity. DEVECCHI advised the candidate is mentally and emotionally stable and can maintain confidences and secrets. The candidate exercises appropriate discretion, and is very honest. The candidate's reputation is excellent and he is very highly thought of in business, government, and diplomatic circles. advised the candidate is loyal to the United States, and his associates are reputable and law abiding. The candidate gets along well with others and presents a professional appearance.

is unaware of any illegal drug use, alcohol <u>abuse or prescription</u> drug abuse on the part of the candidate. advised the candidate appears to live within his <u>financial</u> means, and has never displayed any form of irrational, deviant or violent behavior. The candidate has a stable personality and has never displayed any bias or prejudice towards any group or organization. Is unaware of anything negative or derogatory regarding the candidate, and highly recommended the candidate for a position of trust and confidence with the United States government. b6 b7C

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161B-HQ-4612

161B-HQ-4612 RE: HOLBROOKE MFW:mfw

# NEW YORK STATE DEPARTMENT OF MOTOR VEHICLES

On 7/1/94 the records of the NYS Department of Motor Vehicles were searched regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE and the following information was reported; This candidate does NOT HAVE A VALID NYS DRIVERS LICENSE. HIS LICENSE WAS SUSPENDED ON 5/1/93 FOR FAILURE TO ANSWER SUMMONS, ORDER # T760934. NO FURTHER INFORMATION GIVEN. 6 161b-HQ-4612 BAA/baa

# ARREST

<u>A revi</u> ew of the records of the NYCPD on 7/7/94 by IA	Ъб
, met with negative results on the following:	b7C
RICHARD CHARLES ALBERT HOLBROOKE	
STANLEY KEARL, and TRUDI	

HOLBROOKE KEARL.

161B-HQ-4612 RE: HOLBROOKE MFW:mfw

# UNITED STATES ATTORNEYS OFFICE SOUTHERN CRIMINAL & CIVIL. EASTERN CRIMINAL & CIVIL

On July 1,1994, the records of the United States Attorneys Office was searched concerning the candidate RICHARD CHARLES ALBERT HOLBROOKE. There was no record found regarding the candidate in any of the four districts. FD-263 (Rev. 4-30-85)

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# FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	3	INVESTIGATIVE PERIOD	
NEW HAVEN	BUREAU	7/3	L1/94	7/7/94	
TITLE OF CASE	-	REPO	RT MADE BY		TYPED BY:
RICHARD CHARLES ALE	BERT HOLBROOKE	IA			cah
		CHA	RACTER OF CA	ASE	
		SPI	ECIAL INQ	UIRY	
		<u> </u>			

# **<u>REFERENCE</u>**:

Bureau "fax" communication, 7/1/94.

- RUC -

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# ADMINISTRATIVE:

All persons interviewed were furnished the appropriate  $b_{\rm b7c}^{\rm b6}$  provisions of the Privacy Act. Express promises of confidential-ity have not been granted.

New Haven Office indices were searched and proved negative for appointee.

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		S DEPARTMENT OF JUS Bureau of Investigation	TICE	
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Report of: Date:	IA July 11, 1994	Office: NEV	V HAVEN	
Field Office File #:	161B-HQ-4612	Bureau File #:	161B-HQ-4612	Ъ6 Ъ7С
Title:	RICHARD CHARLES ALBER	T HOLBROOKE		J / U.
Synopsis:	Arrest and U.S. Attor negative.	ney's Office chec - RUC -	ks conducted and	
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	Arrest			
	On July 7, 1994,			
Records advised ee.	s Division, New Milford d she could locate no n	l, Connecticut, P record identifiab	olice Department, le with the appoint	:-
	<u>Miscellaneous</u>			
advised tive ad	On July 7, 1994 Office, District of Cor d that a review of her ction (civil or crimina ing the appointee.	nnecticut, New Ha records did not	locate any prosecu-	
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FD-263 (Rev. 4-30-85)

# FEDERAL BUREAU OF INVESTIGATION

OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD	
BUREAU	7/8/94	7/5 - 7/6/94	
	REPORT MADE	ВУ	TYPED BY:
LBERT HOLBROOKE	IA		ecv
	CHARACTER OF	CASE	
	SPIN		
		BUREAU 7/8/94 REPORT MADE I IA CHARACTER OF	BUREAU 7/8/94 7/5 - 7/6/94 REPORT MADE BY IA CHARACTER OF CASE

BUDED: 7/13/94

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#### ADMINISTRATIVE:

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All persons interviewed were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality have not been granted.

On July 6, 1994, Denver Division's General and FOIMS indices were searched with negative results regarding the appointee.

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	FD-204 (Rev. 3-3-59)	Ó		
			ARTMENT OF JUSTICE of Investigation	
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	Copy to:		· •	Ъб Ъ7С
	Report of: Date:	IA July 8, 1994	Office: Denver	-
	Field Office File #:	161B-HQ-4612	Bureau File #: 161B-HQ-4612	
	Title:	RICHARD CHARLES ALBERT HOLI	BROOKE	
	Character:	SPECIAL INQUIRY		
	Synopsis:	Arrest checks were conducter review of records at the Ur Denver, Colorado were condu	ed regarding the appointee. Nited States Attorney's Office Acted regarding appointee.	A ce,
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Sec. Selid

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DETAILS:

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DN 161B-HQ-4612 ECV/ecv

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#### LAW ENFORCEMENT AGENCY CHECKS

The following investigation was conducted by Investigative Assistant (IA) b6 On July 6, 1994, SAN MIGUEL SHERIFF'S OFFICE, San Miguel, Colorado (County which covers Telluride, Colorado) advised the records at her agency did not contain any identifiable information relative to the appointee, RICHARD CHARLES ALBERT HOLBROOKE, date of birth April

On July 6, 1994, personnel at the COLORADO BUREAU OF INVESTIGATION, Lakewood, Colorado reviewed their records in order to determine if RICHARD CHARLES ALBERT HOLBROOKE, date of birth April 24, 1941 possesses a Colorado criminal record or is currently wanted by any Colorado law enforcement agency, and the results were negative.

- 2 -

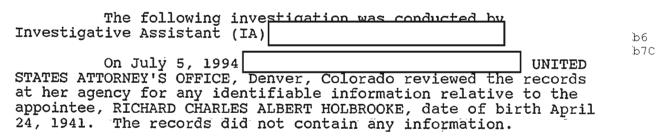
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# MISCELLANEOUS



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FOR HIS STATEMENT.	
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APPLICANT AS HIGHLY INTÉLLIGENT, DEDICATED, ENERGETIC AND	
FULLY ENGAGED IN HIS WORK. SINCE APPLICANT IS UNACCOMPANIED	' b6 b7C
IS UNAWARE OF APPLICANT'S FAMILY STATUS,	, Ъ7D
EXCEPT THAT APPLICANT IS EITHER SEPARATED OR DIVORCED, AND MAY	
HAVE AT LEAST ONE SON. HAS HEARD A RUMOR THAT	ł
REPEATEDLY STRESSED THAT	
THIS IS ONLY A RUMOR AND HE HAS NO CORROBORATING INFORMATION.	
HE HAS NO INFORMATION CONCERNING APPLICANT'S PERSONAL LIFE	
THAT COULD BE USED TO COERCE APPLICANT OR EMBARRASS THE	
GOVERNMENT.	
IS NOT AWARE OF ANY COMPLAINTS OR DISCIPLINARY	
ACTIONS TAKEN AGAINST APPLICANT, NOR OF ANY BUSINESS OR	
INVESTMENT MATTERS THAT COULD INVOLVE A CONFLICT OF INTEREST.	
IS NOT AWARE OF ANY TYPE OF COUNSELING IN WHICH THE	
APPLICANT HAS BEEN INVOLVED. HE ALSO HAS NO INFORMATION THAT	• ~ •
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PAGE FOUR DE BON 0003 UNCLAS FOR WHICH HE IS BEING CONSIDERED AND WOULD RECOMMEND APPLICANT FOR A POSITION OF TRUST WITH THE FEDERAL GOVERNMENT. ON 7/6/94 DOB TELEPHONE NUMBER WAS INTERVIEWED CONCERNING CAPTIONED APPLICANT. THE PROVISIONS OF THE PRIVACY ACT WERE EXPLAINED WHO DID NOT REQUEST CONFIDENTIALITY. ΤO HAS ONLY KNOWN THE APPLICANT SINCE HIS ARRIVAL IN' GERMANY AS THE U.S. AMBASSADOR. DESCRIBED APPLICANT AS b6 ENERGETIC, DETERMINED, VERY SERIOUS AND A GOOD-OLD-FASHIONED h7C PUBLIC SERVANT. IS AWARE APPLICANT IS DIVORCED AND HAS TWO SONS', BUT HAS NO INFORMATION CONCERNING APPLICANT'S FAMILY LIFE. IS UNAWARE OF ANY DETAILS OF APPLICANT'S PERSONAL LIFE THAT COULD BE USED TO COERCE HIM OR EMBARRASS THE GOVERNMENT. IS NOT AWARE OF ANY COMPLAINTS OR DISCIPLINARY ACTION TAKEN AGAINST APPLICANT, OR OF ANY BUSINESS OR INVESTMENT MATTERS THAT COULD INVOLVE A CONFLICT OF INTEREST. KNOWS OF NO COUNSELING THE APPLICANT HAS EVER UNDERGONE, NOR DOES POSSESS ANY INFORMATION THAT APPLICANT HAS EVER BEEN DENIED EMPLOYMENT, HAS EVER BEEN

PAGE FIVE DE BON 0003 UNCLAS

ARRESTED, OR HAS EVER BEEN A PARTY IN A CIVIL SUIT.

 KNOWS OF NO BUSINESS OR CREDIT MATTERS THAT WOULD

 REFLECT UNFAVORABLY ON APPLICANT. APPLICANT HAS A VERY GOOD

 REPUTATION AND ASSOCIATES WITH HIGHLY ESTEEMED PERSONS WHO

 HOLD APPLICANT IN HIGH REGARD. AS AMBASSADOR, APPLICANT HAS

 NUMEROUS CONTACTS WITH GOVERNMENT, DIPLOMATIC AND BUSINESS

 LEADERS, BUT NONE OF THESE CONTACTS GO BEYOND THE NORMAL SCOPE

 OF APPLICANT'S OFFICIAL DUTIES AS FAR AS

 IS AWARE.

 KNOWS OF NO PRESCRIPTION DRUG OR ALCOHOL ABUSE OR

 ILLEGAL DRUG USE BY APPLICANT, NOR IS APPLICANT A MEMBER OF

 ANY ORGANIZATION THAT RESTRICTS MEMBERSHIP ON THE BASIS OF

 SEX; RACE, RELIGION OR NATIONAL ORIGIN.

 REPORTED HE KNOWS OF NOTHING THAT WOULD REFLECT

UNFAVORABLY ON APPLICANT OR HAVE ANY BEARING ON HIS SUITABILITY FOR FEDERAL EMPLOYMENT. AS EXTREMELY LOYAL TO THE U.S. GOVERNMENT AND WOULD HIGHLY RECOMMEND APPLICANT FOR A POSITION OF TRUST WITH THE U.S. GOVERNMENT.

DOB

ON 7/7/94,

TELEPHONE NUMBER

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PAGE SIX DE BON 0003 UNCLAS WAS INTERVIEWED CONCERNING CAPTIONED APPLICANT. THE PROVISIONS OF THE PRIVACY ACT WERE EXPLAINED TO WHO REQUESTED CONFIDENTIALITY FOR HIS STATEMENT. WHEN

DESCRIBED THE APPLICANT AS INTELLIGENT, CREATIVE, ENERGETIC, WITH A GOOD UNDERSTANDING OF FOREIGN POLICY, EXPERIENCED IN THE WORKINGS OF GOVERNMENT IN WASHINGTON, D.C., A DECISION IMPLEMENTOR, GOOD AT PUBLIC PRESENTATIONS, AND WITH A GOOD UNDERSTANDING OF WHAT IS AND WHAT IS NOT IMPORTANT.

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KNOWS LITTLE ABOUT APPLICANT'S FAMILY LIFE, EXCEPT THAT HE HAS BEEN MARRIED TWICE, HAS TWO SONS, AND HAS A LADY FRIEND WHO HAS NOT MET IS NOT AWARE OF ANYTHING THAT COULD BE USED TO COERCE APPLICANT OR THAT WOULD EMBARRASS THE U.S. GOVERNMENT. STATED APPLICANT DID NOT ACCEPT THE POSITION OF AMBASSADOR TO FURTHER HIS OWN AGENDA. APPLICANT IS ETHICAL, LIKES TO SEE RESULTS, AVOIDS BT

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PASS: FBIHQ, ATTEN:	PIN UNIT; LIAS, FLU I.
SUBJECT: RICHARD CHARLES ALBERT HOL	BROOKE; SPIN; DO: ÉBIHQ;
BUDED 7/13/94.	, , , , , , , , , , , , , , , , , , ,
TEXT CONTINUES:	ದಿ ದಿ7C
CONFLICTS OF INTEREST AND HAS DONE N	DTHING IMPROPER AS
AMBASSADOR. APPLICANT IS SOMETIMES	A BIT UNORTHODOX AND DOES
NOT AVOID CONTROVERSY, BUT	UNAWARE OF ANY
PROFESSIONAL COMPLAINTS OR DISCIPLIN	ARY ACTION TAKEN AGAINST
APPLICANT. REPORTED APPLICAN	IT WOULD PROBABLY NOT MAKE

PAGE TWO DE BON 0004 UNCLAS A GOOD ACCOUNTANT AND HIS BUOKKEEPING MIGHT BE A TAD SLOPPY, BU<u>T HE EMPLOY</u>S OTHER PEOPLE TO HANDLE SUCH MATTERS.

IS NOT AWARE OF APPLICANT HAVING EVER UNDERGONE ANY COUNSELING, BEEN DENIED EMPLOYMENT, BEEN ARRESTED OR CHARGED WITH A CRIMINAL OFFENSE, OR EVER BEING A PARTY TO A CIVIL SUIT. KNOWS OF NO BUSINESS OR CREDIT MATTERS THAT WOULD REFLECT UNFAVORABLY ON APPLICANT. DESCRIBED APPLICANT AS AN EFFECTIVE LEADER WHO GETS THINGS DONE, WHO WORKS TOWARD SPECIFIC OBJECTIVES, IS DEMANDING, NOT ALWAYS WELL ORGANIZED IN THE CLASSICAL SENSE BUT KEEPS A LOT OF PROJECTS GOING SIMULTANEOUSLY, ACCEPTS CRITICISM AND HAS A SENSE OF HUMOR. APPLICANT HAS A BROAD RANGE OF FRIENDS AND ASSOCIATES IN THE HIGHEST LEVELS OF GOVERNMENT, INVESTMENT, INDUSTRY, AND THE ART WORLD, WITH A FONDNESS FOR MODERN ART.

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AS AMBASSADOR, APPLICANT HAS HAD WIDE-RANGING CONTACTS IN GERMANY, BUT NOTHING OF WHICH IS AWARE THAT GO BEYOND THE SCOPE OF HIS DUTIES AS AMBASSADOR. IS UNAWARE OF ANY PRESCRIPTION DRUG OR ALCOHOL ABUSE OR ILLEGAL DRUG USE ON THE PART OF APPLICANT. DESCRIBED APPLICANT AS A VERY MODERATE DRINKER. APPLICANT HAS NO MEMBERSHIP IN ANY ORGANIZATION THAT RESTRICTS MEMBERSHIP ON THE BASIS OF SEX,

PAGE THREE DE BON 0004 UNCLAS RACE, RELIGION, OR NATIONAL ORIGIN OF WHICH IS AWARE. CHARACTERIZED APPLICANT AS COMPLETELY LOYAL TO THE Ъб U.S. GOVERNMENT. IS UNAWARE OF ANY INFORMATION THAT b7C b7D WOULD REFLECT UNFAVORABLY ON APPLICANT'S SUITABILITY FOR FEDERAL EMPLOYMENT OR ACCESS TO CLASSIFIED INFORMATION. WOULD RECOMMEND APPLICANT FOR A POSITION OF TRUST WITH THE U.S. GOVERNMENT. BT #0004 NNNN

Ĵ Cip. Dir. ADD Adm. ADD Inv. ust. Dir.ı 0052 Adm. Son: MRI 00694 51 Crim. Inv. tidont. PP RUCNFB talo: Mont. trap. 1 1 Intell DE BON #0001 1861502 Leb. Legal Coun. Tech. Sens. Training. ZNY EEEEE and Atte Off. Git. of ESO. Dif. Linkson & P 0515002 JUL 94 Oil. of Public Ast electrons Rate FM LEGAT BONN (1618-HQ-4612) (P) tor's Cillin TO DIRECTOR EBI/PRIORITY/ BT -UNCLAS E F T O SECTION ONE OF TWO SECTIONS CITE: //5300:BON526.186// Ъб b7C PASS: FBIHQ, ATTN: SPIN UNIT; LIAS, FLU I.

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE; SPIN; OO: FBIHQ; BUDED: 7/13/94'.

RE FBIHQ FAX OF 7/5/94.

**REQUEST OF THE BUREAU:** 

UACE, FOR REASONS SET OUT BELOW, BONN DOES NOT INTEND TO CONDUCT CRIMINAL AND SECURITY CHECKS CONCERNING APPLICANT.

DETAILS:

ON 7/1/94, LEGAT CONTACTED AMBASSADOR RICHARD C.

CA7455 CC DESTROYED

PAGE TWO DE BON 0001 UNCLAS E F T O HOLBROOKE AT HIS RESIDENCE. AMBASSADOR HOLBROOKE PROVIDED THE FOLLOWING INFORMATION.

HE HAS FULLY AND ACCURATELY COMPLETED THE SF-86 AND SF-86 SUPPLEMENT. THE LATTER FORM WAS SUBMITTED TO THE DEPARTMENT OF STATE BY DHL OVERNIGHT MAIL ON OR ABOUT 6/29/94.

HE HAS NEVER ENGAGED IN ANY ABUSE OF ALCOHOL OR DRUGS. HE HAS NO PERSONAL OR BUSINESS CREDIT PROBLEMS, HAS NEVER TAKEN OUT BANKRUPTCY AND HAS NO PROBLEM DEBTS. HE IS NOT THE OBJECT OF ANY CIVIL SUITS IN EITHER A PERSONAL OR OFFICIAL CAPACITY.

HE HAS NEVER HAD ANY CRIMINAL CHARGES FILED AGAINST HIM, NOR HAS HE BEEN ARRESTED OR CONVICTED OF A CRIME. HE HAS NEVER PARTICIPATED IN ANY CRIMINAL ACTIVITIES.

HE HAS NEVER BEEN DENIED EMPLOYMENT OR DISMISSED FROM A JOB.

AS AN AMBASSADOR, HE IS IN CONSTANT CONTACT WITH REPRESENTATIVES OF FOREIGN GOVERNMENTS. NONE OF THESE CONTACTS HAVE GONE BEYOND THE BOUNDARIES OF HIS RESPONSIBILITIES, NOR HAS HE MAINTAINED ANY PERSONAL OR INTIMATE CONTACTS WITH NATIONALS OF COUNTRIES WHO ARE OR MAY BE HOSTILE TO THE UNITED STATES. PAGE THREE DE BON 0001 UNCLAS E F T O

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HE HAS NEVER HAD ANY PROFESSIONAL COMPLAINTS FILED AGAINST HIM, BEEN THE OBJECT OF ANY DISCIPLINARY ACTION, OR BEEN NAMED IN ANY EEO COMPLAINT. IN FACT, HE BELIEVES HIS RECORD ON EEO MATTERS TO BE EXEMPLARY, EXTENDING BACK THROUGHOUT HIS PROFESSIONAL LIFE, AND WELL BEFORE THE TIME SUCH MATTERS RECEIVED THE ATTENTION THEY DO TODAY.

HE DOES NOT BELIEVE HE HAS ANY TYPE OF BUSINESS OR INVESTMENT CIRCUMSTANCES WHICH COULD INVOLVE A CONFLICT OF INTEREST WITH EMPLOYMENT BY THE U.S. GOVERNMENT. HIS INVESTMENT PORTFOLIO IS UNDER HIS CONTROL AND NOT IN A BLIND TRUST. HOWEVER, IT HAS BEEN REVIEWED BY THE LEGAL SECTION: OF THE DEPARTMENT OF STATE AND NONE OF HIS INVESTMENTS OR HIS CONTROL OF THEM HAVE BEEN FOUND TO REPRESENT A CONFLICT OF INTEREST. SHOULD THIS ASSESSMENT CHANGE BECAUSE OF HIS NEW POSITION, HE WILL TAKE IMMEDIATE CORRECTIVE ACTION.

HE HAS NEVER RECEIVED PSYCHOLOGICAL OR PSYCHIATRIC Counseling or Treatment, nor has he ever been counseled by a Mental Health or social Worker.

HE HAS NEVER BELONGED TO ANY GROUP OR ORGANIZATION THAT RESTRICTS MEMBERSHIP ON THE BASIS OF RACE, SEX, COLOR, PAGE FOUR DE BON 0001 UNCLAS E F T O RELIGION OR NATIONAL ORIGIN. HE NEVER WOULD CONSIDER JOINING AN ORGANIZATION WHICH HAS SUCH RESTRICTIONS.

HE IS NOT CONCEALING ANY ACTIVITIES OR CONDUCT WHICH COULD BE USED TO COMPROMISE HIM IN ANY WAY.

TO THE BEST OF HIS KNOWLEDGE HE HAS PAID ALL FEDERAL, STATE AND LOCAL TAXES OWED BY HIM. HE HAS NOT MADE OR NEEDED TO MAKE ANY BACK PAYMENTS, OTHER THAN THOSE FOR WHICH HE HAS FILED REQUESTS FOR EXTENSION OF INCOME TAX PAYMENTS AS AUTHORIZED FOR PERSONS RESIDING ABROAD. HE DOES NOT NOW HAVE, NOR HAS HE EVER HAD, ANY RESPONSIBILITY FOR FILING BACK MEDICARE, SOCIAL SECURITY OR UNEMPLOYMENT TAXES.

IN CONCLUSION, THERE ARE NO CIRCUMSTANCES KNOWN TO HIM WHICH WOULD HAVE A BEARING UPON HIS SUITABILITY TO BE APPOINTED TO A POSITION OF TRUST IN THE GOVERNMENT, NOR HAS THERE BEEN ANY SIGNIFICANT CHANGE IN HIS STATUS SINCE FILING ALL THE NECESSARY BACKGROUND FORMS AT THE TIME OF HIS SENATE CONFIRMATION HEARINGS TO BECOME AMBASSADOR TO BONN.

ON 7/1/94, LEGAT CONTACTED WHEN SHE WAS EXPLAINED THE PROVISIONS OF THE PRIVACY ACT, SHE DID NOT REQUEST CONFIDENTIALITY. SHE ADVISED THAT SHE HAS KNOWN AMBASSADOR HOLBROOKE SINCE SHE COMMENCED WORK FOR HIM AS b6 b7C PAGE FIVE DE BON 0001 UNCLAS E F T O.

SINCE THAT TIME, SHE HAS WORKED TOGETHER WITH HIM VERY INTENSELY, AND BELIEVES SHE KNOWS HIM WELL ENOUGH TO COMMENT KNOWLEDGEABLY ABOUT THE FOLLOWING ISSUES.

TO THE BEST OF HER KNOWLEDGE, HE HAS FULLY AND ACCURATELY COMPLETED THE SF-86 AND THE SF-86 SUPPLEMENT. THE LATTER FORM WAS SUBMITTED BY HER TO THE DEPARTMENT OF STATE BY DHL OVERNIGHT MAIL ON OR ABOUT 6/29/94.

SHE HAS NEVER SEEN HIM OR SUSPECTED HIM OF ENGAGING IN ANY ABUSE OF ALCOHOL OR DRUGS. HE HAS NO PERSONAL OR BUSINESS CREDIT PROBLEMS, HE HAS NEVER TAKEN OUT BANKRUPTCY AND HAS NO PROBLEM DEBTS. HE IS NOT THE OBJECT OF ANY CIVIL SUITS IN EITHER A PERSONAL OR OFFICIAL CAPACITY.

TO HER KNOWLEDGE, HE HAS NEVER HAD ANY CRIMINAL CHARGES FILED AGAINST HIM, NOR HAS HE BEEN ARRESTED OR CONVICTED OF A CRIME. HE HAS NEVER PARTICIPATED IN ANY CRIMINAL ACTIVITIES.

HE HAS NEVER MENTIONED TO HER THAT HE HAD BEEN DENIED EMPLOYMENT OR DISMISSED FROM A JOB.

AS AN AMBASSADOR, HE IS IN CONSTANT CONTACT WITH REPRESENTATIVES OF FOREIGN GOVERNMENTS. TO THE BEST OF HER ь6 b7С PAGE SIX DE BON 0001 UNCLAS E F T O KNOWLEDGE, NONE OF THESE CONTACTS HAVE GONE BEYOND THE BOUNDARIES OF HIS RESPONSIBILITIES, NOR HAS HE MAINTAINED ANY PERSONAL OR INTIMATE CONTACTS WITH NATIONALS OF COUNTRIES WHO ARE OR MAY BE HOSTILE TO THE UNITED STATES.

TO THE BEST OF HER KNOWLEDGE, HE HAS NEVER HAD ANY PROFESSIONAL COMPLAINTS FILED AGAINST HIM, BEEN THE OBJECT OF ANY DISCIPLINARY ACTION, OR BEEN NAMED IN ANY EEO COMPLAINT. SHE HAS OBSERVED NO BEHAVIOR ON HIS PART WHICH WOULD CAUSE HER TO BELIEVE ANY COMPLAINT, DISCIPLINARY ACTION, OR EEO MATTER WOULD BE JUSTIFIED.

SHE DOES NOT BELIEVE HE HAS ANY TYPE OF BUSINESS OR INVESTMENT CIRCUMSTANCES WHICH COULD INVOLVE A CONFLICT OF INTEREST WITH EMPLOYMENT BY THE U.S. GOVERNMENT. HIS INVESTMENT PORTFOLIO HAS BEEN REVIEWED BY THE LEGAL SECTION OF THE DEPARTMENT OF STATE AND NONE OF HIS INVESTMENTS OR HIS CONTROL OF THEM HAVE BEEN FOUND TO REPRESENT A CONFLICT OF INTEREST.

TO THE BEST OF HER KNOWLEDGE, HE HAS NEVER RECEIVED BT

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P 051500Z JUL 94

FM LEGAT BONN (1618-HQ-4612) (P)

TO DIRECTOR FBI/PRIORITY/

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UNCLAS E F T D

SECTION TWO OF TWO SECTIONS

CITE: //5300:BON526.186//

PASS: FBIHQ, ATTN:

SPIN UNIT; LIAS, FLU I.

b6 b7C

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE; SPIN; OO: FBIHQ; BUDED: 7/13/94.

TEXT CONTINUES:

PSYCHOLOGICAL OR PSYCHIATRIC COUNSELING OR TREATMENT, NOR HAS HE EVER BEEN COUNSELED BY A MENTAL HEALTH OR SOCIAL WORKER, NOR HAS SHE OBSERVED ANY BEHAVIOR SUGGESTING SUCH COUNSELING OR TREATMENT WOULD BE NECESSARY.

TO THE BEST OF HER KNOWLEDGE, HE DOES NOT NOW, NOR HAS HE

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PAGE TWO DE BON 0002 UNCLAS E F T O EVER BELONGED TO ANY GROUP OR ORGANIZATION THAT RESTRICTS MEMBERSHIP ON THE BASIS OF RACE, SEX, COLOR, RELIGION OR NATIONAL ORIGIN.

SHE DOES NOT BELIEVE THAT HE IS OR MIGHT BE CONCEALING ANY ACTIVITIES OR CONDUCT WHICH COULD BE USED TO COMPROMISE HIM. IN ANY WAY.

TO THE BEST OF HER KNOWLEDGE, HE HAS PAID ALL FEDERAL, STATE AND LOCAL TAXES OWED BY HIM. HE HAS NOT MADE OR NEEDED TO MAKE ANY BACK PAYMENTS FOR BACK MEDICARE, SOCIAL SECURITY OR UNEMPLOYMENT TAXES.

SHE NOTED THAT AMBASSADOR HOLBROOKE HAD BEEN PARTICULARLY EFFECTIVE IN SAVING MONEY IN EMBASSY OPERATIONS THROUGH DOWNSIZING AND BY CLAIMING ACTUAL EXPENSES FOR TRAVEL RATHER THAN THE FULL PER DIEM RATES.

IN CONCLUSION, THERE ARE NO CIRCUMSTANCES KNOWN TO HER WHICH WOULD HAVE AN ADVERSE BEARING UPON HIS SUITABILITY TO BE APPOINTED TO A POSITION OF TRUST IN THE GOVERNMENT, AND SHE CONSIDERS HIM HIGHLY-QUALIFIED AND RECOMMENDS HIM FOR A POSITION OF TRUST AND SENIOR MANAGEMENT WITH THE GOVERNMENT OF THE UNITED STATES.

BONN NOTES THAT APPLICANT IS THE AMBASSADOR OF THE UNITED

PAGE THREE DE BON 0002 UNCLAS E F T O

STATES IN GERMANY. AS SUCH, HE IS CONSTANTLY PROTECTED BY GERMAN POLICE WHEN OUTSIDE HIS RESIDENCE. UNDER THESE CIRCUMSTANCES, IT IS NEARLY IMPOSSIBLE FOR HIM TO HAVE ENGAGED IN CRIMINAL ACTIVITY OR ACTIVITIES OF A QUESTIONABLE SECURITY NATURE WITHOUT IT HAVING BEEN DETECTED AND REPORTED AT THE TIME. IN ADDITION, BONN NOTES THAT CRIMINAL AND SECURITY CHECKS NORMALLY TAKE FROM 45 TO 90 DAYS. GIVEN THE CIRCUMSTANCES, UACB, BONN DDES NOT INTEND TO SUBMIT REQUESTS FOR CRIMINAL AND SECURITY CHECKS WITH THE LOCAL LIAISON SERVICES.

RESULTS OF ADDITIONAL INTERVIEWS TO FOLLOW AS COMPLETED.

BT

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	FBI FACSIMILE COVERSHEET
	CLASSIFICATION
	PRECEDENCE       Immediate       Top Secret       Time Transmitted:         Immediate       Secret       Sender's Initials:         Priority       Confidential       Number of Pages:         Routine       Unclassified
	To: FBI NY (Name of Office) Date: <u>7-5-94</u>
\$	Facsimile number: Attn: <u>Ibl Supervisor</u> (Name Room Telephone No.) From: <u>SFIN Unit-FBIHQ</u> (Name of Office)
	Subject: <u>Richard Charles Albert Holbrooke</u>
	SPIN Buded: 7-13-94 b7c
	Special Handling Instructions: EXPEDITE! Please hand corry
	to 161 Supervisor.
	Originator's Name Telephone:
	Originator's Facsimile Number:
	Approved: JAB GOLL FBI/DOJ

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#### ROUTING SLIP

July 5, 1994

TO: ADIC, New York (Enc.)

FROM: Director, FBI (161B - HQ - 4612)

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE SPIN; OO: FBIHQ BUDED: 7/13/94

Enclosed for New York is a copy of part of a computerized credit bureau check conducted on appointee.

Reference Bureau fax to New York et al dated 7/1/94.

During the 1993 Department of State (DOS) background investigation of appointee, records of TRW disclosed a tax lien in Sacramento, California, and a judgment in New York City. DOS interviewed appointee regarding both these matters, and his accountant advised that both matters had been resolved. DOS did directly confirm through records located in Sacramento, California, that the tax lien had been lifted; however, DOS never checked any records in New York City regarding the judgment.

Direct results/questions to PSS SPIN b6 Unit, FBIHQ, Room 4371, Ext. to be received by no later b7C than COB Buded.

#### LEADS:

#### NEW YORK DIVISION:

Check for pertinent information concerning appointee at A) New York County Records, 6 Centre Street, New York, New York (sourced as Z 4847010 on the credit bureau print-out) and B) Manhattan Civil Court, 111 Century St., New York, New York, telephone (718) 553-7071 (sourced as 1011035 on the credit bureau print-out). Set forth pertinent information concerning when the matter was filed, the identities of the plaintiff and defendant, when and how it was resolved, and any other pertinent information.

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(Nafhe of C Facsimile number:	pervisor (WMFO- Room Telephone b6 it - FBIHQ	
SPIN Buded Special Handling Instruc	Charles Albert Holbrooke 7-13-94 tions: EXPEDITE! Please hand carry	
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	FBI/DOJ	

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SUPPLEMENT TO STANDARD FORM 86 (SF-86) (Attach additional pages if necessary)

Please list names of all corporations, firms, partnerships or other business enterprises, and all nonprofit organizations and other institutions with which you are now, or during the past five years have been, affiliated as an officer, owner, director, trustee, partner, advisor, attorney or 15. consultant. In addition, please provide the names of any other organizations with which you were affliated prior to the past five years that might present a potential conflict or appearance of conflict of interest with your prospective appointment. (Please note that in the case of an attorney's client listing, it is only necessary to provide the names of major clients and those that might present a potential conflict or appearance of conflict of interest with the prospective appointment). I was a Managing Director of Shearson Lehman Brothers from 1985-1993. Other than that, no other such affiliations. Please list all your interests in real property, other than a personal residence, setting forth the nature of your interest, the type of property and the address. I OWN TESIGENCES in: 26. --Washington, D.C. - 1215 29th Street (for sale) --Telluride, Colorado - Condominium (rented) --New Milford, Connecticut - country house (rented) Have you or any firm, company or other entity with which you have been associated ever been 35. convicted of a violation of any Federal, state, county or municipal law, regulation or ordinance? If so, please provide full details. Not to my knowledge. Have you or any firm, company or other entity with which you have been associated ever been the subject of Federal, state or local investigation for possible violation of a criminal statute? If 45. so, please give full details. Not to my knowledge. Have you even been involved in civil or criminal litigation, or in edministrative or legislative 55. proceedings of any kind, either as a plaintiff, defandant, respondent, witness or party in interest? If so, please give full details identifying datas, issues litigated and the location where the civil action is recorded. No. \$

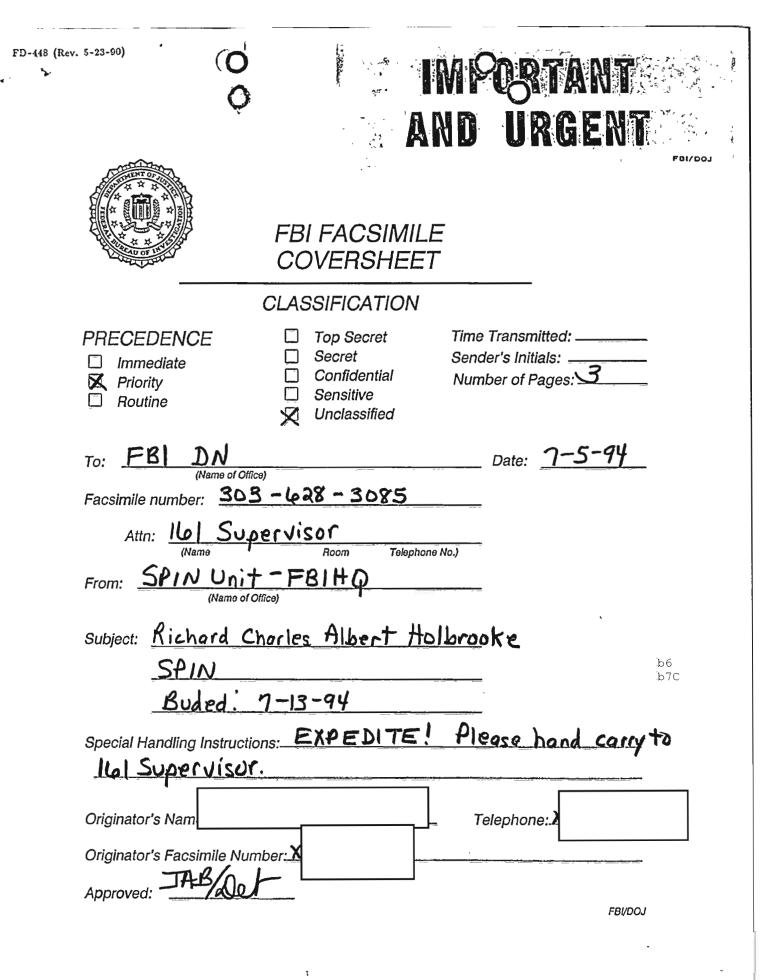
Have you ever the disciplined or cited for a breach of ethics or unprofessional conduct by, or 65. been the subject of a complaint to any court, administrative agency, professional association, disciplinary committee, or other professional group? If so, please give full details. No. 7S. Have you ever run for political office, served on a political committee or been identified in a public way with a particular organization, candidate or issue? Have any complaints been lodged against you or your political committee with the Federal Election Commission or state or local election authorities? If so, please describe, No to all of the above, except: I was a member of the Board of Directors of a Political Action Committee called "Democrats for the '80s" for one year (1991). I never attended a meeting of the PAC. Are you currently, or have you ever been, a member or office holder in any club or organization 8s. that restricts or restricted membership on the basis of sex, race, color, religion, national origin, age or handicap? If so, provide the name, address and dates of membership for each. No. 95. Please identify any adults (18 years or older) currently living with you who are not members of your immediate family. Provide the names of those individuals, dates and places of birth, and whether or not they are United States citizens. None. 105. Is there anything in your personal life that could be used by someone to compare or blackmail your Is there anything in your life that could cause an embarrassment to you or to the President if publicly known? If so, please provide full details. No. 2 I understand that the information being provided on this supplement to the SF-86 is to be considered part of the original SF-86 dated 6/24/94and a faise statement on this form is punishable by law. See attached signed original Signature

SUPPIOMENT TO STANDARD FORM 86 F-86) (Attach additional pages if necessary)

Please list names of all corporations, firms, partnerships or other business enterprises, and all nonprofit organizations and other institutions with which you are now, or during the past five 15. years have been, affiliated as an officer, owner, director, trustee, partner, advisor, attorney or consultant. In addition, please provide the names of any other organizations with which you were affiliated prior to the past five years that might preacht a potential conflict or appearance of conflict of interest with your prospective appointment. (Please note that in the case of an attorney's client listing, it is only necessary to provide the names of major clients and those that might present a potential conflict or appearance of conflict of interest with the prospective appointment). I WAS A MANAGINE DIRBETOR OF SHEARSON LEHMAN BROTHERS FROM 1985 FU 1993. OTHER THAN THAT, NOI OTHER SUCH AFFILIATIONS. 26. Please list all your interests in real property, other than a personal residence, setting forth the nature of your interest, the type of property and the address. I OWN RESIDENCES IN: D WASHINGTON, DC. _ 121529th Street (FORSALE) D TELLURISE, COLO. - CONDOMINIUM (RENTED) B) NEW HILFORD, CONN. - COUNTRY HOUSE (RENTED) 3s. Have you or any firm, company or other entity with which you have been associated ever been convicted of a violation of any Federal, state, county or municipal law, regulation or ordinance? If so, please provide full details. NOT TO MY KNOWLEDGE. Have you or any find, company or other entity with which you have been associated ever been the 45. subject of Federal, state or local investigation for possible violation of a criminal statute? If so, please give full details. NOT JO MY KNOWLEDGE. 56. Have you ever been involved in civil or criminal litigation, or in administrative or legislative proceedings of any kind, either as a plaintiff, defendant, respondent, witness or party in interest? If so, please give full details identifying dates, issues litigated and the location where the civil action is recorded.

Have you ever been disciplined or cited for a breach of ethics or unpressional conduct by, or been the subject of complaint to any court, administrative agency, the sional association, disciplinary commile, or other professional group? If so, please give full details. 63. 78. have you ever run for political office, served on a political committee or been identified in a public way with a particular organization, candidate or issue? Have any complaints been lodged against you or your political committee with the Federal Election Commission or state or local election authorities? If so, please describe. NO TO ALL OF THE ABOUE, EXCEPT: I WAS A MEMBER OF THE BOARD OF DIRECTORS OF A POLITICAL RETION COMMITTEE CALLED "DEMOCRATS FOR THE 1805 " FOR ONE YOAR (1941). I NEVER ATTENDED A REETING OF MILL PAC. 8s. Are you currently, or have you ever been, a member or office holder in any club or organization that restricts or restricted membership on the basis of sex, race, color, religion, national origin, age or handicap? If so, provide the name, address and dates of membership for each. Please identify any adults (18 years or older) currently living with you who are not members of 98. your immediate family. Provide the names of those individuals, dates and places of birth, and whether or not they are United States citizens. NONE. Is there enothing in your personal life that could be used by someone to coerce or blackmail you? Is there enothing in your life that could cause an embarrassment to you or to the President if publicly known? If so, please provide full details. 10S. I understand that the information being provided on this supplement to the \$F-86 is to be considered part of the original SF-86 dated  $_6/24/94$ _ and a false statement on this . form is punishable by law. Sceneture

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#### ROUTING SLIP

July 5, 1994

TO: SAC, Denver (Enc.)

FROM: Director, FBI (161B - HQ - 4612)

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE SPIN; OO: FBIHQ BUDED: 7/13/94

Enclosed for Denver is a copy of appointee's release form.

Reference Bureau fax to New York et al dated 7/1/94 (no copy to Denver).

For information of Denver, Bureau has been requested by the White House to conduct a Level II background investigation of appointee in connection with an unspecified Presidential appointment which requires Senate confirmation. (The White House has not indicated to the FBI the position for which appointee is being considered; however, per newspaper articles, he will be Assistant Secretary of State for European and Canadian Affairs.)

Appointee was born 4/24/41 at New York, New York, is currently employed as U.S. Ambassador to Germany, and has SSAN 132-32-3096.

Direct results/question	s to PS	s		SPIN
Unit, FBIHQ, Room 4371, Ext.	TO BE	KUCELVED	DI NU	LATER
THAN COB BUDED.				

LEADS:

#### DENVER DIVISION:

Appointee indicated he owns a condominium property (not further identified) in Telluride, Colorado. Denver should conduct appropriate indices, arrest, and U.S. Attorney's Office checks on appointee. Ъ6 Ъ7С

Form approved:
O.M.B. No. 3206-0007
NSN 7540-00-634-4036
86-110

## UNITED STATES OF AMERICA

ard Form 86

FPM Chapter 732

avised December 1990

**U.S.Office of Personnel Management** 

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#### AUTHORIZATION FOR RELEASE OF INFORMATION

Carefully read this authorization to release information about you, then sign and date it in ink.

I Authorize any investigator, special agent, or other duly accredited representative of the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, and any authorized Federal agency, to obtain any information relating to my activities from schools, residential management agents, employers, criminal justice agencies, retail business establishments, or other sources of information. This information may include, but is not limited to, my academic, residential, achievement, performance, attendance, disciplinary, employment history, and criminal history record information.

I Understand that, for financial or lending institutions, medical institutions, hospitals, health care professionals, and other sources of information, a separate specific release will or may be needed, and I may be contacted for such a release at a later date.

I Further Authorize the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, and any other authorized agency, to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for, assignment to, or retention in, a sensitive position, in accordance with 5 U.S.C. 9101.

I Authorize custodians of records and sources of information pertaining to me to release such information upon request of the investigator, special agent, or other duly accredited representative of any Federal agency authorized above regardless of any previous agreement to the contrary.

I Understand that the information released by records custodians and sources of information is for official use by the Federal Government only for the purposes provided in this Standard Form 86, and may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for two (2) years from the date signed.

Signature (Sign in Ink)	Full Name (Type or Print L Richard C. Hol	•	Date Signed
Current Address (Street, City) U.S. Embassy Bonn Germ	any APO AE 09080	State ZIP Code	Social Security Number           11 31 2         -         31 2         -         31 01 91 6           Home Telephone Number (Include Area Code) 492283391
Page 10			
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(Rev. 5-23-90)		600	-
	FBI FAÇSIMIL COVERSHEE		• , ** * . *
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MENT TO STANDARD F SU (SF-86) (Attach additional pages if necessary) 1S. Please list names of all corporations, firms, partnerships or other business enterprises, and all nonprofit organizations and other institutions with which you are now, or during the past five years have been, affiliated as an officer, owner, director, trustee, partner, advisor, attorney or consultant. In addition, please provide the names of any other organizations with which you were affiliated prior to the past five years that might present a potential conflict or appearance of conflict of interest with your prospective appointment. (Please note that in the case of an attorney's client listing, it is only necessary to provide the names of major clients and those that might present a potential conflict or appearance of conflict of interest with the prospective appointment). 2S. Please list all your interests in real property, other than a personal residence, setting forth the nature of your interest, the type of property and the address. 3S. Have you or any firm, company or other entity with which you have been associated ever been convicted of a violation of any Federal, state, county or municipal law, regulation or ordinance? If so, please provide full details. 4S. Have you or any firm, company or other entity with which you have been associated ever been the subject of Federal, state or local investigation for possible violation of a criminal statute? If so, please give full details. 5S. Have you ever been involved in civil or criminal litigation, or in administrative or legislative proceedings of any kind, either as a plaintiff, defendant, respondent, witness or party in interest? If so, please give full details identifying dates, issues litigated and the location where the civil action is recorded. 11

- 6S> Have you ever been disciplined or cited for a breach of ethics or unprofessional conduct by, or been the subject of a complaint to any court, administrative agency, professional association, disciplinary committee, or other professional group? If so, please give full details. 7S. Have you ever run for political office, served on a political committee or been identified in a public way with a particular organization, candidate or issue? Have any complaints been lodged against you or your political committee with the Federal Election Commission or state or local election authorities? If so, please describe. 8S. Are you currently, or have you ever been, a member or office holder in any club or organization that restricts or restricted membership on the basis of sex, race, color, religion, national origin, age or handicap? If so, provide the name, address and dates of membership for each. 95. Please identify any adults (18 years or older) currently living with you who are not members of your immediate family. Provide the names of those individuals, dates and places of birth, and whether or not they are United States citizens. 10S. Is there anything in your personal life that could be used by someone to coerce or blackmail you? Is there anything in your life that could cause an embarrassment to you or to the President if publicly known? If so, please provide full details. 1. 2. • . I understand that the information being provided on this supplement to the SF-86 is to be considered part of the original SF-86 dated ____ and a false statement on this form is punishable by law. Signature

FD-448 (Rev. 5-23-90)	S JMPORTANT O AND URGENT	
	FBI FACSIMILE COVERSHEET	
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**O** FAX

7/1/94

FROM:

TO:

Director, FBI (161B - HQ - 4612)

ADICs, New York (Enc.) WMFO (Enc.) SAC, New Haven (Enc.) Legat Bonn (Enc.)

RICHARD CHARLES ALBERT HOLBROOKE SPIN; OO: FBIHQ BUDED: 7/13/94

Enclosed for New York, WMFO, and Legat Bonn is a copy of Holbrooke's SF-86 (including release of information form) dated 6/24/94. Enclosed for New Haven is a copy of release of information form only dated 6/24/94.

Bureau has been requested by the White House to conduct a Level II background investigation (BI) of appointee in connection with an unspecified Presidential appointment which requires Senate confirmation. (The White House has not indicated to the FBI what position appointee will be nominated for; however, per <u>The Washington Post</u> this date, he will be Assistant Secretary of State for Europe.) Appointee was born 4/24/41 at New York, New York; is currently employed as U.S. Ambassador to Germany; resides at the Ambassador's residence in Bonn, Germany; and has SSAN 132-32-3096.

Previous 161 BIs were conducted in 1966 and 1977 (NY 161-2129; WF 161-3820). Department of State (DOS) BIs were conducted in 1962, 1976, and 7/93. <u>Update from 7/93, unless</u> <u>indicated otherwise in this Fax or on appointee's SF-86.</u>

Field Offices are reminded that the investigative status of a BI, all deadlines and the position for which the appointee is being considered shall not be disclosed to any interviewees. If during the course of the investigation, interviewees provide the nature of the position, that information is not to be further divulged outside the FBI. Inquiries by interviewees concerning the nature of the position are to be handled as set forth in MIOG, Part II, Section 17-5 (5). Appointees making inquiries regarding the status of their BI are to be referred to the client agency.

Direct results/questions to	
	D will not be met,
telephonically advise PSS and so	set forth reason(s) in
Administrative section of investigativ	ve report. SPIN Unit
facsimile numbers are:	nd

Fax to ADICs, Ne York, et al dated 7/1/94 Re: Richard Charles Holbrooke

Advise FBIHQ (PSS_____ and appropriate field offices of any derogatory information in accordance with MIOG, Part II, Section 17-5.1(1).

#### LEADS:

#### EACH RECEIVING OFFICE:

In addition to investigation to be conducted in those areas marked for coverage in appointee's SF-86, receiving offices are to conduct specific investigation set forth below.

#### LEGAT BONN:

1. Interview appointee in accordance with MIOG, Part II, Section 17-5.6. If appointee has a copy of the "Supplement to SF-86," obtain a copy of it and immediately fax a copy to the SPIN Unit at the phone number indicated above.

2. Insure that at least 3 - 4 persons knowledgeable concerning appointee are interviewed.

#### NEW HAVEN DIVISION:

During appointee's 7/93 DOS BI, it was determined that he maintains a residence at 48 Church Hill Road, New Milford, Connecticut. Conduct appropriate indices, arrest, and U.S. Attorney's Office checks on appointee to cover this address.

#### NEW YORK DIVISION:

1. Check U.S. Attorney's Office on appointee.

2. For information of New York when verifying item 13 on appointee's SF-86, the following persons were contacted by OPM during OPM's 7/93 BI of appointee:

a) Council on Foreign Relations: 58 East 68th Street, telephone 734-0400	.b7C
b) Citizens Committee for New York City:	
305 Seventh Avenue, telephone 989-0909	
386 Park Avenue South, telephone 679-0010	

Ъб Ъ7С Fax to ADIC, New York, et al dated 7/1/94 Re: Richard Charles Albert Holbrooke

WMFO DIVISION:

1. Check White House and United States Secret Service.

2. Check PIS/DOJ.

3. Review OPF and verify all periods of Federal employment during the past 15 years.

4. Check IG and SY at Department of State.

4. Check Securities and Exchange Commission for any unfavorable information regarding appointee and Lehman Brothers (aka Shearson Lehman Brothers).

5. Insure that at least 7 persons knowledgeable concerning appointee are interviewed.

Ъб b7C 1115: ß won't be interviewed as close to Buded, also, appointee ded not indicate her current whereaboute, they initially separated almost 15 there were no children + no alemony

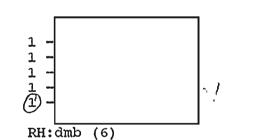
7/1/94

Director Freeh:

#### RE: RICHARD HOLBROOKE

Reference my note to you dated 6/28/94.

On 6/30/94, the FBIs Special Inquiry Unit received the request from the White House to initiate the background investigation on Mr. Holbrooke. The White House specifically advised that no special priority needed to be assigned to this case; however, based on your interest, I have prioritized the case at the highest level with a due date to the White House of 7/15/94. If the White House were to prioritize the case, this would be the fastest turnaround they would request. Contact was initiated with Legat, Bonn telephonically on 7/1/94 and he is being provided all the information he needs this date to ensure timely completion of this aspect of the case. He has also been advised of your interest as well as the priority assigned the investigation. The Special Inquiry Unit has obtained a copy of the most recent State Department background conducted on Mr. Holbrooke, and other leads are being set today. The majority of the investigation will be located in Washington, D.C.



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b6 b7C

DECLASSIFICATION AUTHORITY DERIVED FROM. Authority DERIVED FBI AUTOMATIC DECLASSIFICATION GUIDE DATE 09-21-2011 Date Received: 07/13/94 **Requester:** FBI Section: н Ш Subject: HOLBROOKE, RICHARD CHARLES ALBERT; DPOB: 04/24/41, NY,NY; **Disposition:** b3 Per CIA 6 7/14/94 Analyst: Date Sent: Per OGA letter dated 5/25/2011

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BUREAU DEADLINE: 07/05/94	BY COCOR b6 RETURN TO ROOM 4371 TL 114 b7C
DATE: 07/01/94	
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ROM: DIRECTOR, FEDERAL BUREAU OF INVESTI	GATION
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Per OGA letter dated 5/25/2011

SPECIAL INQUIRY

BUREAU DEADLINE: 07/05/94

DATE: 07/01/94

	b7C
DETURN TO POOM 4371 TL	114

b6

TO: DIRECTOR, CENTRAL INTELLIGENCE AGENCY 1 ATTENTION: DEPUTY DIRECTOR FOR OPERATIONS (1) ATTENTION: DIRECTOR OF SECURITY

FROM: DIRECTOR, FEDERAL BUREAU OF INVESTIGATION

SUBJECT: TRUDI HOLBROOKE KEARL AKA: TRUDI HOLBROOKE NEE! TRUDI MOOS

NAME CHECK REQUEST

NEE:

IT IS REQUESTED THIS BUREAU BE FURNISHED ALL INFORMATION AVAILABLE IN THE FILES OF YOUR DIVISION, CONCERNING CAPTIONED SUBJECT. POSITIVE INFORMATION SHOULD BE ATTACHED TO A COPY OF THIS FORM CLASSIFIED WHERE APPROPRIATE AND RETURNED TO THIS BUREAU. IF THE REQUESTED CHECK IS NEGATIVE, A STAMPED NOTATION TO THIS EFFECT AND RETURN OF A COPY OF THIS FORM IS REQUESTED.

DATE/PLACE OF BIRTH SSN SEX MARITAL STATUS SPOUSE NAME

GE

09/15/20

RESIDENCE ADDRESS

344 SPRAIN RD SCARSDALE, NY

CURRENT EMPLOYER

FORMER EMPLOYMENTS

NOT AVAILABLE

OCCUPATION

1 - DEPUTY DIRECTOR FOR OPERATIONS 1 - DIRECTOR OF SECURITY SPIN: RICHARD CHARLES ALBERT HOLBROOKE

b3 Per CIA

Per OGA letter dated 5/25/2011



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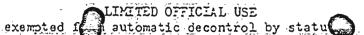
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Per OGA letter dated 5/25/2011

# SPECIAL INQUIRY

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	(Special Agent in Charge)		DATE RECEIV	/ED
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TITLE			CASE CLASSIFICATION
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FIELD OFFICE	DATE REPORTED	DATES INVESTIGATED	REPORTING AGENT
Washington -	07/09/93	07/08/93	J.A.Becht
SYNOPSIS	REC	ORD CHECKS	1
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and Buenos A	ires, Argentina.		
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HOLBROO Richard Charles

DIS

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The questioning developed no criminal conduct, nor any mental problems or treatment and the responses raised no questions of judgment or reliability.

Attachment: DIS Investigations

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TITLE			CASE CLASSIFICATION	4
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#### LIMITED OFFICIAL USE

exempted from automatic decontrol by statute

HOLBROOKE, Richard Charles Albert

REFERENCE: Headquarters Memorandum dated June 24, 1993.

DETAILS:

#### PERSONAL HISTORY

Born April 24, 1941 at New York, as recorded in valid United States Passport. Divorced twice, two children, reportedly in good health.

#### **EMPLOYMENT**

March 1981 to April 1985: Public Strategies (no longer in existence), 2550 M Street, N.W., Washington, D.C. 20030

APPOINTEE related that he had been Vice President of Public Strategies, a consulting firm established by himself and James A. Johnson; their chief client had been Lehman Brothers of New York City, which purchased Public Strategies in April 1985 at which time both APPOINTEE and Johnson became employees of Lehman Brothers.

The following sources were interviewed with favorable results:

On 06/30/93, James A. Johnson, Chief Executive Officer and Chairman of the Board, Federal National Mortgage Association, 3900 Wisconsin Avenue, N.W., Washington, D.C. 20016, stated he was APPOINTEE's partner as President of Public Strategies during this employment, and thereafter his colleague at Lehman Brothers to 01/90. Source had been his student at Princeton 1969 to 1970, his colleague 1977 to 1981 while APPOINTEE was with the Department and Source with the White House. Source described APPOINTEE as a person of outstanding competence and character, and endorsed him completely for the position for which he is being considered.

On 06/30/93, Cherry L. Allen, Assistant to the Chairman of the Board, Federal National Mortgage Association, who had been APPOINTEE's colleague 06/81 to 04/85 at Public Strategies, and has known him also in a social capacity for the past twelve years, expressed the highest regard for his integrity and conduct while unhesitatingly recommending him for the position for which he is under consideration.

#### March 1977 to January 1981: Department of State

On 06/28/93, APPOINTEE's personnel record card, maintained in lieu of the Official Personnel File, reflected an Excepted Appointment on 03/31/77 as an Assistant Secretary, EX-04, and resignation on 01/20/81 due to change in the administration.

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#### EIMITED OFFICIAL USE exempted from automatic decontrol by statute O HOLBROOKE, Richard Charles Albert

The following sources were interviewed with favorable results:

On 06/30/93, Richard M. Moose, Under Secretary for Management (Designate), Room 6311 NS, APPOINTEE's colleague during this employment, and who has known him professionally and socially since 1966, described APPOINTEE as temperate in his personal habits and circumspect in his associations, and Source without reservation recommended him for the position of trust and confidence for which he is to be nominated.

On 07/01/93, Paul M. Cleveland, Ambassador, Retired, Room 7527'NS, related that he had been APPOINTEE's colleague throughout this employment, has known him professionally for the past sixteen years, has found him to be a model citizen, exemplary in his character, stable, with wide-ranging capabilites of service to the country, and  $\mu$  recommended him for the position for which he is being considered.

#### DEVELOPED SOURCES

The following are summaries of interviews with sources who are acquainted with APPOINTEE professionally or socially, or a combination of both.

On 06/29/93, Morton I. Abramowitz, President, Carnegie Endowment for International Peace, 2400 N Street, N.W., Washington, D.C. 20037, stated he has known APPOINTEE since 1969 in a professional capacity and since then has also had social interaction with him, has observed him in many situations and has found him an outstanding individual in regard to character and integrity. Source gave APPOINTEE his highest recommendation for a position of trust and confidence with the United States government.

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On 06/30/93, Peter Tarnoff, Under Secretary for Political Affairs, Room 7240 NS, advised that he had been APPOINTEE's colleague 1977 to 1981, has known him professionally and socially since 1964, and their families have vacationed together over the past half-dozen years. Source had no doubts concerning APPOINTEE's honesty, moral character, or loyalty, and gave his wholehearted endorsement for APPOINTEE's gelection for the position under consideration.

On 06/30/93, Linda J. Harsh, Assistant Director, Washington Program, Council on Foreign Relations, Seventh floor, 2400 N Street, N.W., Washington, D.C. 20037, reported she has known APPOINTEE in a professional capacity since 1975 through his involvement with the Council on Foreign Relations. Source considers APPOINTEE a

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## LIMITED OFFICIAL USE exempted from automatic decontrol by statute HOLBROOKE, Richard Charles Albert

person of the highest calibre regarding reputation, character, and moral uprightness, and Source willingly recommended him for the position for which he is being considered.

On 06/28/93, Priscilla A. Clapp, Senior Deputy Assistant Secretary, RP/RA, Room 5824 NS, stated she was APPOINTEE's colleague 1977 to 1981 with the Department and had previously interacted with him through the Carnegie Endowment for International Peace from the early 1970s, and has known him in a social capacity for the past twenty years. In Source's opinion, APPOINTEE is a brilliant individual whose character and reputation are without blemish, and Source highly recommended him for a position of  $\chi$  trust and confidence with the U.S. government.

On 06/28/93, Kenneth M. Quinn, Deputy Assistant Secretary, EAP, Room 6205 NS, who was APPOINTEE's colleague from 1977 to 1981 and has known him both professionally and socially for the past sixteen years, expressed a high regard for APPOINTEE's integrity, conduct and patriotism, and recommended him for the position 9 for which he is being considered.

On 07/01/93, Frank G. Wisner, Under Secretary of Defense for Policy (Designate), The Pentagon, Arlington, VA 22211, advised that he has known APPOINTEE in a professional and social capacity since 06/65 when they served together with the Department in Saigon. Source affirmed that APPOINTEE is a person of impeccable habits and conduct, a tireless worker and a strong salesperson for the United States, and Source endorsed him for the position for which he is expected to be nominated.

On 06/30/93, Susan B. Levine, Deputy Assistant Secretary (Designate), U.S. Treasury Department, 15th Street and Pennsylvania Avenue, N.W., Room 3222, Washington, D.C. 20500, stated she has known APPOINTEE since 1984 when Source became a coworker at Lehman Brothers in New York City, and they have known each other socially as well during this time. Source has never suspected APPOINTEE of improper behavior or associations and holds him in highest regard. Source commented that APPOINTEE has public service in his blood, and recommended him without

On 06/30/93, W. Robert Pearson, Director, M/NPR, Room 2422A NS, explained that he has known APPOINTEE professionally and socially since they were coworkers in the Department in 1978 and 1979. Source knows nothing of an adverse nature concerning APPOINTEE, and believes that he has always conducted hinself in a fully creditable manner. Source recommended APPOINTEE for the position under  $\gamma^{\gamma}$  consideration.

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#### LIMITED OFFICIAL USE exempted from automatic decontrol by statute

HOLBROOKE, Richard Charles Albert

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On 07/07/93, Phyliss E. Oakley, Deputy Assistant Secretary for Regional Affairs, INR, Room 6533 NS, reported that she has known APPOINTEE since 1968 at Paris and considers him a close friend. Source described him as a person of unimpeachable character and conduct, and recommended him for a position of trust and confidence with 13the United States government.

On 07/07/93, Robert B. Oakley, Ambassador, Retired, now President of Charles & Oakley Resources, Suite 150, 3050 K Street, N.W., Washington, D.C. 20037, advised that he was APPOINTEE's colleague with the Department at Saigon in 1965, and was his deputy in EAP in 1977, and has known him socially for the past twenty-eight years. Source stated that APPOINTEE has always been upright in his associations and conduct, and has enjoyed an untamished reputation, and Source gave him his highest

On 07/07/93, James D. Bindenagel, Acting Deputy Assistant Secretary, EUR, Room 6219 NS, said he has known APPOINTEE in a professional capacity since 1977, and holds him in high regard for his competence, character, judgement, and loyalty to the country. Source recommended APPOINTEE for a position of trust and confidence involving the national interest.

On 07/07/93, Thomas L. Hughes, President Ementus, Carnegie Endowment for International Peace, Seventh floor, 2400 N Street, N.W., Washington, D.C. 20037, stated he worked with APPOINTEE from 1971 to 1976 at Foreign Policy Magazine and has interacted with him to the present time through the Carnegie Endowment for International Peace. Source knew nothing of an adverse nature regarding APPOINTEE's character, reputation, or associations, and Source recommended him for the position for which he is being considered.

On 07/07/93, Charles William Maynes, Editor, Foreign Policy Magazine, Seventh floor, 2400 N Street, N.W., Washington, D.C. 20037, stated he was involved with APPOINTEE at Foreign Policy Magazine from 1972 to 1976 and at the Department of State from 1977 to 1981, and has known him in a professional capacity for the past twenty-one years. Source believes APPOINTEE has at all times conducted himself properly and is a person of integrity and patriotism. Source recommended him for the position under consideration.

On 07/08/93, James R. Schlesinger, Consultant, former Secretary of Defense, Suite 1100, 1627 Eye Street, N.W., Washington, D.C. 20006, stated that he has known APPOINTEE in a professional and social capacity for the past sixteen years, and has

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HOLBROOKE, Richard Charles Albert

found him to be an individual with the highest standards of conduct, character, honesty and loyalty, and possessing all the attributes necessary to represent the best interests of the United States in a position of sensitivity bearing on the national security. Source highly recommended APPOINTEE for the position for which he is being considered.

#### **NEIGHBORHOOD**

August 1981 to August 1988: 1215 29th Street, N.W., Washington, D.C. 20007

On 07/06/93, Jack G. Duncan, President, Duncan & Associates, Street, stated that he knew APPOINTEE as a next-door neighbor throughout this period of residence and considered him an excellent neighbor with no questionable interests or associations. Source saw or heard nothing which reflected adversely on APPOINTEE's character, honesty, stability, or loyalty. Source recommended APPOINTEE for a position 19 of trust and confidence with the U.S. government.

On 07/07/93, Frances Moyer, Retired The Georgetown Retirement Residence, 2512 Q Street, N.W., Washington, D.C. 20007, advised that she had resided at 1219 29th Street from 1981 to 1991 and knew APPOINTEE as a neighbor during his residence here. To Source, APPOINTEE appeared to live a normal and acceptable lifestyle with proper interests and friends, and nothing in his activities raised a question concerning his character or suitability for a position of trust and confidence with the U.S. D government.

The following source was contacted by telephone, at her request:

On 07/06/93, Pamela Wendy Gillette, Realton stated she has known APPOINTEE only since 1990 as the owner/landlord of 1215 29th Street, and her contact with him has been on the infrequent occasions when he has visited the neighborhood and his tenants. Source has developed a good opinion of him as a person of character, conduct, stability, and honesty above reproach. Source recommended  $2^{\text{APPOINTEE}}$  for a position of trust and confidence with the U.S. government.

Efforts to identify and interview additional former neighbors of APPOINTEE were unsuccessful.

#### **RECORD CHECKS**

POLICE:

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## LIMITED OFFICIAL USE

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HOLBROOKE, Richard Charles Albert

Metropolitan Police Department, Washington, D.C. - 07/06/93 - no record.

Maryland State Police, Pikesville, Maryland - 06/25/93 - no record.

Virginia State Police, Richmond, Virginia - 06/30/93 - no record.

#### CREDIT:

06/24/93 - TRW Consumer Credit report reflects Judgement 12/20/90 in New York in amount of \$8,500 by New York City Department of Finance in case #00122090; California State Tax liens of \$100 registered at Sacramento County 06/20/91 in case #06200382, 08/12/91 in case #08120602, 11/21/91 in #11210799 and 11210800.

Referral/Consult

USAIRR: Pending.

**DIVORCE:** 

06/28/93 - Superior Court of the District of Columbia, Family Division, Domestic Relations Branch, CA#D01393-75 is a Complaint for Absolute Divorce filed 04/28/75 by Larrine S. Holbrooke against APPOINTEE on the basis of continuous, voluntary and uninterrupted separation without cohabitation since 10/72. The parties had married on 06/27/64 at Saigon, Vietnam, had two sons from their marriage, and separated by mutual agreement in 10/72. The parties entered into a mutual separation agreement on 03/11/75 which settled and resolved all issues relating to custody and support of the children, property rights, and spousal support rights: APPOINTEE was to provide \$700 monthly child support and alimony, and was financially responsible for education of the children, for whom custody was given to the mother. APPOINTEE did not contest the action, and Judgement of Absolute Divorce was given 09/16/75 on the ground of voluntary separation for more than one year without cohabitation.

CA#D01662-81 is a Complaint for Absolute Divorce filed by APPOINTEE against Blythe Babyak Holbrooke on 04/27/81 on the ground of separation for more than one year. On 06/19/80, the parties entered into a property settlement agreement releasing each other from obligation for alimony, support, and maintenance. No children were born of the marriage. On 08/28/81, the wife responded to APPOINTEE's complaint and also

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#### LIMITED OFFICIAL USE exempted from automatic decontrol by statute

HOLBROOKE, Richard Charles Albert

asked the court for divorce because of separation. An Uncontested Praecipe was signed by counsel for each party on 09/08/81, and Judgement of Absolute Divorce was awarded APPOINTEE on 10/08/91 on the ground of separation from bed and board for more than one year without cohabitation. The file contained a copy of the marriage license reflecting marriage on 01/01/77 in New York City.

#### PERSONAL INTERVIEW

APPOINTEE was interviewed on June 28, 1993 in the office of Director of Central European Affairs (EUR/EE), room 4228 NS. Prior to commencement of the interview, APPOINTEE was provided a written copy of, and briefed in accordance with, the Privacy Act of 1974; he acknowledged his understanding of this legislation by signing his name on two copies of the Act, one of which was retained by him while the other is attached to this report.

Upon reviewing his Standard Form 86, APPOINTEE clarified the information relating to his residences by stating that, from August 1981 to August 1988, his permanent residence was 1215 29th Street, N.W., Washington, D.C., although beginning April 1985 he was employed by the New York City firm of Lehman Brothers and he traveled to New York two or three times each month for a few days. On those occasions, he usually stayed with his ladyfriend, Diane Sawyer, but also stayed with other friends such as Leslie Gelb. During 1988, after he and Sawyer had discontinued their relationship, he went to Beekman Towers. In August 1988, he moved to his present residence in New York.

APPOINTEE had not listed foreign travel on his SF-86. He said he has made approximately 65 trips outside the United States since 1981and because of time constraints was unable to chronicle his extensive travel. He identified five trips to the former Soviet Union, and after a telephone call to his administrative assistant at Lehman Brothers he was able to provide the information concerning those trips described later in this report.

APPOINTEE affirmed that his name as it appears on the SF-86 is correct and he has used or been known by no other name. He was born April 24, 1941, at New York, New York, and for verification he displayed U.S. Passport, #F1018827, issued December 17, 1985 and valid to 1995.

APPOINTEE reported that he has married and divorced twice. His first marriage was to the former Larrine Sullivan on June 27, 1964 at Saigon, Vietnam, where he was

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## LIMITED OFFICIAL USE exempted from automatic decontrol by statute HOLBROOKE, Richard Charles Albert

serving as a Foreign Service Officer; Sullivan is a U.S. citizen born in Maryland. They separated in 1972, and in 1975 his wife obtained divorce at Washington, D.C., on the ground of voluntary separation. Two children were born of their marriage: David Dan Holbrooke, now 27 years of age and a free-lance television producer in New York; Anthony Andrew Holbrooke, age 23 and a volunteer with the International Rescue Committee in New York. According to the terms of the separation agreement, both children remained with their mother, and APPOINTEE voluntarily provided monthly child support and alimony, and paid the school tuition of each child.

APPOINTEE's second marriage was to Blythe Babyak in January 1977 in New York City, and APPOINTEE obtained divorce at Washington, D.C., in 1981 on ground of mutual separation for more than one year. They had no children, and no alimony was involved. Babyak was born in New Jersey.

APPOINTEE's father, Dan Holbrooke, now deceased, was born in Russia. His mother, the former Trudi Moos, was born in Germany, is now married as Trudi Holbrooke Kearl and is a homemaker in Scarsdale, New York. His brother and only sibling, Andrew Holbrooke, is a free-lance photo-journalist, living in New York City. No one in his family has lived abroad although his brother has traveled extensively in his occupation. APPOINTEE averred that no one in his family has ever been arrested or incarcerated, and he has no half-brothers or -sisters. He said he has no personal problems that would prevent him accepting immediate or continuous assignment.

APPOINTEE communicates on a regular basis with numerous persons outside the United States for business reasons only, and he identified no foreign friends. He reported that his business dealings on behalf of Lehman Brothers since 1985 have been with clients in the Peoples Republic of China, Hong Kong, Korea, and Japan. From 1981 to 1985, his own company, Public Strategies, advised the Hyundai Corporation of Korea, but he has never acted as a lobbyist for any foreign company or government. He has established no uncommon relationships and was never asked to perform a service contrary to the interests of the United States. He owns no foreign property and has no financial interest overseas.

APPOINTEE described his health as good although he has a tennis elbow but takes no medication. His last physical examination was in late 1992 and all results were normal. His physician is Isador Rosenfeld, 125 East 72nd Street, New York, New York, telephone He said he has never been hospitalized, had a serious illness or disease, or been under the care of a mental health counselor, psychiatrist, psychologist, or neurologist.

b6 Per Dept. of State

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APPOINTEE related that he was appointed to the Department as Assistant Secretary for East Asian and Pacific Affairs from 1977 to January 1981 after which he became an officer of Public Strategies, a consulting firm which he formed with James A. Johnson at Washington, D.C. Their principal client was Lehman Brothers of New York City, and in April 1985 Lehman Brothers purchased Public Strategies and he has been with that company as a Managing Director to the present time. He has been an active member of the Council on Foreign Relations, the Carnegie Endowment for International Peace, and the International Rescue Committee. He has written several books on Asia, and its politics and people, and he also assisted former Secretary Clark Clifford in his book, <u>Counsel to the President : a memoir</u>, in 1991. He has contributed articles to Newsweek magazine, and has written columns for the Asian Wall Street Journal, the New York Times, and Washington Post. He derives income from writings and investments in addition to his salary from Lehman Brothers. He has never been fired, asked to leave, forced to resign or resigned after being told he would be fired, from any position, and he is eligible for rehire at all places of employment. He has never applied for, or received, unemployment compensation.

APPOINTEE's first travel to the former USSR was from March 09 to 19, 1983 when he accompanied New York Times columnist Leslie Gelb to a conference of the USA Institute at Moscow, Russia. He and Gelb had rooms at the Russia Hotel throughout their stay; he could not recall which commercial airline they flew or how travel arrangements were made. He was certain that his expenses were paid by Public Strategies, his own company.

From September 29 to October 04, 1988, he was a member of the American delegation to the First Vladivostok Conference hosted by the Soviet Institute of Oriental Studies. The group was housed at Hotel Vladivostok, and their first and last nights were at the Cosmos Hotel in Moscow. The delegation was flown to Moscow on an American Express Company jet, and they went to and from Vladivostok on Aeroflot, and he believed that their return from Moscow was via Lufthansa. The cost of this trip was borne by APPOINTEE, who then wrote an article for Newsweek about the conference, which Michail Gorbachev had arranged to promote his policy in Asia and the Pacific; delegates were invited from 36 countries.

He accompanied U.S. Representatives Stephen Solarz and Les Aspin, and Madeline Albright, who is now U.S. Representative to the United Nations, and former Department official Hal Sanders, to the Dartmouth Conference at Moscow, September 17 to 22, 1989. The conference was held to promote understanding between the West and the USSR. At Moscow, they were lodged in the Russia Hotel. He then accompanied Rep.

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HOLBROOKE, Richard Charles Albert

APPOINTEE avowed that he has never been arrested, detained, questioned or convicted for any offense of the law to include those crimes for which forfeiture of collateral is the prescribed punishment. His involvement with the justice system has been in connection with his two divorces in District of Columbia Superior Court. He has never been involved in any type of civil litigation. He is certain his name has never appeared in the news media in a derogatory manner.

When asked to discuss a Civil Judgement in the amount of \$8,500 at New York, New York, and two \$100 State Tax Liens at Sacramento, California, APPOINTEE stated he was unaware of them. He thereupon telephoned his accountant, Max Garten, at who - by speakerphone - reported that the City of New York had sent a notice and demand for payment of \$8,000 on December 21, 1988, for estimated payment of an unincorporated business tax; due to oversight, this tax was not paid, and a second notice was dated January 17, 1990, in the amount of \$8,263, which was paid February 02, 1990. The accountant continued that the \$100 California liens appeared to be state taxes on partnership holdings, and were paid in 1991. APPOINTEE avowed that he has never avoided payment of all applicable taxes, but had no knowledge of these two matters, having relied upon his accountant to advise him when and where to pay all just debts. APPOINTEE feels that his credit rating is excellent, and he has experienced no tax-related difficulties.

APPOINTEE declared that he has never been a member of the Communist Party or any organization that advocates the overthrow of the United States by unconstitutional means, and he has not contributed money to the Communist Party or associated groups. His background was most recently investigated in early 1993 by Department of Defense in anticipation of use as a consultant, and he was previously granted clearances by the Department of State in 1977 and 1962.

APPOINTEE has numerous friends and acquaintances with the Department. None of his relatives are employed by the government.

APPOINTEE described his use of alcohol as a glass of wine with dinner, and an infrequent liqueur, but otherwise no liquor and no beer. He said he has never used or possessed any illegal narcotic, dangerous drug, or marijuana, and has taken prescribed medication only when and as directed by a physician. He said he does not gamble. His avocations are tennis and skiing.

The interview was concluded under favorable conditions.

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## LIMITED OFFICIAL USE

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HOLBROOKE, Richard Charles Albert

#### MISCELLANEOUS

All sources interviewed or contacted in connection with this investigation were apprised of the relevant provisions of the Privacy Act of 1974 and none requested confidentiality unless otherwise indicated in this report.

Attachment (to original only): Privacy Act Statement

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NOTICE REQUIRED BY THE PRIVACY ACT OF 1974 (5 USC 552a) TO BE GIVEN TO PERSONS INTERVIEWED AS PART OF THE BACKGROUND INVESTIGATION TO DETERMINE SUITABILITY FOR EMPLOYMENT OR FITNESS FOR SECURITY CLEARANCE

AUTHORITY

Executive Orders 10450 and 12065 Foreign Service Act of 1946 (22 USC 911)

RESPONSE MANDATORY OR VOLUNTARY The individual's response to relevant questions in the pre-employment interview is considered to be voluntary. An incumbent has an obligation to account for the performance of his duties and to establish his fitness for continued security clearance unless any such response would violate his right not to testify against himself in a criminal matter.

PRINCIPAL PURPOSE : The principal purpose in soliciting information is to permit determination of the individual's suitability for employment in a sensitive position and his trustworthiness for access to classified information.

ROUTINE USES

: The information solicited may be used:

to determine suitability for appointment or continued employment;

to determine fitness for security clearance;

to determine suitability for assignment to certain sensitive positions and/or areas;

by other Federal Agencies which may in the future require the information for the same principal purpose; for law enforcement purposes, including the prosecution of offenses; and for other purposes compatible with the principal purpose;

for such other routine uses as may be published in the Department's annual notice.

Should the individual decline to give all or part of the information requested, the Department may make its determinations on the basis of such information as it has been able to acquire. If an incumbent declines to
furnish required information, other than under a claim of Constitutional right, his refusal may form a basis for disciplinary action, including dismissal.

Signature Date JUNE 29, 1993

Witness FLALY Date 06.28-93

EFFECTS OF NOT PROVIDING ALL OR PART OF THE INFORMATION REQUESTED

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HOLBROOKE, Richard Charles Alpert

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7/6/93 - Colleen MURPHY, did not know APPOINTEE. There was no answer at 58 Church Hill Road. Sean PENISTON and Paul KESSON were contacted at the WEITING Farm, which is across the street from APPOINTEE's home. Neither PENISTON nor KESSON know APPOINTEE but are aware that HE lives at 48 Church Hill Road as they have seen him on a few occasions and know who HE is because George WEITING, who probably knows APPOINTEE, has told them who the APPOINTEE is. They work for WEITING who owns the WEITING farm.

7/6/93 - Fritz WEITING, real estate broker, Road, advised that APPOINTEE, whom he has known for 7 years, is an exceptionally fine individual. He spoke well of his character and has no reason to doubt his loyalty to the United States. APPOINTEE recently completed a biography of Clark CLIFFORD. Mr. WEITING knew Diane SAWYER when the APPOINTEE and she had dated. Miss SAWYER is now married to Mike NICHOLS. Mr. WEITING knew no other friends of the APPOINTEE and none of HIS family. He highly recommended HIM. (By telephone per his request.)

#### RECORD CHECKS

POLICE:

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The information provided in the POLICE section of this ROI was not given in confidence and may be released.

6/30/93 - Connecticut State Police - no record.

7/6/93 - New Milford, CT, Police - no record.

TOWN HALL NEW MILFORD, CT.

The Grand List of Real Estate is dated 10/1/92 and maintaind in the Assessor's Office. It was reviewed 7/6/93 and reflects that Richard C. HOLBROOK (sic), 200 Vesey Street, World Financial Center, NY, NY 10007, owns the property at 48 Church Hill Road, New Milford, CT. 06776. The deed is found in volume 347, page 70, of the books of deeds. The assessed and gross values are \$282,170.00.

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#### HOLBROOKE, Richard Charles Alpert

The Property Card for 48 Church Hill Road is maintained in the office of the Town Clerk. This document shows the current owner of a particular piece of property. It reflects the APPOINTEE purchased the house and property at 48 Church Hill Road, New Milford, CT, on 5/16/86 for \$935,000.00. The appraised value is \$403,100.00.

A copy of the deed is found in volume 347, page 70 of the books of deeds. It was purchased 5/16/86 by Richard C. HOLBROOKE.

All liens filed against a person in the State of Connecticut, whether by the federal, state or local government or a private citizen, are maintained in the Grantor Records. These records were reviewed from 1/1/86 to 6/23/93 and no liens were found against APPOINTEE.

#### MISCELLANEOUS

All sources interviewed during the course of this investigation were advised of the provisions of the Privacy Act of 1974 and none requested confidentiality unless otherwise indicated in this report.

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#### HOLBROOKE, Richard Charles Albert

that Richard C. A. HOLBROOKE began employment on 4/1/85 as a Managing Director and presently holds that position at a yearly salary of \$175,000.00. She confirmed his social security number as 132-32-3096 and his residence as 213 East 71st Street, New York, N.Y. She further stated her records show that the APPOINTEE has a second home at 48 Churchill Road, New Milford, Connecticut. Ms. KENNY concluded by saying she did not know the APPOINTEE personally, but knew that he enjoyed a wonderful reputation and is highly regarded by other members in the firm.

7/6/93 - Mr. Roman MARTINEZ, Managing Director, phone 212-298-2146, telephonically advised he has known the APPOINTEE as a coworker and on a social basis since 1985, and has visited him at his residence on East 71st Street, in New York City. He said on the average he see the APPOINTEE once a week, but there may be times when he will not see him for two or three weeks, and then he may be with him for 3 or 4 days in a row. He stated the APPOINTEE is a person of good character, enjoys a fine reputation, has like associates and he has never known or heard anything of a derogatory nature concerning him. To his knowledge the APPOINTEE does not drink, has nothing todo with drugs and leads a clean, moral life. He described the APPOINTEE as very smart, very knowledgable of world affairs, very able, a good organizer, very competent and should do an outstanding job in the position he is being considered for. He said he would highly recommend the APPOINTEE as he knows him to be a loyal American.

7/6/93 - Mr. Richard S. FULD, President, Lehman Brothers, phone 212-640-7200, telephonically advised he has known the APPOINTEE since 4/85, when the APPOINTEE began employment with the firm. He said the APPOINTEE is a very good employee, an honest man of high integerity and a loyal American. He stated in recent years he has come to know the APPOINTEE some what on a social basis, and knows he does not use alcohol, is not involved in illegal drugs, is emotionally stable and has never been involved in any type of sexual misconduct. He also said to his knowledge the APPOINTEE does not employ anyone as a domestic or in anyother capacity.

Mr. FULD said when anyone first mets the APPOINTEE he comes over as a professor, a book worm, living on his own high plane, but after five minutes of conversation you will know, "that this man knows what he is talking about", "he comes over with an excellent impression", as he is very convincing. The APPOINTEE will talk to anyone about anything, he has the ability to attract key people, is very smart, and has good contacts through out the world. He further stated he considers the APPOINTEE an excellent, outstanding person and he cannot recommend him high enough for the position as U.S. Ambassador to Germany.

#### DEVELOPED SOURCES

6/30/93 - Mr. Vincent MAI, CEO, AEA Investors, Inc., 65 East 55th Street, New York, N.Y., phone 212-644-5900, advised he has known the APPOINTEE for approximately 12 years, that he was his immediate supervisor at Lehman Brothers, and came to know him on a social basis. He said he has visited the APPOINTEE at his residence on East 71st Street, in New York City, on social occassions, and knew him at one time to reside for a short time at the Beekman Towers on East 49th Street, New York, N.Y. He stated the APPOINTEE is a person of excellent character, totally honest, highly honorable, does not drink, except on a rare occassion may

#### HOLBROOKE, Richard Charles Albert

take a small glass of wine. He said he has never known or heard anything of a derogatory nature concerning the APPOINTEE, and to his knowledge has never employed an illegal alien as a domestic, been known to have being involved in any sexual deviations or misconduct, or anything that would be an embarrassment to the U.S. Government. He further stated the APPOINTEE who enjoys an excellent reputation is a very sophisticated, highly intelligent person, who is an astute judge of character, is excellent at judging other people, has a great sense of humor and is very serious concerning the United States Foreign Policy. He concluded by saying that the APPOINTEE is very imaginative, has a creative mind and as he knows him to be a loyal American he would highly recommend him for the position he is being considered for:

7/1/93 - Mr. Leslie GELB, President, Council on Foreign Relations, 58 East 68th Street, New York, N.Y., phone 212-734-0400, and former New York Times Newspaper Columnist on Foreign Affairs, advised he had worked with the APPOINTEE in years past and first met him in 1967 when the APPOINTEE was a Foreign Service Officer in South Viet Nam. He said he has come to know the APPOINTEE very well on a social basis and there is no need to question the APPOINTEES character, associates, reputation or loyalty to the United States. He stated the APPOINTEE is extremely intelligent, very energetic, very knowledgable in his field, that all of his life he has been highly interested in public service and public policy. He said he has always found the APPOINTEE to be a very hard worker, discreet, and would highly recommed him for the position he is being considered for.

Mr. GELB confirmed the APPOINTEE resides at 213 East 71st Street, New York, N.Y., as he has visited him there on a social basis, but he has never visited his residence in Connecticut and also to the best of his knowledge the APPOINTEE does not employ anyone as a domestic. Mr. GELB pointed out that in the mid 1980's when the APPOINTEE came to New York City from Washington, D.C., he occassionally stayed with him or with a Ms. Diane SAWYER, with whom he had a close relationship at the time.

7/1/93 - Mr. Alan ROMBERG, Senior Fellow for Asia, Council on Foreign Relations, 58 East 68th Street, New York, N.Y., phone 212-734-0400, advised he has known the APPOINTEE since 1977 when he was a Director in the APPOINTEES bureau in the State Dept., in Washington, D.C. He said he sees him several times a year and last saw him a couple of months ago. He stated he only knew the APPOINTEE as a coworker, but found him to be extremely capable, an orginal thinker, a hard charger, and as a result may rub some people the wrong way, but not an intentional thing on the part of the APPOINTEE. He further stated the APPOINTEE is very dedicated, is very knowledgeable in his field, and he considers him an expert on U.S. Foreign Policy. Mr. ROMBERG conclude by saying he knew nothing of a derogatory nature concerning the APPOINTEE and without question would absolutely recommend the APPOINTEE for the position as U.S. Ambassador to Germany.

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#### HOLBROOKE, Richard Charles Albert

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7/1/93 - Mr. Robert P. DE VECCHI, President, International Rescue Committee, Inc., 386 Park Avenue South, New York, N.Y., phone 212-679-0010, stated he has known the APPOINTEE for 7 years, having met him through Winston LORD, Assistant Secretary of State, but has come to know him real well the past  $1\frac{1}{2}$  years, having spent 8 to 9 days with the APPOINTEE in December of 1992 visiting Bosnia. Mr. DE VECCHI said the Committee has, what he would describe, as a loose board of approximately 70 members, and the APPOINTEE became a board member in1990. He said the APPOINTEE is a man of integrity, of high morals, and he would recommend him without qualification for the position he is being considered for. He further stated the APPOINTEE is very intelligent, very outgoing, a very hard worker, demanding, driving, but gets along well with people and he is a real pleasure to work with. He said the APPOINTEE is an expierenced manager who would not require anyone to do something he could not do himself, that he is not petty or mean, but a good man, and a very private person.

7/1/93 - Mr. Michael E. CLARK, Executive Director, Citizens Committee for New York City, Inc., 305 Seventh Avenue, New York, N.Y., phone 212-989-0909, advised the APPOINTEE became a Director approximately 1 year ago, that he is not a social aquaintance, but had dinner with the APPOINTEE in February of 1993. In the short time he has known the APPOINTEE he considers him a person of good character and morals, that he has no knowledge of anything of a derogatory nature concerning the APPOINTEE. He said the APPOINTEE came to the Committee with an excellent reputation, is extremely knowledgeable in his field and has been a big help to the Committee. He described the APPOINTEE as a distinguished, prominent, New Yorker, generous in his time given to the Committee. He is committed to the City of New York and America, and has dedicated his services to New York and America. Mr. CLARK said the APPOINTEE is an excellant diplomat, a skilled professional and his strength as a diplomat is real. Mr. CLARK concluded by saying he would highly recommend the APPOINTEE for the position of U.S. Ambassador to Germany. b6 Per Dept. of State

7/1/93 - Former Ambassador Nicholas PLATT, President, Asia Society, 725 Park Avenue, New York, N.Y., was interviewed by phone at his request at his as he was residence , New York, N.Y., phone recuperating from minor surgery. PLATT stated he worked very closely with the APPOINTEE from 1970 to 1977 at the State Dept., in Washington, D.C., that he knew him socially and considered him a friend and a colleague. He said he absolutely knew nothing of a derogatory nature concerning the APPOINTEE, and as he knows him to be a loyal outstanding American he certainly would recommend him wholeheartedly for the position he is being considered for. PLATT said he considers the APPOINTEE a very bright, well motivated, ambitious person, in a positive sense, and that he has made major contributions in the past for the United States in its relations with China. He stated the APPOINTEE served his country well as a State Dept. employee in East Asian Affairs and he will serve his country very well again.

7/6/93 - Mr. Thomas HILL, Investment Banker, and Consultant to McAndrows/ Forbes, Investment Bankers, 35 East 62nd Street, New York, N.Y., phone telephonicallyadvised he has known the APPOINTEE for 11 years, and that he

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#### HOLBROOKE, Richard Charles Albert

worked with him for 5 years at Lehman Brothers, and has visited him socially at his residence on East 71st Street, New York, N.Y. He said the APPOINTEE does not employ any domestic help, and he could think of nothing of a derogatory nature concerning the APPOINTEE, as he knows him to be a person of good morals, and enjoys an outstanding reputation. He stated the APPOINTEE is very intelligent, extremely well read, articulate, extremely knowledgeable on Foreign Affairs, and can intelligently discuss almost any subject in the international arena. Mr.HILL said he would highly recommend the APPOINTEE for the position he is being Q considered for.

7/2/93 - Ms. Diane SAWYER, Anchor Person, ABC T.V. News, 147 Columbus Avenue, New York, New York, phone was interviewed by phone at her request, at which time she stated she has known the APPOINTEE since around 1980 and they were very close friends until early 1988. Ms. SAWYER, who is now married to Michael NICHOLS, stated she is still a friend of the APPOINTEE and sees him 2 or 3 times a year. Ms. SAWYER said the APPOINTEE is a very honest, upright individual and she knew nothing of a derogatory nature concerning him. She stated it was thrilling to learn that he was being considered as Ambassador to Germany. She described the APPOINTEE as a brilliant, serious minded, compassionate, hard working individual, dedicated to his country and who she could not recommend high enough. She said the APPOINTEE, "will be a historical great Ambassador". Ms. SAWYER confirmed that the APPOINTEE stayed at her residence when he visited New York City from Washington, D.C. in the early 1980's, and that he later stayed at the Beekman Towers for a short period of time before moving D to his present residence at 213 East 71st Street, New York, N.Y. b6 Per Dept of State

7/6/93 - Mr. Osborne ELLIOTT, Professor, School of Journalism, Columbia University, New York, N.Y., former Dean of the School of Journalism at Columbia University and former Editor in Chief, Newsweek Magazine, was interviewed at his Stonington, Connecticut, phone residence at which time he advised he has know the APPOINTEE for 20 years on a social basis and considers him a good friend. He said the APPOINTEE is extremely intelligent a person with a warehouse of knowledge, that he has a good sense of humor, and is a good writer. He also said the APPOINTEE does not drink and abhors the use of illegal drugs. He considers the APPOINTEE a man of good morals and knows him to enjoy an excellent reputation. Mr. ELLIOIT said he was aware of the fact that the APPOINTEE owned a residence in another part of Connecticut and to the best of his knowledge the APPOINTEE has never had any servants working for him, and he is just not the type to hire an illegal alien as a domestic or in any other capacity. Mr. ELLIOTT pointed out that the APPOINTEE has already had two distinguished careers, one in the U.S. Dept of State and the other with Lehman Brothers, and he would highly recommend the APPOINTEE for the position as U.S. Ambassador to 11 Germany, where he will make a third distinguished career for himself.

7/6/93 - Mrs. Inger ELLIOTT, Art <u>Consultant</u> Stonington, Connecticut, was interviewed by phone, <u>at which time</u> she stated she first met the APPOINTEE in Java, while on a business trip with her husband and

#### HOLBROOKE, Richard Charles Albert

the APPOINTEE has since become a good family friend. She said she found the APPOINTEE to be very smart, very bright, has great talents and uses them wisely. She also said the APPOINTEE has had lots of expierence, and uses it to overcome problems he faces on a day to day basis. She stated she knew nothing of a derogatory nature concerning the APPOINTEE, she knows he does not drink, is not involved in drugs, never been involved in any type of sexual misconduct, and she considers him a good man all around, a person of good morals, and she would  $\sqrt{\mathcal{L}}$ highly recommend him for the position as Ambassador to Germany.

7/7/93 - Mr. Thomas ENDERS, Managing Director, Soloman Brothers, 7 World Trade Center, former U.S. Ambassador to Canada and the European Community, was interviewed by telephone at his request, Mr. ENDERS said he has known the APPOINTEE for 25 years, but has come to know him quite well on a social basis over the past 7 years. He described the APPOINTEE as a very out going person who has a natural affinity to people, that he is a hustler, in that he is a hard worker, but he is a person of heart, as he is devoted to his friends. He said the APPOINTEE is highly intelligent, and it seems to him that the APPOINTEE knows everyone in government. Mr. ENDERS pointed out that they are both in the same field of business, that they are business competitors, and he has always found the APPOINTEE to be an ethical person in his business dealings. He said the APPOINTEE does not use alcohol or drugs, does not employ any domestic help, and as far as his sexual preference is concerned, he considers the APPOINTEE a convincing ladies man. Mr. ENDERS concluded by saying he would highly recommend the APPOINTEE for the position of Ambassador to Germany.

7/7/93 - Mr. Peter PETERSON, Investment Banker, Blackstone Group, 345 Park Avenue, New York, N.Y., phone 212-935-2626, telephonically advised he has known the APPOINTEE for well over 20 years, and knew the APPOINTEE as a State Dept. employee when he (PETERSON), was Secretary of Commerce and also when he worked in the White House. He said he knows the APPOINTEE socially and he is a man of outstanding character, who enjoys a good reputation and he has never known or heard anthing of a derogatory nature concerning him. He also said the APPOINTEE is very smart, very aggressive in a good way, "is very effective and gets the job done". Mr. PETERSON stated he would recommend the APPOINTEE highly, as he believes he will do an excellent job, that the APPOINTEE is a smart choice, and he considers him the right man for the position as U.S. Ambassador to Germany.

#### RESIDENCE

#### 8/88 to Present: 213 East 71st Street, Apt. #5, New York, New York.

Mrc Lpis DEMING, 213 East 71st Street New York, N.Y., who was interviewed by telephone, advised the building is phone a Cooperative, made up of the five families residing in it, and at the present she is the President of the Board. She said she did not have any records readily available, but believed the date 8/88 was correct, as to the time Mr. HOLBROOKE moved into the building. She stated he occupies the 4th and 5th floors, plus having use of the roof, and the entrance to his residence is on the 4th floor.

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b6 Per Dept of State

#### HOLBROOKE, Richard Charles Albert

Mrs DEMING said she did not know Mr. HOLBROOKE very well as she seldom sees him. She said she considers the APPOINTEE very aloof, not caring, and insensitive to request of other residence in the building. She pointed out that about three years ago, when she was Secretary of the Board, the APPOINTEE's son resided with him, at which time he kept his bicycle in the hallway, and this was an inconvenience to the other residence, and over a period of time the bike tore the wallpaper on the wall hall. One resident wrote a note to the APPOINTEE requesting that he pay for repairing the wallpaper, but the APPOINTEE answered in the negative. She also said as a resident in the building he was supposed to be involved as a board member, which he had agreed to do when he moved in, but he never did become involved. Mrs. DEMING stated that the APPOINTEE, "just did not seem to care for the little guy". She said the residents who had their disagreements with the APPOINTEE, have since sold their apartments, and have moved away, and she is the only one in the building who knows the APPOINTEE. Mrs DEMING noted that the APPOINTEE paid around \$450,000.00 or maybe more for his apartment, at the height of the real estate boom in 1988, but the value of the apartment has decreased by \$50,000.00 to \$65,000.00, and it will be some time before the APPOINTEE can sell and get back the money he paid for it. She said the only positive thing she could say concerning the APPOINTEE is that he pays his maintenance fee and any other bills promptly.

# Early 1988 to 7/88: Beekman Towers, 13 Mitchell Place, (corner East 49th Street & First Avenue), New York, New York.

7/1/93 - Mr. Edward DELUNA, Reservations Manager, advised he had no records of former residents for the year 1988. Mr. DELUNA said he could not recall the APPOINTEE.

AGENTS NOTE: Sources set out in the earlier part of this report have indicated they knew the APPOINTEE resided at the Beekman Towers in the early part 1988.

#### MISCELLANEOUS

All sources interviewed were advised of the relevant provisions of the Privacy Act of 1974 and none requested confidentiality unless otherwise indicated in this report.

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HOLBROOKE, Richard C.

Book 91-812, page 602 reflects a tax lien filed against AP-PLICANT on 8/12/91 by the California Franchise Tax Board in the amount of \$123.90 including tax, penalty, interest and costs for the tax year 1989:

Book 91-1121, page 800 reflects the release of the above lien on 11/13/91

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#### DETAILS:

#### PERSC.IAL HISTORY

The files at the National Personnel Records Center, Civilian Personnel Records (CPR), St. Louis, Missouri, show that Richard Charles Albert HOLBROOKE was born April 24, 1941 and the place was not recorded. The records show that personnel action sheets reflect APPLICANT's name as Richard (NNN) HOLBROOKE later in the file. The records further reveal that APPLICANT was married to. Lorraine Sullivan HOLBROOKE, June 27, 1964 at Saigon, Viet Nam and his spouse's birth date was shown as April 13, 1942. APPLICANT was shown as having been enrolled in the Foreign Service Benefit Health Plan, Code 401.

#### EMPLOYMENT

# July 1962 to May 1972, May 1972 to May 1974 - Department of State, Washington, D.C.

The files at CPR, supra, further reflect that APPLICANT's Social Security Number was 132-32-3096 received a limited appointment July 11, 1962 as Foreign Service Reserve Officer, FSR-H at a salary of \$5,625 per year and was detailed to the University of California. Berkeley, California from September 16, 1962 to January 19, 1963 for language training. APPLICANT was then assigned on reimburscable detail not to oceed March 16, 1965 effective close of business September 17, 1962 as Assistant Developement Officer, Area, FSR-8 at the salary of \$5,625 per year with the U.S. Agency for International Developement, Saigon, Viet Nam. APPLICANT was converted to the Foreign Service Officer Corps October 14, 1962 and was promoted August 26, 1964 to FSO-7 at a salary of \$7,010 per year. APPLICANT's reimburseable detail was extended until May 23, 1965 when he was reassigned to the U.S. Department of State, American Embassy, Saigon, VietNam as Political Officer Provincial Reporting, Third Secretary. The records show APPLICANT was promoted May 13, 1966 to FSO-6 at a salary of \$8,594 per year and on July 31, 1966 was transferred on a non-reimburseable assignment to the WhiteHouse, Washington, U.C. APPLICANT was again promoted April 23, 1967 to Foreign Affairs Officer, FSO-5 at a salary of \$10,602 per year and on September 24, 1967 was reassigned as Foreign Affairs Officer to the Office of the UnderSecretary, Department of Sate, Washington, D.C. On April 6, 1969, APPLICANT was reassigned as International Relations Offi r, General, FSO-5 at a salary of \$12,154 per year with the Office of the Secretary, Peace Mission, Faris with duty station shown as Washington, D.C. APPLICANT als again promyted April 5, 1976 as Foreign Service Officer 4, while he was detailed to Princeton University, Princeton, New Jersey for further training. APPLICANT way then assaned on reimburseable detail to the Peace Corps, Washingun, D.C. June 25, 1970 and his Peace Corps

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#### HOLBROOKE, Richard Charles

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Director, FSO-5 at a salary of \$13,704 per year with the Peace Corps Office Rabat, Morocco. APPLICANT's position in Rabat was terminated due to completion of assignment March 31, 1972 and he was shown to have went on leave without pay status May 14, 1972 nd to exceed Hay 13, 1973 as Foreign Service Officer, FSO-4 at a salary of \$19,362 per year with the U.S. Department of State, Hiscellaneous, Director General's Office, NOC, Washington, D.C. to accept a position as Managing Editor, Foreign Policy and Hagmine. APPLICAT's leave without pay status was extended to Hay 12, 1974 and APPLICANT resigned while in leave without pay status May 17, 1974 as a Foreign Service Office, FSO-4 at a salary of \$22,744 per year with the above office. APPLICANT listed his forwarding address as R. HOLBROCKE, 1717 Massachusetts Avenue, NW, Washington, D.C. APPLICANT's Official Personnel Folder contains no further pertinent information and no adverse information concerning APPLICANT.

# LOYALTY

The files St CFA, supra, further reflect that APPLICANT was granted a security clearance by the Department of State, Office of Security, on June 30, 1962.

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HOLBROOKE, Richard Charles

former personnel associated with the Carter-Hondale Campaign Office in Atlanta have been transferre to their Transition Office at the HEV Building, Washington, D. C.

Hr. HERMANN was able to verify the APPLICANT's dates of employment from payroll records indicating he was employed July 11, 1976 to October 31, 1976. Source recalled that the APPLICANT worked directly for Hr. Stu EISENSTAT and Hr. Al STERN in the "Policies and Issues" Section of the Campaign Office. Source stated that the APPLICANT's duties were to prepare papers setting forth the candidate's stands on various issues and policies. He recalled that the APPLICANT wrote well, was well liked and had no conflicts with other personnel during the campaign.

Source gave favorable testimony regarding the APPLICANT based on his limited contact with him and suggested that Hr. EISENSTAT or Hr. STERN be interviewed in Washington, D. C. for a more detailed report of the APPLICANT's employment. Source offered nothing of a derogatory nature regarding the APPLICANT and recommended him for a position of trust and responsibility.

Attempts to locate other sources at the Campaign Headquarters that knew the APPLICANT during this period of employment met with negative results.

#### RECORD CHECKS

#### Police:

Police Department, Atlanta, Georgia, November 26, 1976 · negative.

#### Credit:

On November 26, 1976, the files of the Credit Bureau, Atlanta, Georgia, were searched in the APPLICANT's name with negative results.

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#### PERSONAL HISTORY

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APPLICANT, according to records of the U.S. Department of State, was born on April 24, 1941, in New York City. Sources interviewed reported that APPLICANT is currently unmarried and hus had one previous marriage. All Sources believed APPLICANT to be in good health.

Divorce Records of the D.C. Superior Court, Family Division, were reviewed by Special Agent T.S. Jenkins on November 24, 1976. The records reflected that APPLICANT was married to Larraine Elizabeth Sullivan on June 27, 1964 in Saigon, Viet Nam. The file reflected a voluntary separation in October 1972, and a subsequent uniontested divorce, initiated by APPLICANT's wife, was granted by the Court on September 10, 1975. The records also indicate that there were two children born of the marriage, David D., born August 31, 1965; and Anthony A., born December 16, 1969. The record further indicated that APPLICANT, as required by the Court to pay the sum of \$700.00 the first day of each month, \$100.00 for plaintiff and \$300.00 per month per child for support. APPLICANT is also responsible for both children's private school attendance.

#### EMPLOYMENT

# July 1976 to November 1976: Governor Carter Campaign Staff

Hr. Alfred L. Stern, Senior Police Advisor for Foreign Policy, Defense, Health, Education, and Welfare, Carter Transition Campaign, was interviewed on November 24, 1976, by Special Agent R. Higgins. Hr. Stern stated that he was APPLICANT's supervisor for the period July 19, 1976 to November 2, 1976. He described APPLICANT as being very intelligent and the type of person who responds well to directions. He added that APPLICANT is a very hard worker and that he also expects hard work from those employees subordinate to him. He notes however, that APPLI-CANT is reluctant to give credit, where credit is due, to his subordinates. He further stated that APPLICANT maintains excellent character traits. but would hesitate to recommend him for a supervisory position because. in the opinion of Source, APPLICANT is too status conscious. He continued that he was unaware of APPLICANT's leisure time activities while working in Goergia, except that APPLICANT often flew back to Washington on weekends. He commented entirely favorably concerning APPLICANT's personal habits, health, morals, stability and loyalty; and recommended him for a position of trust.

Attempts to locate personel and payroll records for this period of employment were met with negative results.

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HOLBROOKE, Richard Charles

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#### 1972 to Present: Managing Editor, Foreign Policy Magazine, Washington, DC

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Mr. Benjamin Reid, President, German Marshall Fund, Carnegie Endowment for International Peace, was interviewed on November 24, 1976, by Special Agent R. Higgins. Source stated that he has been a colleague of APPLICANT's since November, 1972. He added that his association with APPLICANT has been primarily on a professional basis, however, he has occasionally had dinner with APPLICANT. He described APPLICANT as a hard working individual of above average intelligence. Source continued that because of his limited social contact with APPLICANT he was unaware of his leisure time activities. Source noted that APPLICANT appears to be in good health and maintains high moral standards. He commented entirely favorably regarding APPLICANT's character traits, personal habits and loyalty; and recommended him for a position of trust with the Department of State.

### 1962 to 1974: U.S. Department of State

Mr. John R. Contee, Personnel Manager, U.S. Department of State, was contacted on November 24, 1976 and advised that APPLICANT's Official Personnel File is located in the Federal Records Center, St. Louis, Missouri.

Mrs. betty Goodyn, ACTION, Personnel Manager, was contacted on November 24, 1976, and an attempt to locate APPLICANT's Personnel File, with reference to APPLICANT's assignment to the Peace Corps from 1970 to 1972. Source indicated that these records are incorporated into APPLI-CANT's OPF located at the Federal Records Center.

Mrs. Betty K. Pizzarille, Personnel Security Assistant, ACTION, 806 Connecticut Avenue, N.w., Washington, D.C., was contacted on November 24, 1976 by Special Agent T.S. Jenkins. She advised that a security clearance was granted to APPLICANT in 1970 by the Agency for Interrational Development, based on a final review of U.S. Department of State files on April 10, 1970 and also on an investigation completed by the U.S. Department of State, Office of Security, in 1962. The file contained no derogatory or additional pertinent information.

#### REFERENCES

Hr. Vladimir Lehovich, Officer in Charge, Defense Policy Affairs, EUR/RMP, Department of State and Mr. Peter Tarnoff, Director, INR/RWE, Department of State, were Interviewed by Special Agent J.N. Pursell, on November 24, 1976. Mr. Lehovich stated that he has known APPLICANT, intermittently, since 1962, during which time he was a close personal friend and co-worker. Mr. Tranoff reported that he has known APPLICANT for 12 years and has also been a personal friend and co-worker. Both

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HOLBROOKE, Richard Charles

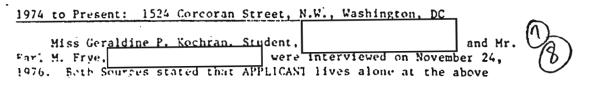
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Sources reported that during the periods of closest association with APPLICANT, they were in daily contact with him. Both Sources reported that APPLICANT's personal conduct is above reproach. They stated that he is formerly married, having received a divorce from his wife, in 1974. Mr. Tarnoff volunteered that the divorce was on friendly terms and uncontested. He further stated that APPLICANT and his ex-spouse remain close friends. Mr. Tarnoff added that APPLICANT is close to his two sons, whose custody was awarded to his ex-spouse, and visits them whenever possible. Both Sources reported that APPLICANT is athletically inclined and spends most of his leisure time playing tennis. Both Sources indicated APPLICANT, in addition to his official travel while working for the Department of State, has had extensive travel to Western Europe in connection with his job as Editor of Foreign Policy Magazine. Neither Source however, could specificially identify which countries were visited. Mr. Tarnoff further indicated that APPLICANT was a member of the "Tri-Lateral Commission", a private organization whose purpose is to reenforce relations between Western Europe, Japan and the United States. Both Sources commented favorably regarding APPLICANT's morals, habits, stability, health and loyalty; and recommended him highly for a position of trust.

### DEVELOPED SOURCES

ed that e, in terms pouse e to his s them letically oth while o Western agazine. tries a member urpose is ited moralo, ly for a Bureau, , Euro-24, 1976 have They r. Lowenstein nder-. . Both colleagu±% orals. and ally ts and ement osition b6 Per Dept of States and Mr. r 24, ove James G. Lowenstein, Deputy Assistant Secretary, European Bureau, Department of State, and Arthur A. Hartman, Assistant Secretary, European Bureau, Department of State, were interviewed on November 24, 1976 by Special Agent J.N. Pursell. Both Sources reported that they have known APPLICANT on a professional and social basis since 1968. They stated that APPLICANT was formerly married and has two sons. Mr. Lowenstein remembered that APPLICANT had attended Brown University as an undergraduate but was unaware of any post graduate work by APPLICANT. Both Sources remarked that he was held in the highest regard by his colleagues and they have no reason to doubt his loyalty, suitability, or morals. Both Sources commented favorably regarding APPLICANT's physical and emotional stability and indicated that he appears to be financially solvent. They described APPLICANT as a light user of intoxicants and indicated that he has never had any involvement with law enforcement authorities. Both Sources recommended APPLICANT highly for a position of trust with the Department of STate.

#### NEIGHBORHOOD



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# HOLBROOKE, Richard Charles

 address and enjoys a good reputation in the neighborhood. Miss Kochran stated that she has known APPLICANT for approximately two years, since he moved into the neighborhood. She noted that APPLICANT travels often and that she watches his home while he is away. She added that he visited APPLICANT's home once for a dinner party but has had no other social contact. She continued when APPLICANT is not travelling he spends much of his leisure time playing tennis. Mr. Frye noted he has had no social contact with APPLICANT other than a neighborly greeting when they see each other. He added that APPLICANT has lived at the above address for the past two or three years and he has been an excellent neighbor during that time. Both Sources indicated that they know of nothing adverse concerning APPLICANT and recommended him for a position of trust.

### 1973 to 1974: 1415 Rhode Island Avenue, N.W., Washington, D.C.

Mrs. Rose Ostrolenk, Rental Manager, Gleman Company, 1620 I Street, N.W., was interviewed by Special Agent T.S. Jenkins on November 24, 1976. Source advised that it was company policy not to release any information concerning its tenants. She did however, indicate that APFLICANT resided at the above address but, however would not provide dates of residence. She further refused entry into the building by Special Agent Jenkins, in an effort to locate neighbors with knowledge of APPLICANT.

b6 Per Dept of State

#### 1966 to 1974: 2328 Nebraska Avenue, N.W., Washington, D.C.

Andree Maggio, housewife, was interviewed on November 24, 1976. Source indicated that APPLICANT moved from the above address approximately two years ago, when he and his wife separated. She stated that prior to that time, APPLICANT and his family lived at the above address for several years and that APPLICANT's spouse and children currently reside at this address. She described APPLICANT as a wonderful neighbor, had no neighborhood problems and was well respected in the community. She added that she had no social contact with APPLI-CANT but that APPLICANT spent much of his leisure time playing tennis and in family related activities. She commented favorably regarding APPLICANT's morals, habits, health, and loyalty; and recommended him for a position of trust.

Attempts to locate others in the neighborhood with knowledge of APPLICANT were met with negative results.

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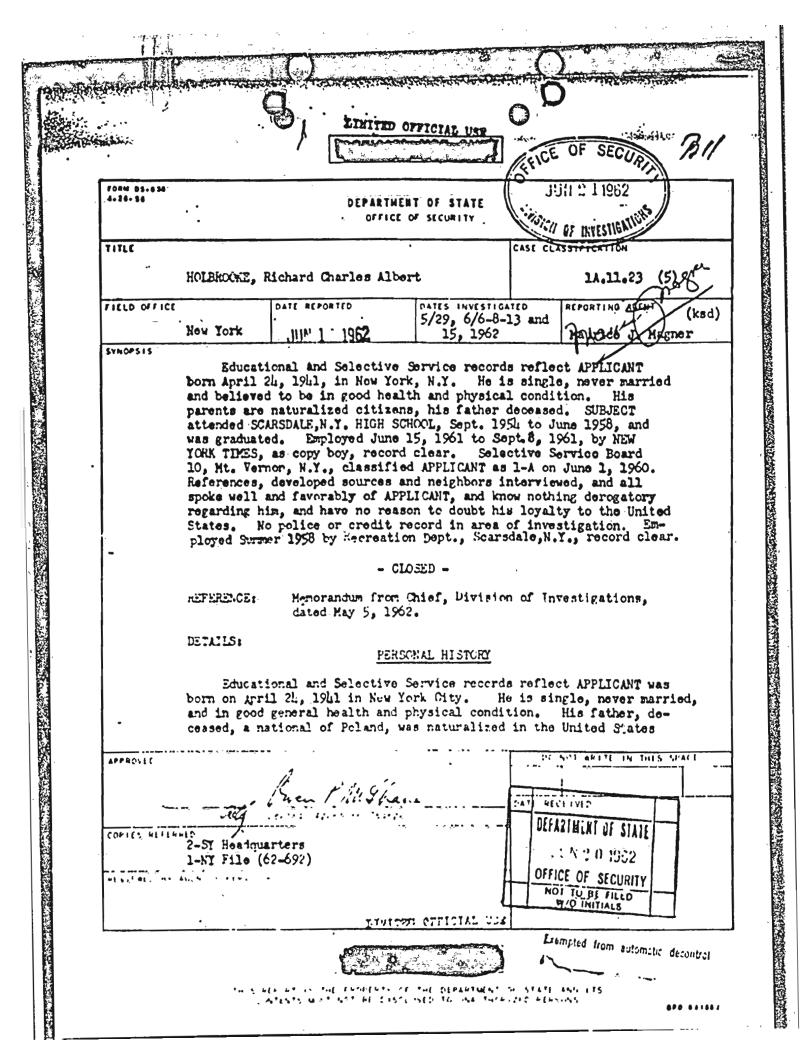
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#### HISCELLANEOUS

APPLICANT was assisted in preparing his Form 36, on November 24, 1976. At this time, APPLICANT stated that there is an overlap in his employments with the Department of State and Foreign Policy Magazine. He indicated that from 1972 to 1974 he was legally designated as a Foreign Service Officer however, he was on leave without pay from the State Department working for and being paid by Foreign Policy Magazine, 11 Dupont Circle, Washington, D.C.

When preparing item 20, foreign countries visited. APPLICANT stated that he has visited nearly every country between Italy and Japan, except the Bloc countreis, he added that all travel was in conjunction with his official duties with the Department of State or his employment with Foreign Policy Magazine. APPLICANT indicated that his only travel to a Bloc Country occurred in November 1975 when he visited East Berlin. He stated that the purpose of this visit was a meeting with Ambassador John Sherman Cooper, and that he remained in East Berlin for approximately three hours. He stated that he crossed the border in an official limousine provided by Ambassador Cooper. He further added that following this meeting, he visited the National Musuem in East Berlin with a member of Ambassador's Gooper's Staff. He cont'rued that during this shore visit he had no contact with East German Personnel. LIMITED OFFICIAL USE



HOLBROOKE, Richard Charles Albert

Court, Southern District of New York, on June 29, 19hh, under Certificate No. 5960355. His mother, a national of Argentina, was naturalized in the United States Court, Southern District of New York, on April 11, 19h5, under Certificate No. 656054. SUBJECT'S mother is remarried to STANLEY B. KEARL, American born.

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### EDUCATION

# September 1954 - June 1956: Scarsdale, New York High School:

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Records reviewed in the Principal's Office, SCARSDALE HIGH SCHOOL, reflect APPLICANT was in regular attendance for the period noted above, and was graduated on June 20, 1958. He ranked 95th in a class of 277, averaging 86%. He was a semi-finalist in the General Motors National Scholarships, and was awarded an Alfred P. Sloan National Scholarship to BROWN UNIVERSITY. He was interested in the High School publications, and was popular with fellow students and teachers. The file contains nothing of a derogatory nature, and APPLICANT was not a disciplinary problem.

### EMPLOYMENT

#### June 15, 1961 - September 8, 1961: New York Times, New York City:

Employment records at the NEW YORK TIMES reflect AFPLICANT held a summer position with this New York City daily newspaper, as a copy boy, at \$60.00 per week, and left to return to College. His record is clear. Investigative file contains written favorable comments from his immediate supervisor and from the Managing Editor's Office. Sources interviewed are of the opinion_SUBJECT could have a permanent position with the TIMES after College Graduation.

#### SELECTIVE SERVICE

Files at the Belective Service System, Local Board No. 10, Mount Vermon, New York, were reviewed and reflect APPLICANT registered temporarily in Berkley, California, on June 13, 1959, and neglected to do so on time in Mount Vermon, New York. This was excused by the Board, and he supplied the completed questionnaire on July 23, 1959. His registration number is: 3010b1613, and his date of birth given as April 24, 1961 in New York City. He was classified 1-A on June 1, 1960, with no changes.

#### REFERENCES:

TR. WILLIAM WCCINER, Hartsdale, New York, und Yn. LEO ARMATI, Schrsdale, New York, listed references, supplied the Board of Foreign wrvice Examiners with satisfactory and commendatory written remarks recar in Will WT. I INTED OFFICIAL UNE



HOLBROOKE, Richard Charles Albert

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SUBJECT listed DAVID P. RUSK, as a reference. This is a son of Secretary of State RUSK, who was a one time resident of Scarsdale, New York, and APPLICANT and reference were close friends and attended High School together. MR. HUSK was in California, but is presently believed to be in Washington, D. C.

OFFICIAL USE

#### DEVELOPED SOURCES

MR. GEORGE PAUFF, Vice Principal, SCARSDALE, NEW YCHK HIGH SCHOOL, was interviewed in his office. He recalled APPLICANT well, advising that he was a better than average student, applied himself, and won a four-year scholarship to BROWN UNIVERSITY, where he was Editor-in-Chief of the campus newspaper, "The Brown Daily Herald". Source advised that AFFLICANT attended the Summit Meeting in 1960 as a college newspaper editor, and wrote articles for the "New York Times" regarding the conference events. He was a completely masculine youth, socially inclinded, was not too forceful orally, but had a real fair for writing. MR. PAUFF would have no reservation if APPLICANT were to be assigned to our Foreign Service.

MR. IRVING MOSCOVITZ, an attorney and a partner in the firm of Graubar & Hoscovitz, 40 Wall Street, New York City, and a Scarsdale, New York resident, was interviewed. Source advised he has known the APPLICANT'S family for the past ten or twelve years and APPLICANT'S father was a well-known physician, whose untimely death occurred about Since that time, AFLICANT has more or less been on six years ago. his own resources without a father's hand or counsel, but he has done He is intelligent, had a distinct flair for journalism, and well. was recently graduated from BROWN UNITURSITY. He has been a guest in source's home on many occasions and possesses all the necessary He is of excellent habits and morals, and source has social graces. never heard him speak in any way that might be termed subversive. Presently, he is rather "gawky" looking, loing over six feet tall and perhaps a little conscious of his height. He gets along well socially with both sexes, and is completely normal in manners and actions. Mr. MILCOVITZ would not hesitate to recommend him for our Foreign Service.

MR. MILINN FCX, 6-8 West 57th Street, New York Gity and a Coarsdale, New York resident, was interviewed. Source advised he has known AD-LICANT and his family for a number of years, having been near neighters when they resided on Cbry Drive in Scarsdale, "W York. - Ave insteads SUBJECT a very personable young man, highly intelligent, an excellent linguist and one which has been a good influence on other boys his are. He was employed by the "New York "ine" and on one cocasion, the furmit Conference in Paris 1960, he is the role fork Times", although he was the editor of his

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HCLBROOKE, Richard Charles Albert

from Cornell and he is hoping that he will take an interest in the Foreign Service. MR. FOX advised that APPLICANT has been a very close friend of DAVID RUSK, a son of the present Secretary of State, and perhaps this association lead him to choose the Foreign Service rather than a newspaper career.

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#### NEIGHBORHOOD CHECKS

#### June 1961 - Present: July Sprain Road, Scarzdale, New York:

This is the residence of APPLICANT'S step-father and his mother. It is the last house on a winding road and somewhat isolated. The Ashford Hills Boys Camp is directly across the road, and covers a large acreage. MRS. R. FEURER, number 340, a next door neighbor, was interviewed. She knows the parents fairly well, stating the family has lived here left than a year and she has seen APPLICANT infrequently. She considers him a young man of good behavior and ranners, nice looking, and is a college boy. He has never caused any disturbance in the area, and she has never heard anything derogatory about him or his family. MRS. S. D. SCHULTZ, number 338, is not acquainted with APFLICANT. Number 336, occupied by a family named HUTCHINSON, was apparently closed and no one could be contacted.

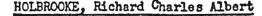
#### December 2, 1956 - May 30, 1961: 350 Central Park West, New York City:

This is a large apartment house in an excellent area of the City. APPLICANT'S mother held an apartment lease here for the period noted above. AFFLICANT was seldom here, being in college for the full period, and surmer vacations took him away. No one could be located who recalled AFFLICANT.

MR. HARCLD ILLIN, superintendent, recalled AFILICANT and his mother quite well. He stated that they had practically no interest in common with the other tenants, and as there are only four apartments on each floor, he could not think of anyone in the apartment building presently with when they were acquainted. MR. ILLUM stated APPLICANT and his mother were excellent tenants, caused no difficulty, and left at the termination of their lease when the mother purchased a home in Scarsdale, New York.

#### 1950 - Decenter 1951: 2 Obry Imive, Scarsdale, New York:

MAS. MILTON FOX, residing at 22h Nelson hoad, and MA. PETER MCCOVITZ, residing at 10 Cooper Road, Scarsdale, New York, were near neighbors of AHILLANT and his family when they resided here. Both sycke well and favorably of the APPLICANT, knowing him to be a young man of excellent willing morals and character. He and his family have clauge enjoyed an excellent reputation in the neight orhood, and neither source knows of the transform concerning to the AMM nor have they ever heard anything leropatory concerning his. Setting would doubt his complete loyalty to the United Statesty.



#### RECORD CHECKS

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#### Police:

Records of the following Law enforcement agencies were searched in the name RICHARD CHARLES ALBERT HOLBROOKE, with regative results:

OFFICIAL USE

Westchester County Sheriff, White Plains, New York. Police Department, Scarsdale, New York. Police Department, Town of Greenburgh (covers Scarsdale address)

White Plains, New York.

New York State Police, Executive Division, Albany, New York. New York State Department of Correction, Albany, New York. Bureau of Criminal Identification, New York City Police Dept. Bureau of Special Services, New York City Police Department. Information Unit, New York City Police Department. Old Record Room, New York City Police Department.

Credit:

The files of the Credit Bureau of Greater New York, Inc., New York City, contain no record in the name RICHARD CHARLES ALBERT HOLBROOKE.

> ADDENDUM * * EMPLOYMENT

# July 1, 1958 - Labor Day 1958: Recreation Department, Town of Scarsdale, New York:

MR. WILLIAM FOLEY, Superintendent of Recreation, advised that he did employ APPLICANT as a Tennis Court Attendant for the Summer Season of 1958. SUBJECT had just graduated from the local High School and had been a good student. He was quite capable, performed his duties well, got along well with others, and MR. FOLEY stated that he had nothing but good to say about him. He was a tail, nice looking young fellow and of good habits and character, and source knows nothing derogatory concerning him. APPLICANT received \$200.00 for the season's work, and MR. FOLEY has not seen or been in contact with him since the season terminated.

MR. FOLEY stated that he had previously advised the Board of Foreign Service Examiners at Washington, D. C., concerning APPLICANT, as he had received a questionnaire, concerning this employment.

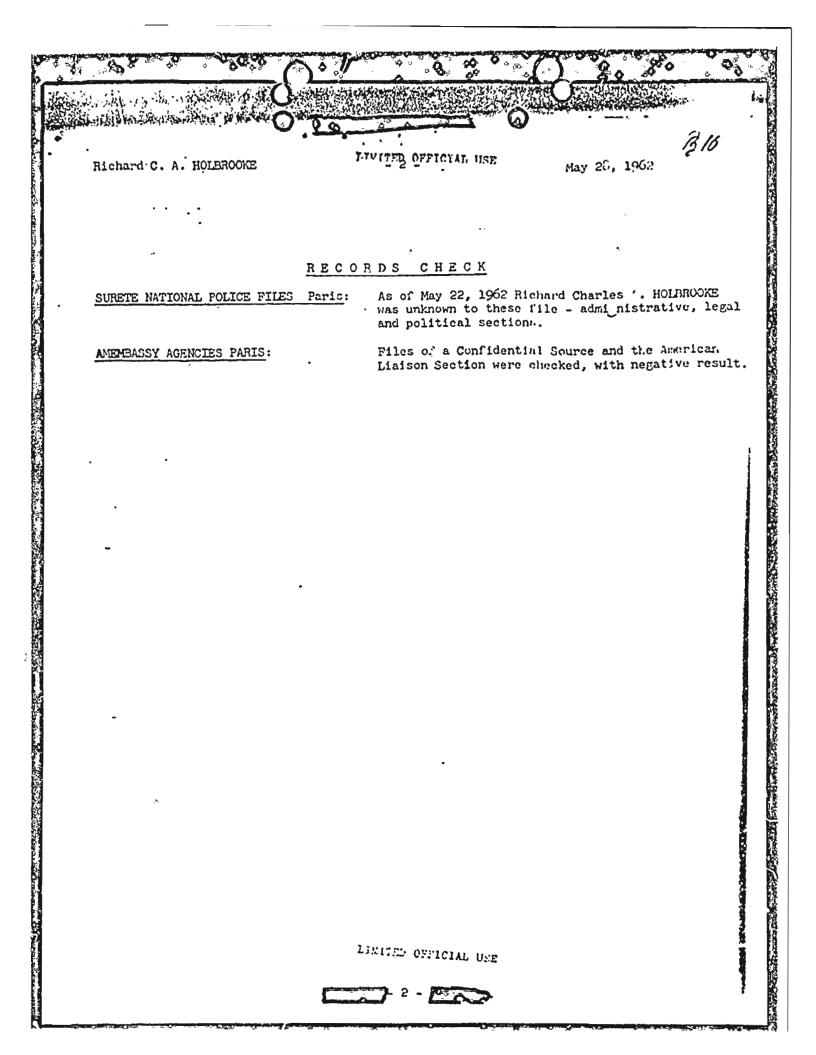
Copy of cited questionnaire is attached to the investigative file.



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HOLEROOKE, Richard Charles Albert

#### EDUCATION

September 1958 to date: Brown University, Providence, Rhode Island,

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Records of the Recorder's Office, Brown University, Providence, Rhode Island, were reviewed or May 15, 1962. These records reflect that the APPLICANT entered in September 1958 and has remained in attendance since that time, and is presently a candidate for an A.E. degree with a major in History. AP-PLICANT ranks in the upper third of his class, and nothing derogatory exists in this record.

Mr. EDWARD R. DURGIN, Dean of Students, Brown University, Providence, Rhode Island, was interviewed on May 15, 1962. Source stated that he has known APPLICANT for approximately four years and has had no reason to question APFLICANT's morals, character or loyalty to the United States. However, the source asserted that APPLICANT is opinionated, is rather direct and stands behind his convictions. In an over-all evaluation, source stated that APPLICANT would be considered average, and that he would recommend him for a position with the U. S. Department of State.

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Mr. DONALD G. ROHE, Professor of History, Brown University, Providence, Rhode Island, was interviewed on May 15, 1962 and advised that he has known the APPLICANT for approximately four yeers. Source stated that APPLICANT is single and a person of excellent morels and character and loyalty to the United States. Source added that, in his opinion, APPLICANT is conservative in his political outlook and a supporter of the U.S. form of government. As Editor of the school newspaper, APPLI-CANT has been involved in some controversies where he has attacked the administration of Brown University and, in his point of view, might be considered elightly immature. Perhaps AP-FLICANT's major weekness is his inability to finish a job completely. APPLICANT tends to be interested in doing a good job on some of his projects: however, after a few weeks has lest interest and has not used his abilities to the maximum. Source recommends APPLICANT for a position with the U.S. Derartment of State with certain limitations inasmuch as he feels APPLICANT needs constent supervision in order to acconstish a designated task.

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HOLEROOKE, Richard Charles Albert

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Mr. ISRAEL J. KAPSTEIN, Professor of English, Brown University, was interviewed on May 15, 1962 and advised that he had known the APPLICINT as a student for approximately three years. Source described APPLICANT as single and a person of excellent morals and character, and he has never had any reason to question his loyalty to the United States. Source assorted that APPLICANT believes in the U. S. form of government and is a supporter of it. On occasion, he has attacked the administration of the University while he was Editor of the school paper. In this attack on the administration, source's opinion and his points nat no foundation, nor were they logical and, as a result, he fuels the APPLICANT is a little immature. Bocause of his ettack on the administration of Brown University, APPLICANT has alienated some of the faculty. However, being truly objective, source feels that APPLICANT is intelligent amough to face reality, and that he recommends him for a position with the U. S. Department of State.

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#### NEIGHBOP.HOOD

September 1961 to present: 193 Power Street, Frovidence, Rhode

Mr. WALTER GORDON; Senior, Brown University, resident of 193 Power Street, Providence, Rhode Island, was interviewed on May 15, 1962 and advised that APPLICANT has lived in this building since September 1961. Source described the APPLICANT as single, never married, a person of excellent morals and churacter, masculine, sober, one who uses good judgment and loyel to the United States. Source has never hed any reason to question APPLICANT's political ideology and believes him to be a strong supporter of the U.S. form of government. While Editor of the school newspaper, APFLICANT was involved in several controversies because of his steack on the administration of Brown University. APPLICANT, in some of his articles, recommended changes in administrative procedures, and source added that APPLICANT tended to be outspoken and strong in his convictions. During his associstion with the APPLICANT, source had never heard APPLICANT indicate that he was a supporter of any type of subversive or questionable groups.

Mr. JOHN P. POOLER, resident, 193 Power Street, Provide. 3, Fhode Island, a senior at Brown University, was interviewed or Mar 15, 1962. Source stated that he had known APPLICANT for

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HOLBROOKE, Richard Charles Albert

spproximately four years and had resided with him at the above address since September 1961. Source described APPLICANT as single, never married, a person of excellent morals and character, mesculine and intelligent. Source added that, in his opinion, APPLICANT is a strong supporter of the U.S. form of Government and tended to be a little conservative. AP-PLICANT was Editor of the school newspaper and, in some of his articles, attacked the administration of Brown University. However, in his opinion, although he believes he aliensted some of the faculty, he was well-liked by all the students. Source recommends APPLICANT for a position with the U.S. Department of State.

LINITED OFFICIAL USE

# September 1958 to June 1961: Brown University, Providence, Rhode Island.

Mr. STANLEY E. PLUPMER, Assistant Manager, Man's Residence, Brown University, Providence, Rhode Island, was interviewed on May 15, 1962. Source advised that APPLICANT resided on compus from 1958 to 1961; during the school year of 1958-1959, he resided at 101 North Littlefield, and during the school years 1959-1961 at 215 Mead House. These residences are faculty supervised, and his dormitory record is clear. Source added that he had known APPLICANT for three years and had talked to him on several occasions. He considered him to be a fine boy whose morals, character and loyalty to the United States were above reprosch. Source added that APPLICANT has always given the indication that he was a strong supporter of the U. S. form of government, and that he would recommend him for a position with the U. S. Department of State.

#### RECORD CHECKS

#### Credit:

Providence Credit Bureau, Providence, Rhode Island no record - May 15, 1962.

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Providence Police Department, Providence, Rhode Island ng record - May 19, 13.2.

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	L request from Board of	Examiners received	on April 6, 1962.
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by a desire to completed succes his senior year of Arts degree been married, no advised that he his 4th or 5th to HOLEROOKE, wi	hington for the past few take the oral examination asfully. He further stand at Brown University, wh in June 1902. APPLICANT or has he any plans for enjoys e collent health year. He remarked that hen he lived in Russia, are of the original fami	ns for the Foreign ted that he is pre- ere he expects to noted that he is matrimony at prese and has not been his father changed prior to his (APPI	Service, which he sently enrolled in receive his Bachelor single, has never nt. Mr. HOLBROOKE hospitalized, since i his original surname JICANT's) birth, and
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HOLBROOKE, Richard Charles Albert

necessary; he could obtain this information from his paternal grandmother, who also accepted the name HOLBROOKE. He implied that he is unaware of his father's specific reason for this action, but assumed it was done to Americanize it.

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APPLICANT asserted that his college career at Brown University has been free of incidents or situations necessitating intervention by the school authorities with disciplinary restriction. He admitted that, during the summer of 1959, he attended the University of California, at Berkeley, for a very short period, where he started courses in Journalism and Russian. He added that, when he learned that Brown University wouldn't allow him full credit for these courses, he withdrew. He further stated that his attendance lasted no longer than a month and that he lived in an apartment in Berkeley, with his listed reference, David RUSK, for this period and the rest of the summer. APPLICANT indicated that the exact address of this residence was unknown to him, but that Mr. RUSK, a former high school classmate, had lived at the apartment previously and would undoubtedly remember its location. APPLICANT insisted that he forgot to list this period of education on his application, because of its short juration. He noted that his original purpose in going to California was to visit Mr. RUSK, and his enrollment at the University was secondary.

Mr. HOLBROOKN remarked that Professor I. J. KAPSTEIN, a present instructor at Brown University; Professor Klaus EPSTEIN, a History teacher; Professor Donald ROHR, History Department Chairman; Charles H. WATTS, Jr., the College Dean; and Barnaby C. KEENEY, the University President; were all acquainted with him and aware of his activities and behavior at the University, during the past four years. He further advised that John PAOLER, a present roommate; Walter GORDON, another roommate; Prentiss BOWSHER, and Robert EBIN, both co-workers on the school paper; were his closest friends at college.

Kr. HOLDROOKE indicated that he has been active in the publishing of the school newspaper for the past three years, and presently holds the position of Editor-in-Chief. He explained that the paper is a daily and that he has frequently written editorial comments for it. He mentioned that the President, Mr. KEENEY, frequently disapproved of his articles, but that these articles we're concerned only with internal school iniquities or failures. APPLICANT added that, on one occasion, he awthored an editorial criticizing the poor quality of the food served on campus, and for this action he was subsequently notified of Mr. KEENEY's displeasure.

Hr. HOLBROOKE stated that, on another occasion, a group of Professors, at Brown, desired the abolishment of the House Un-American Activities Committee, and publicized their viewpoint. Subsequently, a group of citizens accused President KEENEY of being soft on Communism, because he did nothing to these instructors for advocating such a measure. APPLICANT contended that President KEENEY publicly derended the right of these Professors to make such comments,

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#### HOLBROOKE, Richard Charles Albert

although he never made his position known with regard to the proposed elimination of the House Committee. Hr. HOLBROOKE admitted that he supported the President's actions in an editorial, published subsequently in the school paper. APPLICANT further stated that he feels the House Committee has a right to exist, and he emphasized that he, in various discussions with fellow classmates, has defended this position. However, APPLICANT mentioned that the House Committee has, in the past, harmed the reputations of innocent people and its accomplishments to date are not sufficient to justify the taxpayer's funds required to keep it operating.

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APPLICANT declared that the movie "Operation Abolition", which was designed to show how college students were influenced by hard core Communists, feiled to prove its point. He implied that, in his opinion, the students, which appeared in the movie, were not influenced by Communist Party members to the extent depicted. He added that he reached this conclusion, after receiving a letter from a friend, who was attending the University of California, at the time. He further stated that his friend advised him that the police actually provoked some of the students, who appeared in the film, as rebellious rioters. APPLICANT informed that the movie actually achieved an unintended effect, because it aroused everybody's interest in national affairs, where, previously, they were apathetic. APPLICANT stated that, in his opinion, the movie was produced by a conservative group, who attempted to prove their point too strongly.

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Mr. HOLBROOKE remarked that, after listening to President KENNEDY's speech, justifying the resumption of nuclear testing, he could not fail to agree that this was the only course available to the country, even though he was sorry it had to happen, because of the potential danger to an individual's health and well-being. APPLICANT noted that, although he has no religious affiliation at present, he attended meetings of the "Friends" a few years ago in Scarsdale, New York, because their philosophy regarding nuclear testing and non-participation in military service by conscientious objection appealed to him. He explained that this societ" does not want nuclear testing by this country, no matter what the cost may be. He added that they also believed an individual could conscientiously object to entering military service, because the Armed Forces were trained to eventually use nuclear weapons, if a state of war erupted. Mr. HOLBROOKE asserted that he has no qualms about entering the military service, and will not besitate to do so, if called upon. He remarked that he is presently classified 1-A and has been for the past two or three years. He said that, because of his age, he never needed to request a deferment to finish school, but was certain, if he had done so, such deferment would have been granted and his classification changed to 2-S. APPLICANT, at this point, advised that he had neglected to notify his draft board of his present address, and admitted that he has lived at about two or three different residences, since last corresponding with them. He emphasized that he would immediately notify his draft hoard regarding his present status. Mr. HOLPROOKE remarked that within

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HOLBROOKE, Richard Charles Albert

about three weeks, he would be eligible to vote and that he would, at that time, either become a member of one of the two major political parties or remain non-affiliated.

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APPLICANT explained that his present residence is a ground floor apartment, situated about three-eighths of a mile from the campus, and which includes two bedrooms with separate sleeping facilities for each occupant. He added that, during preceding school years, he resided on campus, at 209 Hegeman Hall, during 1958-1959, 101 North Littlefield Hall, for a portion of the fall, 1959 semester, and at 215 Mead House, for the remaining school terms, until arriving at his current residence. APPLICANT insisted that his mother's residence is considered by him to be his permanent address, although he admitted never living with her for any extended period, since enrolling at college. Hr. HOLBROOKE noted that his mother remarried after his father's death, and that his stepfather is an artist and sculptor. He emphasized that he has always enjoyed a friendly and compatible relationship with his stepfather, and could reside with him, if he ever so desired. Mr. HOLBROOKE disclosed that, from early June 1960 until early September 1960, he and Lawrence CHASE, the former editor of the school paper, occupied an apartment at #14 Jones Street, in Greenwich Village, while they were employed by the NEW YORK TIMES. He doubted if any neighbors remembered him and he was unable to recall the landlord's name, however, he noted that the apartment was rented through a rental agency, located at 55 Park Avenue, New York City. He insisted that his residency at this location was unmarred by any incidents, which would reflect adversely on his personal sharacter, and he emphasized that it was not noted on his application forms simply because he forgot about it.

Mr. HOLBROOKE asserted that the information shown on his application forms, rigarding foreign countries he has previously visited, is correct and complete, to the best of his knowledge. He contended that, during the summer of 1960, when employed in Paris, he had lives in a small apartment, but was unable to remember the address. He explained on these visits, he either stayed with relatives or friends, or utilized as -- a " iodgings. He insisted that Yugoslavia was the only Iron Curtain country he ence _sited, and noted that there were no unusual incidents or happenings which counted during his week long visit to this country. He further stated that no individual ever attempted to influence his political beliefs, while he was on foreign soil. He recalled that Michael FOX, who is presently a senior at the Liberal Arts College of Cornel). University, accompanied him on his trip in 1960, and that Dr. Claude CHEETIEN, a medical school classmate of his father, frequently provided overnight lodgings for him on his visits to Europe. He indicated that Dr. CHRETIEN resided at #10 Avenue, De La Gar, Romorantin, Loir-Et-Cher, France. Mr. HOLBROOKE mentioned that Dr. CHRETHEN fought in the Resistance Movement, during World Wa II, and was definitely not a Communist or a Fascist.

Mr. HOLEROOKE conceled that, guring high school, he never took his studies too seriously, but denied ever being suspended from school or subjected to any

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HOLBROOKE, Richard Charles Albert

serious disciplinary action by the school authorities there. He informed that Franklin MYERS, an English teacher; Mrs. BARTLETT, another English teacher; and Mr. PRATT, a Mathematics instructor; were members of the high school faculty, who would probably remember him.

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Mr. HOLBROOKE advised that he has been the recipient of mannual scholarship, amounting to \$1700, since entering college. He explained that his grade in the National Merit Examinations, given when he was in high school, was sufficiently high enough to qualify him for such financial assistance. He added that the remainder of the funds required for his tuition and subsistence come indirectly from his maternal grandmother, who resides in Switzerland. He remarked that her lawyer, Rene LOEV, 52 Wall Street, New York City, forwards to him any necessary funds for living expenses. APPLICANT further stated that it was quite possible that Mr. LOEV was merely furnishing him with his own money, since he presumed that his grandmother had made investments in his own name, and that Attorney LOEV merely managed these investments. Mr. HOLBROOKE indicated that he is not presently acquainted with any State Department employees, but that he desires to enter the Foreign Service, because he is interested in Government and would like to feel that he contributed toward obtaining world peace through implementation of America's foreign policy.

Mr. HOLBROOKE advised that he has never been arrested or involved with the legal authorities in any manner; that he has never consulted a psychiatrist nor is there any history of mental disorder throughout his family; that he has never either witnessed or participated in a homosexual act; that he has no investments in foreign countries or foreign corporations; that his use of intoxicants is on a limited social basis and has never constituted a problem for him; that credit facilities have never been refused him nor has he ever been sued for disregarding his financial obligations; and that there is nothing in his background which could not bear public scrutiny. APPLICANT also denied having any sympathy for Communism as a form of government, and he mentioned that no other family members or relatives had done anything to further the cause of the Communist Party.

Mr. HOLEROOKE appeared for the interview neatly and appropriately attired. He exhibited some nervousness and impatience, but apparently responded truthfully. There were no objectionable or effeminate mannerisms evident.

ATTACHMENTS: (to original only)

Standard Forms 2t and 57, with supplemental form.
 Two executed Selective Service releases.

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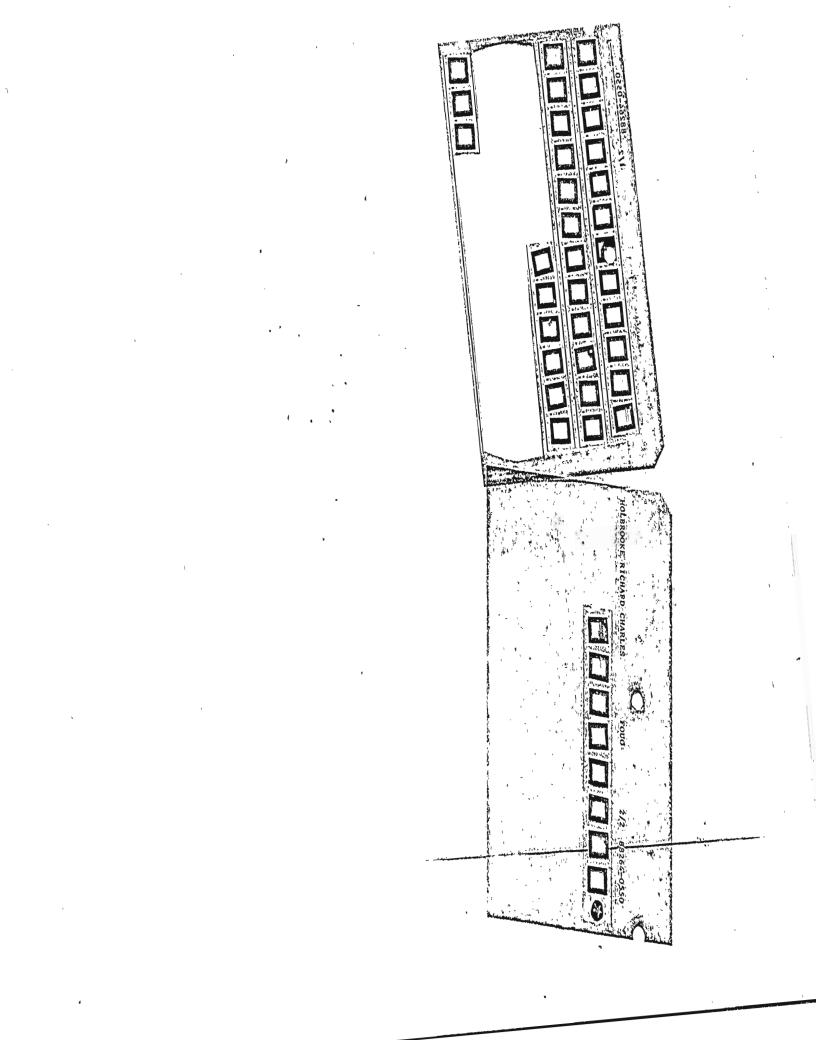
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DEPARTMENT of DEFENSE DEFENSE INVESTIGATIVE SERVICE HOLDROOKE (RICHARD) CHARLES 🌢b6 Per DOD (B3) FILE NO: ARNING THIS FILE US THE PROPERTY OF THE DEFENSE INVESTIGATIVE SERVICE CONTENTS MAY BE DISCLOSED ONLY TO PERSONS WHOSE OFFICIAL DUTIES REQUIRE ACCESS (HERETO) (CONTENTS MAY NOT BE DISCLOSED) TOTHE (PARTY(S)) (CONCERNED) WITHOUT: SPECIFIC AUTHORIZATION FROM THE DEFENSE INVESTIGATIVE SERVICE. SPECIAL INSTRUCTIONS: It is cortified that the material in this file is being retained pursuant to DoD Directly 5200.27, DIS Regulation. 20-2 and DIS Manual 28-2: Signature Date Acquired SEP-0-1-1990 ears 25 Years Permanent RETAIN FOR: 60 Days 1-Year 15) FOR OFFICIAL USE ONLY RETENTION CONTROL SHEET Previous edition will be used until exhausted. DIS SE Fab 3)

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<ul> <li>two to three times weekly contact as friend from 1986 to present "TG BLOCAL AGENCY CHRGM</li> <li>B. Records of the New York City (NY) Police Department (NYPD), servicin York, NY could not be searched at this time." NYPD is presently involved litigation not related to DIS and will not conduc, searches of its indicates information from its records. (S/A D J WALSH)</li> <li>COURT RECORDS</li> <li>9. New York City (NY) Criminal Court, New York County, servicing New York (Record information prior to August 1976 is not obtainable without number or exact arrest date.) (S/A WALSH)</li> <li>FORKIGN TRAVEL</li> <li>10. Janktow, Mai, and Wilson, fully identified above, advised that Subject reveled to Japan, bondon, and the Philippines. References indicated the Subject reveled to Japan, bondon, and the Philippines. References indicated the Subject's travels. References indicated the subject's travels at the formation and were unaware of the details of Subject's tript.</li> <li>11. Tarketf, fully identified above, advised that Subject's tript.</li> <li>12. Tarketf, fully identified above, advised that for any box formately two to three days, however adpress thigs.</li> <li>13. Tarketf, fully identified above, advised that Subject's tript.</li> <li>14. Tarketf, fully identified above, advised that Subject travels extern incomposite additional information and were unaware of the details of subject's tript.</li> <li>15. Tarketf, fully identified above, advised that Subject travels exterm incomposite at any foreign national approaching Subject for a formation, nor of any details of his trips.</li> <li>16. An Interview of Subject was conducted on 0 Aug 88 as part of a Backg new triper interview of Subject was conducted on 0 Aug 88 as part of a Backg new triper light.</li> <li>19. An Interview of Subject was conducted on 0 Aug 88 as part of a Backg new triper light. This interview required 1 hour.</li> <li>10. New Mitreed, CT. Subject stated that he visited this home on weeket</li> <li>11. New Mitreed that this permenen</li></ul>	er DOD
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throughout Europe, the Eur Mast, Asia, the Middle East and Africa. Tarnet recalled once when Subject and Les Gelb, editor of the New York Times tra- for approximately ten days to the Soviet Union on a business trip. Tarnet thows of ne incidents of any foreign nationals approaching Subject for information, nor of any details of his trips. SUBJECT INTERVIEW 2. An Interview of Subject was conducted on 9 Aug BB as part of a Backy investigation. This interview required 1 hour. Subject advised that this permanent mailing address is. Upper Church His address is. Upper Church His approximately 25 to 10 times a year since May 86, however Subject present	han at le er
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NR. RICHARD HOLBROCIE WORLD FINANCIAL CENTER NEW YORK 10285 U.S.A.

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Madrid, 07 de Junio de 1.988.

Nuy señor/es nuestro/s:

Nos complace remitirle/s su cartera de Valores, al 31 de Mayo de 1.988, así como la relación de las operaciones efectuadas durante dicho mes de Mayo.

Sin otro particular, aprovechamos la ocasión para saludarle/s muy stentamente,

ave 2

Edo.: Ramón Rodrigañez Casado

ANEXO: Citado. VM/ac.

Sede Central:

Ruiz de Alarcon, 7 - 28014 Madrid

Delegaciones: BARCELONA + PAMPLONA - SEVILLA

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# HOLBROOKE, Richard Charles, SSN:

IBI, DIS, 1 September 1988, 88172-DR2-0543-1B3

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A Developed Reference reported that Mr. Holbrooke spent 10 days in the Soviet Union on a business trip. Source did not provide dates. SUBJECT did not list this travel on his 6 Jun 1988 DD 398, nor did he list his 1975 travel to East Germany.

Please interview Mr. Holbrooke to obtain dates and details of all foreign travel and associations which were not provided on his DD 398 and in his 9 Aug 88 Interview, with particular emphasis on designated countries/associations.

A Department of State Investigation indicates that Mr. Holbrooke was once a member of The Fair Play for Cuba Committee. Request he be questioned regarding this alleged membership.

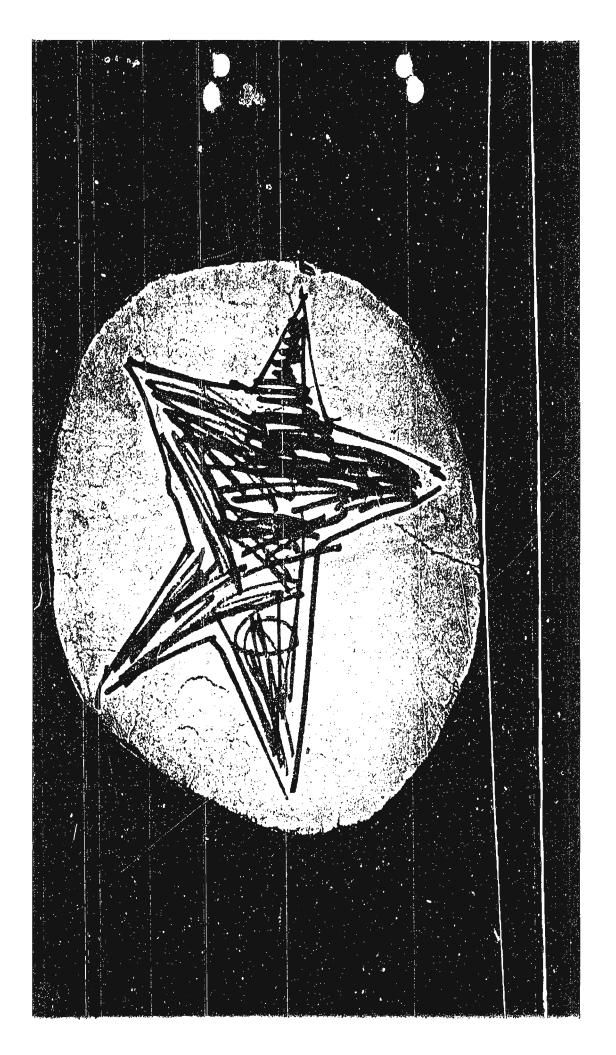
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### MMON LANGUAGE FOR CONSUMER C

## ECOA CODES WITH DEFINITIONS

I - Individual: Account for individual use



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- J Joint: More than one person on account who is contractually liable for payment A - Authorized User: When someone is authorized to charge on account but not responsible for payment
- S Shared Account: Account unable to distinguish if joint or authorized user
- C Comaker: When individual has guaranteed the loan should maker default

- B On behalf of: When Individual has signed application for the purpose of securing credit for another individual other than spouse
- M Maker: This individual is responsible for the account which is guaranteed by a comaker
- U Undesignated

#### DATE INDICATORS

	Automated	
С	Closed	
v	Verified	

Paid Out Р M Manually Updated

GLOSSARY OF TERMS Credit & Account #: Reporting subscriber's name and consumer's account number.
Present Status: Indication of payment condition of the account as of the date reported.
Historical Status: The consumer's payment history.
Date Reported: The date the account status was reported to the credit bureau.
Date Opened: Date the account was opened.

High Credit: The amount of the loan or credit established.

Inquiries: Indicate a credit report was received by the listed subscriber. Inquiries checked for previous 90 days.

Note: Any other additional information needed to complete the Residential Mortgage Credit Report.

*: Denotes adverse information shown on files.

Source Vendor: Repositories accessed to produce the Residential Mortgage Credit Report.

+ Below: Review below for additional information.

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Balance Owing: Current balance on the account as of the reporting date.

Amount Past Due: The amount past due on the account as of the date reported.

No. of Months: The number of months the subscriber reviewed the account with the credit bureau.

Historical Payment History: 30 days past due date 60 days past due date 90 days past due date

#### TERMS: OF SALE

Open Account (30 days or 90 days)	0
Revolving or Option (Open end a/c)	R
Installment (fixed number of payments)	1

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USUAL MANNER OF PAYMENT		TYPÉ COÙ	
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Too new to rate, approved but not used	0	0	0
Pays (or paid) within 30 days of billing; pays account as agreed	1	1	1
Pays (or paid) in more than 30 days, but not more than 60 days, or not more than one payment past due	2	2	2
Pays (or paid) in more than 60 days, but not more than 90 days, or two payments past due	3	з.	з
Pays (or paid) in more than 90 days, but not more than 120 days, or three or more payments past due	4	4	4
Account is at least 120 days overdue but is not yet rated "9"	5	5	5
Making regular payments under Wage Earner Plan or similar arrangement	7	7	7
Repossession, (indicate if it is a voluntary return of merchandise by consumer)	8	8.	8
Bad debt placed for collection; skip	9	9	9

CBR

# CBR MORTGAGE SERVIC

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July 5, 1994

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  - Z508... Sacramento County Records 720 9th Street Sacramento, CA 95814 (916) 440-6334
- Z484... Manhattan Civil Court 111 Century Street New York, NY 10013 (718) 553-7071
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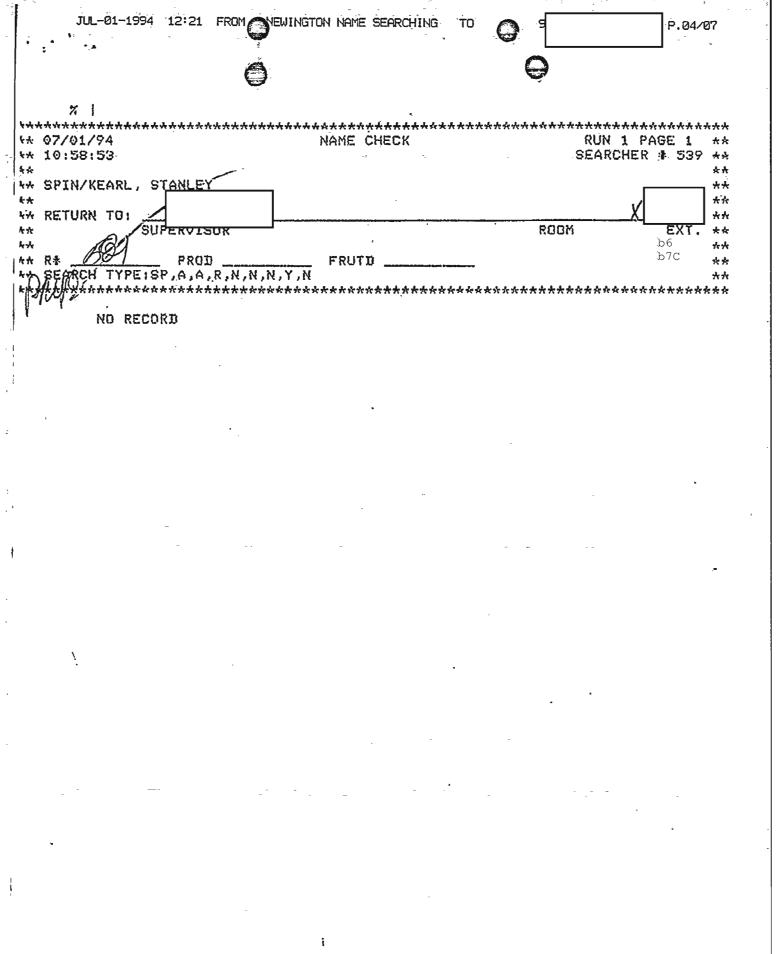
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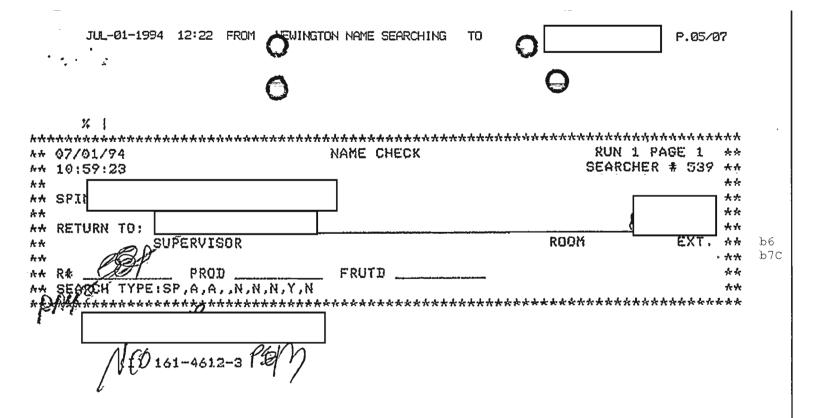
12.20 FRUIT NEWINGTON INDUC DEMICITING: TO r.02/01 in she ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED 1 DATE 05-18-2011 BY 60324UCBAW/SB/CMW **************** RUN 1 PAGE 1 07/01/94 NAME CHECK ** SEARCHER # 539 ** 10:55:17 ** SPIN/HOLBROOKE, RICHARD, CHARLES ALBERT ** ** RETURN TO: ROOM * ** FRUTD 62 PROD 82 YPE:SP,A,A,,N,N,N,Y,N ** ******* ***** HOLBROOKE, RICHARD, CHARLES bб 461-7 JUL -55 1994 (-<u>+</u>--) .b7C HOLBROOKE, RICHARD .90-9058 105-316557-141 HR R5UD 109-12-A--WASHINGTON PUST 1512-19-78--12-370-A--WASHINGTON STAR NEWS 12 1-1-25 HOLBROOKE, RICHARD, CHARLES 12L -4612-47 (17 HOLBROOKE, RICHARD, CHARLES ALBERT - Alab 161-4612 13 HOLBROOKE, RICHARD, CHARLES st (1)-161-4612 (-I-)--1-61-461-2-A HOLBROOK, RICHARD 65-74080-1000-ENCH-P40 539 HOLBROOKE, RICHARD 65-74060-1077-84 539 <del>?52 &9--980--96</del> <del>14000-30</del> 539 WUL 0 8 1995 63-74080-39 537 HOLBROOKE, RICHARD, C 74060-1067 535 JUL 1 '94 1:23 703 550 3349 PAGE.002-

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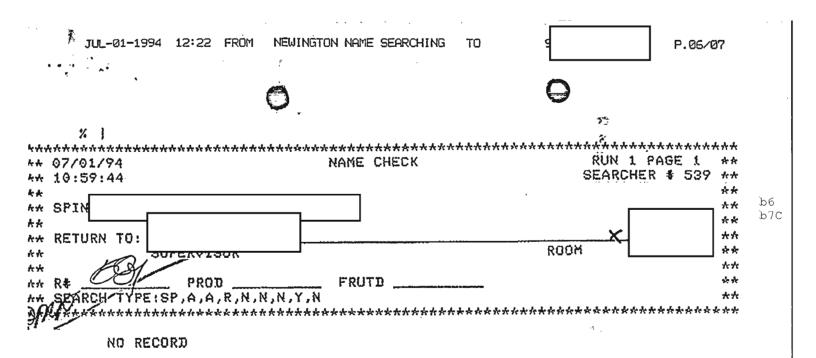


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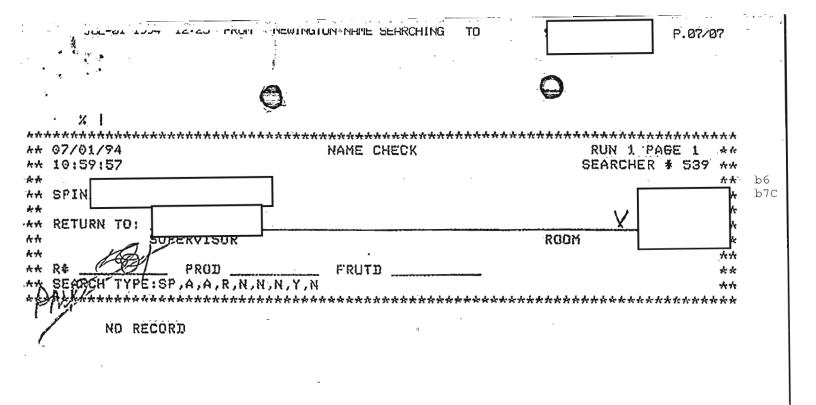
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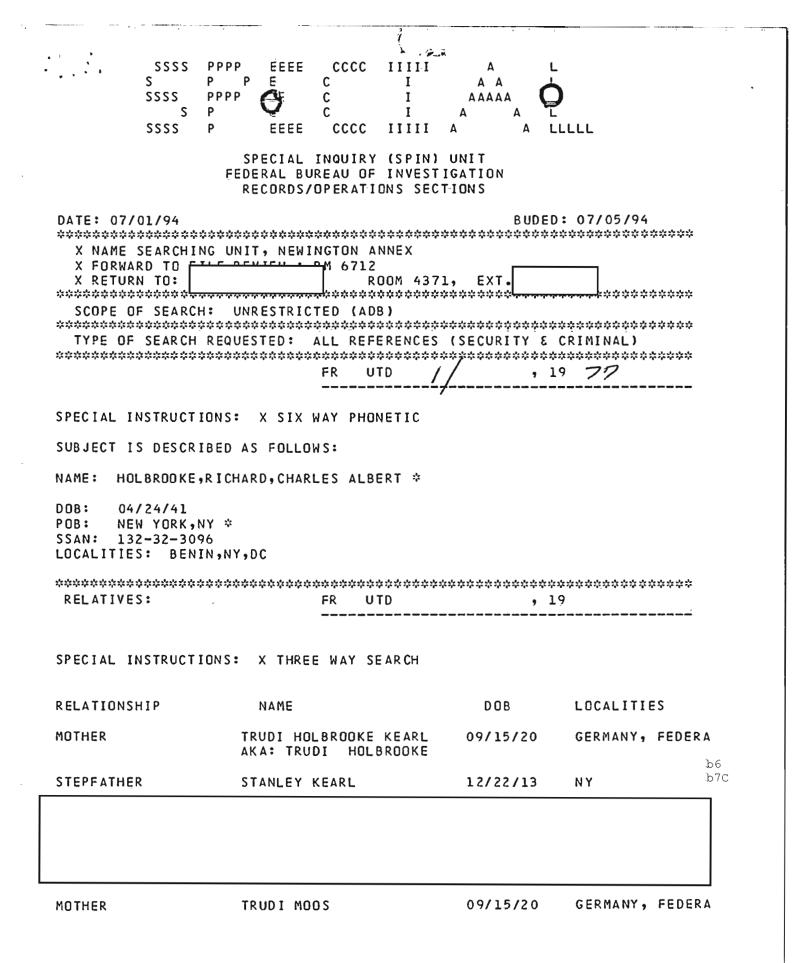
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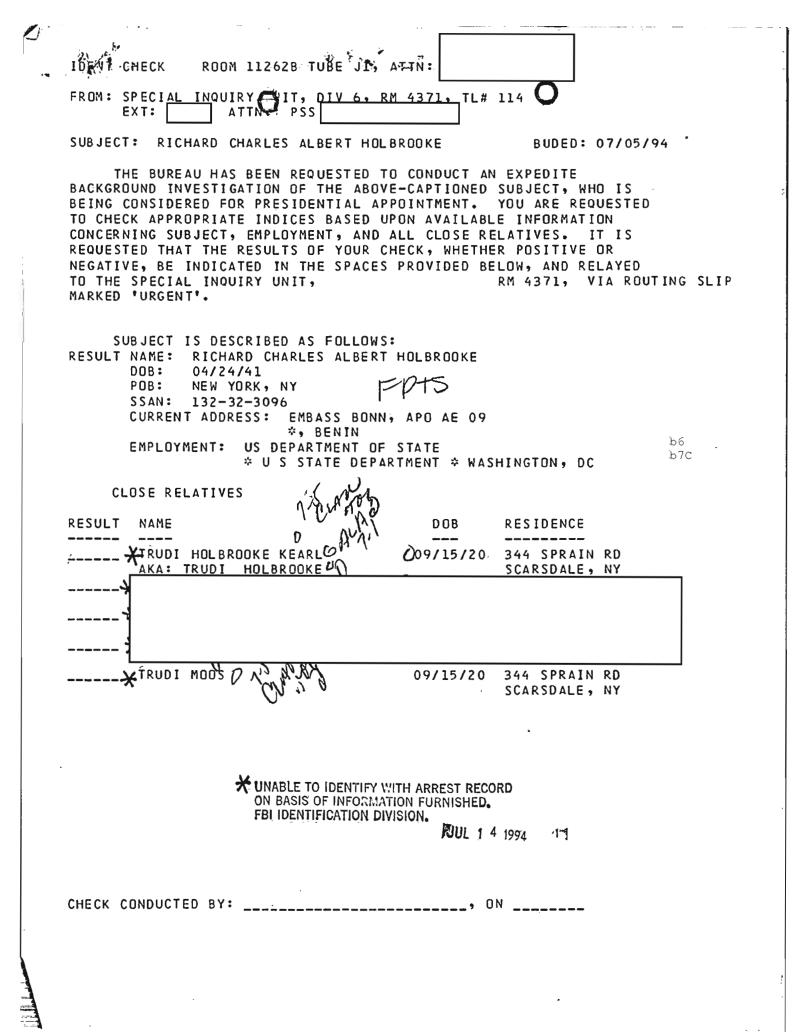


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PCN 941867202007 0CA HOLBROOKE,RICHARD C W 601 04/24/41 USCICOOOZ CONFLICT MNU SEX M PRT REC WASHINGTON US 07/05/94 A SEARCH OF THE FINGERPRINTS ON THE ABOVE INDIVIDUAL HAS FAILED TO DISCLOSE PRIOR ARREST DATA. IDENTIFICATION DIVISION 07/13/94 FEDERAL BUREAU OF INVESTIGATION

> USCICOOOZ CONFLICT OF INTEREST COUNSEL THE WHITE HOUSE WASHINGTON, DC 20500-0001

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FROM:	Special Counsel to the President
SUBJECT: F	FBI INVESTIGATIONS
	name Richard Holbrooke ssan 132-32-3096
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Present Addre	ess U.S. Embassy Bonn
We request:	Copy of Previous Report
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	Other
The candidate	e named above is being considered for:
	<u>×</u> Presidential Appointment <u>×</u> Requiring Senate ConfirmationNot Requiring Senate Confirmation
	White House Staff Position
Attachments:	-
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	cial Instructions:

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THE WHITE HOUSE WASHINGTON

MEMORANDUM FOR PROSPECTIVE APPOINTEES

FROM: OFFICE OF COUNSEL TO THE PRESIDENT

This memorandum confirms in writing your express consent for the Federal Bureau of Investigation to investigate your background or conduct appropriate file reviews in connection with the consideration of your application for employment.

The FBI investigation will include the collection and use of relevant information concerning your personal history, and it is necessary that you authorize the disclosure of such information to the FBI. Information may be disseminated outside the FBI when necessary to fulfill obligations imposed by law.

By volunteering information concerning activities protected by the First Amendment, it will be assumed that you are expressly authorizing the maintenance of this information in the records of any Federal agency.

If you consent to such inquiries, please sign your name below and return this original memorandum of consent to this office.

Name (please print or type) 7 Horbrooke,	Richard Charles Albert
Signature X R	Date <u>6/24/</u> 94

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	Standard Form 86
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	U.S.Office of Personnel Management
	FPM Chapter 732

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QUESTIONNAIRE FOR
SENSITIVE POSITIONS
(For National Security)

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Form approved: O.M.B. No. 3206-0007 NSN 7540-00-634-4036 86-110

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#### WHERE YOU HAVE LIVED 9

- Fill in your full address for every place you have lived beginning with the present (#1) and working backward 15 years. If you attended school away from your permanent residence, list the address you lived at while attending school.

• For any address in the past 3 years:

- List a person who knew you at that address, preferably someone who still lives in that area.
- If address listed is "General Delivery," a Rural Route, or Star Route, provide directions for locating the residence on an attached continuation sheet, and show the block #.

#1 9/23 present U.S. Emba	assy Bonn, APO AE 09080	Apt. #	(Legat 1	Bonn	State ZIP Code
Present 97,988 present U.S. Emos	Sweet Address Lehman Brothers		(Country)on Star		Telephone Number
	800 Conn. Ave_S	uite 1	200 1 101	20006. j	202 452-4700
Month/Year Month/Year Street Address #2 08/88 To 09/93 213 East	71st Street	Apt.# , 5	City (Country)	NY	State ZIP Code
Name of Person Who Knows You	Street Address Apt. #	-	(Country)	ZIP Code	N ₁ Y 1 0 0 2 1 Telephone Number
			्र	每百个社	( )
Month/Year Month/Year Street Address		Apt. #	CITY (COLUMN)	FO)	State ZIP Code
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					b7
Wonur rear wonth/Year Street Address		Apt. #	City (Country)	Arreste	State ZIP Code
1980 To 08/81 3032 N.St Name of Person Who Knows You	reet, NW Street Address Apt. #		Washington (Country) State	Zindode e	0 C 2 0 0 0 0
Ambassador Pamela Harriman	American Embassy			10/10/1	
Month/Year Month/Year Street Address		Apt. #	City (Country)	Rice	Step. ZIP Code
04/77 1980 2001 Conn	Cticut Ave., NW	401?	Washington		Drc 21 1.1 1
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Give full names and enter the correct1 - Mother (first)4 - Stepfathe2 - Father (second)5 - Foster pa3 - Stepmother6 - Child (additional)	r rent	7 - Stepo 8 - Broth	er 10 - Step	brother 13 - Ha sister 14 - Fa	lf-sister 16 - Guardia ther-in-law <u>other-in-law</u>	an
Name (if deceased, check box on the left before entering name)	Code	Date of Birth Month/Day/Year	Country of Birth	Country of Citizenship	Current Street Address and City (country) of Living Relatives	Stat
Trudi (Holbrooke) Kearl	1	09/15/20	Stuttgart,	USA (NY)	344 Sprain Road, Scarsdale	N
Dan Holbrooke	2	09/30/14	Warsaw _	USA X		
Stanley Kearl	.4	12/22/13		USA (NY)	344 Sprain Road, Scarsdale	
	, <b>"</b>	12/22/10	UDA		JSCarsuale	
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YOUR MARITAL STATUS **A1	Ĺ			-	-	ľ
Country of Critizenship If Separated, Date of Separation (Mo./Day/ Address of Current Spouse (Street, city, ar		Legally Separated, W	Place Married (Include count here is the Record Located)	· · ·	State ZIP Cod	Stat Stat
Former Spouse(s) Complete the following			uso blook aboots if peoded			
				ry if outside the U.S.)		Stat M
USA Check One, Then Give Date	-	1964	Saigon, Republ.	tc of Vietnam	nty)	Stat Stat
X Divorced Widowed		1972	Washington			ים
PERSONS LIVING WITH YOU Does the citizen of another countrinformation required below. If a U country of citizenship below. Don	nited S	tates citizen by ot	her than birth lives with	you, show both "Un		No
Name of Person			Country of Citizenship		Relationship	
	orf Dr	0 continuities - bit	-			
concludes Part 1 of this form. If you have use lete any of the questions in Part 1, give the n			he space to the right:		→	
er your Social Security Numbe ge 6	r ber	re going to the	e next page	Q	→ 1 3 2 - 3 2 - 3	09

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' Rev U.S	ndard Form 86 vised December 1990 Coffice of Personnel Management M Chapter 732	О.М.В	approved: 3. No. 3206 7540-00-63 0 `	
Π	Part 2			
20	YOUR SELECTIVE SERVICE RECORD	••••	Yes	No
	a. Are you a male born after December 31, 1959? If "No," go to 21. If "Yes," go to b.		<u> </u>	XX
	b. Have you registered with the Selective Service System? If "Yes," provide your registration number. If	"No," show the		
	reason for your legal exemption below.			1
	Registration Number Legal Exemption Explanation			
04		an an an an an an an an an an an an an a		
21	YOUR MILITARY RECORD a. Have you ever received other than an honorable discharge from the military? If "Yes," provide:		Yes	No
	Date of Discharge (Month and Year): Type of Discharge:			XX
	b. Have you ever been subject to court-martial or other disciplinary proceedings under the Uniform Code of			
	If "Yes," list any disciplinary proceedings in the last 15 years and all courts-martial. (Include non-judica mast, etc.)	al and Captain's	200	ŀ .
			<u></u>	State
	Month/Year Charge or Specification / Action Taken Place (City and country/country if outside the United States)			1
:		<u> </u>		<u>  '</u>
-				
<b>22</b>	YOUR EMPLOYMENT RECORD Has any of the following happened to you in the last 15 years? If "Yes," begin with the most recent occurre	ence and no	Yes	No
	backward, providing date fired, quit, or left, and other information requested.			xx -
,	you'd be fired Unsatisfactory performance MontfvY(ear Code Specify Reason Employer's Name and Address	State		Code
			11	
23	YOUR POLICE RECORD (Do not include anything that happened before your 16th birthday.)		Yes	
	a. Have you ever been charged with or convicted of any felony offense?			XX
	<ul> <li>b. Have you ever been charged with or convicted of a firearms or explosives offense?</li> <li>c. Are there currently any charges pending against you for any criminal offense?</li> </ul>		_	XX
	d. Have you ever been charged with or convicted of any offense(s) related to alcohol or drugs?		<u> </u>	
	<ul> <li>e. In the last 5 years, have you been arrested for, charged with, or convicted for any offense(s) not listed i c, or d above? (Leave out traffic fines of less than \$100.)</li> <li>If you answered "Yes" to a, b, c, d, or e above, explain your answer(s) in the space provided.</li> </ul>	n response to a, b,		XX
	MonthyYear Offense Action Taken Law Enforcement Authonity or Court (City and county/country if out)	side the U.S.) State	ZIP	Code
		. 1		
				· · ·
24	YOUR MEDICAL RECORD		Yes	
	<ul> <li>a. Have you experienced problems on or off the job because of any emotional or mental condition?</li> <li>b. Have you ever seen a health care professional for any of the types of problems mentioned above?</li> </ul>			<u> </u>
	W. There you ever seen a normal care professional for any of the types of problems mentioned 20048?			xx
	If you answered "Yes" to questions a or b, explain below.			
	MontlyYear MontlyYear Explanation			
		· · · ·		
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a.	prescrij (cocain etc.). (i	ption, Ille le, amph NOTE: T	gal drugs in etamines, et <i>he informati</i>	clude marijuana, d ic.), depressants (	cocalne, has barbiturates,	hish, narco , methaqua	otics (opium	, morphi uilizers,	rugs? When used without a ine, codeine, heroin, etc.), stimulants etc.), hallucinogenics (LSD, PCP, ided for use in any criminal		XX
b.	Have y	ou expe		lems (disciplinary	actions, evi	ctions, forn	nal complaiı	nts, etc.)	) on or off a job from your use of		·
	If you a	answered							es of substance(s), the nature of the a	ctivity,	and
	th/Year M		s relating to		with illegal ( Explana		cohol. Inclu	Jde any	treatment or counseling received.		
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, 	To	, :									`
	j. To										
			IONS RECO							Yes	No
a.	reques	ted infor	mation belov	w. If "Yes," but ye	ou can't reca	all the inve	stigating ag	ency an	the codes that follow to provide the cd/or the security clearance received, Don't recall" under the "Other	xx	х . 
	Agenc	y <u>"</u> headi the "No"	ng, below. I	lf_your_response_l	s_No,_or_y	ou_don't_kn	ow_or_can't	recall if	you_were investigated_and_cleared,		
		epartment		4 - FBI		for Security ( Required	Clearance Rec 3 -	Ceived Top Sec	ret 6 - Q-Nonsen	sitive	
	State Depa Office of P			5 - Treasury Departme 8 - Other <i>(Specily)</i>	ent 1 - Cor 2 - Sec	nfidential xet		Sensitive Q-Sensit	a Compartmented Information 7 - L tive 8 - Other		
Mon	nth/Year	Agency ( Code	Other Agency			Clearance Code	Month/Year	Code	Other Agency		earance Code
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b.				ou ever had a clea					spended, or revoked, or have you	Yes	No X
;	ttvYear:		-	ment or Agency Takir	-	93,2 9100 V	Month/Year		Department or Agency Taking Action	ي.نمونج ا	~?*
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YO						2				No.	
	In the I bankru	last 5 ye pt, been	subject to a	u, or a company o tax lien, or had le and other inform	əgal judgmei	nt rendered	l against yo	ntrol, file ou for a c	ed for bankruptcy, been declared debt? If you answered "Yes,"	Yes	No
Mo	nth/Year		of Action	Name Action Occum	and the second of the	-		Address c	of Court or Agency Handling Case State	ZIP	Code
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:			<u> </u>							1 ľ	4
b.	guaran not ne	teed by a	the Federal	Government. (If a	an SF 171, /	Application	for Federal	Employ	ns or obligations funded or ment, will be attached, you do How is the SF 171 used with	Yes	No XX
	this for	answered	J "Yes," pro	vide the information	on requested	below:		_	State	ZIP (	`odo
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Mon										11	
Mon	N. (*										
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	our So	cial Se	curity Nun	nber Qire go	ing to the	next pag	<b>j</b> e	1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 1997 - 19		2 - 3	0 91

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rea	ad e	each question	asked of me	Certific and unders	cation That stood each que est of my know	My Answe	rs Are Tru itements on t	e nis form, and	any attachn	nents to	

Enter your Social Security Number before going to the next page

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Standard Form 86 Revised December 1990 U.S.Office of Personnel Management FPM Chapter 732 Form approved; O.M.B. No. 3206-0007 NSN 7540-00-634-4036 86-110

# **UNITED STATES OF AMERICA**

## AUTHORIZATION FOR RELEASE OF INFORMATION

Carefully read this authorization to release information about you, then sign and date it in ink.

I Authorize any investigator, special agent, or other duly accredited representative of the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, and any authorized Federal agency, to obtain any information relating to my activities from schools, residential management agents, employers, criminal justice agencies, retail business establishments, or other sources of information. This information may include, but is not limited to, my academic, residential, achievement, performance, attendance, disciplinary, employment history, and criminal history record information.

I Understand that, for financial or lending institutions, medical institutions, hospitals, health care professionals, and other sources of information, a separate specific release will or may be needed, and I may be contacted for such a release at a later date.

I Further Authorize the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, and any other authorized agency, to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for, assignment to, or retention in, a sensitive position, in accordance with 5 U.S.C. 9101.

I Authorize custodians of records and sources of information pertaining to me to release such information upon request of the investigator, special agent, or other duly accredited representative of any Federal agency authorized above regardless of any previous agreement to the contrary.

I Understand that the information released by records custodians and sources of information is for official use by the Federal Government only for the purposes provided in this Standard Form 86, and may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for two (2) years from the date signed.

Signature (Sign in Inky)		Print Legibly) Holbrooke	Date Signed
Other Names Used			Social Security Number 1 3 2 - 3 2 - 3 0 9 6
	onn Germany APO AE 09080	State         ZIP Code           I         I         I         I	Home Telephone Number (Include Area Code) 492283391 ()
Page 10	Q	Ó	
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### ATTACHMENT FOR SECTION 9 - WHERE YOU HAVE LIVED

### #2. During this period I commuted to New York, where I stayed with various friends or in hotels, while working for Lehman Brothers.

Richard C. Holbrooke SSN 132-32-3096

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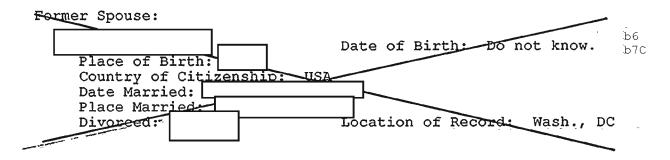
### ATTACHMENT FOR SECTION 14 - YOUR FOREIGN ACTIVITIES

- #a. I own no foreign property and have no direct financial interests overseas. As a Managing Director of Lehman Brothers, I have continual business contacts with people overseas, most notably in Korea, China, and Hong Kong.
- #b. During the period of summer 1981 to spring 1985, one of the clients of Public Strategies (see question 11) jointly shared by ______ and myself, was the Hyundai ______ b6 Corporation of Korea. Our relationship was purely ______ b7C advisory and, by prior agreement, did not involve any lobbying activities.

Richard C. Holbrooke SSN 132-32-3096 Legat Bonn Insure

this is addressed during appointee's interview

	AJ	CT2	ACHMEN	NT FOR	
SECTION	18	-	YOUR	MARITAL	STATUS



Richard C. Holbrooke SSN 132-32-3096

	, , , , , ,	•
	7/2/94	
	•	b D
TO:	FRT (ATTENTION - SPECIAL INQUIRY UNIT ROOM 4371)	
FROM:	Special Counsel to the President	
SUBJECT:	FBI INVESTIGATIONS	
Candidate	's Name Richard Charles Holbrookessan 132-32-3096	6
	irth 4/24/41 Place of Birth New York, NY	
	ddress	
We request	t:Copy of Previous Report	
	Name Check	
	Expanded Name Check	
	Full-Field Investigation Level ILevel II_K_Level III	,
	Limited Update	
	Other	,
The candi	date named above is being considered for:	
r	Presidential Appointment Requiring Senate Confirmation Not Requiring Senate Confirmat	io
	White House Staff Position	
Attachmen		
	SF-86	
	SF-87 (Fingerprint Card)	
	SF-86 Supplement	
	Other	
		1 }
<u>Remarks/</u>	Special Instructions:	
	as promised	
	as promised please see attached menno from State Rept	i
	the last	

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United Sons Department of State

Washington, D.C. 20520

June 30, 1994

TO: Mr. Edgar Bueno Ofc of White House Counsel FROM: Sharon Bisage

SUBJECT: Clearance Form -- Richard Holbrooke

Edgar,

I just received by air express the attached Supplemental 86 completed by Richard Holbrooke, currently Ambassador to Germany, under consideration to be Assistant Secretary of State for European and Canadian Affairs. Unfortunately, he completed it and signed it in green ink.

I have typed the information on a blank form and attached the form he signed and completed in the hope that the FBI will accept it and we won't have to waste time air expressing a new one back and forth.

If there's a problem, let me know.

Attachment: As stated

SUPPLEMENT TO STANDARD FORM 86 (SF-86) (Attach additional pages if necessary) **1**S. Please list names of all corporations, firms, partnerships or other business enterprises, and all nonprofit organizations and other institutions with which you are now, or during the past five years have been, affiliated as an officer, owner, director, trustee, partner, advisor, attorney or consultant. In addition, please provide the names of any other organizations with which you were affiliated prior to the past five years that might present a potential conflict or appearance of conflict of interest with your prospective appointment. (Please note that in the case of an attorney's client listing, it is only necessary to provide the names of major clients and those that might present a potential conflict or appearance of conflict of 'interest with the prospective appointment). I WAS A MANAGING DIRECTOR OF SHEARSON LEHMAN BROTHERS FROM 1985 TO 1993. OTHER THAN THAT, NO OTHER SUCH AFFILIATIONS. 2S. Please list all your interests in real property, other than a personal residence, setting forth the nature of your interest, the type of property and the address. I OWN RESIDENCES IN: 1) WASHINGTON, D.C. _ 1215 29th Street (FORSALE) 2) TELWRIPE, COLO. - CONDOMINIUM (RENTED) 3) NEW HILFORD, CONN. - COUNTRY HOUSE (RENTED) 3S. Have you or any firm, company or other entity with which you have been associated ever been convicted of a violation of any Federal, state, county or municipal law, regulation or ordinance? If so, please provide full details. NOT TO MY KNOWLEDGE. 4s. Have you or any firm, company or other entity with which you have been associated ever been the subject of Federal, state or local investigation for possible violation of a criminal statute? If so, please give full details. NOT JO MY KNOWLEDGE. 5s. Have you ever been involved in civil or criminal litigation, or in administrative or legislative proceedings of any kind, either as a plaintiff, defendant, respondent, witness or party in interest? If so, please give full details identifying dates, issues litigated and the location where the civil action is recorded.

6S. Have you ever been disciplined or cited for a breach of ethics or unprofessional conduct by, or been the subject of a complaint to any court, administrative agency, professional association, disciplinary committee, or other professional group? If so, please give full details. 7S. Have you ever run for political office, served on a political committee or been identified in a public way with a particular organization, candidate or issue? Have any complaints been lodged against you or your political committee with the Federal Election Commission or state or load election authorities? If so, please describe. NO TO ALL OF THE ABOUE, EXCEPT. I WAS A MEMBER OF THE BOARD OF NIRECTORS OF A POLITICAL ACTION COMMITTEE CALLED "DEMOCRATS FOR THE 1805" FOR ONE YEAR (1991). I NEVER ATTENDED A REETING OF THE PAC. 85. Are you currently, or have you ever been, a member or office holder in any club or organization that restricts or restricted membership on the basis of sex, race, color, religion, national origin, age or handicap? If so, provide the name, address and dates of membership for each. Please identify any adults (18 years or older) currently living with you who are not members of ----95. your immediate family. Provide the names of those individuals, dates and places of birth, and whether or not they are United States citizens. NONE. 10S. Is there anything in your personal life that could be used by someone to coerce or blackmail you? Is there anything in your life that could cause an embarrassment to you or to the President if publicly known? If so, please provide full details. I understand that the information being provided on this supplement to the SF-86 is to be considered part of the original SF-86 dated -6/24/94and a false statement on this form is punishable by law. Signature

	Q b	^س ود م
6 <b>s</b> .	Have you ever been disciplined or cited for a breach of ethics or unprofessional conduct by, or been the subject of a complaint to any court, administrative agency, professional association, disciplinary committee, or other professional group? If so, please give full details.	
	No.	
75.	Have you ever run for political office, served on a political committee or been identified in a public way with a particular organization, candidate or issue? Have any complaints been lodged against you or your political committee with the Federal Election Commission or state or local election authorities? If so, please describe.	
	No to all of the above, except: I was a member of the Board of Directors of a Political Action Committee called "Democrats for the '80s" for one year (1991). I never attended a meeting of the PAC.	
85.	Are you currently, or have you ever been, a member or office holder in any club or organization that restricts or restricted membership on the basis of sex, race, color, religion, national origin, age or handicap? If so, provide the name, address and dates of membership for each.	
	No.	
95.	Please identify any adults (18 years or older) currently living with you who are not members of your immediate family. Provide the names of those individuals, dates and places of birth, and whether or not they are United States citizens.	
	None.	
105.	Is there anything in your personal life that could be used by someone to coerce or blackmail you Is there anything in your life that could cause an embarrassment to you or to the President if publicly known? If so, please provide full details.	?
	No.	
	I understand that the information being provided on this supplement to the SF-86 is to be considered part of the original SF-86 dated $6/24/94$ and a false statement on this form is punishable by law.	
	See attached signed original	

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	SUPPLEMENT TO STANDARD FORM 86 (SF-86) (Attach additional pages if necessary)
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Is.	Please list names of all corporations, firms, partnerships or other business enterprises, and all nonprofit organizations and other institutions with which you are now, or during the past five years have been, affiliated as an officer, owner, director, trustee, partner, advisor, attorney or consultant. In addition, please provide the names of any other organizations with which you were affiliated prior to the past five years that might present a potential conflict or appearance of conflict of interest with your prospective appointment. (Please note that in the case of an attorney's client listing, it is only necessary to provide the names of major clients and those that might present a potential conflict or appearance of conflict of interest with the prospective appointment).
	I was a Managing Director of Shearson Lehman Brothers from 1985-1993. Other than that, no other such affiliations
_	and a second and a second and a second and a second and a second and a second and a second and a second and a s
25.	
-	Please list all your interests in real property, other than a personal residence, setting forth the nature of your interest, the type of property and the address. I own residences in: Washington, D.C 1215 29th Street (for sale) Telluride, Colorado - Condominium (rented) New Milford, Connecticut - country house (rented)
-	nature of your interest, the type of property and the address. I OWN RESIDENCES IN: Washington, D.C 1215 29th Street (for sale) Telluride, Colorado - Condominium (rented)
35.	nature of your interest, the type of property and the address. I OWN residences in: Washington, D.C 1215 29th Street (for sale) Telluride, Colorado - Condominium (rented) New Milford, Connecticut - country house (rented) Have you or any firm, company or other entity with which you have been associated ever been convicted of a violation of any Federal, state, county or municipal law, regulation or ordinance?
35.	<pre>nature of your interest, the type of property and the address. I OWN residences in: Washington, D.C 1215 29th Street (for sale) Telluride, Colorado - Condominium (rented) New Milford, Connecticut - country house (rented) Have you or any firm, company or other entity with which you have been associated ever been convicted of a violation of any Federal, state, county or municipal law, regulation or ordinance? If so, please provide full details.</pre>
- 35. 1 45.	<pre>nature of your interest, the type of property and the address. 1 OWN residences in: Washington, D.C 1215 29th Street (for sale) Telluride, Colorado - Condominium (rented) New Milford, Connecticut - country house (rented) Have you or any firm, company or other entity with which you have been associated ever been convicted of a violation of any Federal, state, county or municipal law, regulation or ordinance? If so, please provide full details. Not to my knowledge.</pre>
- 35. 1 45.	<pre>nature of your interest, the type of property and the address. 1 OWN residences in: Washington, D.C 1215 29th Street (for sale) Telluride, Colorado - Condominium (rented) New Milford, Connecticut - country house (rented) Have you or any firm, company or other entity with which you have been associated ever been convicted of a violation of any Federal, state, county or municipal law, regulation or ordinance? If so, please provide full details. Not to my knowledge. Have you or any firm, company or other entity with which you have been associated ever been the subject of Federal, state or local investigation for possible violation of a criminal statute? If so, please give full details.</pre>

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IMMIGRATION AND NATURALIZATION SERVICE CHECK ANALYST EXT: SPECIAL INQUIRY UNIT, ROOM 4371, TL 114 SUBJECT: RICHARD CHARLES ALBERT HOLBrocke DEADLINE: 07/05/94 BUREAU FILE NUMBER: THE BUREAU HAS BEEN REQUESTED TO CONDUCT A BACKGROUND INVESTIGATION OF THE ABOVE-NAMED SUBJECT. SIOU IS REQUESTED TO CHECK INS RE THE SUBJECT AND/OR CLOSE RELATIVES LISTED BELOW. SUBJECT: RICHARD CHARLES ALBERT H DOB: 04/24/41 POB: NEW YORK, NY NEE: ۰. AKA: SSAN: 132-32-3096 RESIDENCE: *, ALIEN REGISTRATION #: DATE/PLACE OF ENTRY: DAIE/PLACE: NATURALIZATION #: WAS CITIZENSHIP DERIVED THROUGH PARENTS? YES NO RELATIVE: TRUDI KEARL DOB: 09/15/20 POB: GERMANY, FEDERAL REPUB NEE: **RELATIONSHIP: MOTHER** AKA: SSAN: RESIDENCE: SCARSDALE,NY ALIEN REGISTRATION #: DATE/PLACE OF ENTRY: NATURALIZATION #: DATE/PLACE: WAS CITIZENSHIP DERIVED THROUGH PARENTS? YES NO RELATIV DOB: POB: NEE: AKA: **RELATIONSHIP:** SSAN: **RESIDENCE:** b6 ALIEN REGISTRATION #: DATE/PLACE OF ENTRY: b7C · NATURALIZATION #: DATE/PLACE: WAS CITIZENSHIP DERIVED THROUGH PARENTS? YES NO RELATIVE: TRUDI MOOS DOB: 09/15/20 POB: GERMANY, FEDERAL REPUB NEE: **RELATIONSHIP: MOTHER** AKA: SSAN: RESIDENCE: SCARSDALE,NY DATE/PLACE OF ENTRY: ALIEN REGISTRATION #: NATURALIZATION #: DATE/PLACE: WAS CITIZENSHIP DERIVED THROUGH PARENTS? YES NO * NO Record

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	TO:	NEXIS - ATTN:	(DATA BANK)	
	FROM:		Y IINTT. 4371. TL# 114	b6 b7C

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE

BUDED: 07/05/94

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THE BUREAU HAS BEEN REQUESTED TO CONDUCT AN EXPEDITE BACKGROUND INVESTIGATION OF THE ABOVE-CAPTIONED SUBJECT, WHO IS BEING CONSIDERED FOR PRESIDENTIAL APPOINTMENT. YOU ARE REQUESTED TO CHECK APPROPRIATE INDICES BASED UPON AVAILABLE INFORMATION CONCERNING SUBJECT, EMPLOYMENT, AND ALL CLOSE RELATIVES. IT IS REQUESTED THAT THE RESULTS OF YOUR CHECK, WHETHER POSITIVE OR NEGATIVE, BE INDICATED IN THE SPACES PROVIDED BELOW, AND RELAYED TO THE SPECIAL INQUIRY UNIT, RM 4371, VIA ROUTING SLIP MARKED 'URGENT'.

SUBJECT IS DESCRIBED AS FOLLOWS:

RESULT NAME: RICHARD CHARLES ALBERT HOLBROOKE

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DOB: C4/24/41 POB: NEW YORK, NY SSAN: 132-32-3096 CURRENT RESIDENCE: EMBASS BONN, APO AE O9 *, BENIN EMPLOYMENT: US DEPARTMENT OF STATE * U S STATE DEPARTMENT * WASHINGTON, DC

CHECK CONDUCTED BY: USING THE KCK12-0 ħΝ DATABASE(S) AND THE FOLLOWING PARAMETERS: Kichdyd W/5 JONBOOK

b6 b7C SPIN 5 DAY 71ST ST Ε cccccc 00000049 940718 131025 0 BBBBBBB RRRRRRR CC CC BB BB RR RR HOLBROOKE, RICHARD CHARLES BB RR RR CC BB213 E 71ST BBBBBBB RRRRRRR CC NEW YORK, NY 10001 RR RR CC BB BB CC CC BB BB RR RR SSN: 132323096 CCCCCC BBBBBBB RR RR EASY READ CREDIT BUREAU REPORTS, INC. BOX 36403 HOUSTON, TX 77236 ----- IDENTIFICATION ----------- MULTIPLE 1 -----NAME: HOLBROOKE, RICHARD C SSN: 132323096 DOB: Y-1941 ADDRESS: BOX 215 APO, AE 09080 DATE: 11-93 RICHARD C HOLBROOKE 213 E 71ST ST 5 NEW YORK NY EMPLOYER: REPORTED: 08-90 FORMER EMPLOY: RICHARD C HOLBROOKE 200 VESEY ST 20TH FLOOR NEW REPORTED: 03-93 ----- TRADE -----ECOA TYPE CREDITOR NAME ACCOUNT NUMBER MOP HIST PAYMENT REMARKS CREDITOR # DLR DO DLA TERM HIGH BAL PAST PATTERN 30 60 90 ATT UNIVERSAL CAR 1 18 539680001814 8 CC-----CURRENT 11 1210187 07-94 10-93 03-94 8000 REV . 0 00 00 00 ATT UNIVERSAL CAR 1 18 539855001113 PAID SATIS 12 09-91 07-90 1224262 8000 REV ATT UNIVERSAL CAR 1 18 539855001113 24 ----- PAID SATIS 12 1224262 10-93 07-90 8000 REV 0 ----- 00 00 00 CREDIT LINE CLOSED 545044374 24 ----- CURRENT SEARS 0 07 11 1318425 07-94 7-84 0 REV 0 ---- 00 00 00 BLOOMINGDALE BROT 1 07 4577090 24 ----- CURRENT 11 07-94 7-84 1349030 1500 ---- 00 00 00 REV 0 AMERICAN EXPRESS 1 18 37294 23 -CCCCCCCCCC CURRENT 11 1957 CCCCCCCCCCC 00 00 00 1415525 06-94 7-84 6400MONTHLY CHASE HOME MORTGA 1 26 3118360260 12 PAID SATIS 1900028 7-92 7-91 310000 30M103 FIRST ADVANTAGE M 1 26 TRANSFERED 4710076398 5 8 CCCCCCCC 00 00 00 2990891 08-93 7-87 185000 15M123 Ω CAN'T LOCATE BORROWER

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HOLBROOKE, RICHARD CHARLES	$\sim$	PAGE 2
DATE ECOA TYPE/ CASE FILED STATUS NUMBER	PUBLIC RECORD PLAINTIFF AND/OR ATTORNEY	- LIABILITY COURT DR AMOUNT NUMBER/TYPE
12-90 JUDGEMENT 00000001	NYC DEPT OF FINANCE	8500 1011035 NEW YORK COUNTY REG
12-90 JUDGEMENT 00122090	122090 NYC DEPT OF	8500 1011035 NEW YORK COUNTY REG
06-91 STAT TX LN 06200382	9106200382	100 3041312 SACRAMENTO CNTY REC
11-91 STA TX REL 11210800	9111210800	100 3041312 SACRAMENTO CNTY REC
11-91 STA TX REL 11210799	9111210799	100 3041312 SACRAMENTO CNTY REC
08-91 STAT TX LN 08120602	9108120602	100 3041312 SACRAMENTO CNTY REC
DATE MEMBER CODE MEMBER NA	ME DATE MEMBER	- CODE MEMBER NAME
07-05-94 3907336 CBR MRD	12-22-93 1233910	
10-06-93 1224169 ATT UNIVE	RSAL CARD 06-24-93 3994790	US DEPT OF STATE
06-17-93 3901767 U S DEPT	OF STATE	
CON	ISUMER REFERRAL DATA	-
VENDOR: T R W LO BUREAU ID: TNJ1 PULL DATE: 940718 PULL TIME: 131326	DCATION: 12606 GREENVII DALLAS, TX 75 (800) 682-7654	LLE AVENUE 5243
C	CBR CUSTOM SCORING	-
CUSTOMER NUMBER: 00000049 ACCESS PORT: 03	INPUT DATE: 940718 SINPUT TIME: 131025	SCORE MODEL: S515P049 SCORE VERSION: A
SCORE LEVEL FULL REPORT 121 F MULTIPLE 1 121 F	REASONS	
	- END OF REPORT	-

7/25/66 áirtel SACs, Washington Field - Enc. (5) Richmond - Enc. San Free-To: ner 7/28/66 Boston - Enc. New York - Enc. Baltimore - Enc. Director, From: FBI RICHARD CHARLES HOLBROOKE SPECIAL INQUIRY **BUDED:** 8/9/66 Richry White House has requested investigation of Holbrooke, who is being considered for White House staff position. Born 4/24/41, New York City, and resides at the Woodner Hotel, 3636 16th Street, N.W., Washington, Ъб b7C D. C. Background data attached. SPIN. 161- 4612-MAILED 6 RECORDED JUL 2 51966 XI JUL 26 1966 COMM-FBI OTE: lequest received today from White House. Tolson DeLoach Mohr . ENCL Wick Casper Q. Callahan Conrad Felt . DHY:j Gale Rosen Sullivan 560 Tavel Trotter Tele, Room 1258 Return to, ..., Room Holmes MAIL ROOM TELETYPE UNIT Gandy

RD-205 (Rev. 1-10-63) UNITED STATES GEERNMENT	8 8
Memorandum	,
TO : Director, FBI ( )D	ATE: 8/22/66
FROM 9 SAC, WFO (161-3820)	. ·
SUBJECT: RICHARD CHARLES HOLBROOKE SPI	SOG ACTION: (Records Branch)
Re WFO airtel dated 8/11/66	Post and destroy File
This case will be delinquent.	b6 Per IRS b7C
Date of Bureau deadline: 8/9/66	
Reason for the delinquency Will repo State Passport checks when available	rt results of CIA, and
Date the report or necessary communication	on will reach the Bureau: 8/29/660
AEC zone designation; e.g., OR, CH, etc. (This applies only to 116 cases.)	
LWS:blb	10

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- Rouring Slip /FD:4 (Rev. 1-26-66) To:	Date 7/27/66	
प्रहार Director	FILE	
Att.: SAC	Title	
□ ASAC		
☐ Agent ☐ SE	SPECIAL INQUIRY	
🔲 Steno		
	Re: TION DESIRED	
Acknowledge	<ul> <li>Open Case</li> <li>Prepare lead cards</li> <li>Prepare tickler</li> </ul>	
Call me	<ul> <li>Recharge serials</li> <li>Return assignment card</li> </ul>	
Deadline Deadline passed	Return serials	
Delinquent Discontinue	Search and return See me See me	1
File	Send Serials	
Handle	Submit report by	
E Bureau airtel	r notation as to action taken.	,
Richmond files contain information identificable w residing or employed in	with following,	
Applicant Appointee XX Associates XX	Employee References Relatives	b6 b7C
(AL)	Richmond	

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	THE WHITE HOUSE MEMORANDUM Washington
	TO : Mr. Cartha D. DeLoach, FBI July 21, 1966
	FROM :
	SUBJECT: FBI Investigation     b6       b7c
	Subject's NameRichard Charles Holbrooke
	Date of Birth April 24, 1941 Place of Birth New York City
	Present Address <u>Woodner Hotel, 3636 16th Street, NW., Washington, D.C</u> .
	MARVIN WATSON has requested:
	Copy of Previous Report
	Name Check
	X Full Field Investigation
artil	The person named above is being considered for:
	SE White House staff position
DISY: 100	BS NY Dresidential appointment
DH4: 414 7-25-	Position with another Agency
	ATTACHMENTS:
	SF 86 (in duplicate) to prove
	SF 87, Fingerprint Card
	Biography
	REMARKS:
	161- 4612-1
	REPORT SHOULD BE DELIVERED BY FBI TO:
	ENCLOSURE
-	•

Holbrooke, Richard Charles W 73" 4-24-41 100 17 001 .W U 26 21 L I. 1 #CO-3-20261 U. S. Secret Service Intell. Div. Wash., D. C. 20226 7-28-66 A search of the fingerprints on the above individual has failed to disclose prior arrest data. JOHN EDGAR HOOVER DIRECTOR FEDERAL BUREAU OF INVESTIGATION

INQ.

Standars Form 56 August 194 " U.S. Cifa. Service Commiss (F.P.M. CHAPTER 756) 85-106		SECURIT	TY INVESTIGATI SENSITIVE POS		S	CASE SERIAL	NO. (CS	C use or	1 <i>1</i> 7)
INSTRUCTIONSPr	èpare in triplicate, u item, continue unde	sing a type er item 28.	writer. Fill in all it	ems. If the ans	wer is "No" or	"None," s	o state.	If mor	e space
1. FULL NAME	(LAST NAME)		(FIRST NAME)	(MIDDLE	NAME 1	2. DATE OF B	IRTH		
(Initials and	Holbrook	e	Richard	Char	les	April	24, 19	941	
abridgements of full name are not acceptable.	OTHER NAMES USED.	(Maiden nan	ne, names by former m knames, etc. Specify	arriages, former n		3. PLACE OF	BIRTH		
If no middle	Legally of Otherwise,	-	knames, etc. Spechy	and show a		New Y		ity	
name, show "(NMN)"; if initials only.	L.		· -		- · [-	4. SI MALE	_		
initials only, show "(no given or middle name)"		Non	e ·	× -	 ג	5. HEIGHT	WEIGHT	COLOR EYES	COLOR HAIR
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'8. DATES AND PLACES	OF RESIDENCE. (If ac	tual places o	of residence differ from	a'the mailing addr		d identify l	both Be	gin witl	present
and go back to Ja FROM	, 	nuə <u>u</u> ndər il	tem 28 on other side if		CITY		، پلادے م	STATE	
	t the Woodno	n Hotal	- 3636-16th			ington	Ť.	C.	NV/
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Sept. 1962 1958	1962	53` - (	c/o AID train Dormitories	ing course at Brown U	J. Prov	idence	Rhe	I, abc	sland
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-1958 [,] 1950 -1 , -1	1962 1958 1950	53 - 0	c/o ALD train Dormitories 2 Obry Drive 41 W. 96th St	ing course at Brown U reet	J. Prov Scars New Y	idence dale (ork	Rhe Ne	ode I w Yo	sland ork
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26a. REFERENCES. (Name three persons, not relatives or employers, who are aware of your qualifications and fitness.) YEARS KNOWN **BUSINESS ADDRESS** NAME IN FULL HOME ADDRESS Ź The White House Gen 2 Dept. of State /Amł Scarsdale High School 26b, CLOSE PERSONAL ASSOCIATES. (Name three persons, such as friends, schoolmates or colleagues, who know you well.) 9 RUSINESS ADDRESS YEARS KNOWN MANCINCUL 9 desk) 2. TION BY ANY AGENCY OF THE FEDERAL GOVERNMENT? 🖾 YES 🗋 NO. (If your answer is "Yes," show in item 28, (1) the name of the investigating agency (2) the approximate date of investigation, and (3) the level of security clearance granted, if known.) 28, SPACE FOR CONTINUING ANSWERS TO OTHER QUESTIONS. (Show item numbers to which answers apply. Attach a separate sheet if there is not enough space here.) Dept. of State - 1962 - TS No. 27 b6 I currently hold a TS clearance from State b7C DATE: 29. REPORT OF INFORMATION DEVELOPED. (This space reserved for FBI use.) - <u>1</u> Before signing this form check back over it to make sure you have answered all questions fully and correctly. CERTIFICATION I CERTIFY that the statements made by me on this form are true, Implete, and correct to the best of my knowledge and belief, and are made in good faith. Faise statement on this form Is punishable by law. Sign of ignal a carbon copy INFORMATION TO BE FURNISHED BY AGENCY. INSTRUCTIONS TO AGENCY: See Federal Personnel Manual Chapter 736 and FPM Supplement 296-31, Appendix A, for details on when this form is required and how it is used. If this is a request for investigation before appointment, insert "APPL" in the space for Date of Appointment and show information about the proposed appointment in the other spaces for appointment and the *irst* carbon copy should be signed by the applicant or appointee. Submit the original and the *insigned* carbon copy of the form, Standard Form 87 (Fingerprint Chart), and any investigative information about the person received on voucher forms or otherwise, to the United States Civil Service Commission, Bureau of Personnel Investigations, Washington, D.C., If this is a request for full field security investigation, submit these forms to the attention of the Division of Reimbursable In-20415. vestigations; if this is a request for preappointment national agency checks, submit these forms to the attention of the Control Section. RETAIN THE CARBON COPY OF STANDARD FORM 86 (SIGNED BY THE APPLICANT OR APPOINTEE) FOR YOUR FILES CIVIL SERVICE REGULATION NUMBER OR OTHER APPOINTMENT AUTHORITY TITLE OF POSITION AND GRADE OR DATE OF APPOINTMENT TYPE OF APPOINTMENT EXCEPTED COMPETITIVE (Include indefinite and temporary types of competitive appointments.) DUTY STATION SEND RESULTS OF PREAPPOINTMENT CHECK TO: DEPARTMENT OR AGENCY THIS IS A SENSITIVE POSITION (SIGEATURE AND TITLE OF AUTHORIZ CY OFFICIAL U.S. GOVERNMENT PRINTING OFFICE: 1964-0-755-147 #18-E

and and	19. HAVE YOU EVER HAD A NERVOUS BREAKDOWN OR HAVE YOU EVER HAD MEDICAL TREATMENT FOR A MENTAL CONDITION? YES NO.
	20. FOREIGN COUNTRIES VISITED (SINCE 1930).       (Exclusive of military service.)         COUNTRY       DATE LEFT U.S.A.       DATE RETURNED U.S.A.       PURPOSE         Vietnam       1963       1966       Official Business         France, Italy, Switzerland 1966       1963-64-65-66 (visits)       Official Business         European-countries       1956-1957-1960-1965
`	22. ARE YOU NOW OR HAVE YOU EVER BEEN A MEMBER OF ANY FOREIGN OR DOMESTIC ORGANIZATION, ASSOCIATION, MOVEMENT, GROUP, OR COMBINATION OF PERSONS WHICH IS TOTALITARIAN, FASCIST, COMMUNIST, OR SUBVERSIVE, OR WHICH HAS ADOPTED, OR SHOWS, A POLICY OF ADVOCATING OR APPROVING THE COMMISSION OF ACTS OF FORCE OR VIOLENCE TO DENY OTHER PERSONS THEIR RIGHTS UNDER THE CONSTITUTION OF THE UNITED STATES, OR WHICH SEEKS TO ALTER THE FORM OF GOVERNMENT OF THE UNITED STATES BY UNCONSTITUTIONAL MEANS? YES NO.
	23. IF YOUR ANSWER TO QUESTION 21 OR 22 ABOVE IS "YES." STATE THE NAMES OF ALL SUCH ORGANIZATIONS, ASSOCIATIONS, MOVEMENTS, GROUPS, OR COM- BINATIONS OF PERSONS AND DATES OF MEMBERSHIP. IN ITEM 28 OR ON A SEPARATE SHEET TO BE ATTACHED TO AND MADE A PART OF THIS FORM, GIVE COM- PLETE DETAILS OF YOUR ACTIVITIES THEREIN AND MAKE ANY EXPLANATION YOU DESIRE REGARDING YOUR MEMBERSHIP OR ACTIVITIES. <u>NAME IN FULL</u> <u>ADDRESS</u> <u>FROM</u> <u>TO</u> <u>OFFICE HELD</u>
*	
	24. MEMBERSHIP IN OTHER ORGANIZATIONS. (List all organisations in which you are now a member or have been a member, except those which show religious or political affiliations.) (If none, so state.) NAME IN FULL ADDRESS TYPE FROM TO OFFICE HELD
	ьб Ъ7С
	25. RELATIVES. (Parents, spouse, divorced spouse, children, brothers, and sisters, living or dead. Name of spouse should include maiden name and any other names by previous marriage. If person is dead, state "dead" after relationship and furnish information for other columns as of time of death.) Wife
	Mother Holbrooke Kearl 1920 344 Sprain Rd., Scarsdale, N.Y. Germany, USA
	Father (deceased) Dan Holbrooke 1914 2 Obry Dr., Scarsdale New York Russia (USA)
	Step-father Stanley Kearl 1916 344 Sprain Rd., Scoredolo N ^{-V} USA USA
	Brother USA USA

FROM	то	NAME OF E	MPLOYER (Firm VISOR (Full na	or agency) me. if knows	A A) (When	DDRESS e employed	)	TYPE OF WO	RK	REASON FO	OR L
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I6. HAVE YOU	EVER BEEN DISC	HARGED (FII	ED) FROM EMPI	LOYMENT FOR	ANY REASON		<u>а</u> мо.	_			
7. HAVE YOU	EVER RESIGNED	(QUIT),AFTE	R BEING INFORM	HED THAT-YOU	JR EMPLOYER	INTENDED	to dischare	GE (FIRE) YOU F	OR ANY R	EASON?	YES
			"Yos" give det. agree with the						proximate	date, and	208
B. HAVE YOU	EVER BEEN ARRI	ESTED, TAKE	INTO CUSTODY	Y HELD FOR	NVESTIGATIO	OR QUESTI	ONING, OR C	HARGED BY ANY	LAW ENFO	RCEMENTA	תט.
incidente mu	at be included	, even thou	or which you pa th they were di DETAILS BELOW:	ismissed or y					your 16th	a birthd <b>ay</b> .	A
DATE	CHARGE	GIVEFULL	PLACE				LAW ENFOR		A	CTION TAKE	N
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				ne) <u>RICHARD CHARLES ALBERT HOLG</u> 10.) <u>161A-HO-1956328</u>
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Item	Date Filed	To be returned Yes No		Disposition
IA-I	5/3/2000		Original notes re interview of	2/14/99
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FD-340b (Rev. 2-5-93) Universal Case File Number (161A-Ho-1256 Field Office Acquiring Evidence Serial # of Originating Document _____ Date Received 2-14-99 From (Name of Contributor) Βý. To Be Returned D Yes INO Receipt Given: D.Yes D.No Grand Jury Material - Disseminate Only Pursuant: to Rule 6 (e); Federal Rules of Criminal Procedure D Yes D No Title: bб Reference: (Communication Enclosing Material) Description: Doriginal notes re interview of: 161A-HO-1256

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Universal Case File Number <u>IIIA-HQ-1256328</u> Field Office Acquiring Evidence Serial # of Originating Document <u>28</u> Date Received <u>2-14-99</u> From

(Name of Contributor):

(Address of Contributor).

To Bé Returned : Yes II No Receipt Given, I Yes, INo. Grand Jury Material - Disseminate Only Pursuant, to Rule 6 (e), Federal Rules of Criminal Procedure:

Title:

Reference Communication Enclosing Material)

Description: 12 Original notes reinterview of

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16A-HO-1256328-1A-2.

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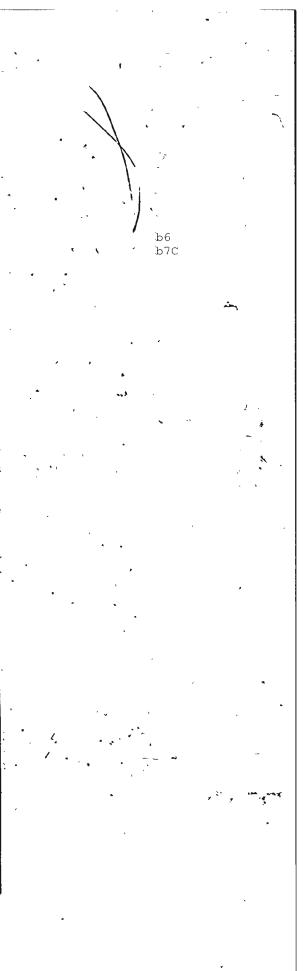
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(Address of Contributor).

To Be Returned: Yes UNo Receipt/Given D:Yes UNo Grand Jury Material:- Disseminate Only Pursuant to Rule 6:(e), Federal Rules of Criminal Procedure.

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7/29/66 AIRTEL SAC, NEW YORK TO: SAC, WFO (161-3820) (P) FROM: b6 b7C RICHARD CHARLES HOLEROOKE SPI Euded: 8/9/66 ReEvairtel dated 7/25/66. It was determined on 7/29/66, that a co-worker of the appointee at the State Department and in Saigon, Vietnam, is currently in New York on leave. can be reached at New York City. New York contact - New York 11 SEP 30 1955 - Bureau 18 51 - WFO 1 HEC H LWS/eab: jeb (4) AIRTEL 560CT 71956

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# 8/1/66

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to: SLO, NEW YORK

FROM: SAC, WFO (161-3820) (RUC) R

"CHANGED" () RICHARD CHARLES HOLEROOKE () aka Richard Charles Albert Holbrooka SPI

ReDusirtel ur offices 7/25/66.

Title being marked"changed" to add name of ALBERT as reflected on a "Residence and Dependency Report" in appointeds file at Department of State.

Appointed file, Department of State, revealed appointee as of October, 1962, attending University of Cal., and residing 1739 Francisco Street, Ferkeley, California.

File also listed following additional employments:

Summer 1958 - Tennis court Attendant, Scarsdale Recreation Department, Scarsdale, N. Y.

May, 1960 to July; 1960 - Transient Clerk, Supermarche Casino, Doulevord Joseph Vallier,

Grenoble, Isere, France June, 1961 to Sep., 1961 - Clerk, "Her York Times, new York, How York NOT RECORDED 2 - New York 11 SEP 30 1956 2 - San Francisco (2M) 1 - Richmond (Info) - Loston (Info) SPE 600CTInski966Info lurcau

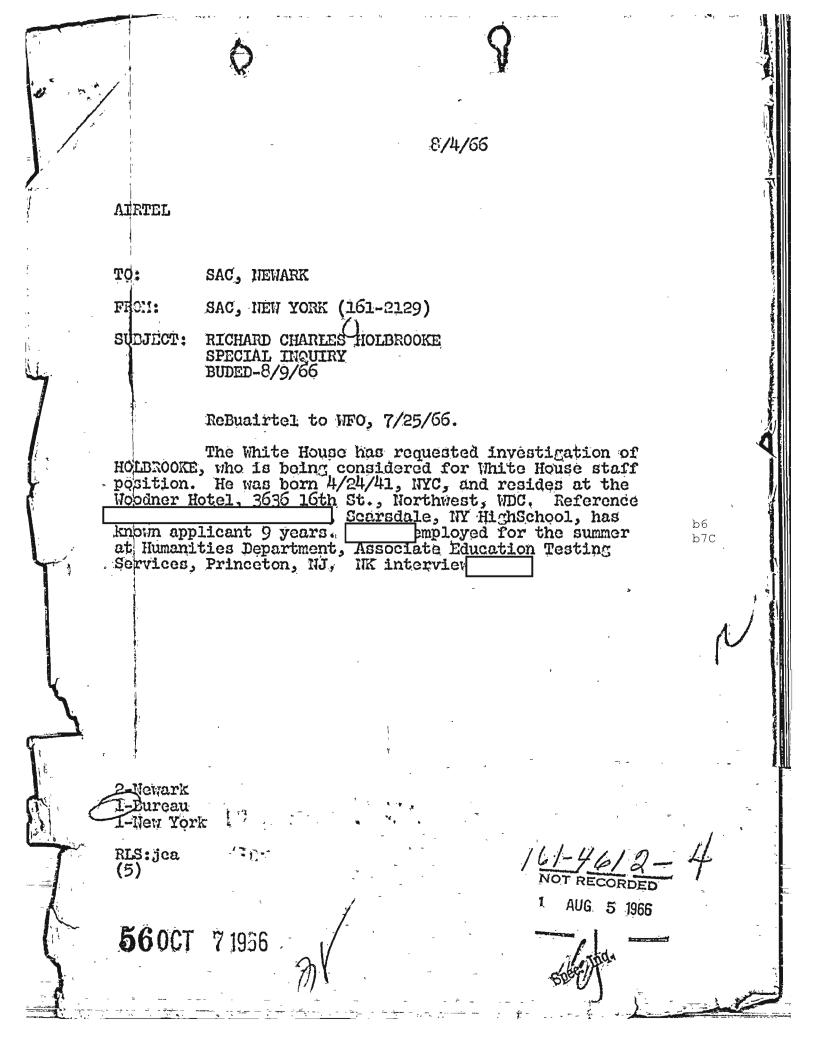
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	File also reveals		
LEADS:	<u>D.C.</u> <u>V</u>	IET NAM	]

NEW YOEK: Vorify employment "New York Times" and Scarsdale Recreation Department.

-2.

SAN FRANCISCO: Vortfy attendence at University of Califormia and note that University of Californic, knows appointee.

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## 8/4/66

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AIRTEL

AIR MAIL

TO: SAC, LOS ANGELES FROM: SAC, SAN FRANCISCO (161-1004)(P) SUBJECT: RICHARD CHARLES HOLBROOKE, aka Richard Charles Albert Holbrooke SPECIAL INQUIRY Buded: 8/9/66

Reference Bureau airtel, 7/25/66.

The White House has requested investigation of HOLBROOKE who is being considered for a White House staff position.

He was born 4/24/41, New York City, and resides at the Woodner Hotel, 3636 16th Street, Northwest, Washington, D.C. HOLBROOKE listed on Standard Form 86 the address of care of AID Training Course, September, 1962 to January, 1963 at Berkeley, California.

Investigation at Berkeley disclosed that Mr. HOLBROOKE was enrolled in the Southeast Asia Training Course, June 1, 1962 to March 31, 1963 and program supervisor was

is presently on the staff at the University or california at Los Angeles.

- Los Angeles J.S. BEPT. OF JUSTICE - Buréau 0 - San Francisco WJB:kec 1 47 PM 266 fug. (4) 10 AUG 6 1966 560CT 71966



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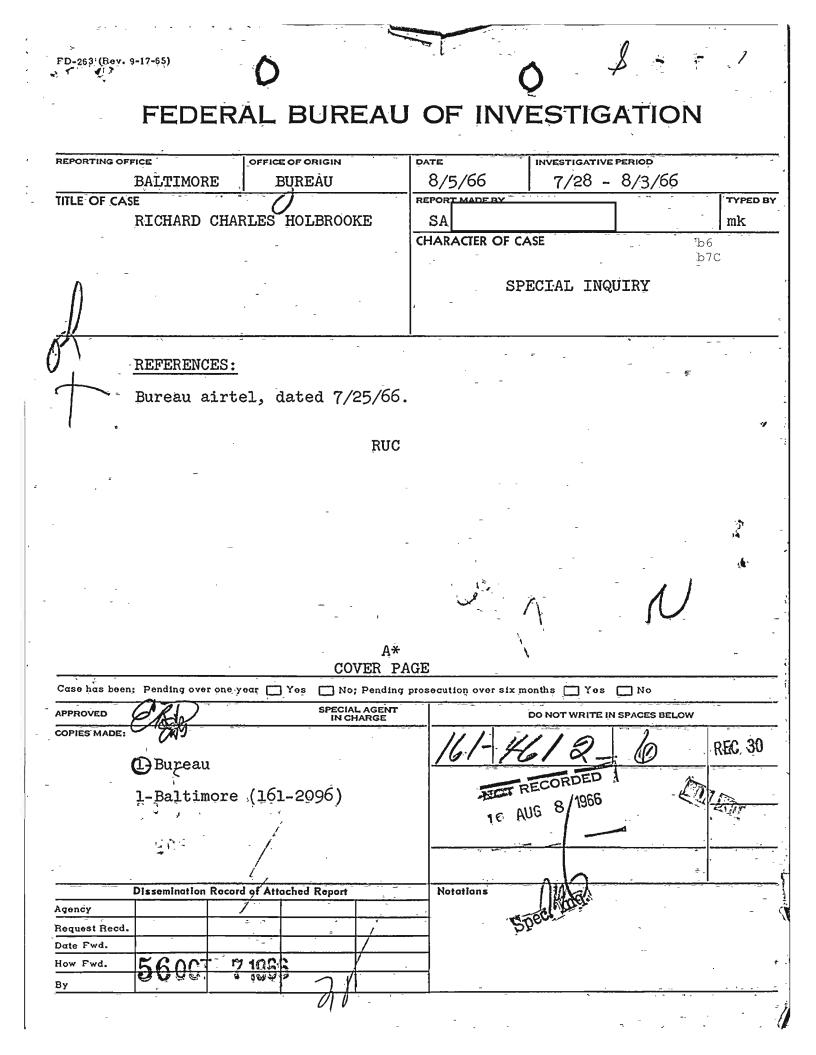
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LEADS

# LOS ANGELES DIVISION

	Δጥ		, CALIFORNI			
		at the	University	of Calif	ornia	
>	regarding his	knowledge	of RICHARD	CHARLES	HOLBROOKE.	+

Investigation continuing, San Francisco Office.



FD-204 (Rev, 3-3-59) UNITED STATES DEPARTMENT OF JU TICE FEDERAL BUREAU OF INVESTIGATION Copy. to: Report of: SA Office: BALTIMORE Date: August 5, 1966 Field OfficeFile 🗱 BA 161-2096 Bureau File* #: b6 b7C Title: RICHARD CHARLES HOLBROOKE SPECIAL INQUIRY Character: Synopsis: favorable Neighborhood inquiry No credit or identification recur appointee. RUC DETAILS: The following investigation was conducted by at Charles County, Maryland, on July 28, SA 19<del>60.</del> E HPLOVED AS NEIGHBORHOOD as daughter of knows Marvland who reside about came to <u>rears ago irom Pennsylvania.</u> the local publication This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

	Ô,
:	BA 161-2096
	HOLBROOKE and although only knows of Mr. HOLBROOKE as a Federal government employee he knows nothing derogatory concerning him. He said RICHARD and HOLBROOKE recently returned from overseas and for the past three weeks has been visiting with her parents until her husband is relocated in Washington, D.C.
۔ ب	people who enjoy a good reputation in the local area and he knows nothing derogatory concerning character, reputation or loyalty.
• - • • • •	CREDIT AND IDENTIFICATION b6 b7c
, , ,	Credit Bureau, and of Charles County Sheriff's Office, informed there is no record in their respective files for RTCHARD CHARLES HOLBROOKE
	MISCELLANEOUS
	The Defense Central Index of Investigations (DCII), Fort Holabird, Maryland, comprising indices to Army and Navy investigative files, was checked through a representative of that agency on August 3, 1966, for IC without locating any record of the captioned individual.
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D=263 (Rev. 5-1-59 FEDERAL BUREAU OF INVESTIGATION REPORTING OFFICE OFFICE OF ORIGIN DATE INVESTIGATIVE PERIOD SAN FRANCISCO BUREAU 8/5/66 7/29 - 8/4/66 TITLE OF CASE REPORT MADE BY TYPED BY rg RICHARD CHARLES HOLBROOKE, CHARACTER OF CASE aka Richard Charles Albert Holbrooke SPI Ъб b7C Bureau airtel dated 7/25/66. **REFERENCES:** WFO airtel to New York, dated 8/1/66. San Francisco airtel to Los Angeles, dated 8/4/66. LEAD SAN FRANCISCO AT LITTLE NORWAY, LAKE TAHOE, CALIFORNIA: AID and Peace Corps Training Program, University of Glifornia is presently vacationing in the Sierras. San Francisco will interview and submit report. A* COVER PAGE SPECIAL AGENT APPROVED DO NOT WRITE IN SPACES BELOW COPIES MADE: NOT RECORDED Bureau (AMSD) 11 AUG 8 1966 San Francisco (161-1004) 12 DISSEMINATION RECORD OF ATTACHED REPORT NOTATIONS Her True AGENCY REQUEST RECO DATE FWD HOW FWD BŶ..... U.S.,6 STERNENT PRINTING OFFICE 10-76324-1

FD-204 (Rev. 3-3-59)

1 2

# UNITED STATES DEPARTMENT OF JUSTICE FEDERAL BUREAU OF INVESTIGATION

Copy to:	-		
		-	
Report of: Date:	8/5/66	Office: SAN FRANCISCO	
	•		
Field Office File ≸:	161-1004	Bureau File ≵:	~
Title:	· · ·		
	RICHARD CHARLES HOLBROOK	Ŧ	-
			-
Character:			
	SPECIAL INQUIRY		
Synopsis:		-	
	Appointeets attendance	at the AID Training	
	course at Berkeley, Cali Residence verified and c	fornia, verified. redit and police failed to	
-	disclose any record iden	tifiable with	.b6
	Appointee.		b7C
	- P -	2	
DETAILS:	· .	-	
At Berke	ley, California		
110 00210		-	
-	EDUCATION		-
• * *	On August 4, 1966.		-
Universi	ty of Callfornia (UC), ad	mmunity Development Project,	_ ·
attended	the Southeast Asia Train	ing Course June 1 +0	<b></b>
Plation at .	1962 and 1963, and his who is presently on the	faculty at the UC at	
LOS Ange	<u>furth</u>	er advised that	
	ntly vacationing at Little	ity Development Project, e Norway, Lake Tahoe, Califorr	nia.
and is no	t expected to return befor	re September.	· <b>-</b> ,
. [	advised th	at he was not attending the	_
universi be did n	ty during the time the App	pointee was there, therefore,	
με ατα μ	ot have any knowledge of	11.1.1IL •	
mb (a. d.			
This document contain your agency; it and its	s neither recommendations nor conclusions o contents are not to be distributed outside yo	f the FBI. It is the property of the FBI and is loaned our agency.	d to
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• 3	SF 161-1004
-	WJB/IN
	further advised that no address was
· ·	listed for the Appointee, however the Appointee could have
· ·	possibly rented a room at the Hotel Durant, Berkeley, because many of the students reade at this hotel during their training
3	beriog.
	The following investigation was conducted by
	IC on August 4, 1966:
-	Registrar's Office, UC, advised
	that RICHARD CHARLES HOLBROOKE attended the first summer session in 1959, completing one course in Elementary Russian.
in the	Appointce's address was listed as 2517 Parker Street while
1	attending the university. further advised that
	the file contained no information regarding the Appointee's
	attendance in the AID Training Course at Berkeley, however,
	this was not to be construed that the Appointee was not there.
· · · · ·	POLICE RECORDS b6 b7C
	, UC Police Department, advised a search
	of the files failed to disclose any record identifiable with
	Appointee,
	The following investigation was conducted by
	SA WITCHDOTHON
	NEIGHBORHOOD
· .	On August-4, 1966, Hotel Durant,
:	2600 Durant Avenue, advised that a check of the registrations
· · · · · ·	for 1962 and 1963 failed to disclose any record for the
* <b>-</b> *	Appointee.
• -	* On August 4, 1966,
	advised that she has lived in the area since 1947,
	nowever. she never became acquainted with the Appointee.
	advised that the apartments located at
	are rented primarily by college students and has a complete
-	turnover annually.
	The following persons were contacted and the second
	The following persons were contacted at
	Appointee:
	and advised that they did not know the
E	and advised that they did not know the
	and advised that they did not know the
	and advised that they did not know the

SF 161-1004 WJB/rg advised that she has Lived in the neighborhood for thirty years, however, she never became acquainted with the Appointee. She advised that the only person who would have knowledge of the Appointee+ would be the manager, California. At Albany, California On August 4, 1966, advised that she is located at She further advised that a review of the rental agreements disclosed that h7Cthe Appointee resided at 1739 Francisco Street, Apantment 26. from September 224, 1962 through January 18, 1963 advised she was not personally acquainted with the Appointee, however, she never received any complaints concerning his character, associates, or loyalty. was unable to suggest any names of persons who would nave knowledge of the Appointee,. It is to be noted that the UC Student Directory for the school years 1962 and 1963 failed to disclose any listing for the name RICHARD CHARLES HOLBROOKE or RICHARD CHARLES ALBERT HOLBROOKE. On August 4, 1966. (it is noted that are intersecting streets), advised that residences at 2515 through 2519 on Parker Street were demolished approximately two years ago and new apartments were constructed. advised that she has lived in the area approximately forty years, however, she never became acquainted with the Appointee nor could she suggest anyrhames of persons who may have knowledge of the Appointee. The following investigation was conducted by  $\mathbf{TC}$ CREDIT AND POLICE RECORDS

SF 161-1004 WJB/rg

At Berkeley, California

The records of the Berkeley Police Department were reviewed on July 29, 1966, and failed to disclose any information that could be identified with the Appointee, RICHARD CHARLES HOLBROOKE.

At Oakland, California

On July 29, 1966, the records of the Credit Bureau of the Greater East Bay failed to disclose any information identifiable with Appointee RICHARD CHARLES HOLBROOKE.

This agency covers Berkeley, California.

D-263 (Rev. 9-17-65) FEDERAL BUREAU OF INVESTIGATION OFFICE OF ORIGIN REPORTING OFFICE DATE INVESTIGATIVE PERIOD BOSTON BUREAU 8-5-66 7/29 - 8/2/66 TITLE OF CASE REPORT MADE BY TYPED BY MCG. CHARACTER OF CASE Ъ6 RICHARD CHARLES HOLBROOKE SPECIAL INQUIRY b7C Bureau airtel to WFO dated 7-25-66. **REFERENCE:** RUC INFORMANTS: b7D Identity Location T-1 is -A*-COVER PAGE Case Pending over one year 🛄 Yeş No; Pending prosecution over six months Yes No. SPECIAL-AGENT APP DO NOT WRITE IN SPACES BELOW COPI DE Bureau NOT RECORDED - Boston (161-1608) AUG 8 1966 Ĵ. ີ່ງ **Dissemination Record of Attached Report** Notations Agency ERE. Request Recd. Date Fwd. 560 How Fwd. Βy_

UNITED STATES DEPARTMENT OF JUSTICE FEDERAL BUREAU OF INVESTIGATION

Copy to:		
-		
Report of:		
Date:	8-5-66	

Field Office File #: 161-1608

Office: Boston, Massachusetts

Bureau File ∦:

Title:

204 (Rev. 3-3

RICHARD CHARLES HOLBROOKE

SPECIAL INQUIRY

Synopsis:

Character:

RICHARD CHARLÉS HOLBROOKE graduated from Brown University, Providence, R.I. on 6-4-62. Rated in middle third of class. Associates recommend. No credit or arrest record. Name of RICHARD HOLBROOKE, Brown University, on list of names described as membership list of Fair Play for Cuba Committee and Forum for Civil Liberties at Brown b6 b7C University in 1961.

🖶 RUC –

#### DETAILS:

#### EDUCATION

Registrar's Office, Brown University, Providence, Rhode Island, advised on July 29, 1966, that the files of her office reflect that RICHARD CHARLES HOLBROOKE entered this University in September, 1958, and graduated on June 4, 1962 with an A.B. Degree, majoring in History. He was born April 24, 1941 in New York City and came here from Scarsdale High School, where he was graduated in 1958. His home address was listed as 2 Obry Drive, Scarsdale, New York. He stood in the middle third of his class at graduation, but had been on the Dean's List in the third and fourth semesters.

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

of Housing, Brown University, Providence, Rhode Island, advised on August 1, 1966, that he recalled RICHARD CHARLES HOLBROOKE as having been in attendance and graduated from this University in 1962. He stated that he enjoyed a good reputation in the community and was of good character, reputation and associations, and was loyal to this country. He stated that based on his knowledge of HOLBROOKE, he would recommend him for a position of trust.

Economic Department, Brown University, Providence, Rhode Island, advised on August 1, 1966, that he recalled RICHARD CHARLES HOLBROOK as having been a student in one or more of his Economics classes. He found him to be a good student, industrious and diligent in his studies. He stated that he recalled him as being of good character, reputation, and associations, and considered him to be a loyal American citizen. He stated he would recommend him for a position of trust.

Economics Department, Brown University, Providence, Rhode Island, advised on August 1, 1966, that he recalled RICHARD CHARLES HOLBROOKE as being a student in his classes about five years ago. He considered him a good student, who made a good appearance, and was well liked by his associates. He considered him to be of good character, reputation and associations; and to be a loyal American citizen. He stated he would recommend him for a position of trust without any hesitation.

h7C

Political Science Department, Brown University, advised on August 1, 1966, that she recalled RICHARD C. HOLBROOKE as being a former student at the University. She did not know him very well, but considered him to be of good character, knew that he enjoyed a good reputation, and believed that he was of good associations. She stated there was no question as to his loyalty to this country, and would recommend him for a position of trust.

Political Science Department, Brown University, advised on August 1, 1966, that he did not recall the applicant.

#### CREDIT

Credit Bureau, 40 Fountain Street, Providence, Rhode Island, advised on August 2, 1966, that the files of her office reflect no record for RICHARD CHARLES HOLBROOKE.

# ARREST

Ъб Ъ7С

Bureau of Criminal Identification, Providence County Courthouse, Providence, Rhode Island, a central repository for all criminal conviction records within the State of Rhode Island, advised on August 2, 1966, that the files of his office reflect no record for RICHARD CHARLES HOLBROOKE.

Officer, , Identification Division, Providence, Rhode Island, Police Department, advised on August 2, 1966, that the files of his office reflect no record for RICHARD CHARLES HOLBROOKE.

#### MI SCELLANEOUS

BS T-1 advised on May 22, 1961, that the name of RICHARD HOLBROOKE, Brown University, was among a list of names described as a membership list of the Forum <u>for Civil</u>-Liberties, and Fair Play for Cuba Committee at Brown University. It was indicated that these individuals ought to be interested in obtaining copies of the "National Guardian" in 1961.

Brown University, Providence, Rhode Island, advised on August 1, 1966, that the Forum for Civil Liberties was active only in 1961. It was organized by a group of Brown and Pembroke College students who held meetings to which speakers were invited for group discussions of current events of interest. It was moderate in nature and had very few members.

Documentation of the "National Guardian" and the Fair Play for Cuba Committee are attached hereto.

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#### APPENDIX

#### FAIR PLAY FOR CUBA COMMITTEE

The April 6, 1960, edition of "The New York Times" newspaper contained a full-page advertisement captioned "What is Really Happening in Cuba," placed by the Fair Play for Cuba Committee (FPCC). This advertisement announced the formation of the FPCC in New York City and declared the FPCC intended to promulgate "the truth about revolutionary Cuba" to neutralize the distorted American press.

"The New York Times" edition of January 11, 1961, reported that at a hearing conducted before the United States Senate Internal Security Subcommittee on January 10, 1961, Dr. Charles A. Santos-Buch identified himself and Robert Taber as organizers of the FPCC. He also testified he and Taber obtained funds from the Cuban Government which were applied toward the cost of the aforementioned advertisement.

On May 16, 1963, a source advised that during the first two years of the FPCC's existence there was a struggle between Communist Party (CP) and Socialist Workers Party (SWP) elements to exert their power within the FPCC and thereby influence FPCC policy. This source added that during the past year there had been a successful effort by FPCC leadership to minimize the role of these and other organizations in the FPCC so that their influence as of May, 1963 was negligible.

The SWP has been designated pursuant to Executive Order 10450.

_	On May 20. 1963. a second source advised that was then	1
L	other organization. This source stated that believed	Ъ7D
	that the FPCC should advocate resumption of diplomatic relations between Cuba and the United States and should support the right of Cubans to manage their revolution	
	without interference from other nations. did not advocate supporting the Cuba revolution persse.	

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#### APPENDIX

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#### FAIR PLAY FOR CUBA COMMITTEE (Cont.)

The November 23, 1963, edition of "The New York Times" reported that Senator Thomas J. Dodd of Connecticut had called FPCC "the chief public relations instrument of the Castro network in the United States." It is to be noted that Senator Dodd was a member of the Senate Internal Security Subcommittee which twice conducted hearings on the FPCC.

The December 27, 1963, edition of "The New York World Telegram and Sun" newspaper stated that the pro-Castro FPCC was seeking to go out of business and that its prime activity during its lifetime had been sponsorship of pro-Castro street rallies and mass picket lines, and the direction of an active propaganda mill highlighting illegal travel-to-Cuba campaigns. Its comparatively brief span of life was attributed to mounting anti-Castro American public opinion, the 1962 Congressional hearings which disclosed FPCC financing by Castro's United Nations Delegation, and ultimately, the bad publicity which the FPCC received from disclosure of activities on its behalf by suspected presidential assassin Lee H. Oswald.

On February 6, 1964, a third source advised that there had not been any FPCC activity in many months and that the FPCC had been dissolved.

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BS 161-1608

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# APPENDIX

#### "NATIONAL GUARDIAN".

The "Guide to Subversive Organizations and Publications," revised and published as of December 1, 1961, prepared and released by the Committee on Un-American Activities, United States House of Representatives, Washington, D. C., contains the following concerning the "National Guardian":

# "National Guardian

'established by the American Labor Party in 1947 as a "progressive" weekly * * *. Although it denies having any affiliation with the Communist Party, it has manifested itself from the beginning as a virtual official propaganda arm of Soviet Russia.' (Committee on Un-American Activities, Report, Trial by Treason: The National Committee to Secure Justice for the Rosenbergs and Morton Sobell, August 25, 1956, p. 12.)" FD-323 (Rev. 11-29-61)



UNITED STATES DEPARTMENT OF JUSTICE

FEDERAL BUREAU OF INVESTIGATION

Boston, Massachusetts August 5, 1966

In Reply, Please Refer to File No.

Title

#### RICHARD CHARLES HOLBROOKE

Character

SPECIAL INQUIRY

Ъ6 Ъ7С

Reference

Report of Special Agent dated and captioned as above at Boston, Massachusetts.

All sources (except any listed below) whose identities are concealed in referenced communication have furnished reliable information in the past.

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8/8/66

AIRTEL

TO: SAC, NEW YORK

FROM: SAC, WFO (161-3820) (P) RICHARD CHARLES HOLBROOKE

SPI

REBuairtel to NY dated 7/25/66.

Appointce's file, Office of Security, USDS, revealed the following additional addresses:

1958 - 1961

350 Central Park West New York, New York

June, 1960 -September, 1960

14 Jones Street New York, New York

The above is being furnished for your information.

2 - New York 1 - Eureau 1 - WFO

LWS:pag (4)

AIRTEL 560CT 71966

ILI SEP 30 1966

Mr. Tolson Mr. DeLoach. FEDERAL BUREAU OF INVESTIGATION U. S. DEPARTMENT OF JUSTICE COMMUN SATIONS SECTION Mr. Mohr. Mr. Wick Mr. Casper. Mr. Callahan 1966 KUG 8 Mr. Conrad. FBI WASH DC Mr. Felt_ TELETYPE Mr. Gale_ Mr. Rosen_ Mr. Sullivan Mr. Tavel. FBI LOS ANG Mr. Trotter. Tele. Room. 723 PM PDT DEFERRED 8-8-66 PLS Miss Holmes. Miss Gandy. TO DIRECTOR FROM LOS ANGELES (161-1057) (RUC) ROOM RICHARD CHARLES HOLBROOKE, AKA RICHARD CHARLES ALBERT HOLBROOKE SPECIAL INQUIRY, BUDED EIGHT NINE SIXTY SIX. RE SAN FRANCISCO AIRTEL, EIGHT FOUR SIXTY SIX. CALIFORNIA, TODAY ADVISED HE .b6 b7C WAS BERKELEY JUNE ONE NINETEEN SIXTY TWO TO MARCH THIRTY ONE NINETEEN SIXTY THREE IN WHICH RICHARD CHARLES HOLBROOKE WAS ENROLLED. HIGHLY RECOMMENDS HOLBROOKE FOR RESPONSIBLE POSITION IN GOVERNMENT. HOLBROOKE HAS ENJOYED EXCELLENT REPUTATION OF EXCELLENT CHARACTER, A LOYAL CITIZEN AND HAS ASSOCIATES OF VERY GOOD CHARACTER. REPORT OF SA J. MARTELL BIRD SUBMITTED EIGHT EIGHT INSTANT. 61-4612-END 11 SEP 30 1966 8 11.23 WA...RCH FBI WASH DC 5606T

8/8/66

AIRTEL

TO: SAC, NEW YORK

FROM: SAC, WFO (161-3820) (P)

RICHARD CHARLES HOLEROOKE

ReBuairtel 7/25/66, copy to NY.

DAVID RUSK, listed personal associate of appointee, recommends appointee and stated that to his knowledge the appointee's mother and step-father resided together for several years before they were married.

NY attempt to verify above if not already done.

SPIN

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he Call

11 SEP 30 1966

D- Bureau 1 - WFO

2 - New York

LWS:elm (4)

## AIRTEL.

560CT 71966

ILE OF CASE		8/8/66	8/8/66	
	. 0	, PEPOPT MADE BY		Ţ.
RICHARD CHA	ARLES HOLBROOKE	CHARACTER OF	CASE	
		SPI	-	Ъб Ъ7С
				-
				-
REFERENCE:	New York airtel	. to Newark da	ted 8/4/66.	-
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* <del>*</del>	-		-	
ase has been: Pendin pover An	Yes No; Pend	ing prosecution over six	months Yes N	0
PROVED	SPECIAL AGEN IN CHARGE	vr	DO NOT WRITE IN SPACE	S BELOW
PPIES MADE:		11,1-4	1612-10	2
1 - Bureau	·(SD)		OT RECORDED	-
		4	AUG 9 1966	
1 - Newark	(161-933)			
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TED STATES DEPARTMENT OF JUSTICE FEDERAL BUREAU OF INVESTIGATION

Copy to:	· · ·		- ·			b6 b7C
Report of: Date:	August 8, 1966	· ·	Office:	Newark,	New	Jersey
Field Office File #:	161-933	ž	Bureau File ∦	:		
Title:	RICHARD CHARLES	HOLBROOKE			- <b>-</b>	2

Character:

'FD-204 (Rev. 3-3-59)

#### SPECIAL INQUIRY

Synopsis:

Reference advised he knows of nothing which would reflect adversely on the appointee's character, reputation, loyalty, or associates. He stated he would recommend the appointee for a position of trust and confidence without any hesitation.

-RUC-

#### DETAILS:

#### **REFERENCE:**

On August 8, 1966, Humanities Division, Educational Testing Service, Princeton, New Jersey, advised he has known the appointee since the appointee was a student of his at Scarsdale High School, Scarsdale, New York. said this was about mine years ago.

advised he knows of nothing which would reflect adversely on the appointee's character, reputation, loyalty, or associates. He stated he would recommend the appointee for a position of trust and confidence without any hesitation.

1*

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FD-263 (Rev. 9-17-65) FEDERAL BUREAU OF INVESTIGATION REPORTING OFFICE OFFICE OF ORIGIN DATE INVESTIGATIVE PERIOD NEW YORK BUREAU 8/8/66 7/27/66 - 8/8/66 TITLE OF CASE TYPED BY REPORT MADE BY gs RICHARD CHARLES HOLBROOKE aka CHARACTER OF CASE Richard Charles Albert Holbrooke SPI **REFERENCE:** Bureau airtel dated 7/25/66. - RUC -ADMINISTRATIVE By airtel dated 7/29/66, WFO instructed New York to interview bб b7C On 8/4/66. New York City, advised that she is a friend of the family and is currently residing in their apartment, She advised that are presently vacationing in the northwest portion of the United States. She does not have their itinerary and stated that they will not return to New York until after 8/15/66.-Case has been: Pending over one year 🦳 Yes 📋 No; Pending prosecution over six months 🚍 Yes 📋 No SPECIAL AGENT APPROVED DO NOT WRITE IN SPACES BELOW COPIES MADE RECORDED Bureau -New York (161-2129) AUG 9 1966 1 **Dissemination Record of Attached Report** Notations Agency Request Recd. Date Fwd. <u>560C</u> How Fwd. Ву

· NX 161-2129

<u>New York</u> is making no further efforts to interview

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-		UNITED STATES DEPARTMENT OF JUSTICE
-	· •	FEDERAL BUREAU OF INVESTIGATION
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<del>،</del> ۲		
	- Copy, to:	b6 b7C
	Report of:	Office: New York, New York
-	Date:	0/0/00
	Field Office File #:	161-2129 Bureau File #:
	· · · · · · · · · · · · · · · · · · ·	
	Title:	RICHARD CHARLES HOLBROOKE
	یے ۔ تو یہ ۔	
-	- 	
•	Character:	SPECIAL INQUIRY
	Synopsis:	Birth and employments verified. No unfavorable
1	informati	on developed. Residence of appointee in New York
ې ب	City not the appoi	verified. No credit or arrest record located for ntee. No pertinent information located in
		Times" Morgue.
•		- RUC -
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This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is-loaned to your agency; it and its contents are not to be distributed outside your agency.

## DETAILS:

#### Birth

On August 1, 1966, IC reviewed the records of the Mannattan Eureau of Vital Statistics. These records show that RICHARD CHARLES ALBERT HOLEROOKE was born on April 24, 1941, to DAN HOLEROOKE and TRUDI MOOS. The records show that DAN HOLEROOKE was born in Poland and employed as a physician at Mount Sinal Hospital. TRUDI MOOS was born in Germany and her employment was shown as a housewife.

#### Employments

Neilsens Ice Cream Company, Incorporated, 41 Pearl Street Bort Chester, New York

advised SA

ROBERT L: STEVENSON, JR. on August 4, 1966, that the appointee worked for that company in 1958. The exact dates are not available. The appointee carried Social Security Number 132-32-3096. He resided at 2 Obry Drive, Scarsdale, New York. The appointee worked in the Scarsdale, New York, store located at 874 Scarsdale Avenue, Scarsdale, New York.

Neilsens Ice

Cream Company, Incorporated, 874 Scarsdale Avenue, Scarsdale, New York, advised SA STEVENSON on August 4, 1966, that he recalled the appointee working for him about eight years ago during the summer. He stated that he knew of nothing unfavorable regarding the character, reputation, loyalty or associates of the appointee and knew of no reason why he should not have access to classified government material. He stated that he would be the only one at the firm who would know the appointee.

Scarsdale Recreation Department Village Hall Post Road Scarsdale, New York

bf Recreation, advised SA STEVENSON on August 4, 1966, that the appointee was employed as a Tennis Attendant during July and August, 1958, at which time he resided at 2 Obry Drive, Scarsdale, New York. The records indicate his employment was satisfactory and he is eligible to be rehired.

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who would know the appointee.

#### "New York Times" 229 West 43rd Street New York, New York

On August 3, 1966, Personnel Department, "New York Times", advised his records show that RICHARD CHARLES HOLEROOKE, was employed as an office boy from June 5, 1961 to September 9, 1961. The appointee carried Social Security Number 132-32-3096 and resided at 14 Jones Street, New York City. The records show that on an application dated June 22, 1961, the appointee indicated that he had been previously employed at Nellsons, Scarsdale, New York, from March, 1958 to June, 1958, as a soda jerk.

b70

advised that the appointee left the "New York Times" in order to return to school. His record with the "New York Times" was satisfactory and he met all the job requirements. ______was unable to suggest anyone with the "New York Times" at the present time who would know the appointee.

## Neighborhood

#### 14 Jones Street New York, New York

On August 4, 1966, 14 Jones Street, New York, New York, advised that he could not recall the appointee as having been a tenant at that address He mogested that the oldest tenant in the building was and that she was the only person the could suggest who might know the appointee personally.

On Annist 1 1066.

New York, advised that she was not acquainced with the appointee.

On August 5, 1966, Healo Realty Company, 33-46 76th Street, Jackson Heights, New York, advised that his firm owns the property located at the captioned address. advised that there has / never been a tenant at that address by the name of HOLBROOKE. He advised that it is possible that the appointee resided there with another tenant without his knowledge.

Ъб

b7C

Credit

On August 1, 1966,

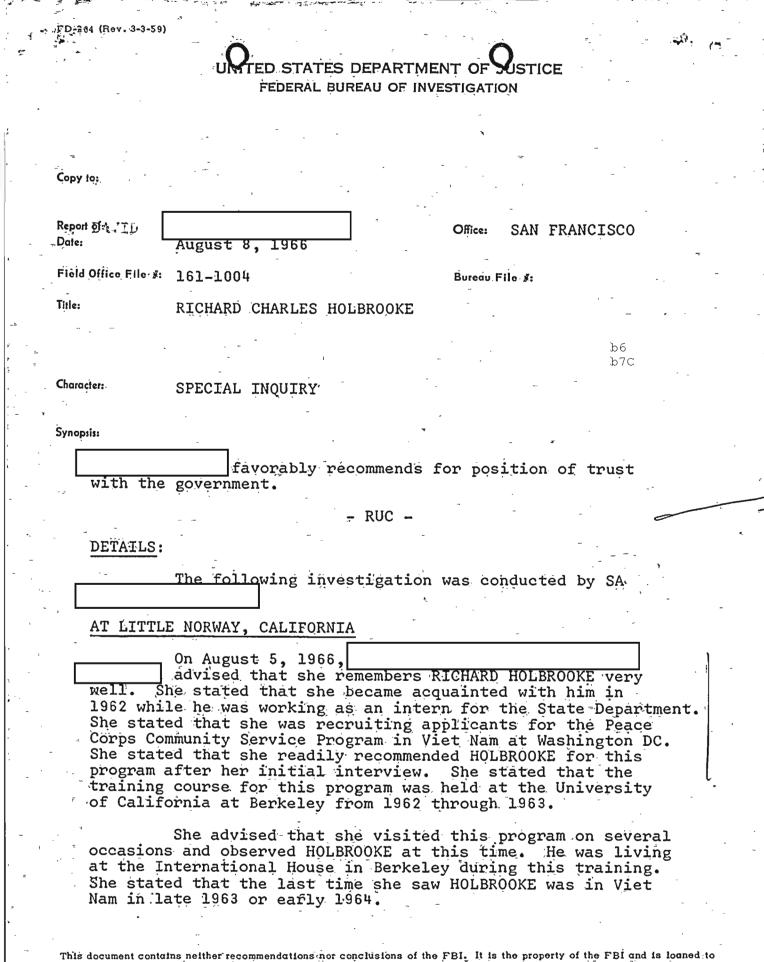
Credit Bureau of Greater New York, advised IC that she could locate no record for the appointee.

300 Hamilton Avenue, White Plains, New York, advised SA STEVENSON on August 4, 1966, that there was no record for the appointee.

Arrest On August 1, 1966, SA AUGUST J. MICEK caused the records of the New York City Police Department to be checked by Deputy Inspector Identification: Patronman Identification: Patronman Sergeant Old Record Room (all of the above of the New York city rolice Department); and Fingerprint Bureau, Criminal Court of the City of New York. No record was located for the appointee.

Chief of Police JAMES M. LY	ONS, Scarsdale, New York,
Police Department, advised SA STEVENS	ON on August 4, 1966.
that there was no record for the appoint	intee, his parents.
stepfather or brother. He stated that	t the HOLBROOKE family
formerly resided at 2 Obry Drive, Sca	csdale. New York. He
stated that Mr. HOLBROOKE died and Mr.	S. HOLBROOKE remarried
Lieutenant	Greenburgh Police
Department, White Plains, New York, a	And COLLEG
Annuat 11 1066 that MDINT VEAD	
on August 4 1966, that TRUDI KEARD,	STANDEY REARD and
all resided at 344 Sp	rain Road, Scarsdale,
New York He advised that Greenburgh	Police Department
covers that address and there was no	record for any member
of the KEARL family or for	
marker is a sood of	24.5.
Miscellaneous BORN APPRX.	
On August 1, 1966, a review	of the records of the
"New York Times" Morgue, 229 West 43rd	d Street. New York.
New York, failed to disclose any pert	inent information concerning
the appointee.	
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FD-263 (Rev. 5-1-59) and the second second FEDERAL BUREAU OF INVESTIGATION REPORTING OFFICE OFFICE OF ORIGIN DATE INVESTIGATIVE PERIOD SAN FRANCISCO BUREAU 8/8/66 8/5-8/66 TITLE OF CASE REPORT MADE BY TYPED BY vlh. RICHARD CHARLES HOLBROOKE. CHARACIER OF CASE aka Richard Charles Albert Holbrooke SPI b6 Ъ7С 8/5/66, at **REFERENCE:** Report of SA San Francisco -RUC--A*• COVER PAGE SPECIAL AGENT APPROVED DO NOT WRITE IN SPACES BELOW COPIES MADE NOT RECORDED (AMSD) 1 Bureau AUG 10 1966 1 - San Francisco, (161-1004) 9 V 47 E DISSEMINATION RECORD OF ATTACHED REPORT NOTATIONS AGEN REQUEST RECO. **f** : **Yhh** DATE FWD HOW BY ..... 16-76324-1 U.S. GOVERNMENT. PRINTING OFFICE



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

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SF161-1004 DGL:vlh

stated that HOLBROOKE was one of the most brilliant students she has ever recruited for the Peace Corps Program. She stated that he was intellectually arrogant, temperamental and very talkative. She stated that because of his arrogance, coupled with the fact that he was a brilliant person, most of the students in the program did not like him. She further advised that in spite of his arrogance along these lines, he was a good student and apparently did a fine job in Viet Nam. b6

b7C

She stated that nothing has ever come to her attention that would cast an unfavorable light on his honesty, intregrity, or loyalty to the United States. She stated that she would have no reservations in recommending him for any position with the government.

FD-263 (Rev. 9-17-65) . . . . <del>. . . .</del> FEDERAL BUREAU OF INVESTIGATION REPORTING OFFICE OFFICE OF ORIGIN. DATE INVESTIGATIVE PERIOD LOS ANGELES BUREAU 8/8/66 8/8/66 REPORT MADE BY TITLE OF CASE TYPED BY J. MARTELL BIRD  $\mathbf{grj}$ RICHARD CHARLES HOLBROOKE CHARACTER OF CASE aka Richard Charles Albert Holbrooke SPECIAL INQUIRY San Francisco airtel to Los Angeles 8/4/66. **REFERENCE:** - RUC - A* -COVER PAGE Case has been: Pending over one year 🗂 Yes 👘 No; Pending prosecution over six months 🛄 Yes No No APPROVED SPECIAL AGENT DO NOT WRITE IN SPACES BELOW COPIES MADE Bureau (AIR MAIL) 1 NOT RECORDED 1 - Los Angeles (161-1057) AUG 10 1966 З **Dissemination Record of Attached Report** Notations Agency Request Recd 1065 <del>0C</del> Date Fwd. How Fwd: Ву

FD-204 (Rev. 3-3-59)

TED STATES DEPARTMENT OF FEDERAL BUREAU OF INVESTIGATION

Copy to:

Report of: J. MARTELL BIRD Office: Los Angeles, California Date: August 8, 1966 161-1057

Field Office File #:

Bureau File ≸:

Title:

RICHARD CHARLES HOLBROOKE

Character:

#### SPECIAL INQUIRY

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Synopsis:

HOLBROOKE in Southeast Asia Training course, June 1, 1962 to March 31, 1963 at Berkeley, California, as part of Agency for International Development Program. said HOLBROOKE was the youngest in the course and at the time he regarded him to be a very brilliant young man, full of enthusiasm and initiative. He said that HOLEROOKE gave the indication of being somewhat rebelious toward the AID Training Program and stated that he felt the training given to accomplish the work expected in Viet Nam was practically useless. said that in retrospect, he realizes they did not have much to give to HOLEROOKE and the other trainees and feels HOLBROOKE was right in his evaluation and criticism of the Program. highly recommends HOLBROOKE for a responsibile position in the government and stated HOLBROOKE enjoys excellent character and reputation, is a loyal citizen of the United States and at the time he was known to | associated with individuals of very good reputations. recommends HOLBROOKE as a young man of outstanding abilities and a sincere desire to succeed.

- RUC -

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

LA 161-1057

	DETAILS:	- 
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Г	California, presently	
	University of California at Los Angeles (UCLA), Los Angeles	
:	California, was interviewed August 8. 1966 by SA	· -
ſ	at Calif-	-
1	ornia.	
,		
	advised that RICHARD CHARLES HOLBROOK	E ·
	was a student enrolled in the Southeast Asia Training Course	е, 🧠
	sponsored by the Agency for International Development (ATD)	• · · ·
	at Berkeley, California, June 1, 1962 to March 31, 1963.	,
ł	for the Southeast	
1	Asia Training Course and as such became well acquainted with	h (*
ł	Mr. HOLBROOKE,	-
	recalled Mr. HOLBROOKE as the youngest of	`
	the students in the course and a brilliant young man, full	• •
	of enthusiasm and initiative. He said that HOLBROOKE gave	· .
	the impression of being quite rebelious toward the AID	-
	Training Course and on occasion voiced his opinion that the training and information given, with the goal of accomplish	۲
	ing work in Viet Nam was practically useless.	<b>1</b>
	said that at the time he was guite unhappy about the	J '
	attitude of HOLEROOKE but in retrospect he now realizes	-
	that HOLBROOKE was quite correct in his opinion, that	. 1
	actually very little was given during the course that would	
	be of material assistance in the community development work	
	that was expected of the students upon completion of the	
'	course. said that he now feels HOLBROOKE was	
	quite right in his evaluation and criticism of the training	
	course.	
۱		
	said that he felt HOLBROOKE was	
	quite immature at the time of the course, primarily because	•
	of the critical attitude he displayed concerning the subject	τ
	matter. He said he now understands HOLBROOKE is not the	,
_	type that blindly follows instructions and blindly accepts	
	information given to him but is an independent thinker.	÷

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LA 161-1057

highly recommends Mr. HOLEROOKE for any responsible position in government. He said HOLEROOKE enjoys an excellent reputation and is of outstanding character. He regards Mr. HOLEROOKE as a loyal citizen of the united States and said that as of the time he was associated with him, HOLEROOKE associated with individuals of very good reputations. He recommended HOLEROOKE as a young man of outstanding abilities and a very sincere desire to succeed.

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		REFERENCE :	Bureau airte	el dato	ed 7/25/66.			~
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## WFO 161-3820

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## WASHINGTON FIELD

PP <u>AT WASHINGTON, D.C.</u> Will report the results of CIA and checks when available.

Will furnish Bureau copies of State Security reports reflecting interview with appointee and investigation in France regarding appointee.

> - B* -COVER PAGE

FD-204 (Rev. 3-3-59)

UNITED STATES DEPARTMENT OF STICE

Copy to:

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Reporf of:	SA	
Date:	8/9	/66

Office: Washington, D.C.

Field Office File #: 161-3820

Bureau File ∦:

Title:

RICHARD CHARLES HOLBROOKE

bб b7С

Character: SPECIAL INQUIRY

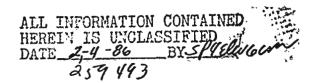
Synopsis: Appointee employed Department of State and presently on detail to White House. Professional associates recommended, residence verified, references and personal associates recommend. Credit Bureau. Incorporated. reveals no credit rating for appointee Police agency checks negative.

HCUA negative. No additional information CSC. Secret Service negative. State Security file reviewed.

- P -

DETAILS: AT WASHINGTON, D.C.

**EMPLOYMENT** 



WFO 161-3820 GES:pag 1

## The White House Office (WHO)

<u>The following investigation was conducted by SA</u>

On July 29, 1966,

WHO, advised that the appointee, RICHARD CHARLES HOLBROOKE, was detailed from the State Department to the Office of ROBERT KOMEKKELMER, Special Assistant to the President on July 14, 1966, and that he is presently so employed. She stated that her office would contain no additional information concerning the appointee.

On August 1, 1966, ROBER KOLMER, Special Assistant to the President, advised that he first became acquainted with the appointee approximately four months ago in Vietnam when he, KOMMER, was there on official business. He stated that he was very favorably impressed with the appointee and that approximately two or three weeks ago he arranged for the appointee's detail to this office. He further advised that the appointee came very highly recommended from General MAXWELL TAYLOR. KOMMER pointed out that he did not feel he was in a position to make a personal recommendation concerning the appointee, but that since joining the staff as a "staff member," he has done a very good job and feels he is going to "Work out satisfactorily."

On August 2, 1966, Lieutenant Colone

advised that he has known the appointee since septemper, 170, having met him at the American Embassy in Saigon, Vietnam. He stated he worked with the appointee until June, 1965, when he, Colone reassigned to the United States. He stated that they maintained contact with each other and that they have been assigned to the same office for the past several weeks working for Mr. KOTMER. He further advised that he is acquainted with the

**"** 

#### WFO 161-3820 2

appointee's family and that he has had both social and personal contact with him. Colonel described the appointee as a very able young man, dedicated to his country and that he b7c has always been favorably impressed with him. He further advised that the appointee is a devoted family man whose personal habits are above reproach and that he knows nothing of an unfavorable nature concerning the appointee's character, associates, repution or loyalty. He highly recommend the appointee for a position of trust and confidence.

On August 1, 1966

Coneral MAXWELL E. TAYLOR,

advised that he has known the appointee for approximately two years, having first met him in Vietnam when General TAYLOR was Ambassador to Vietnam, and in that respect both he and the appointee were on General TAYLOR's staff. He stated that he has also had social contact with him. described the appointee as a very intelligent young man who is with very highly regarded in the American Embassy in Vietnam. He stated that his comments would be completely favorable concerning his character, associates, reputation and loyalty and would highly recommend the appointee for a position of trust and confidence.

It is to be noted that General TAYLOR was listed as <u>a personal reference</u> by the appointee and in this respect, advised that TAYLOR is out of town and will not be available for a week or so. He stated that he felt he was in a position to speak for the General in this case, due to the fact that on many occasions General TAYLOR spoke extremely high of the appointee and that he is aware that General TAYLOR recommended him to ______ He further advised that he felt the General would concur in his statement concerning the appointee and favorable recommend him for a position of trust and confidence.

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WFO 161-3820 JWS:1sv

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#### DEPARTMENT OF STATE

The files of WF T-1, another government agency which maintains personnel folders, contained the following verification of the government employment of RICHARD CHARLES HOLBROOKE, as of July 28, 1966:

July 11, 1962

September 16, 1962

October 14, 1962

January 20., 1963

May 26, 1963

- May 22, 1965 May 23, 1965 Reserve Officer, Foreign Service Institute, Department of State, Vashington, D. C. Reimbursable detail to the Agency for International Development (AID), to attend University of California, Berkeley, California. Separated from Foreign Service Reserve Corps and appointed by the President as Foreign Service Officer, Vice Consul and Secretary in the Diplomatic Service, while still serving at the University of California, on detail for AID.

Limited appointment as Foreign Service

Reassigned to the Foreign Service Institute, Washington, D. C., for Vietnamese language training.

Transferred to Saigon, Viet-Nam, on detail to AID as Assistant Development Officer, United States AID Mission to Viet-Nam, Saigon, Viet-Nam.

Termination of reimbursable assignment to AID, to return to Department of State. Reassigned as Political Officer and Third Secretary, Department of State, Saigon, Viet-Nam. Currently on the rolls in this capacity.

The files of WF T-1 list appointee's birthdate as April 24, 1941, at New York, New York. A "Travel Message" in file dated May 17, 1966, indicates that the appointee, his wife and one child were to leave Saigon on May 21, 1966, under transfer to Washington, D. C. His estimated date of arrival WFO 161-3820

2

in Washington, D. C., was shown as July 15, 1966. A "Travel Message" dated May 12, 1966, in file, indicates that the appointee is to be given a non-reimbursable assignment to the White House.

Appointee's files reflects that he was awarded a Meritorious Service Increase on September 3, 1965, in recognition of his performance in Viet-Nam. The files contain no additional pertinent information. Advirus- reformation was writter.

A security file for the appointee, RICHARD C. HOLBROOKE, at AID, reviewed on July 28, 1966, by SA JOSEPH W. SPEICHER, reflected that he was granted "Top Secret" clearance by AID on April 16, 1963, based on an investigation by the Office of Security, Department of State during 1962. This clearance was granted in connection with appointee's reimbursable detail to AID, from the Department of State for the period September 17, 1962, to May 22, 1965, and his clearance terminated on May 22, 1965, when his reimbursable assignment ended:

This file indicated that the appointee was to undergo training at the University of California, Berkeley, California, upon commencement of his reimbursable assignment with AID in September, 1962.

The file listed appointee's birthdate as April 24, 1941, in New York, New York, and contained no additional / pertinent information.

<u>On July 29, 1966.</u>

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WFO 161-3820

standing, young Foreign Service Officers in Viet-Nam." He stated that he has no question whatever regarding appointee's loyalty to his country and added that his character, reputation, associations, are of the highest type. He recommended the appointee for a Government position of trust remarking that he is an extremely able, intelligent, hard working, and dedicated individual. He added that the appointee's wife is also a very fine person.

On July 29, 1966

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For Far Eastern Affairs, Department of State, advised SA SPEICHER that he has known the appointee quite well both socially and officially since they entered the Foreign Service together in 1962 indicated that they were in training together in Washington, D. C., from July, 1962, to September, 1962, and again from January, 1963, to April, 1963, They later worked together closely in Viet-Nam from 1963 to 1965 and he added that he has seen the appointee on several occasions since his recent return to Washington, D. C. appointee and his wife and ther only child have been staying temporarily at the Woodner Hotel while looking for a home.

stated that he considers the appointee to be a loyal united States citizen and a man of excellent character, reputation, and associations. He recommended the appointee "without question" for a nosition of trust and confidence with the Government commented that the appointee is a very able, intelligent, conscientious, and a dependable individual. He added that appointee's wife is likewise a very fine person. WFO 161-3820 JWS:1sv

On July 29, 1966.

Viet-Nam Working Group, Bureau of Far Eastern Affairs, Department of State, advised SA JOSEPH W. SPEICHER that he has known the appointee, RICHARD C. HOLBROOKE, socially and professionally as a coworker from 1963 to 1964 in Viet-Nam. He indicated that he has seen him several times recently since his return to the Washington, D. C. area from Viet-Nam.

described the appointee as a loyal United States citizen and a person of very good character, reputation, and associations. He recommended the appointee for a Government position of trust, commenting that he is a bright, alert, energetic, and reliable officer.

<u>On July</u> 29, 1966,

Viet-Nam Working Group, Bureau of Far Eastern Affairs, Department of State, advised SA SPEICHER*that he has known the appointee socially and offically since 1963. He indicated that he worked with the appointee from January, 1963, to May, 1963, in Washington, D. C., and then was a co-worker in Viet-Nam during 1963 and 1966. He mentioned that he had seen him several times during the past week or two since his return from Viet-Nam.

concerning appointee's loyalty to his country. He added that appointee's character, reputation, and associations are above reproach and he recommended him for a position of trust and confidence with the Government.

On July 29, 1966,

Viet-Nam Working Group, Bureau of Far Eastern Affairs, Department of State, advised SA SPEICHER that he has known the appointee socially and professionally since 1963. He indicated that he worked closely with the appointee in Viet-Nam during 1963 and 1964 and has seen him several times recently.

# WFQ 161-3820

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to be a loyal and a dedicated United States the appointee man of the very highest character, reputation, and associations. He recommended the appointee for a position of trust and confidence with the Government.

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WFO 161-3820 JWS:1sv

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### On August 1, 1966,

Viet-Nam Working Group, Bureau of Far Eastern Attairs, Department of State, advised SA JOSEPH W. SPEICHER that he has known the appointee, RICHARD C. HOLBROOKE, both socially and professionally since 1963. He explained that he served with the appointee in Viet-Nam from 1963 to 1965 and has seen him several times recently in Washington, D. C.

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to be a loyal United States citizen and a man of excellent character, reputation, and integrity. He recommended the appointee for a Government position of trust commenting that he is a capable, intelligent, hard working and dependable individual. He added that appointee's wife is likewise a fine person.

On August 1, 1966,

Office of Research and Analysis for the Far East, Department of State, advised SA SPEICHER that he had known the appointee socially and professionally as a co-worker in Viet-Nam from 1963 to 1965. described the appointee as a loyal and dedicated United States citizen and a man of very good character, reputation, and associations. He recommended the appointee for a position of trust and confidence with the Government.

On August 1, 1966,

for Montagnard Affairs, United States A.I.D. Mission to Viet-Nam, Agency for International Development (A.I.D.), advised SA SPEICHER that he had known the appointee socially and officially as a co-worker in Viet-Nam from 1964 to 1966.

reported that he has no doubts regarding appointee's loyarty to his country. He added that appointee's character, reputation, and associations are of the highest type and he recommended him "without question" for a Government position of trust, WFO 161-3820

of Viet-Nam Affairs, Bureau for the Far East, A.I.D., advised SA SPEICHER that had known the appointee socially and professionally as a co-worker in Viet-Nam from 1963 to 1965. stated that he considers the appointee to be a loyal United States citizen and a man of very good character, reputation, and associations. He recommended the appointee for a Government position of trust, commenting that he is very intelligent, hard working, dedicated, and reliable. He added that appointee's wife is also a very fine person.

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On August 1, 1966, Office of Development Planning, Bureau for the Far East, A.I.D., advised SA SPEICHER that he had known the appointee socially and officially as a co-worker from 1963 to 1965 in Viet-Nam. described the appointee as a loyal and devoted citizen of the United States and a man of the very highest character, reputation, and associations He recommended the appointee for a position of trust and confidence with the Government.

On August 1, 1966, Laos Division, Office of Southeast Asia Affairs, Bureau of the Far East, A.I.D., advised SA SPEICHER that he had known the appointee casually in an official capacity as a co-worker from 1963 to 1965 in Viet-Nam reported that he considers the appointee to be a loyal United States citizen and a man of very good character, reputation, and associations. He recommended the appointee for a Government position of trust, remarking that he is an able, intelligent, discreet, and dependable individual.

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WFO 161-3820 FTH:bai

The following investigation was conducted by SA's.

Rand Corporation, 600 Connecticut Avenue N. W., advised that he has known the appointee for slightly over two years on both b7c a professional and social basis. He advised that he was the appointee's supervisor for approximately six months in 1964. in Vietnam when both were employed by the Agency for International Development. He advised that he has met the appointee's mother on one occasion and is acquainted with his wife. He stated the appointee and his wife have a son who is less than one year old. The appointee and his wife are currently residing at the woodner Hotel on 16th Street N. W., and are presently in the process of seeking a home.

advised that he worked particularly close with the appointee when they were in Vietnam and the appointee was assigned special projects. He described him as a dedicated American who possesses "a lot of promise." He commented favorably concerning the appointee's character, associates, reputation, and loyalty, and recommended him for a position of trust. WFO 161-3820 ANN:eeb

Washington Urban League, Incorporated, 901 New Jersey Avenue, N.W., advised SA ALBERT N. NENCIONI on August 5, 1966, he has known the appointee since 1953 when they were classmates in the seventh grade. He described the appointee as a loyal American of good character, associates and reputation. He knew of nothing unfavorable about his moral character or personal habits and said he was extremely intelligent, perceptive and hardworking. He stated that to his knowledge the appointee's mother lived with his step-father for several years before they were married, but felt that this had no relevance to the appointee's capabilities. He further advised he would recommend the appointee for a position of trust and confidence.

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EPSORAL

ASSOCIATE

bб b7с WFO 161-3820 LWS:ak

## CREDIT AND POLICE AGENCIES CHECKS

IC caused a search to be made of the files of The Credit Bureau, Incorporated, Washington, D.C., and was advised on July 27, 1966, that the files contained no credit rating for the appointee or his wife, LORRINE HOLBROOKE.

On July 27, 1966, IC determined that no record was contained in the Metropolitan Police Department files concerning the appointee and his wife. It is to be noted that at all times an indefinite number of unidentified records are out of file and not available for review.

On July 27, 1966, IC searched searched the files of the U.S. Park Police, and no identifiable record be was found concerning the appointee and his wife.

Arlington County, Virginia, Police Department, and was advised on July 28, 1966, that no record was located concerning the appointee and his wife.

#### MISCELLANEOUS

The files of the House Committee on Un-American Activities were reviewed on July 27, 1966, by IC and and and and no identifiable record was found for the appointee.

IC caused a search to be made of the files of the Bureau of Personnel Investigations, Civil Service Commission, and was advised on July 29, 1966, that no additional pertinent information was found concerning the appointee.

IC caused a search to be made of the files of the U.S. Secret Service, Department of the Treasury, and was advised on August 1, 1966, that no record was located concerning the appointee.

13

WFO 161-3820 LWS:bmr

> The following investigation was conducted by SA on August 3, 1966.

Records (Security file) of the United States Department of State, Office of Security (SY) was granted a security clearance (level not stated) under EO 19450 by SY on June 30, 1962, for the position of Foreign Service Officer(FSO), FSO-8. This clearance is still in effect. It was based on an investigation in the United States and France by SY April to June, 1962.

The file contains memoranda records of three security violations. On November 19, 1964, he was charged with leaving a classified (non sensitive) memorandum on his desk at the United States Operations Missions, Saigon, On May 25, 1965 he left confidential documents on his desk at the Embassy in Saigon. On October 7, 1965, he was charged with leaving a Limited-Official Use document on a co-workers desk without adequate protection at the Embassy in Saigon. On January 13, 1965, in a letter from the Acting Deputy Assistant Secretary for Security he was cautioned concerning the violation report of November 19, 1964. b6 ·b7C

	F B I
	Date: 8/11/66
ransmi	t the following in(Type in plaintext or code)
ią	AIRTEL (Priority)
]	ر کم سے سے خواص سے ایک اور سے سے میں سرائی ہوتا ہو جہ اور ایپ میں سے لیے ایک میں سو تیں بی سرائی کی ایک بی سر سے سے سے سے بی میں سر
	TO: DIRECTOR, FBI
	FROM: SAC, WFO (161-3820) (P)
x.	
	RICHARD CHARLES HOLBROOKE, aka SPI
	Re Report of SA dated 8/9/66 dated 8/9/66
1	
- 	copy each of the following reports regarding the appointee obtained from the Security Office, Department of State: Report of, dated 5/28/62 at Paris, France
	obtained from the Security Office, Department of State: Report of dated 5/28/62
	obtained from the Securoty Office, Department of State: Report of, dated 5/28/62 at Paris, France Report of dated 4/11/62
	obtained from the Security Office, Department of State: Report of, dated 5/28/62 at Paris, France Report of dated 4/11/62 at Washington, D. C. Will report the results of CIA, IRS, and State
	obtained from the Security Office, Department of State: Report of dated 5/28/62 at Paris, France Report of dated 4/11/62 at Washington, D. C. Will report the results of CIA, IRS, and State Passport checks when available.

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# FD-283 (Sev. 5-1-59) FEDERAL BUREAU OF INVESTIGATION REPORTING OFFICE OF ORIGIN DATE INVESTIGATIVE PERIOD

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	WFOairtels, dated	8/8/66.		
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FD-204⁴(Rey. 3-3-59)

### UNITED STATES DEPARTMENT OF JUSTICE FEDERAL BUREAU OF INVESTIGATION

. :		
Report of:	8 / 11/ / 25	Office: New York, New York
	8/11/00	-
Field Office File #:	161-2129	Bùreau Filò ∦:
itle:	RICHARD CHARLES HOLBROOKE	
<u>ب</u>		b6 - b6 - b7C
Character: _	SPECIAL INQUIRY	
	TRUDI HOLBROOKE and STANLE 350 Central Park West, und Mr. and Mrs. STANLEY HOLBR at that address believes t married at the time they r	er the names OOKE. An employee hat they were not esided there. nted favorably
	TRUDI HOLBROOKE and STANLE 350 Central Park West, und Mr. and Mrs. STANLEY HOLBR at that address believes t married at the time they r comme regarding the appointee an	er the names OOKE. An employee hat they were not esided there. nted favorably d furnished background
Character: Synopsis:	TRUDI HOLBROOKE and STANLE 350 Central Park West, und Mr. and Mrs. STANLEY HOLBR at that address believes t married at the time they r comme regarding the appointee an of the HOLBROOKE family.	er the names OOKE. An employee hat they were not esided there. nted favorably d furnished background

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

#### NÝ 161-2129

DETAILS:

Neighborhoods

2 Obry Drive Scarsdale, New York

On August 10, 1966, Scarsdale, New York, advised SA ROBERT L. STEVENSON, JR., that she did not know the appointee. She advised that there are only five houses in the area and the only remaining resident since the HOLBROOKEs moved is

On August 10, 1966,

Scarsdale, advised SA STEVENSON that she is the who would know the

HOLBROOKES. She advised that Dr. DANIEL HOLBROOKE died about 1956. Mrs. HOLBROOKE and her two children moved to Riverdale, New York City, about two years later, as the house was much too big for them. She advised that she never heard of anyone by the name STANLEY KEARL. She recommended the HOLBROOKE family regarding character, reputation; loyalty and associates.

Chief of Police JAMES M. LYONS, Scarsdeles New York, BOTICESDEpartment, advised SA STEVENSON, on August 10, 1966, that he did not know how he knew Mrs. HOLBROOKE had remarried. He advised he probably met her in the village and she told him.

> 344 Sprain Road Scarsdale, New York

On August 10, 1966 Scarsdale, New York, advised SA STEVENSON that the KEARL family has been living at 344 Sprain Road about four years. She did not know where they lived prior to moving to Sprain Road. NY 161-2129

She advised there was a by Mrs. KEARL's first marriage and is now in the United States Army Engineers. She stated that Mrs. KEARL's first husband was supposed to be a well-known Surgeon in New York City, and he died at an early age. There was another son, but he never lived at the Sprain Road residence. She stated that Mr. KEARL is a Sculptor and she understands he has a good reputation in New York City, and has exhibited his works. She knew of nothing unfavorable regarding the character, reputation, loyalty and associates of any of b7c the appointee's relatives.

Scarsdale, advised SA STEVENSON, on August 10, 1966, that the KEARL family has been in the neighborhood about four years. She stated that there is a by Mrs. KEARL's first marriage. She advised that she understood Mrs. HOLBROOKE's first husband died. She recommended the KEARL family regarding character, reputation, loyalty and associates, and stated she did not know the appointee.

Scarsdale, New York, advised SA STEVENSON, on August 10, 1966, that she has known the KEARL family about four years. She has not had close contact with them, but they impressed her as very fine people. She knew of nothing unfavorable regarding the character, reputation lovalty and associates of Mr, or Mrs. KEARL, or Mrs. KEARL's son. She did not know the appointee.

> 350 Central Park West New York, New York

On August 12, 1966, advised that Mr. and Mrs. STANLEY HOLBROOKE resided in Apartment 9-G, at above-captioned address, for about two years, from 1959 to 1961. NY 161-2129

He stated that they moved in the apartment together and also left at the same time. ______tated that he had the impression that Mr. and Mrs. HOLBROOKE were not married and that she had a husband who lived somewhere else. He based this opinion on the fact that Mr. and Mrs. HOLBROOKE never went out together, but always went their separate ways. He also stated that STANLEY HOLBROOKE received mail under the name of STANLEY KEARL. He also noted that Mrs. HOLBROOKE was away from the apartment for about a month or so.

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b7C

advised that Mrs. HOLBROOKE had a son who occasionally visited their apartment, but he never became well-acquainted with this young man. He advised that he knew nothing which would lead him to question the family's loyalty to the United States, and he knew of no reason that the appointee should not be employed by the United States Government.

advised that none of the present tenants on the Ninth Floor were living in the building at the time the HOLBROOKE's were there.

On August 12, 1966, Henry Moscowitz Realty Company, 10 Columbus Circle, New York, New York, advised his records show that Apartment 9-G, at 350 Central Park West, was rented by a TRUDI HOLBROOKE, from November 15, 1958 until June 15, 1961.

On an application, dated October 27, 1958, TRUDI HOLBROOKE listed her present residence as 2 Obry Drivé, Scarsdale, New York, and indicated that she had previously lived at 41 West 96th Street, New York, New York. She indicated that there would be two adults and two children occupying the apartment.

acquainted with TRUDE HOLBROOKE.

MR., STANLE / REARL MAL STANLE /-HALBROOKE MRST DANIFLAHOLISR TOKE hios Helegeokeakear TRUDI NY 161-2129 MODSAFILGISTER LEUDI TRUD HAVEARL NELLANDOS 344 SPRAIN BAAD SCAP DALE N.Y. TRUDI HOLBROOKETKEASL Miscellaneous Miscellaneous <u>741-9-15-20</u> Wall Street, New York, New York, advised that he has taken care of the appointee since infancy and that he has taken care of the mast 25 bб the legal affairs of the HOLBROOKE family, for the past 25 b7C years. He described the appointee as a serious, sensitive boy who is very studious. He knows of no reason to question the appointee's loyalty to the United States, and recommended him for a position of trust and confidence. CLAND advised that the appointee's paternal grandmother is AGNES HOLBROOKE, 163 East 87th Street, New York, New York. He advised that her husband is now deceased. He stated that the appointee's maternal grand-RUDGIA parents were SAMUEL MOOS and VALESCA MOOS. SAMUEL MOOS is now deceased, but VALESCA MOOS is living in Zurich, Switzerland. He advised that the MOOS family originally came from Germany, and in the 1930's, settled in Buenos Aires, Argentina, where MOOS established the firm of ELIAS MOOS, one of the biggest exporters of hides in Argentina. TRUDI MOOS came to the United States in the late 1930's to be married. advised that TRUDI HOLBROOKE KEARL has a browner, living in Ascona, Switzerland; and two sisters, Buenos Aires, Argentina; and living in Paris, France. huspand. is now a partner in the firm, in Argentina. advised that DANIEL HOLBROOKE died in about 1957, and that TRUDI HOLBROOKE remarried about six or seven years ago. vised that he does not know where the marriage took place and stated that it was an SWITZERLAND ALL COLLEN - 5* GERMAN ARGENTINA ARGENTINA

8/17/66

AIRTEL

TO: SAC, ALBANY

FR.34; SAC, NEW YORK (161-2129)

SUBJECT :

2 - Albany D- Bureau 1 - New York

FILS

560CT 71966

PLT:smg (5)

: RICHARD CHARLES HOLBROOKE SPECIAL INQUIRY BUDED PAST

White House has requested investigation of HolBhoonE who is being considered for white House staff position. Born 4/24/41, atNYC and resides at the Woodner Hotel, 3636 16th Street NW, Washington, D. C.

> WFO has developed information to the effect that the appointee's mother, TRUDI MOOS HOLBROCKE KEAKL, and his stepfather, STANLEY KEARL, were living together prior to their marriage. TRUDI KLI - was born in 1920 and STANLEY KERAL was born in 1916. Both presently reside at 344 Sprain Road, Scarsdale, NY.

Albany check marriage records for NY State from 1958 to 1966 in order to verify the date of KEARL's marriage to the appointce's mother.

NOT RECORDED

5 AUG 18 1966

AIRTEL

#### AIRMAIL

TO: SAC, NEW YORK (161-2129)

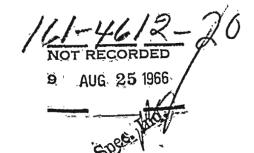
FROM: SAC, ALBANY (161-728) (RUC)

SUBJECT: RICHARD CHARLES HOLBROOKE SPECIAL INQUIRY BUDED PAST

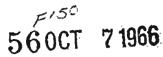
Re New York airtel to Albany dated 8/17/66.

Bureau of Vital Statistics, Albany, New York, advised on 8/22/66 that she could locate no record of the marriage of TRUDI MOOS HOLBROOKE KEARL and STANLEY KEARL. She also said that if the marriage license were purchased in New York City, the Bureau of Vital Statistics, New York City, would maintain the record even if they were married elsewhere. She further stated that April, 1966 is the most recent date of her records.

2 - New York 1 - Bureau 1 - Albany JR:mer (4)



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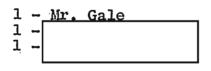
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TO: DIRECTOR,	FBI			
FROM: SAC, WF	0 (161-3820) ()	P)		
RICHARD CHARLE SPI	S HOLBROOKE, aka			
Re 8/9/66.	report of SA		dated	
SA made of the fil		caused	a search to	be
Pe	nding IR3 and St	ate Passport c	hecks.	
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2			b3 Per CIA	. /
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LWS:laa				
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Per OGA letter dated 5	5/25/2011			
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	FBI Date: 8/24/66
mit	the following in
	(Type in plaintext or code)
	AIRTEL (Priority)
<u>-</u>	
	TO: DIRECTOR, FBI
	FROM: SAC, WFO (161-3820) (RUC)
	RICHARD CHARLES HOLBROOKE, aka
	SPI
	Rerep of SA dated 8/9/66 at b6
	Washington, D. C.
	On August 24, 1966, IC reviewed the appointee's file at the Passport Office, Department of State, which listed his birth as April 24, 1941 at New York, New York.
-	On April 30, 1963, the appointee, RICHARD CHARLES ALBERT HOLBROOKE, was issued diplomatic passport #X-013015 for proposed travel of two years' duration to Japan, Philippines, Hong Kong and Vietnam for Department of State assignment. On or about April 19, 1965 he had diplomatic passport #X-013015 revalidated for travel to France, Switzerland and Thailand. The passport was marked for repeated trips. He indicated that he was previously issued passport #2067679 on April 8, 1960, however the application for this passport was not available for review.
	He indicated that he was never married and listed his parents as DAN HOLBROOKE, born about 1914 in Poland and TRUDI MOOS, born September 15, 1920 in Germany.
(	The file contained no additional pertinent information.
	(2) $E^{(5)}$ NOR (
laat	roved

1:

August 26, 1966

BY LIAISON



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E

**Honorable Marvin Watson** Special Assistant to the President. The White House Washington, D. C.

Dear Mr. Watson:

Delivered to

TÉLETYPE UNIT

On

Transmitted herowith is a summary memorandum containing the results of investigation regarding Richard Charles Holbrooke, which was requested by on July 25, 1966.

Information has been received from two governmental agencies*indicating that the checks of their files concerning Mr. Holbrooke have not been completed. When the results of these checks are received, you will be advised

__ The investigation of ir. Holbrooke covered Inquiries in the continental United States as to his character, loyalty, general standing and ability, but no inquiries were made as to the sources of his income.

## Sincerely yours,

**EC 30** 

Return to

Enclosure

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## *IRS and Passport Office, Department of State

Del.oach WHB: laz Un Casper Callahan Contad See note page 2 Golg-Sullivan

Tele. Roos

Room 1254

SEP 30 1966

#### Honorable Marvin Watson

NOTE: Request received from White House 7/25/66. Holbrooke, aged 25, is a graduate of Brown University (1962). Between 1962 and 1966 he was employed by State Department and Agency for International Development. Since 7/66, he has been in a staff position at White House. In 1961, while attending Brown University, his name appeared in records of Fair Play for Cuba Committee. There is no indication he was active in that committee and he has been recommended as an intelligent and loyal citizen.

Mr. Gale 1 1 1 August 29, 1966 BY LIAISON Aug RECID-READING ROOM 23 20 Honorable Marvin Watson يں 11-Special Assistant to the President The White House Washington, D. C. Dear Mr. Watson: By letter dated August 26, 1966, you were Ъб furnished a summary memorandum containing the results b7C of investigation conducted concerning Mr. Richard Charles Tolhrooke. The records of the Passport Office, population of State, indicate that Mr. Holbrooke was issued a passport in April, 1960, for travel to Europe for pleasure purposes. He was issued a diplomatic passport in April, 1963, for b3 USC 6103 travel to Asia on Government business. The records of b6 b7C the Passport Office contain no unfavorable information concerning Mr. Holbrooke. This concludes the investigation in this case, Sincerely yours, Dellvered ΩΩ Tolson DeLocch Mohr Wick SEP 30 WHB: jmh Casper . Callahan (5) Conrad Felt_2 Gole 2 Rosen Sullivon 1.77 Tave) Trotter Tele. Rob Return to... 1254 Room Holmes TELETYPE UNIT Gandy MAIL ROOM



UNITED STATES DEPARTMENT OF JUSTICE FEDERAL BUREAU OF INVESTIGATION

2 8 St. 2

In Reply, Please Refer to File No.

WASHINGTON, D.C. 20535

August 26, 1966

#### RICHARD CHARLES HOLBROOKE

#### I. BIOGRAPHICAL DATA

Birth

Mr. Holbrooke was born on April 24, 1941, in New York, New York, as Richard Charles Holbrooke. He has on occasion used the name Richard Charles Albert Holbrooke.

#### Education

Mr. Holbrooke attended Brown University, Providence, Rhode Island, from September, 1958, until June, 1962, receiving an A.B. degree.

During the Summer of 1957 he was enrolled in an elementary Russian language course at the University of California, Berkeley, California.

He was enrolled in a course entitled Southeast Asia Training at the University of California, Berkeley, California, from June, 1962, until January, 1963. This course was in connection with his duties at the Agency for International Development.

#### Employment

Mr. Holbrooke was employed by Neilsen Ice Cream Company, Incorporated, Scarsdale, New York, on a part-time basis, as a "soda jerk" from March, 1958, until June, 1958.

During July, 1958, and August, 1958, he was employed as an attendant by the Scarsdale Recreation Department, Scarsdale, New York.

From June, 1961, until September, 1961, Mr. Holbrooke was employed by "The New York Times", newspaper, New York, New York, as an office boy.

On July 11, 1962, Mr. Holbrooke was appointed a Foreign Service reserve officer in the Foreign Service Institute, Department of State, Washington, D. C. On September 16, 1962, he was detailed to the Agency for International Development, Washington, D. C., and on October 14, 1962, he was appointed a Foreign Service officer. On January 20, 1963, he was reassigned to the Foreign Service Institute, Washington, D. C. He was transferred to Saigon, South Vietnam, on detail to the Agency for International Development as Assistant Development Officer on May 26, 1963. He was reassigned to the Department of State on May 22, 1965 as Political Officer and Third Secretary in South Vietnam. On July 14, 1966, he was detailed as a staff member to the office of Robert W. Komer, Special Assistant to the President, The White House, Washington, D. C. He is currently employed in this capacity.

#### Marital Status

Mr. Holbrooke is married to the former . They and their minor son presently reside at the Woodner Hotel, 3636 16th Street, Northwest, Washington, D. C.

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#### II. RESULTS OF INVESTIGATION

#### Interviews

University, Providence, Knode ISIand, advised ne was acquainted with Mr. Holbrooke during Mr. Holbrooke's attendance at Brown University. He said Mr. Holbrooke enjoyed a good reputation at Brown University and he considers him a loyal American of good character and associates. He said based on his past knowledge of Mr. Holbrooke he would recommend him for a position of trust.

who is presently employed as an instructor at the University of California, Los Angeles, California, advised he was Mr. Holbrooke's instructor at the University of California in Berkeley, California, during 1962 and 1963 at which time Mr. Holbrooke attended a course which was sponsored by the Agency for International Development. He said he became well acquainted with Mr. Holbrooke

during this period and he recalls Mr. Holbrooke was one of the youngest students enrolled in the course. He said he found Mr. Holbrooke a brilliant young man who was full of enthusiasm and initiative. He stated, however, from Mr. Holbrooke's remarks, which he is now unable to recall, he received the impression Mr. Holbrooke was quite rebellious toward the Southeast Asia Training course in which he was enrolled. He said Mr. Holbrooke had voiced the opinion that "the training and information given with the goal of accomplishing work in Vietnam was practically useless." He stated, at the time, he was "quite unhappy about Holbrooke's attitude," but in retrospect now realizes that Mr. Holbrooke was correct in his opinion; that actually very little was given during the course which would be of material assistance in community development work.

• • • •

stated that he has been advised that Mr. Holbrooke did an outstanding job in community development work in Vietnam. He said Mr. Holbrooke had a great sense of responsibility. He furnished favorable comments regarding Mr. Holbrooke's character, reputation, loyalty and associates, and he recommended Mr. Holbrooke for a responsible Government position.

David Rusk, Assistant Director for Programs, b6 Washington Urban League, Incorporated, Washington, D. C., b7C advised he has been acquainted with Mr. Holbrooke since 1953. He described Mr. Holbrooke as a loyal American of good character, reputation, habits, morals and associates. He said Mr. Holbrooke is an extremely intelligent, perceptive and hardworking individual. He mentioned that information was brought to his attention from an undisclosed source that Mr. Holbrooke's stepfather resided in the same apartment as Mr. Holbrooke's mother prior to their marriage. He mentioned that Mr. Holbrooke's brother also resided in the same apartment. He stated he can furnish no other information regarding the foregoing and he feels it has no relevance insofar as Mr. Holbrooke's capabilities are concerned. He recommended Mr. Holbrooke for a position of trust and confidence.

New York, New York, advised that Mr. and Mrs. Stanley Holbrooke resided in Apartment 9-G at the aforementioned address from

1958 to 1961. He said he never became well acquainted with these individuals; however, no information was brought to his attention which would cause him to question this family's loyalty to the United States.

A representative of Moskowitz Realty, New York, New York, advised that Apartment 9-G at 350 Central Park West, was rented to Trudi Holbrooke from November, 1958, until June, 1961. When Trudi Holbrooke rented the apartment she indicated that two adults and two children would occupy the apartment.

It is noted that Mr. Holbrooke's father, Daniel Holbrooke, died in 1956, while residing in Scarsdale, New York. Mr. Holbrooke's stepfather, Stanley Kearl, reportedly married Mr. Holbrooke's mother, Trudi Moos Holbrooke, approximately six years ago. Inasmuch as there is no central index of marriage records in New York State, this marriage has not been Investigation has disclosed Stanley Kearl resided in verified. Apartment 9-G at 350 Central Park West, New York, New York, between 1958 and 1961.

Persons interviewed during the investigation advised they have no question concerning the character, reputation, loyalty or associates of Mr. Holbrooke or his close relatives.

for Political Affairs, Department of State, Wasnington, D. C., advised he knew Mr. Holbrooke in Saigon, South Vietnam, from June, 1964, to September, 1965, as a co-worker. He described Mr. Holbrooke as "one of the outstanding, if not the most outstanding, young Foreign Service officers who served in Vietnam." He stated he has no question whatsoever concerning Mr. Holbrooke's character, reputation, loyalty or associates. He said Mr. Holbrooke is b6 an extremely able, intelligent, hardworking and dedicated individual. He highly recommended Mr. Holbrooke for a position of trust and confidence.

Robert W. Komer, Special Assistant to the President, The White House, Washington, D. C., advised he first became acquainted with Mr. Holbrooke approximately four months ago at which time he, Mr. Komer, was in Saigon on official Government business. He said he was very favorably impressed with Mr. Holbrooke and he arranged for Mr. Holbrooke's detail to his, Mr. Komer's, office. He said while he does not feel he is in a position to make a personal recommendation concerning Mr. Holbrooke, he can say that Mr. Holbrooke, since joining the staff at the White House, has done a very good job. b7C

to the President, was interviewed in Washington, D. C. He advised he has been acquainted with Mr. Holbrooke since September; 1963, having met Mr. Holbrooke at the United States Embassy in South Vietnam. They worked together until June, 1965, when he, Colonel was reassigned to the United States. He stated that since September, 1963, he has been acquainted with Mr. Holbrooke on a social and professional basis. He described Mr. Holbrooke as a very able young man who is dedicated to this country. He stated further Mr. Holbrooke's character, reputation, loyalty and habits are above question. He highly recommended Mr. Holbrooke for a position of trust and confidence.

Twenty-four additional persons, including social acquaintances, professional associates, present and former co-workers and neighbors and college professors, were interviewed and they furnished favorable comments concerning Mr. Holbrooke's character, reputation, loyalty and associates. Those well acquainted with Mr. Holbrooke described him as a very intelligent, dedicated and hardworking individual. He was recommended for a position of trust and confidence.

Close Relatives

Father

Mother

Daniel Holbrooke Deceased

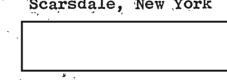
Trudi Moos Holbrooke Kearl Scarsdale, New York b6

b7C

Stepfather

Stanley Kearl Scarsdale, New York

Brother



Credit and Arrest Checks

Information has been received from the appropriate credit reporting and law enforcement agencies indicating their files contain either no record or no additional pertinent information concerning Mr. Holbrooke or his close relatives.

#### Security Clearances

While assigned to the Agency for International Development between September, 1962, and May, 1965, Mr. Holbrooke had an active top secret security clearance. He presently has an active security clearance with the Department of State.

#### Agency Checks

Information has been received from the following b3 Per CIF governmental agencies indicating their files contain

concerning

Mr. Holbrooke:

Bureau of Personnel Investigations, Civil Service Commission; House Committee on Un-American Activities; United States Secret Service; Central Intelligence Agency; Agency for International Development; Defense Central Index of Investigations, Fort Holabird, Maryland; and the White House Office.

The files of the Office of Security, Department of State, indicate that agency conducted an overseas investigation regarding Mr. Holbrooke in Paris, France, in 1962. During the Summer of 1960 Mr. Holbrooke traveled to Paris, France. No unfavorable information was developed.

The files of the Office of Security; Department of State, reveal that while stationed in Saigon, South Vietnam, Mr. Holbrooke was charged with the following security violations: on November 19, 1964, he was charged with leaving a nonsensitive classified document on his desk; on May 25, 1965, he was also charged with leaving classified documents on his desk; and on November 7, 1965, he was charged with leaving "limited official use" documents on a co-worker's desk without adequate protection. He received a caution letter regarding the November 19, 1964, violation. There is no indication that any action has been taken in regard to the other violations. The files of the Office of Security contain no additional pertinent information regarding Mr. Holbrooke.

#### Miscellaneous

#### In May. 1961.

the name and address of Richard Holbrooke, Brown University, were contained in the records of the Forum for Civil Liberties and the Fair Play for Cuba Committee at Brown University. The informant was unable to advise the significance of this information.

> whose comments are set forth hereinbefore, advised that the Forum for Civil Liberties was active at Brown University only in 1961. He said it was organized by a group of Brown University and Pembroke College students who held meetings and speakers were invited for group discussions of current events of interest. He said it was moderate in nature and it had very few members.

The Fair Play for Cuba Committee was organized at New York City in April, 1960, and served as Fidel Castro's propaganda arm in the United States until the assassination of former President John F. Kennedy, when it became inactive. At one time, the Fair Play for Cuba Committee had chapters throughout the United States and many of these chapters came under the domination of the Socialist Workers Party or the Communist Party, United States of America.

The Socialist Workers Party has been designated pursuant to Executive Order 10450.

The central files of the FBI, including the files of the Identification Division, contain no additional pertinent information concerning Mr. Holbrooke. b6 b7C b7D

P.O. Box 2600 Washington, D.C. 20013

#### MEMORANDUM

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ШÓ	SEGMION CUITER ENDLOYERS CECUDITY & CDECIDI THOUSE
TO:	SECTION CHIEF, EMPLOYEES SECURITY & SPECIAL INQUÍRY SECTION
FROM:	AR .
SUBJECT:	FBI BACKGROUND INVESTIGATIONSb6 b7C
Subject's	Name Richard Holdrocke
Date of E	irth 4/24/1941 Place of Birth New Jost
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	Washyon D.C. 20009
We reques	t:Copy of Previous Report
	Name Check
	Full Field Investigation
The perso	n named above is being considered for:
	Transition Staff Position
	× #Pres Appt
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Attachmer	
	SF 86 (in duplicate)
	SF 87 (Fingerprint Card)
	Consent & Release Forms
	(61-4612,50) + 81 (1) ENCLOSURE, 4, * 81 - 21-77
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CARTER - MONDALE RANSITION PLANNING GROUP

AUX-ST ING US CIVE SERVICE CONVISSION (PRECEDUATER SH) SECURITY INVESTIGATION DATA FOR SENSITIVE POSITION H-117 IESTRUCTIONS .-- Prepare in-triplicate, using a typewriter. Fill in all items. If the answer is "No" or "None," so state. If more space is needed for any item, continue under item 28. (LAST NAME) (FIRST NAME) (MIDDLE NAME) 2. DATE OF BIRTH 1. FULL NAME (Initials and abridgements of full name ate not acceptable. If no middle HOLBROOKE Charles Richard ASRIL 24.194 OTHER NAMES USED (Maiden name, names by former marriages, former names changed legally or otherwise, aliases, nicknames, etc. Specify which, and show dates used.) 3. PLACE OF BIRTH New name, show "(NMN)": il initiala only, show "(no given ot middle name)" 4. CHALE DEEMALE WEIGHT COLOR 5. HEIGHT COLOR 180 Lion blue. 7. IF MARRIED, WIDOWED, OR DIVORCED, GIVE FULL NAME AND DATE AND PLACE WIFE'S MAIDEN NAME. GIVE DATE AND PLACE OF MARRIAGE OR DIVORCE. (Give same information regarding all previous matriages and divorce) Married an Saugon 19164 6. SINGLE MARRIED WIDÓW(ER) Divorced in Washton 1974 DIVORCED 8. DATES AND PLACES OF RESIDENCE. (If actual places of residence differ from the mailing addresses, furnish and identify both Begin with present and go back to January 1, 1937. Continue under item 28 on other aide if necessary.) STATE b6 NUMBER AND STREET FROM ISZY CORCORANSTREET, NW-WASH, DC present 1974 b7C 1415 Rhode Island Island Are, NW-WASH DC 1973-74 2328 Nebraska Ave, NW - WASH, D. C. 1966-74 (except for oversea) RABAT, MOROCCO (Peace Corps - Dos) PARIS, FRANCE (State) NETNAM (State) 1970-72 1968-69 1963-66 BY BIRTH S. NATURALIZED ALIEN REGISTRATION NO. DATE, PLACE, AND COURT DUS. CITIZEN CERT. NO. PETITION NO. DERIVED-PARENTS CERT, NO(S). ALIEN REGISTRATION NO. NATIVE COUNTRY DATE AND PORT OF ENTRY 10. EDUCATION. (All schools above elementary.) MAME OF SCHOOL NAME OF SCHOOL Scaves dale High School-Scare Lele N.Y. 1 F Brown University Princeton U. - Woodraw Wilson School "1969-70 (none-visite tella SPATEL STATE **,** 72 1 ... effects intractively in our construction in the method with a series of t 11. THIS SPACE FOR FBI USE. (See also item 29.) 12. SOCIAL SECURITY NUMBER 132 32-309 13. HILITARY SERVICE (Past or present) Lowb SERIAL NO. BRANCH OF SERVICE (Army, Nevy, Air Force, etc.) FROM (Yr.) 10 (Yr.) (If none, five frade or rating eeparation) Z Ø. ENCLOSURE (.M El A SAME AND AND AND A SAME AND A SAME AND A SAME AND A SAME AND A SAME AND A SAME AND A SAME AND A SAME AND A S

ATTALES FORCES UNUER OTHER THAN HONORABLE CONDITIONS? LYES 1100. (If answer is "Yes," five details in item 28.) 15. EMPLOYMENT. (List ALL employment cles starting with your present employment. Gi Oth month and year for all dates. Show ALL dates and addresses when unemployed. One name under which employed il different from no used.) NAME OF EMPLOYER (Firm or seency) ADDRESS AND SUPERVISOR (Full name, if known), (Where employed) • TO REASON FOR LEAVING FRCM TYPE OF WORK State Dept Managin Elitor, FOREIGN POLICY 11 DUCONT CIRCLE, July - November 1976 - Governor Carter Campaigne 100 Colon Square Attoute, 5a. Contine & Streep 15. HAVE YOU EVER BEEN DISCHARGED (FIRED) FROM EMPLOYMENT FOR ANY REASONT IYES ENO. 17. HAVE YOU EVER RESIGNED (QUIT) AFTER BEING INFORMED THAT YOUR EMPLOYER INTENDED TO DISCHARGE (FIRE) YOU FOR ANY REASON? 🛛 YES 🗗 ÑÓ. (If your answer to 16 or 17 above is "Yes" five details in item 23. Show the name and address of employer, approximate date, and reasons in each case. This information should agree with the statements made in item IS-EMPLOYMENT.) 18. HAVE YOU EVER BEEN ARRESTED, TAKEN INTO CUSTODY, HELD FOR INVESTIGATION OR QUESTIONING, OR CHARGED BY ANY LAW ENFORCEMENT AUTHORITY? (You may omit: (1) Traffic violations for which you paid a fine of \$30 or less; and (2) anything that happened before your leth birthday. All other incidents must be included, even though they were dismissed or you merely forfeited collateral.) YES (1980, IF YOUR ANSWER IS "YES," GIVE FULL DETAILS BELOW: LAW ENFORCEMENT DATE CHARGE PLACE ACTION TAKEN المتركب الشبيبان فالمستحدة بمتقد the matter of the P (SIGHATURE AND TITLE OF AUTHORIZED AGENCY OFFICIAL) # U.S.Government Printing Office: 1974-557-019

CASE SERIAL NO. (CSC use only) Standard Form 86 SECURITY INVECTIGATION-DATA AINS INCL. COLD 19. HAVE YOU EVER HAD A NERVOUS BREAKDOWN OR HAVE YOU EVER HAD MEDICAL TREATMENT FOR A MENTAL CONDITION? YES 'NO. (If your answer is "Yes." fire details in item 28.) 3 20. FOREIGN COUNTRIES VISITED (SINCE 1930). (Esclusive of military service.) COUNTRY DATE LEFT U.S.A. DATE RETURNED U.S.A. PURPOSE ÷., 21. ARE YOU NOW, OR HAVE YOU EVER BEEN. A MEMBER OF THE COMMUNIST PARTY. U.S.A., OR ANY COMMUNIST OR FASCIST ORGANIZATION? 🗌 YES 🖾 NO. ARE YOU NOW OR HAVE YOU EVER BEEN & MEMBER OF ANY FOREIGN OR DOMESTIC ORGANIZATION. ASSOCIATION MOVEMENT, GROUP, OR COMBINATION OF PERSONS WHICH IS TOTALITAPIAN, FASCIST, COMMUNIST, OR SUBVERSIVE, OR WHICH HAS ADOPTED, OR SHOWS A POLICY OF ADVOCATING OR APPROVING THE COMMISSION OF ACTS OF FORCE OR VIOLENCE TO DENY OTHER PERSONS THEIR RIGHTS UNDER THE CONSTITUTION OF THE UNITED STATES, OR WHICH SEEKS TO ALTER THE FORM OF GOVERNMENT OF THE UNITED STATES BY UNCONSTITUTIONAL MEANS? UYES WNO. IF YOUR ANSWER TO QUESTION 21 OR 22 ABOVE IS "YES." STATE THE NAMES OF ALL SUCH ORGANIZATIONS. ASSOCIATIONS. MOVEMENTS. GROUPS, OR COM-BINATIONS OF PERSONS AND DATES OF MEMBERSHIP. IN ITEM 28 OR ON A SEPARATE SHEET TO BE ATTACHED TO AND MADE A PART OF THIS FORM, GIVE COM-PLETE DETAILS OF YOUR ACTIVITIES THEREIN AND MAKE ANY EXPLANATION YOU DESIRE REGARDING YOUR MEMBERSHIP OR ACTIVITIES. FROM NAME IN FULL OFFICE HELD n tala ser dana diken sejang an a man provide a star of esta . . A starting 24. MEMBERSHIP IN OTHER ORGANIZATIONS. (List all organizations in which you are now a member or have been a member, except those which show religious or political affiliations.) (If none, so state.) Council on Foreyn Relations - E. 68 tast NYNY 1969 present -Treasures, International Voluntary Services, Wash Jon, D. C. 25. RELATIVES. (Parents, spouse, divorced spouse, children, brothers, and sisters, living or dead. Name of spouse should include maiden name, and any other names by previous marriage. If person is dead, state "dead" after relationship and furnish information for other columns as of time of death.) YEAR OF COUNTRY OF PRESENT <u>YEAR OF</u> <u>BIRTH</u> 1920 344/Sprain Rd Germany Scarsdale, Niv. RELATION NAHE IN FULL Mother USA 1 # 2 P 1231 201.01 622 preses Manifi Elin, purchas, Buildy water the second the second second second second second second second second second second second second second 5.5. in a first in the and a contract 2142 ALC: NOT THE REAL PROPERTY OF The state of a second second in the second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second

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U.S. CITIZEN	CERT. NO.	PETITION NO.				
	DERIVED-PARENTS CERT. NO(S).					
	REGISTRATION NO.	NATIVE COUNTRY	DATE AND PO	ORT OF ENTRY		•
10. EDUCATION (All	schools above elementary)		I	•		
	E OF SCHOOL	ADDRESS	FROM (Year)	TO (Year)	DEGR	ees -
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	High School Scarsdale	1	1958	1982 1958		loma
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Scarsdale	High School Scarsdale	12. SOCIAL SECURITY NUMBER 13. MILITARY SERVICE (Past c	1952 1952 1 <u>32 - 3</u> r present)	1958	- dip	
Scarsdale	High School Scarsdale	12. SOCIAL SECURITY NUMBER 13. MILITARY SERVICE (Past c. SERIAL NO. (II none, fire grade or rating at separation)	1952 1952 1 <u>32 - 3</u> r present)	1958 2 - 3096 NA	- dip	loma
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Margaren and	· · · · · · · · · · · · · · · · · · ·		· · · ·			· · · ·	
16. FOREIGN COUNTE	RIES VISITED (SINCE		ry sorvice)	<b>A</b>	9	و م ا	
1. to,COL		TE LEFT USA	DATE RETURNED		1	PURPOSE .	<b>.</b>
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Uruguay, Bra		1961 .					
	tzerland, Eng		y-Sept 1960		tourism	, work, fe	mily visi
	oslavia,Gree				•		
			me-Sept 195		tourism	,femily	
	i, France, Nor			(MORE on p			· · · · · · · · · · · · · · · · · · ·
7. ARE YOU NOW, O	R HAVE YOU EVER B	EEN, A MEMBER OF THE	COMMUNIST PARTY. L	S. A., OR ANY CO	MMUNIST OR F	ASCIST ORGANIZ	TION
					ŧ	(ANSWER	TYES" OR "NO")
		<u>ه</u>					
8. ARE YOU NOW OR I PERSONS WHICH IS	HAVE YOU EVER BEEN 5 TOTALITARIAN, FAS	A MEMBER OF ANY FOREI	GN OR DOMESTIC OR	SANIZATION, ASSOCI	ATION, MOVEM	OF ADVOCATING O	R APPROVING THE
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ALTER THE FORM	OF GOVERNMENT OF	THE UNITED STATES BY UN	ICONSTITUTIONAL ME	ANS? no			
	4		٠,	(ANSWER "Y	S" OR "NO")	· .	·
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					1000011710110	MOVENENTE	
BINATIONS OF PER	SONS AND DATES OF	BABOVE IS "YES." STATE TH MEMBERSHIP. IN QUESTIO	N 23 OR ON A SEPARAT	E SHEET TO BE AT	ACHED TO AND	MADE A PART OF	THIS FORM, GIVE
COMPLETE DETAIL	S OF YOUR ACTIVITIE	ES THEREIN AND MAKE ANY	Y EXPLANATION YOU	DESIRE REGARDING	YOUR MEMBER	SHIP OR ACTIVITI	ES.
NAME	•	ADDRESS		FROM	TO	OFFICE HELD	
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20. MEMBERSHIP IN (	OTHER ORGANIZATIO	NS (List all organization	s in which you are n	ow a member or h	ave been a me	mber, except th	ose which show
	ical affiliations.)						
NAME		ADDRESS	TYPE	FROM	TO	OFFICE HELD	
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	s by previous marrie	age. If person is dead, s		ess" and enter of			
any other name:		ME IN FULL	BIRTH	ADDRESS		UNTRY OF	PRESENT
RELATION		- (11-11		_ 1 1		•	USA
any other name:	Trudi Moo		1920	344 Sprain		Germany	OBY
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	<u>. 10</u>	AND NAM	DYER (Firm or adoncy) E OF SUPERVISOR	<u>ייזד</u>	E OF WORK	(Where employe	REASO	N FOR LEAVING
summer	-	Mr. R.	York T <u>im</u> es Eurritt	co	s clerk- py boy	NY Time N.Y., N	•Y•	summer employmen
(please	e note:	during the	school year,	I am u	nemployed,	while a s	tudent a	t Brown)
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r •			•			`France		
summer	1958	Scarsdal	e Recreation		ennis-cour attendant	t Scarad N.Y.		summer emp
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A 18.30 * 22. REFERENCES (Neme three persons, not re ves or employers, who are well acquainted with you /, b6 b7C 23. SPACE FOR CONTINUING ANSWERS TO OTHER QUESTIONS (Show item numbers to which answers apply. Attach & separate sheet if there is not enough epace here.) question 16 England, Switzerland, France June - Sept 1956 tourism, family visit the Netherlands, Switzerland summer 1949 family visit Argentina _ summer 1946 family visit DATE: 24. REPORT OF INFORMATION DEVELOPED (This space reserved for FBI use.) Before signing this form check back over, it to make sure you have answered all questions fully and correctly, CERTIFICATION I CERTIFY that the statements made by me on this form are true, complete, and correct to the best of my knowledge and belief, and are made in good faith. False statement on this form is punishable by law. (SIGNATURE-Sign original and 1st carbon copy) INFORMATION TO BE FURNISHED BY AGENCY INSTRUCTIONS TO AGENCY: See Federal Personnel Manual Chapter I2 for details on when this form is required and how it is used. If this is a request for investigation before appointment, insert "APPL" in the space for Date of Appointment and show information about the *proposed* appointment in the other spaces for appointment data. The original and the first carbon copy should be signed by the applicant or appointee. Submit *three* carbon copies of this form, Standard Form 87 (Fingerprint Chart), and any investigative information about the person received on voucher forms or otherwise, to the United States Civil Service Commission, Investigations Division, Bureau of Departmental Operations, Washington 25, D. C. If this is a request for full field security investigation, submit these forms to the attention of the Security Investigations Section; if this is a request for preappointment national agency checks, submit these forms to the attention of the Control Unit. RETAIN THE ORIGINAL COPY OF STANDARD FORM SE (SIGNED BY THE APPLICANT OR APPOINTEE) FOR YOUR FILES DATE OF APPOINTMENT CIVIL SERVICE OR OTHER LEGAL AUTHORITY FOR APPOINTMENT TITLE OF POSITICN AND GRADE OR SALARY TYPE OF APPOINTMENT EXCEPTED COMPETITIVE (Include indefinite and tem-porary types of competitive appoint-ments.) Foreign Service appl. Officer CIPARTHENT OR AGENCY DUTY STATION SEND RESULTS OF PREAPPOINTMENT CHECK TO: State Foreign Service TAIL IS A SENSITIVE POSITION Department of State INCALTURE AND TITLE OF AUTHORIT Y OFFICIAL)

## CARTER - MONDALE ORANSITION PLANNING ROUP

P.O. Box 2600 Washington, D.C. 20013

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In connection with the consideration of my possible appointment to a position in President-elect Carter's administration, I hereby authorize (pursuant to Internal Revenue Code § 6103 (c) as amended) the Internal Revenue Service to provide President-elect Carter

of his transition team, and the FB1 accing on behalf or resident-elect Carter with tax information, limited to the following:

- Whether I have filed returns with respect to Federal income taxes for the immediately preceding 3 years.
- 2. Whether I have failed to pay any tax within 10 days after notice and demand, or have been assessed any penalty under the Internal Revenue Code of 1954, as amended, for negligence, in the current year or immediately preceding 3 years.
- Whether I have been or am under investigation for possible criminal offenses under the Internal Revenue laws and the results of any such investigation.
- 4. Whether I have been assessed any civil penalty under the Internal Revenue Code of 1954, as amended, for fraud.

In order to assist you in locating this Federal tax information, I am voluntarily disclosing my Social Security Number which is /32-32-209/2

ORIANA to Moollar

1524 Corcorn St, NW (Taxpayer's address) Wash to D.C. 2000 \$

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ARTER - MONDALE

P.O. Box 2600 Washington, D.C. 20013

#### AUTHORITY TO RELEASE INFORMATION

#### TO WHOM IT MAY CONCERN:

I hereby authorize any Special Agent or other authorized representative of the Federal Bureau of Investigation bearing this release, or copy thereof, within one year of its date, to obtain any information in your files pertaining to my educational records including, but not limited to, academic, achievement, attendance, athletic, personal history, and disciplinary records; employment records; and credit records. I hereby direct you to release such information upon request of the bearer. This release is executed with full knowledge and understanding that the information is for the official use of the Federal Bureau of Investigation. Consent is granted for the FBI to furnish such information, as is described above, to third parties in the course of fulfilling its official responsibilities. I hereby release you, as the custodian of such records, and any school, college, university, or other educational institution, credit bureau or consumer reporting agency, including its officers, employees, or related personnel, both individually and collectively, from any and all liability for damages of whatever kind, which may at any time result to me, my heirs, family or associates because of compliance with this authorization and request to release information, or any attempt to comply with it. Should there be any question as to the validity of this release, you may contact me as indicated below:

Full Name: Hold Signature

Full Name: Richard Holdrockp

Parent or Guardian: (if required):

Date:

Jan 8, 1977

Current Address:	1524 CORCORAN ST, NW	
	Washington D.C. 20009	
Telephone Number:	(2.02) 797-8405	

P.O. Box 2600 Washington, D.C. 20013

697 6420

#### Dear MR. NoLBROOKE:

In connection with your employment with the President-elect, it will be necessary to request that you provide this office with personal information about your background. This information will be provided to the Federal Bureau of Investigation to assist in an investigation of your background and it may be provided to other Federal agencies in connection with your employment.

ARTER - MONDALLE

ANSITION PLANNING GROUP

You should be aware that the authority to collect this background information is based on the President's executive powers in Article II of the Constitution. The information will be used to obtain necessary clearances to assist you in your work. Furnishing this information is voluntary, but necessary to our effectiveness. Willfully making a false statement or concealing a material fact may constitute a violation of Section 1001, Title 18 of the U. S. Code.

If you provide any information which indicates a violation of law, whether civil, criminal or regulatory in nature, it will be referred to the appropriate Federal, state, local or foreign agency.

If you provide any information about how you exercise rights guaranteed by the First Amendment, it will be assumed that you are expressly authorizing the maintenance of this information in the records of any Federal agency.

This personal information and the results of the FBI's investigation will be used principally in connection with the consideration of your employment; however, there are other uses for it when necessary to fulfill obligations imposed by law, FBI regulation or presidential directive or executive order. The background information which includes a review of FBI files will be disclosed to another Federal agency, to assist in its process of clearing you. The FBI investigation will include the collection and use of relevant information in the files of various Federal agencies and it is necessary that you authorize the disclosure of such information to the FBI. For example, the Internal Revenue Service will be asked to provide the FBI with the following limited information:

- Whether you have filed income tax returns for the past three years; and
- 2. Whether you have a record of unpaid taxes, liens, criminal tax investigations or civil penalties for fraud or negligence.

In order to locate this Federal tax information, it will be necessary for you to voluntarily disclose your Social Security number.

If you consent to such an FBI investigation and the disclosure of relevant information by Federal agencies, and if you understand and accept the terms of this letter, please sign your name below and return the original of this letter to

A duplicate of this letter is enclosed for your files.

Thank you.

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Sincerely,

Approved:

an 8,197

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CLINAR PRIORITY TELETYPE JANUARY 21, 1977 FM DIRECTOR (]6]-46]2)TO WASHINGTON FIELD (]6]-3820) PRIORITY ALEXANDRIA PRIORITY NEWARK (]6]-933) PRIORITY ATLANTA PRIORITY NEW YORK ([6]-2]29) PRIORITY ST. LOUIS PRIORITY BT CLEAR ENCLOSURE FOR WASHINGTON FIELD FORWARDED BSM. RICHARD CHARLES HOLBROOKE, SPECIAL INQUIRY, BUDED JANUARY-28-]977, WITHOUT FAIL. BUREAU HAS BEEN REQUESTED TO CONDUCT EXPEDITE INVESTI-GATION TO BRING UP TO DATE APGUST, ]966, SPECIAL INQUIRY OF HOLBROOKE WHO IS BEING CONSIDERED FOR PRESIDENTIAL APPOINT-Ъб MENT. b7C BORN APRIL 24, ]94], NEW YORK CITY, DIVORCED, SINCE ]974 REC-46 NOTE: Request received today from Robert Counsel to the President. FEDERAL BUREAU OF INVESTIGATION Lipshutz Assoc. Dir. - Counsel to the President. ter protection COMMUNICATIONS SECTION Dep, AD Adm._ Dep. AD Inv. RER:mal FEB 11 1977 Asst. Dir.: Adm. Serv (5)Ext. Affairs Fin. & Pers Gen. Inv. Ident. Inspection Intell. ENCLÓSURI Laboratory Legal Cou Plan. & Eval. Rec. Mgnt. RETURN T Spec. Inv. ROOM 311 TELETYPE UNIT GPO : 1976 O - 207-526

AND SINCE 1972 HAS HAS RESIDED BEEN EMPLOYED BY FOREIGN POLICY, AS MANAGING EDITOR, BOTH WASHINGTON, D. C.

PAGE TWO CLEAR

AT TIME OF ]966 INVESTIGATION HE WAS MARRIED TO FORMER HAD ONE CHILD, NAME UNKNOWN, RESIDED WOODNER HOTEL, WASHINGTON, D. C., AND WAS EMPLOYED BY STATE DEPARTMENT ON DETAIL TO THE WHITE HOUSE OFFICE.

CONTINUED EMPLOYMENT WITH STATE DEPARTMENT UNTIL 1974. FROM JULY, 1976, TO NOVEMBER, 1976, WAS ASSOCIATED WITH CARTÉR-MONDALE CAMPAIGN IN ATLANTA, GEORGIA.

LISTS MOTHER, TRUDI HOLBROOKE KEARL, 344 SPRAIN ROAD, SCARLSDALE, NEW YORK.

RESIDENCES SHOWN AS 1966 TO 1974, 2328 NEBRASKA AVENUE, NORTHWEST, WASHINGTON, D. C., AND ]966 TO ]974, PERIODICALLY ABROAD .

INDICATES ATTENDED PRINCETON UNIVERSITY, PRINCETON, NEW JERSEY, 1969 TO 1970, AS VISITING FELLOW.

INDICATES DIVORCED ]974, WASHINGTON, D. C.

NO REFERENCES LISTED NOR CURRENT WHEREABOUTS OF FORMER SPOUSE, SON, OR BROTHER WASHINGTON FIELD

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PAGE THREE CLEAR

ASCERTAIN AND SET OUT APPROPRIATE LEADS.

ST. LOUIS CHECK NPRC-C AND ALEXANDRIA CHECK CIA.

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BACKGROUND DATA AND RELEASE FOR REVIEW OF APPROPRIATE RECORDS FOLLOW BY AIRTEL:

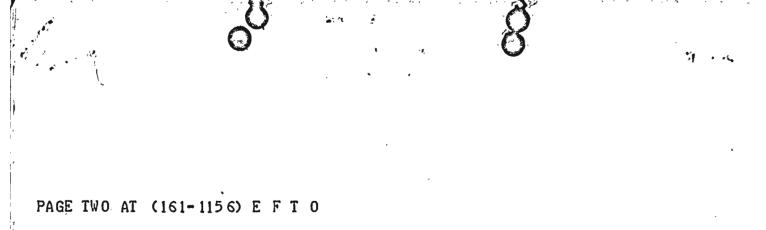
DUE TO URGENT NATURE OF REQUEST, IT IS IMPERATIVE BUDED BE MET WITHOUT FAIL. NO DELAY WILL BE TOLERATED.

SPIN.

BT

airtel 1-21-77 SACs, Washington Field (161-3820) - Enc. (2). To: Alexandria - Enc. (2) S.T. Newark (161-933) - Enc. (2) Atlanta - Enc. (2) 30 New York (161-2129) - Enc. (2) St. Louis - Enc. (2) Director, FBI (161-46]2) From: RICHARD CHARLES HOLBROOKE SPECIAL INQUIRY BUDED: 1-28-77, WITHOUT FAIL ReButel today. Enclosed are background data and release for review of appropriate records received with request for this investigation. Ъб b7C 161-1612. RER:mal NOT RECORDED (14)Assoc. Dir._ 22 MAP 7 1977 Dep. AD Adm._ Dep. AD Inv.__ Asst. Dir.: MAILED 14 Adm. Serv. Ext. Affairs_ Fin. & Pers. JAN 2 1 1977 Gen. Inv. Ident. Inspection FBI Intell. Laboratory . Legal Coun. RETURN TO ROOM 3117 Plan. & Eval._ Rec. Mant._ Spec. Inv., Training. Telephone Rm. MAIL ROOM TELETYPE UNIT Director Secty **53** MAR 2 1 **1976** - 4313 GPO 4 1976 0 - 207-526

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HOLBROOKE'S PERFORMANCE WITH THE 1976 DEMOCRATIC PRESIDENTIAL CAMPAIGN COMMITTEE, INC.

INVESTIGATION CONTINUING.

BT

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TO DIRECTOR (1		INE	Spec. Inv Training
			Telephone Rm Director's Sec'y
CLEAR	$\bigcirc$	-	b6 b7c

RÍCHARD CHARLES HOLBROOKE; SPI.

RECORDS, NATIONAL PERSONNEL RECORDS CENTER, CIVILIAN BRANCH, ST. LOUIS, MISSOURI, DISCLOSED RICHARD CHARLES HOLBROOKE, SSAN 132-32-3096, EMPLOYED BY DEPARTMENT OF STATE, WASHINGTON, D.C., JULY 11, 1962, AND SERVED IN VARIOUS ASSIGNMENTS UNTIL SPECIAL INQUIRY INVESTIGATION CONDUCTED IN 1966. EFFECTIVE JULY 31, 1966, TRANSFERRED FROM SAIGAN, VIETNAM, TO WASHINGTON, D.C., AS FOREIGN AFFAIRS OFFICER AND PLACED ON DETAIL TO WHITE HOUSE. EFFECTIVE SEP TEMBER 24, 1967, DETAIL TERMINATED AND REASSIGNED TO OFFICE OF UNDER SECRETARY OF STATE, WASHINGTON, D.C. EFFECTIVE APRIL 6, 1969, TRANSFERRED TO OFFICE OF SECRETARY, PEACE MISSION - PARIS, AS INTER-NATIONAL RELATIONS OFFICER. EFFECTIVE APRIL 5, 1970, TRANSFERRED TO PRINCETON UNIVERSITY, PRINCETON, NEW JERSEY, AS, FOREIGN SERVICE

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22 MAR 7 1977

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PAGE TWO SL 161-N PRC-C CLEAR OFF ICER. EFFECT IVE JUNE 28, 1970, PLACED ON REIMBUR SABLE DETAIL TO PEACE CORP S, WASHINGTON, D.C. EFFECT IVE SEPTEMBER 10, 1970, TRANS-FERRED TO NORTH AFRICA, NEAR EAST, AND SOUTH ASIA REGIONAL OFFICE, RABAT, MOROCCO, AS PEACE CORPS DIRECTOR. EFFECT IVE APRIL 1, 1972, TRANSFERRED TO OFFICE OF DIRECTOR GENERAL OF FOREIGN SERVICE, STATE DEPARTMENT, WASHINGTON, D.C., AS FOREIGN SERVICE OFFICER. EFFECT IVE MAY 14, 1972, PLACED ON LEAVE WITHOUT PAY TO ACCEPT POSITION WITH "FORE IGN POLICY", NEW YORK. RESIGNED MAY 17, 1974, TO REMAIN IN POSITION AT "FOREIGN POLICY".

BIRTH DATA SHOWN AS APRIL 24, 1941, AT NEW YORK, NEW YORK. NO UNFAVORABLE INFO NOTED.

ADMINISTRATIVE: RE BUREAU TELETYPE AND AIRTEL TO WASHINGTON FIELD JAN UARY 21, 1977. BUDED: JANUARY 28, 1977, WITHOUT FAIL.

NO REPORT BEING SUBMITTED BY ST. LOUIS, UACB.

BT

ų. Assoc. Dir. . Dep. AD Adm .. d the FDERAL BUREAU OF INVESTIGATION Dep. AD Inv._ COMMUNICATIONS SECTION Asst. Dir.: Adm. Sorv. Ext. Affairs AN 2×7/1977 Fin. & P^-s. NY0541 Ø272Ø47 Gen. Inv. ... Ident _ RR HQ Intell. Legal Coun. Plan. & Insp. DE NY Rec. Mgt. S. & T. Serv. R 272006Z JAN 7 Spec. Inv. _. Training _____ Telephone Rm. Director's Sec'y. FM NEW ROCHELLE (NR 161-2129) RUC TO_DIRECTOR (161-4612) ROUTINE EAR RICHARD CHARLES HOLBROOKE, SPECIAL INQUIRY, BUDED JANUARY 28, 1977, WITHOUT FAIL REBUREAUTELETYPE, JANUARY 21, 1977. ON JANUARY 26, 1977, SCARSDALE, NEW YORK (NY), ADVISED STANLEY AND TRUDI KEARL RESIDE b6 b7C 344 SPRAIN ROAD AND ENJOY EXCELLENT REPUTATION. ON JANUARY 26, 1977, DETECTIVE SCARSDALE, NEW YORK POLICE DEPARTMENT, ADVISED THEIR FILES SHOW 101-16/2listroups NOT RECORDED. 22 MAR 7 1977 53 MAR 2 1 1977 (343

PAGE TWO NR 161-2129 C L E A R NO RECORD STANLEY OR TRUDI KEARL. BT ( rely

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RR HQ COMMUNICATIONS SECTION Ext. Affairs	
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TO DIRECTOR (161-4612) (ROUTINE) Spec. Inv b7	С
Director's Sec'y_	
CLEAR O	
RICHARD CHARLES HOLBROOKE; SPIN; BUDED 1/28/77 WITHOUT FAIL	
RE: BUREAU TELETYPE, 1/21/77.	
ON JANUARY 24, 1977, PRINCETON	
UNIVERSITY (PU), PRINCETON, NJ, ADVISED THAT THE APPOINTEE	
ATTENDED PU FROM SEPTEMBER 13, 1969 UNTIL JUNE 10, 1970.	
ADVISED THAT THE APPOINTEE WAS NOT IN A DEGREE PROGRAM	;
AND THAT IT IS THE POLICY OF THE REGISTRAR'S OFFICE TO FURNISH	
NO FURTHER INFORMATION.	
ON JANUARY 24, 1977, WOODROW	
WILSON SCHOOL, GRADUATE PROGRAM, PU, ADVISED HER RECORDS REFLECT	
THAT THE APPOINTEE LIVED AT IN MAGIE APARTMENTS, DURING HIS	
YEAR AT PRINCETON, 1969-1970, AND THAT HE WAS ENROLLED IN A MID	•
CAREER PROGRAM WHICH IS A NON DEGREE PROGRAM FOR GOVERNMENT	
OFFICIALS WHO TAKE A LEAVE OF ABSENCE FROM THEIR JOBS. DE 22 MAR 7 1977	
MARCHI ADVISED THAT THE APPOINTEE CAME TO PRINCETON IN 1969,	
AFTER SERVING ON THE VIET NAM PEACE MISSION AT THE AMERICAN	
(codestrayed	
53 MAR 2 1 1977 7 39 3	

PAGE TWO NK 161-933 CLEAR EMBASSY IN FRANCE.

ON JANUARY 26, 1977, WOODROW WILSON SCHOOL, PU, ADVISED THAT HE DID NOT HAVE THE APPOINTEE IN ANY OF HIS CLASSES, HOWEVER, KNEW HIM WHILE HE WAS AT PU, AND CONTINUES TO MAINTAIN CONTACT WITH APPOINTEE INASMUCH AS BOTH HAVE MUTUAL FRIENDS. ADVISED THAT THE APPOINTEE WAS AN EXCELLENT AND ABLE STUDENT, WHO POSSESSED THE HIGHEST CHARACTER AND THERE WERE NO FLAWS IN HIS PERSONALITY OR REPUTATION, AND HE CONSIDERS HIM TO BE AN OUTSTANDING CANDIDATE FOR A POSITION OF TRUST WITH THE US GOVERNMENT.

ON JANUARY 27, 1977 WHO RESIDES AT NJ, AND WHO IS EMPLOYED ON THE COUNSEL OF FOREIGN RELATIONS, NYC, AND ALSO A AT PU, WOODROW WILSON SCHOOL, ADVISED THAT HE INITIALLY MET THE APPOINTEE IN 1967 WHEN HE WAS A CIVILIAN EMPLOYEE IN THE DEPARTMENT OF DEFENSE, WDC, AND HE AND THE APPOINTEE WORKED ON SOME PROJECTS TOGETHER. ADVISED WHEN THE APPOINTEE ATTENDED PU, FOR HIS MID CAREER PROGRAM OF STUDY, HE TAUGHT HIM IN SEVERAL CLASSES, AND CONSIDERED HIM TO BE AN b6 b7C PAGE THREE NK 161-933 CLEAR ABLE AND DEDICATED STUDENT WITH AN EXCELLENT GRASP OF WORLD PROBLEMS. ADVISED THAT HE ALSO IS IN FREQUENT CONTACT WITH THE APPOINTEE INASMUCH AS THE APPOINTEE IS MANAGING EDITOR OF A MAGAZINE NAMED "FOREIGN POLICY," WHICH IS PUBLISHED IN NYC. AND HE IS ON THE EDITORIAL BOARD OF THAT SAME MAGAZINE. ADVISED THAT HIS RELATIONSHIP IS MORE PROFESSIONAL THAN OTHERWISE WITH THE APPOINTEE DUE TO THEIR FREQUENT CONTACTS IN PUBLISHING THE ABOVE DESCRIBED MAGAZINE. HOWEVER. HE IS ALSO A CLOSE PERSONAL FRIEND OF THE APPOINTEE, THE APPOINTEE AND HE HAVING EXCHANED VISITS IN EACH OTHERS HOMES. ADVISED THE APPOINTEE POSSESSES OUTSTANDING CHARACTER AND ASSOCIATES, HIS LOYALTY TO THE US IS WITHOUT QUESTION AND HE FULLY RECOMMENDED HIM FOR A POSITION WITH THE US GOVERNMENT. ON JANUARY 25, 1977, DET. PRINCETON. NJPD, ADVISED HE HAD NO RECORD FOR THE APPOINTEE. THE CREDIT BUREAU INC.. TINTON FALLS. NJ, WICH COVERS THE STATE OF NEW JERSEY, ADVISED SC HAT THEY HAVE A FILE ON RICHARD C. HOLBROOKE.

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AGE FOUR NK 161-933 CLEAR	
WDC, FORMERLY OF 2328 NEBRASKA AVE.	b6 ; b7C
WDC. SHE SAID THE RECORDS CONTAIN NO CREDIT INFORMATION AND	
NO UNFAVORABLE INFORMATION.	
BT	

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Assoc. Dir. Dep. AD Adm. Dep. AD Inv. FEDERAL BUREAU OF INVESTIGATION Asst. Dir.: COMMUNICATIONS SECTION Adm. Serv. AT0897 Ø272226Z Ext. Affairs Fin. & Pers. AAN D 00 HI Gen. Inv. -Ident. Intell. .... DE AT Legal -Coun. Plan. & Insp ... 0 272226Z JAN/ Rec. Mgt ... S. & T. Serv. Spec. Inv. . FM ATLANTA (161-1156) (R U) Training ... b6 Telephone Rm. b7C T_O DIRECTOR IMMEDIATÈ Director's Sec'y.  $\cap \cap$ T O RM. 6821 RICHARD CHARLES HOL BROOKE; SPECIAL INQUIRY; BUDED JANUARY 28, 1977. WITHOUT FAIL. RE BUREAU TELETYPE TO WASHINGTON FIELD OFFICE DATED JANUARY 21. 1977; AND ATLANTA TELETYPE TO THE BUREAU DATED JAN UARY 26, 1977. THE FOLLOWING INVESTIGATION WAS COND UCTED JANUARY 24-26, 1977. 1 EMPLOYMENT: 1976 DEMOCRATIC PRESI-DENTIAL CAMPAIGN COMMITTEE, INCOR PORATED, 100 COLONY SQUARE ATLANTA, GEORGIA, ADV ISED THAT RICHARD CHARLES HOLBROOKE WAS EMPLOYED BY THE 1976 DEMOCRATIC PRESIDENTIAL CAMPAIGN COMMITTEE. DATAOM NOT RECORDED 22 MAR 7 1977 53 MAR 2 1 1970 383

PAGE TWO AT (161-1156) E F T O INCORPORATED, FROM JULY 26, 1976, UNTIL OCTOBER 31, 1976. HOLBROOKE'S ADDRESS WAS LISTED AS 1524 CORCORAN STREET, NORTHW EST, WASHINGTON, D.C. FURTHER ADVISED THAT RE-CORDS ARE NOT AVAILABLE PRIOR TO JULY 16, 1976, THE DATE WHICH THE 1976 DEMOCRATIC PRESIDENT IAL CAMPAIGN COMMITTEE WAS INCORPORATED. THESE RECORDS ARE STORED IN THE STATE OF GEORGIA ARCHIVES. ADVISED THAT SHE DID NOT KNOW HOLBROOKE. SHE ADVISED THAT THE ONLY PERSON AVAILABLE WHO MIGHT HAVE KNOWN HOLBROOKE IS

PRESIDENTIAL CAMPAIGN COMMITTEE, INCORPORATED, 100 COLONY SQUARE, ATLANTA, ADVISED THAT HE WAS UNACQUAINTED WITH RICHARD CHARLES HOLBROOKE.

AS SOC IATES:

FOR THE

1976 DEMOCRATIC

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1976 DEMOCRATIC CAMPAIGN COMMITTEE, INCORPORATED, ATLANTA, AD-VISED THAT SHE IS FAMILIAR WITH RICHARD CHARLES HOLBROOKE. SHE ADVISED THAT HE SERVED AS A RESEARCHER AND ADVISOR IN THE ISSUES SECTION OF THE 1976 DEMOCRATIC CAMPAIGN COMMITTEE, INCORPORATED. SHE ADVISED THAT HIS IMMEDIATE SUPERVISOR WAS PAGE THREE AT (161-1156) E F T O

1976 DEMOCRAT IC

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PRE SIDE NT IAL CAMPAIGN COMMITTEE, INCOR POR ATED, ATLANTA, AD-VISED THAT HE PERSONALLY WAS UNFAMILIAR WITH RICHARD CHARLES HOLBROOK E. INDICATED THAT HE COULD THINK OF NO ONE IN THE ATLANTA AREA WHO WOULD BE FAMILIAR WITH RICHARD CHARLES HOLBROOKE.

CRED IT :

GEORGIA, ADVISED THAT THEIR CREDIT RECORD S REFLECT THAT

PAGE FOUR AT (161-1156) E F T O RICHARD C. HOLBROOKE, JULY, 1966. THE RECORD REFLECTS THAT HAS BEEN IN FILE SINCE JULY, 1966. THE RECORD REFLECTS THAT HE IS EMPLOYED AS THE MANAGER AND EDITOR OF THE FOREIGN POLICY MAGAZINE, WASHINGTON, D.C. THERE IS NO DEROGATORY INFORMATION CONTAINED WITH IN HOLBROOKE'S CREDIT RECORD.

IDE NT IF ICATION:

IDENTIFICAT ION DIVISION, ATLANTA, GEORGIA, POLICE DE PARTMENT, ADVISED THAT HE COULD LOCATE NO RECORD IDENTIFIABLE WITH RICHARD CHARLES HOLBROOKE.

FULTON COUNTY, GEORGIA, POLICE DEPARTMENT, ATLANTA, ADVISED THAT HE COULD LOCATE NO RECORD IDENTIFIABLE W ITH RICHARD CHARLES HOL BROOKE.

### ADM INISTRAT IVE

LOGICAL EFFORTS WERE MADE IN AN ATTEMPT TO DETERMINE A LOCAL ADDRESS FOR RICHARD CHARLES HOLBROOKE, WITH NEGATIVE RESULTS, INCLUDING THE REMAINING CARTER-MONDALE STAFF IN ATLANTA, GEORGIA. FAIRMONT HOTEL; COLON Y APARTMENTS; PEACHTREE PARK APARTMENTS, ATLANTA, ADVISED THAT THE "CARTER" STAFF HAD SEVERAL ROOMS AND APARTMENTS IN THEIR RESPECTIVE FACIL ITIES WHICH WERE b6 b7С PAGE FIVE AT (161-1156) E F T O

USED AT THE STAFF'S DISCRETION AND THAT RECORDS WERE NOT MAINTAINED OF ALL SPECIFIC INDIVID UALS WHO UTILIZED THOSE ROOMS. IT ALSO IS POINTED OUT THAT HOLBROOKE, AS A MEMBER OF THE ISSUES SECTION, DID CONSIDERABLE TRAVELING AND MIGHT NOT HAVE ESTABLISHED A RESIDENCE IN THE ATLANTA AREA.

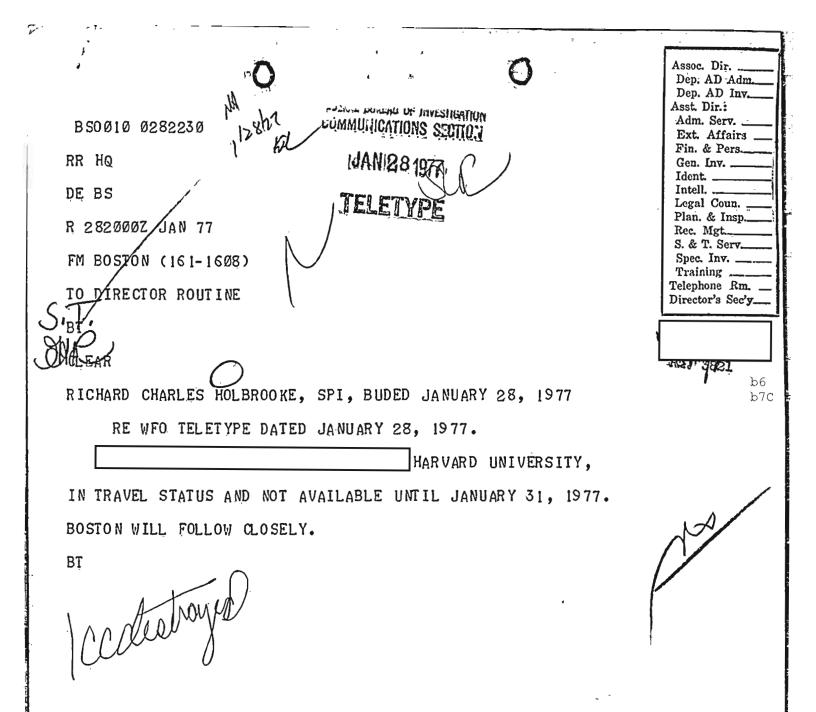
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ALL PERSONS CONTACTED WERE ADVISED OF THE PROVISIONS OF THE PRIVACY ACT AND NONE REQUESTED CONFIDENTIALITY. BT

FD-36 (Rev. 7-27-76) FBI Assoc. Dir. TRANSMIT VIA: PRECEDENCE: CLASSIFICATION: Dep. AD Adm. Dep. AD Inv. □ Teletype Immediate TOP SECRET Asst P Adm. Saw. Facsimile Priority ☐ SECRET Ext. Affairs X Airtel CONFIDENTIAL C Routine Fin. & Pera Gen. Inv. **EFTO** Ident. CLEAR Intell. Legal Coun. 1/28/77 Plan. & Insp. Date .-- با<u>عرت -</u> S. & T Ser Spec. Inv. 7 **TO:** DIRECTOR, FBI (161-4612) Fraining ____ Telephone Rm. Director's Sarly SAC, ALEXANDRIA (161-4220) -JR-C FROM: RICHARD CHARLES HOLBROOKE SPECIAL INQUIRY BUDED: 1/28/77 WITHOUT FAIL Re Bureau teletype and airtel to WFO, Ъб b7C 1/21/77. SC caused a search to be made of the files of the Central Intelligence Agency (CIA), Langley, Virginia, and was advised on b3 Per CIA 1/26/77 b6 b7C was advised on 1/2//// that the files of SC  $\mathbf{CT}$ b3 per CIA 161-4612 NOT RECORDED 22 MAR 7 1977 - Bureau - Alexandria SW:sw (2) 9 Approved Transmitted. Per. (Number) (Time) 53 M

1 FD-36 (Rev. 7-27-76) FBI Assoc. Dir. TRANSMIT VIA: PRECEDENCE: **CLASSIFICATION:** Dep. AD Adm. Dep. AD Inv. Teletype Immediate TOP SECRET Asst. Dir.: Adm. Serv. Facsimile Priority □ SECRET Ext. Affairs . Airtel CONFIDENTIAL C Routine Fin. & Pers. Gen. Inv. Ident. CLEAR Intell. Legal Coun. Date 1/28/77 Plan. & Insp. Rac-Mat. S & T. Serv. **TO**: DIRECTOR, FBI (161-4612) Spec. Inv. 72 Training _ SAC, ALEXANDRIA (161-4220) Telephone Rm. FROM: (RUC) Director's Sec'y. RICHARD CHARLES HOLBROOKE SPIN BUDED: 1/28/77 WOF Re WFO teletype to the Bureau, 1/28/77. The following retired United States Department of State employees were contacted and advised that they were not acquainted with the appointee: Ъб Virginia. b7C virginia.  $(\!\!\!)$ 101-4612 - Bureau - Alexandria ٦. SEL:klh NOT RECORDED. (2)22 MAR 7 1977 Per_ Appro Transmitted. 53 MAR 2 (Number) (Time)



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Transmit the	e following in (Type in plaintext or code)	- 6
Via	•	o6 o7C
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	TO: DIRECTOR, FBI (161-4612)	
	FROM: SAC, WFO (161-3820) (P)	
S.T.	RICHARD CHARLES HOLBROOKE SPECIAL INQUIRY BUDED: 1/28/77 WF	
	Re Butel and Airtel dated, 1/21/77.	
	ADMINISTRATIVE	
	All persons interviewed were advised of the provisions of the Privacy Act of 1974, and unless otherwise noted, none requested confidentiality.	
	It should be noted that information contained on appointee's PSQ was in many cases lacking in accuracy or missing altogether. It should also be noted that names of references, associates, as well or information concerning the appointee's remarriage was not obtained until the date of Bureau deadline because appointee was not employed at DuPont Circle as indicated on PSQ but had already begun working at the State Department two to three weeks ago.	and a second second second second second second second second second second second second second second second
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	$\frac{\text{LEADS}}{100000000000000000000000000000000000$	
	Neighborhoods, IRS, SS, References and Associates outstanding.	<b>.</b>
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<b>53</b> MAR 2	Special Agent in Charge	

WFO 161-3820 MJB: smt Carnegie Endowment for International Peace (CEIP) 11 Dupont Circle, N.W., Washington, D.C. The following investigation was conducted by SA on 1/27/77: advised from records that the appointee was employed as Editor of the Foreign Policy Magazine from 3/1/72 to 1/21/77. She stated that the main personnel records are at the CEIP offices located at 345 East 46th Street, New York, New York. She stated that her records reflect that the appointee took a leave of absence from July to November, 1976 while working for the CARTER Campaign, of Publications, advised that she has known the appointee on a professional and social basis since 1970. She stated that she and the appointee initially met in Morocco where the appointee was Peace Corp Director and she was from 1970 to 1972. In May, 1975, she stated that she went to work for CEIP and that the appointee was already employed here and that he was her direct superior. She stated that she and the appointce are close personal friends and that she has been to the appointee's home located at , where the appointee has lived since approximately 1974. She stated that the appointce has recently remarried and lives there with his wife. She described the appointee as an intelligent, capable person who is highly respected in his field. She commented favorably on the appointee's character, associates, reputation and loyalty and recommended him for a position of confidence and trust with the United States Government. advised that he has known the appointee on a processional basis since 1969 and became acquainted with the appointee while they were both in the Foreign Service. In addition, he and the appointee worked closely together at CEIP during the pertinent period. He described the appointee as a scrupulous, ethical person of upstanding moral character and reputation. He further

described the appointee as a highly patriotic and loyal American who is dedicated to the United States. He highly recommended the appointee for a high position of trust and confidence. WFO 161-3820

advised that she has known the appointee on a social basis for a period of eight years and that she was acquainted with the appointee on a professional basis at CEIP from January, 1976 to January, 1977 and served as the appointee's assistant for a period of several months. She stated that the appointee's character, associates, reputation and loyalty are completely favorable and described the appointee as an ambitious, hardworking and extremely pright individual. She highly recommended the appointee for a responsible position with the United States Government.

Control Association, advised that he was associated with the appointee on a professional basis during the pertinent period. He commented favorably on the appointee's character, associates, reputation and loyalty and recommended him for a position of confidence and trust.

Face to Face Program advised that he and the appointee worked together at Carnegie for the last one and one half years but that he has known the appointee on a social basis for four years. He stated that the appointee's character, associates, reputation and loyalty are completely favorable and recommended the appointee for a position of confidence and trust.

Foreign

Policy Marazine; advised that he worked for the appointee as his assistant during the period January, 1976 to January, 1977. He stated that the appointee has always impressed him as a very responsible, able and dedicated individual of upstanding character, associates, reputation and loyalty. He recommended the appointee without question for a position of confidence and trust.

# WFO 161-3820 LVA:smt

U.S. Department of State (USDS) Washington, D.C.

On 1/26/77, RICHARD THRONEBERGER, Personnel Records Branch, USDS, advised his department had not received the Official Personnel File on the appointee, RICHARD CHARLES HOLBROOKE, from the St. Louis Federal Record Center. Mr. THRONEBERGER made available for review by SA the Official Service Record Card on the appointee. The Service Record Card contained no derogatory or additional information.

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WFO 161-3820 LVA:nas ٦. The following interviews were conducted by SA on 1/27/77: for East Asian and Pacific Allairs, United States Department of State (USDS), advised he has known the appointee, RICHARD CHARLES HOLBROOKE, since 1963 or early 1964 when the Ъĥ appointee was serving under his direction in Viet Nam. b7C advised that their association has been both social and professional since that time. He stated he considered the appointee to be highly intelligent and highly motivated. He stated he has no reason whatsoever to question the appointee's character, associates, reputation or loyalty and would definitely recommend him for a position of trust and confidence with the United States Government. of State, usus, advised he has known the appointee on a professional and social basis for approximately 12 years. He stated the appointee is honest, intelligent, articulate and a straightforward person and he has no reason whatsoever to question the appointee's character, associates, reputation or loyalty. He stated he would highly recommend the appointee for a position of trust and confidence with the United States Government. Affairs, usus, advised he has known the appointee as a close personal friend since they joined the Foreign Service together in 1962. He stated they were together off and on for approximately three years in Viet Nam and he considers the appointee to be hardworking, intelligent and possessing. great integrity. He stated the appointee was an extremely good Foreign Service Officer and that he had no reason whatsoever to question the appointee's character, associates, reputation or loyalty. _____ advised he would certainly recommend the appointee for a position of trust. and confidence with the United States Government. Viet Nam, Laos and Cambodian Allalrs, USDS, advised he has known the appointee both socially and professionally since late 1963 when the appointee was a Foreign Service Officer in Viet Nam. He advised he considers the appointee to be extremely bright and totally loyal. He stated the appointee has the best interest of the United States at heart and he has no reason

WFO 161-3820 2

whatsoever to question the appointee's character, associates, reputation or loyalty. He stated the appointee is very capable, active and is held in very high regard by his associates. He stated he would highly recommend the appointee for a position of trust and confidence with the United States Government. WFO 161-3820 LVA:smt 1

he following interviews were conducted by SA

of State, U.S. Department of State (USDS), advised he has known the appointee, RICHARD CHARLES HOLBROOKE, since the middle of November, 1976 when they were working together on the CARTER Transition Staff. Stated he considered the appointee to be a highly talented, very personable foreign policy expert. He stated he has no reason to question the appointee's character, associates, reputation or loyalty and would recommend him for a position of trust and confidence with the U.S. Government.

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Bureau

Policy Planning Staff, USDS; advised he has known the appointee intimately since 1962. He stated he considers the appointee to be a very fine, intelligent, hardworking public servant and has no reason whatsoever to question the appointee's character, associates, reputation or loyalty. He stated he would highly recommend the appointee for a position of trust and confidence with the U.S. Government.

USDS, advised he has known the appointee since June, 1964 when the appointee was a Staff Aide for the Ambassador in Saigons VietNam. He stated his association with the appointee was both social and professional and that he considered the appointee to be a very able, hardworking, bright, ernest officer. He stated the appointee was respected by all who came in contact with him and he saw no reason at all to question the appointee's character, associates, reputation or loyalty. He stated he would recommend the appointee for a position of trust and confidence with the U.S. Government.

WFO 161-3820 GES:smt

## WHITE HOUSE OFFICE (WHO)

National Security Council (NSC)

The following investigation at captioned offices was conducted by SA GEORGE E. SAUNDERS on 1/25/27:

The files of the Personnel Office, WHO, indicate the appointee, RICHARD C. HOLBROOKE, was detailed as a Staff Assistant to WHO from 7/11/66 to 10/21/67. He worked under the supervision of ROBERT KOMER. The files contain no additional pertinent information.

The files of the Records Office, WHO, contain no record for the appointee.

WFO 161-3820 NRM:mkg <u>1</u> REFERENCE

SA

The following investigation was conducted by on 1/27/77:

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ROBERT W. KOMER, consultant, The Rand Corperation, 2100 M. Street, N.W., advised he initially hired RICHARD HOLBROOKE as his special assistant while at the White House from April, 1966 to May, 1967. Records reflecting exact dates of employment were nonexistent. KOMER considered appointee a brilliant young man, and a previously carefully screened professional foreign service officer who is very dedicated to his professional work. KOMER further stated that he could attest to the appointees moral character, trustworthiness, conscientiousness, and integrify, and he could think of nothing negative about the individual. KOMER recommended HOLBROOKE with no reservations for a position of trust and confidence with the U.S. Government. WFO 161-3820 SRP:nas

ASSOCIATE

Governor AVEBILL HARRIMAN 3320 M Street, N.W. Washington, D. C.

On 1/28/77, Governor HARRIMAN advised SA of the following.

He has known appointee since May of 1968 when appointee joined the staff of the Peace Mission which was negotiating with the North Vietnamese. He stated that he knows appointee well and since their meeting in 1968 their friendship has grown. He stated that appointee has stayed at his country home in New York State and on occasion appointee dines. with him in Washington. Governor HARRIMAN stated that appointee became acquainted with Governor CARTER a few years ago and their relationship grew into a close friendship. He stated that through appointee, he has been in contact with President CARTER on three occasions during sensitive discussions regarding communications between President CARTER and Soviet Authorities. He stated that during these conversations, appointee was always present and enjoys the highest trust and confidence of President CARTER. Governor HARRIMAN advised that appointee has impressed him as a man with the courage of his convictions and has been known to argue against the prevailing policy rather than to acquiesce against group consensus. Governor HARRIMAN stated that he is aware of absolutely no derogatory information regarding appointee's character, associates, reputation or loyalty and highly recommends him for a position. in the new CARTER Administration.

WFO 161-3820 RLW:mgf <u>1</u>

### CREDIT AND POLICE AGENCIES

SA CHARLES W. SMITH caused a search to be made of the files of the Credit Bureau, Incorporated, Washington, D. C, and was advised on 1/25/77, that the files contained no credit rating for the appointee.

On 1/25/77, SC ________determined that no arrest record was contained in the Metropolitan Police Department files concerning the appointee ar contained.

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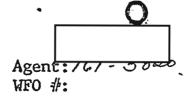
It is to be noted that at all times an indefinite number of unidentified records are out of file and not available for review.

On 1/25/77, SC_____determined that a record was contained in the Department of Transportation, Bureau of Motor Vehicle Services, Government of the District of Columbia files concerning the appointee. The files contained the following information:

DATE	OFFENSE #	DISPOSITION	POINTS
10/6/72	8818720 (Traffic Divis Passing Red Light	sion)Convicted	None
1/24/73	8865374 (Third Distric Passing Red Light	ct) Convicted	None
9/8/73	9109780 (Traffic Divis No Left Turn	sion)Convicted	None
1/4/74	9099567 (Traffic DivNe Speeding in excess of		
1/19/76	3232699 Special Operat Division, Stop Sign	tion Forfeit	2
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On 1/25/77, SC searched the files of the U. S. Park Police and no identifiable adult criminal or traffic record could be located regarding the appointee or relatives.

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### MISCELLANEOUS

 $\underline{SC}$  ______ caused a search to be made of the files of the Bureau of Personnel Investigations, Civil Service Commission, and was advised on  $\underline{1/27/77}$  that no (additional pertinent information) (measure) was found concerning the <u>appointer</u>. Ъб Ъ7С

On <u>/28/77</u>, SC caused a search to be made of the files of the U. S. Secret Service, Department of the Treasury, and was advised that (<u>no record</u>) (no <del>dependenty</del> information) (<del>no additional population</del>) was found concerning the <u>AppoinTEE</u>.

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	<u>L</u> <u>Verification of Divorce</u>
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,	On 1/26/77 SC reviewed the court
	records of the Superior Count of D.C. Done and D.C.
•	Brouch a che superior court of D. C. Domestic Relations
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· · ·	Suportion Country & D. D.
• • •	Superior courr or D. C.
	Domestic Relations Branch
, Pi	<b>#D 1393-75</b>
; ' -	
	WEO 161-3820 RLW:meh 1 Yerification of Divorce 0n 1/26/77 SC records of the Superior Court of D. C. Domestic Relations Branch: Superior Court of D. C. Domestic Relations Family Division *D 1393-75 Mashington, D. C (plaintiff) No 5/2/75 plaintiff filed complaint for an absolute divorce on ground of voluntary separation for more than one year. Parties were Married on two children, namely: were born of this marriage. On 9/10/75 ordered, adjudged and decreed that palintiff be awarded an absolute divorce from defendant on ground of voluntary separation without conbitation for more than one year. Plaintiff be awarded an absolute divorce from defendant on ground of voluntary separation without conbitation for more than one year. Plaintiff warded permanent custody of minor children.
· ·	1524 Corcoran Street, N. W.
°	Washington, D. C. Vs. Washington D. C.
	(plaintiff)
	(derendant)
"'''' ; Tg	On 5/2/75 plaintiff filed complaint for an absolute
, <b>I</b> , [−]	On 5/2/75 plaintiff filed complaint for an absolute divorce on ground of voluntary separation for more than one year.
, <b>1</b> , -	On 5/2/75 plaintiff filed complaint for an absolute divorce on ground of voluntary separation for more than one year. Parties were married on
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и Т. 19 Ф. 19 Ф.	On 5/2/75 plaintiff filed complaint for an absolute divorce on ground of voluntary separation for more than one year. Parties were <u>married on</u> two children, namely:
н Т У Т У Ф У Ф У Ф У Ф У Ф У Ф У Ф У Ф У Ф У Ф	On 5/2/75 plaintiff filed complaint for an absolute divorce on ground of voluntary separation for more than one year. Parties were married on and two children, namely: were born of this marriage.
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FD-36 (Rev	. 2-14-74)
the second	FBI
	Date: JANUARY 28, 1977
Transmit th	e following in PLAIN
Via	TELETYPE IMMEDIATE (Precedence)
	FM WASHINGTON FIELD (161-3820) (P)
	TO DIRECTOR (161-4612) (MAIL) IMMEDIATE
~	NEW YORK (161-2129) IMMEDIATE
7.1.	BOSTON IMMEDIATE
OHAD	BT
	CLEAR
	RICHARD CHARLES HOLBROOKE; SPECIAL INQUIRY; BUDED JANUARY
	28, 1977, WITHOUT FAIL.
	RE BUREAU TELETYPE AND AIRTEL DATED JANUARY 21, 1977,
	NO COPY BOSTON.
	FOR INFORMATION BOSTON BUREAU HAS BEEN REQUESTED TO
	CONDUCT EXPEDITE INVESTIGATION TO BRING UP TO DATE AUGUST,
	1966, SPECIAL INQUIRY OF HOLBROOKE WHO IS BEING CONSIDERED
	FOR PRESIDENTIAL APPOINTMENT.
	BORN APRIL 24, 1941, NEW YORK CITY, NEW YORK, RESIDES
	1524 CORCORAN STREET, WASHINGTON, D. C., SOCIAL SECURITY
	NUMBER 132-32-3096. 101-4612-29
	APPOINTEE FAILED TO INCLUDE NAMES OF REFERENCES AND RECORDED
	1) Bureau 1 WFO 2 MAR 7 1977
	RLW:dlb (2)
Appro	vedt NET M Per M
,	Special Agent in Charge Sent M Per AR 2 1 1977 34 BA

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/ia		(Precedence)		!
PAGE T	WO WF 161-3820 CLEAN	R		
ASSOCIA	ATES ON HIS SF-86 A	ND,	:	HARVARD
UNIVER	SITY, DEPARTMENT OF	GOVERNMENT, TELEP	HONE NUM	BER
	SHOULD BE CONSI	DERED ASSOCIATE.		
F	OR INFORMATION NEW	YORK APPOINTEE FAI	LED TO I	
THE FOI	LLOWING INFORMATION	ON SF-86:		
A	PPOINTEE REPORTEDLY	WAS REMARRIED JAN	UARY 1,	1977,
IN NEW	YORK CITY TO AN IN	DIVIDUAL IDENTIFIE	D AS	
	DATE OF BIRTH	WHO RE	PORTEDLY	RESIDES
AT		NEW YORK CITY.	_	
A	PPOINTEE'S BROTHER,		REPORTE	DLY
RESIDI	NG AT	NEW	YORK, W	НІСН
IS THE	TH	E APPOINTEE'S MOTH	IER.	-
	PPOINTEE ALSO LISTS	ASSOCIATE,		REPORTEDLY
CAN BE	CONTACTED AT		NE	W YORK,
TELEPHO	ONE NUMBER			
	LSO INVESTIGATION A	-		*
(4) THAT WI	HILE APPOINTEE INDI	CATES EMPLOYMENT A	S MANAGI	NG EDITOR
	EIGN POLICY MAGAZIN	E FROM 1972 TO THE	PRESENT	, RECORDS
FOR TH	IS CORPORATION ARE	MAINTAINED AT THE	CARNEGIE	ENDOWMENT
<u> </u>			·····	

ut e sau	- • FBI	
	Date:	
mit the following in	n(Type in plaîntext or code)	
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PAGE T	THREE WF 161-3820 CLEAR	
FOR IN	TERNATIONAL PEACE,	
	NEW YORK, TELEPHONE NUMBER	
	NEW YORK SHOULD NOTE THAT APPOINTE	E
SF-86	INDICATES EMPLOYMENT AT BOTH THE STATE DEPARTMENT AND	
WITH I	THE CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE BETWEEN	
1972 A	AND 1974, SO SPECIFIC DATES OF EMPLOYMENT SHOULD BE	
OBTAIN	NED IF POSSIBLE.	
F	FOR ADDITIONAL INFORMATION OF BOTH RECEIVING OFFICES,	
	TEE HAS REQUESTED ACCESS TO HIS FILE UNDER FOIA IN	
THE PA	AST AND AS ANTICIPATED A NEW REQUEST WILL BE FORTHCOMING.	
R	RECEIVING OFFICES HANDLE INVESTIGATION AS EXPEDITIOUSLY	
AS POS	SSIBLE NOTING BUREAU DEADLINE AND REPORT RESULTS AS	
SOON A	AS AVAILABLE.	
E	BUREAU COPY SENT BY MAIL.	
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Approved: _

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Sent ____

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	Via	TELETYPE IMMEDIATE	
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	T,	TO DIRECTOR (MAIL) (161-4612) (IMMEDIATE)	
ĬŔ,	(A)	BT	
		CLEAR	
		RICHARD CHARLES HOLBROOK, SPECIAL INQUIRY, BUDED JANUARY 28,	
		1977, WITHOUT FAIL.	
,		REBUTEL AND AIRTEL DATED JANUARY 21, 1977. NO COPIES	
		PORTLAND.	
l.		FOR INFORMATION OF PORTLAND OFFICE, BUREAU HAS BEEN	
1		REQUESTED TO CONDUCT AN EXPEDITE INVESTIGATION TO BRING	
		UP TO DATE AUGUST, 1966 SPECIAL INQUIRY OF HOLBROOK WHO	
		IS BEING CONSIDERED FOR A PRESIDENTIAL APPOINTMENT. BORN	
		APRIL 24, 1941, SOCIAL SECURITY NUMBER 132-32-3096, HEIGHT	
l		SIX FEET ONE INCHES TALL, WEIGHT 180 POUNDS, PLACE OF BIRTH	
		NEW YORK CITY. $61 - 4612 - 40$	
		INVESTIGATION CONDUCTED BY WASHINGTON FIELD HAS (1) Bureau NOT RECORDED	
		(1) Bureau 1- WFO 22 MAR 7 1977	
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PAGE TWO WF 161-	3820		
DETERMINED THAT	WHEN APPOINTEE WAS	S EMPLOYED AT THE S	TATE
DEPARTMENT IN 19	62 TO 1974, THAT 3	HE FOLLOWING INDIV	IDUALS
WERE EMPLOYED IN	THE SAME SECTION	MAY HAVE KNOWN HIM	AND
MAY <u>BE ABLE TO (</u>	OMMENT CONCERNING	THE APPOINTEE:	
	LAST KNOWN A	ADDRESS,	
	ORE	GON.	
VIRGINIA.			 1
VIRGINIA.			
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		NOTING BUREAU DEAL	DLINE.
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Assoc. Dir. Dep. A 7 1 .... PD0.038 0290417Z Dep. AD Inv. ILDERAL BUREAU OF INVESTIGATION Asst. Dir.: COMMUNICATIONS SECTION RR HO Adm. Serv. -Ext. Affa'rs ~~~ Fin, & Per-. JAN 2 8197 DE PD ØØ1 Gen. Inv. Ident -TEL P 290019Z JAN 77 Intell. Legal Coun. -Plan. & Insp.... FM PORTLAND (161-534) P(C Rec. Mgt. S & T. Serv .... CODIFECTOP (161-4612) FOUTINE Spec. Inv. _---Training -----Telephone Rm. Director's Sec'y. RICHARD CHAPLES HOLBROOK, SPECIAL INQUIRY, BUDED JANUARY 28, BH. 382-1977, WITHOUT FAIL. Ъб RE WFO TELETYPE TO THE BUREAU DATED JANUARY 28, 1977. b7C ASSOCIATES: ON JANUARY 28, 1977 LEWIS AND CLARK UNIVERSITY, PORTLAND, OREGON, AND FORMER AMBASSADOR TO ETHIOPIA AND THE DIRECTOR GENERAL OF THE FOPEIGN SFRVICE U.S. STATE DEPARTMENT, ADVISED THAT HE HAD KNOWN THE APPOINTEE RICHARD HOLBROOK FOR A NUMBER OF YEARS ON A PPOFESSIONAL BASIS. HE STATED THAT WHEN HE (HALL), WAS DIRECTOR GENERAL OF FOREIGN SERVICE IN, THE DEPARTMENT, HE KNEW OF HOLBROOK AS A YOUNG OFFICER IN THF NOT RECORDED 22 MAR 7 1977 53 MAR 2 1 1970

PAGE TWO PD 161-534 CLEAR PERSONNEL OFFICE OF THE STATE DEPARTMENT AND HAD LITTLE CONTACT WITH HIM AT THIS TIME. SUBSEQUENTLY, HE HAD CLOSER CONTACT WITH THE APPOINTEE DURING APPPOXIMATELY 1971 WHEN THE MANAGING EDITOR OF "FOREIGN POLICY", A PUBLICATION PUBLISHED QUARTERLY BY NATIONAL FARES INCORPORATED IN ASSOCIATION WITH THE CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE, DIED AND THE MAGAZINE NEEDED A NEW MANAGING EDITOR. HE RECOMMENDED HOLBROOK FOR THIS POSITION AND THE LATTER SECURED THIS POSITION AS MANAGING EDITOR AND CONTINUES IN THIS CAPACITY TO THE PRESENT DATE. HIS LAST CONTACT WITH THE APPOINTEE WAS APPROXIMATELY THREE YEARS AGO WHEN THE LATTER CAME TO HIS OFFICE FOR A PERSONAL VISIT.

REGARDS THE APPOINTEE AS A VERY STABLE INDIVIDUAL, VERY ENEPGETIC, POSSESSING A PLEASANT PERSONALITY, AND GOOD MIND. HE IS A VERY HARD WORKING INDIVIDUAL WHOSE WRITING STYLE IS CRISP AND ANALYTICAL WHICH APPEALS TO PRESIDENT CAPTER FOR WHOM HF WROTE SPEECHES DURING THE LATTER'S PRESIDENTIAL CAMPAIGN. HE IS A VERY LIGHT SOCIAL DRINKER, AND POSSESSES GOOD CHAPACTER, ASSOCIATES WITH PEOPLE OF LIKE QUALITY, AND WHOSE ALLEGIANCE TO THE UNITED STATES IS Ъб Ъ7С PAGE THREE PD 161-534 CLEAR

ADVISED THAT HE HAD RECEIVED INFORMATION THE APPOINTEE IS BEING CONSIDERED FOR ASSISTANT SECRETARY FOR FAR EASTERN AFFAIRS. IN THIS POSITION, STATED, THE APPOINTEE WOULD IN ALL LIKELIHOOD DO A GOOD JOB, AND WOULD PROGRESS AND POSSIBLY BE A FUTURE SECRETARY OF STATE. HE STATED THAT HE HAD NEVER RECEIVED ANY INFORMATION OF AN ADVERSE NATURE CONCERNING ANY ASPECT OF THE APPOINTEE'S BACKGROUND, AND WOULD RECOMMEND HIM FOR A POSITION OF TRUST AND PESPONSIBILITY WITH THE UNITED STATES GOVERNMENT.

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THE ABOVE INDIVIDUAL WAS INFORMED OF THE PROVISIONS OF THE PRIVACY ACT AND DID NOT REQUEST CONFIDENTIALITY.

INVESTIGATION CONDUCTED AT PORTLAND BY SA

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Assoc. Dir. Dep. AD Adm. Dep. AD Inv. FER TOT BUNGIN BU HIVESINGHING Asst. Dir.: Adm. Serv. Oommunications section Ext. Affairs Fin. & Pers. WAN 3 1 197 Gen. Inv. BS0009 0312304 Ident. Intell. . RR HQ Legal Coun. Plan. & Insp. DE BS Rec. Mgt. S. & T Serv. Spec. Inv. . R 3116502 JAN 77 Trainag ... Telephon Rm. FM BOSTON (161-1608) RUC Director's Sec'y. O DIRECTOR ROUTINE BM. 3821 RICHARD CHARLES HOLBROOKE, SPIN, BUDED: JANUARY 28, 1977 REWFOTT JANUARY 28, 1977 AND BSTT JANUARY 28, 1977. ASSOCIATE ON EVENING OF JANUARY 28. 1977. HARVARD UNIVERSITY, CAMBRIDGE, MASSACHUSETTS, ADVISED THAT HE HAS KNOWN MR. HOLBROOKE FOR THE PAST FIVE YEARS DURING WHICH HE HAS BEEN EMPLOYED AS THE FULL-TIME MANAGING ED ITOR OF THE MAGAZINE "FOREIGN POLICY" OF WHICH IS A HE DESCRIBED MR. HOLBROOKE AS A VERY ABLE AND ENERGETIC PERSON CONCERNING WHOM HE KNOWS NOTHING OF AN ADVERSE NATURE. ON THE BASIS OF THIS PROFESSIONAL RELATIONSHIP. HE SAID HE WOULD RECOMMEND MR. HOLBROOKE FOR A RESPONSIBLE APPOINTMENT IN THE GOVERNMENT. RECORDED er mar 7 1977 BL 53 MAR 2 1 1970 13

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FEDERAL BUREAU OF INVESTIGATION Assoc. Dir. Dep. AD Adm. COMMUNICATIONS SECTION Dep. AD Inv._ NY076Ø ØØ12322Z Asst. Dir.: Adm. Serv. FEB 01 RR HQ WF Ext. Affairs _ Fin. & Pers_ Gen. Inv. DE NY TELETYP Ident . Intell. R Ø12140Z JAN 77 Legal Ccun. Plan. & Insp. ____ NEW YORK (161-2129) FM (dh Rec. Mgt.___ S. & T. Serv .... Spec. Inv. DIRECTOR ROUTINE TO Training ..... Telephone Ron . WASHINGTON FIELD (161-3820) ROUTINE Director's Sec'y EAR (NI) RICHARD CHARLES HOLBROOKE; SPECIAL INQUIRY; BUREAU DEADLINE: Ъб b7C JANUARY 28, 1977 RE WASHINGTON FIELD TELETYPE TO BUREAU, JANUARY 28, 1977; NEW YORK TELEPHONE CONVERSATION WITH WASHINGTON FIELD, FEBRUARY 1, 1977. **EMPLOYMENT** CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE, 345 EAST 46TH STREET, NEW YORK, NEW YORK. ON JANUARY 31, 1977, ADMINISTRATIVE SERVICES, ADVISED HER RECORDS INCOMPLETE REGARDING APPOINTEE, BUT BEST ESTIMATE CONCERNING PERIOD ON EMPLOYMENT IS MARCH OR APRIL, 1972 TO JANUARY SI, 1977, AS RECORDED 22 MAR 7 1977 **53** Mar

PAGE TWO NY 161-2129 CLEAR MANAGING EDITOR, "FOREIGN POLICY MAGAZINE," AND DIRECTOR OF PUBLICATIONS, CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE, MAY, 1973 TO JANUARY 31, 1977. SHE ADVISED APPOINTEE INTELLECTUAL, HONEST, MOST TRUSTED EMPLOYEE, HARD WORKER, LOYAL TO UNITED STATES, OF GOOD CHARACTER AND REPUTATION. SHE ADVISED APPOINTEE WORKED OUT OF WASHINGTON, D.C. OFFICE, APPEARED IN NEW YORK OFFICE OCCASIONALLY WHEN "FOREIGN POLICY MAGAZINE" WENT TO PRESS. RECOMMENDS.

ON JANUARY 31, 1977,

"FOREIGN POLICY MAGAZINE," ADVISED SHE HAS KNOWN APPOINTEE SINCE HIS EMPLOYMENT AS MANAGING EDITOR, "FOREIGN POLICY MAGAZINE," IN 1972. SHE ADVISED APPOINTEE PRINCIPALLY LOCATED WASHINGTON, D.C., WHILE SHE OPERATES FROM NEW YORK CITY. SHE DESCRIBED APPOINTEE AS BRIGHT, SHARP, CAPABLE, WELL RESPECTED, OF GOOD CHARACTER, AND LOYAL TO UNITED STATES. SHE RECOMMENDS.

ON JANUARY 31, 1977,

ADVISED HE HAS KNOWN APPOINTEE SINCE APRIL OF 1973 ONLY FROM OCCASIONAL CONTACT WHEN APPOINTEE TRAVELED TO NEW YORK CITY RE "FOREIGN POLICY MAGAZINE." HE b6 b7C

Q C C Q	
PAGE THREE NY 161-2129 CLEAR	
ADVISED HE DOES NOT KNOW APPOINTEE SOCIALLY, BUT DESCRIBED	
HIM AS BRIGHT, AMBITIOUS, OF GOOD CHARACTER, TRUSTWORTHY,	
REPUTABLE. HE ADVISED APPOINTEE RESPONSIBLE FOR SUCCESS	
OF "FOREIGN POLICY MAGAZINE," WELL RESPECTED AT CARNEGIE	
ENDOWMENT . RECOMMENDS .	
ON FEBRUARY 1, 1977,	b6
ADVISED SHE HAS KNOWN APPOINTEE SINCE 1972, BUT NOT WELL	b7C
AS APPOINTEE BASED IN WASHINGTON, D.C. SHE DESCRIBED APPOINTEE	
AS HARD WORKER, WELL RESPECTED AT CARNEGIE, BRIGHT MAN,	
FINE REPUTATION AS SCHOLAR. SHE ADVISED APPOINTEE WITTY,	
OF GOOD CHARACTER, WITH FINE PERSONAL REPUTATION. SHE KNOWS	
NO DEROGATORY INFORMATION CONCERNING APPOINTEE AND WOULD	
RECOMMEND HIM FOR POSITION OF TRUST.	
ON FEBRUARY 1, 1977, ADVISED	
THE FOLLOWING INDIVIDUALS LOCATED CARNEGIE ENDOWMENT, 11	
DUPONT CIRCLE, NORTHWEST, WASHINGTON, D.C., TELEPHONE 202-797-	
6400, WORKED WITH APPOINTEE IN WASHINGTON:	
OF "FACE TO FACE" PROGRAM;	
FURTHER ADVISED	
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PAGE FOUR NY 161-2129 CLEAR OF STATE FOR INTERNATIONAL ORGANIZATIONS, BUREAU OF INTERNATIONAL ORGANIZATIONS, UNITED STATES STATE DEPARTMENT, WASHINGTON, D.C., IS FORMER DF CARNEGIE ENDOWMENT, WHO WORKED CLOSELY WITH APPOINTEE. BT

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FD-\$8 (Rev, 7-27-76) TRANSMIT VIA: PRECEDENCE: CLASSIFICATION: K | Teletype Immediate TOP SECRET Faceimile Priority SECRET Assoc. Dir. CONFIDENTIAL. I ord A [Y] Routine Dep. AD Adm. Dep. AD Inv. **DEFTO** Asst. Dir.: TA CLEAR Agm. Serv. Eit. Affairs Date _____2/1/77 <u>F.h.</u> & Pers. Gon.-Lw-SUREAU OF INVESTIGATION FUERA Ident. communications segtion Intell. FM NEW ROCHELLE (NR 161-2129) Legal Coun. Plan. & Insp. FER TO DIRECTOR ROUTINE Rec. Mgt. S. & T. Serv Spec. Inv. Ът Training Telephone Rm. CLE, A.R Director's Sec'y RICHARD CHARLES HOLBROOKE, SPECIAL INQUIRY, BUDED JANUARY 28, 1977 REWFOTELETYPE, JANUARY 28, 1977. Rul. 38 ON FEBRUARY 1, 1977, IEW YORK (NY) - ADVISED LSO and - Enjoys - Good - Reputation ... RESIDES ON FEBRUARY 13 1977: NY, POLICE DEPARTMENT, ADVISED THEIR FILES SHOW NO RECORD вт ccalistrayer! 111- Hola -NEW YORK SUPERVISOR NR 2 WM:RMB NOT RECORDED (2) -22 MAR 7 1977 33 MAR Approved: Transmitted. Por

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		IRECTOR, FBI		T.	
_	FROM: S	AC, WFO (161-3	3820) (P) J	PN	
ŀ	RICHARD CHA SPECIAL INQ BUDED: 1/2		E		
		eButel and aim d 1/28/77.	rtel dated 1/21	./77 and WFO ai	rtel to
	of the Priv		74, and unless	advised of the otherwise note	
	<u>LEAD</u> . <u>WFO</u> .	Neighborhood outstanding		Security and a	ssociates
			1 <i>l</i> oi	-46/2-	H-5 RECORDED
	1- Bureau 1- WFO			22 M	AR 7 1977
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WFO 161-3820 RLW:mad 1 Em PLOY. ME

SA ______ The following investigation was conducted by SA _______ United States Department of State on February 1, 1977:

Mr. KENNETH BAILES, Office of the Executive Director, Bureau of East Asia and Pacific Affairs, advised that the appointee has received a limited appointment until confirmation as Assistant Secretary of State for East Asia and Pacific Affairs. bб

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Mr. BAILES advised that the appointee was sworn into this position effective January 25, 1977. WFO 161-3820 MJB:jss 1

> 1415 Rhode Island Avenue, N.W. Washington, D. C. (WDC)

The following investigation was conducted by SA on January 27, 1977:

, Newport West Apartments, advised that she recalls the appointee as a tenant in the building during the approximate period 1973 to 1974. She stated that all rental records are maintained by the Company, 1620 I Street, N.W., Washington, D.C. She recalled the appointee as a good tenant who never caused any problems.

Company, 1620 I Street, N.W., advised from records that the appointee resided in Apartment 707, 1415 Rhoade Island Avenue, N.W., from April 1, 1973 until May, 1974 when the appointee vacated the apartment. The records reflect that the appointee vacated without giving notice and owing delinquent rental payments in the amount of \$235.00 plus a \$10.00 late charge payment. She stated that the account was turned over to a collection agency for collection, but that the records reflect that no payment has ever been made.

WF0 161-3820 MJB:mgf ī Washington, D. C. pwing investigation was conducted by SA on 1/28/77: advised that sne has resided in the neighborhood for thirty years and that the appointee resided at from 1966 to 1972. She stated that the appointee and his wife are divorced but that the appointee's wife and two children still reside in the house. She recalled the appointee as a good neighbor who never caused any problems and added that she knows of nothing derogatory regarding the appointee's character, associates, reputation, or loyalty. She stated that she felt unqualifed to recommend the appointee due to her limited personal knowledge of the appointee. b6 N.W., advised b7C that the appointce was formerly a next door neighbor and that the appointe's ex-wife and two children continue to live next door. He stated that he was only acquainted with the appointee as a neighbor but described the appointee's character, associates, reputation, and loyalty as favorable. He added that he could not recommend the appointee due to his extremely limited knowledge of the appointee. advised that he as only resided at his present address since 1975, and is not acquainted with the appointee as the appointee was not residing in the neighborhood when he moved here. advised that she and the appointee lived in the neighborhood from approximately 1966 to 1973, when she and the appointee separated and the appointee moved into an apartment in the spring of 1973. She stated that she and the appointee's two sons continue to reside at She described the appointee's character, associates, reputation, and loyalty as completely favorable and recommended the appointee without reservation for a position of trust and confidence with the U.S. Government.

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WFO 161-3820 RLW:dmy

## REFERENCE

Innuary 27, 1977, **n** Department of State (Retired), advised SA that his high opinion of the appointee and the favorable recommendation of the appointee which he provided to the Federal Burchurof Investigation in 1966 remains unchanged. stated he what ind a close personal friendship since both were State hai Def .... int inployee's together in 1963 and 1964 in Viet Nam. advised that more recently, in 1976, he and the appointee were involved in President CARTER's Campaign efforts and, as such, were associated professionally during the Presidential Campaign. stated he considers the appointee to be a highly qualified, competent, and totally dedicated servant of the Federal Government and an individual whose honesty, integrity, character, associates, and reputation are above reproach. poncluded by once again highly recommending the appointee for a position of trust and confidence with the Federal Government,

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The following interview was conducted by n 1/28/77:

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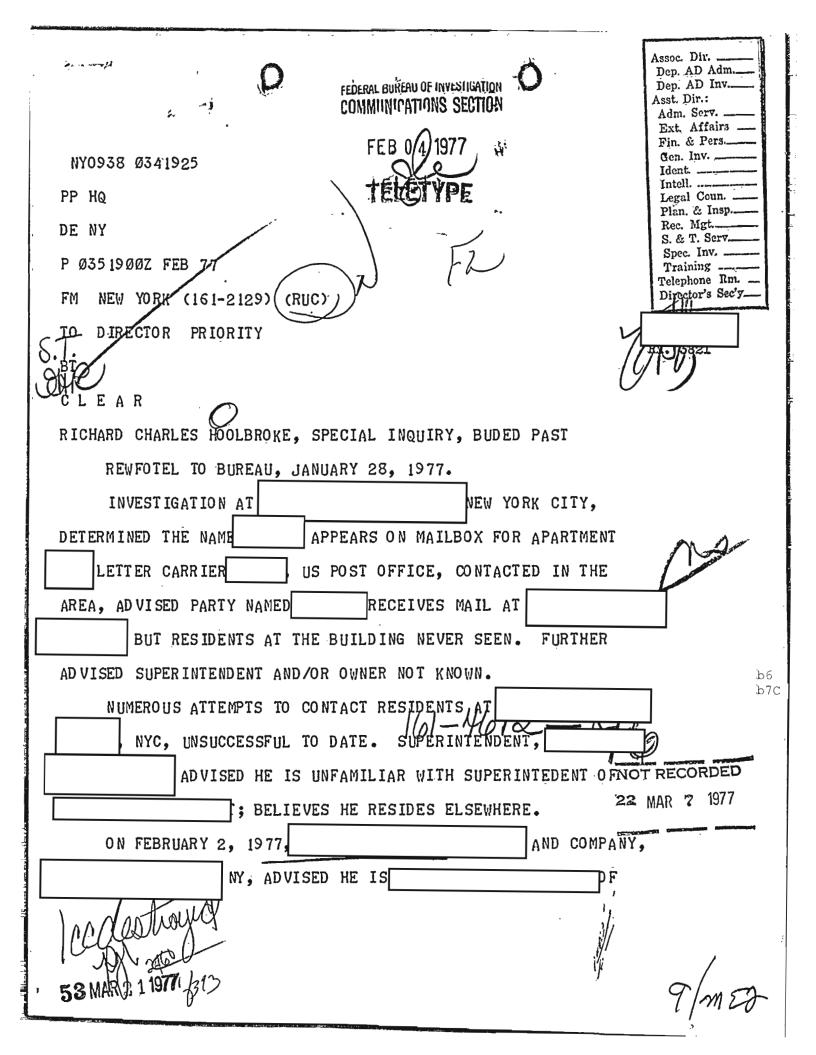
b7C

PHILIP C. HABIB, Under Secretary for Political Affairs, U.S. Department of State (USDS), advised he has been socially and professionally associated with the appointee, RICHARD C. HOLBROOKE, for approximately eleven years. Mr. HABIB described the appointee as energetic, intelligent, dedicated and ambitious. He stated he has no reason to question the appointee's character, associates, reputation, or loyalty and would highly recommend him for a position of trust and confidence with the U.S. Government.

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WFO 161-3820 RPC:mgf 1

White House, advised SA HOLBROOKE on a porofessional basis since July, 1976, when appointee first began working on the CARTER Presidential Campaign. He worked closely with him from July to November, 1976, in Atlanta, Georgia. He advised that all of his comments concerning HOLBROOKE were favorably and he has never questioned the appointee's loyalty to this government. He would have no hesitation in recommending him for a position of confidence and trust. Ъб Ъ7С



PAGE TWO NY 161-2129 CLEAR "FOREIGN POLICY MAGAZINE"; HAS KNOWN APPOINTEE, MANAGING ED ITOR, "FOREIGN POLICY MAGAZINE", SIX YEARS. HE ADVISED APPOINTEE DID EXCELLENT WORK ON MAGAZINE, IS WELL QUALIFIED INDIVIDUAL OF IMPECCABLE CHARACTER AND REPUTATION. HE ADVISED HE WOULD NOT HAVE RETAINED APPOINTEE'S SERVICES FIVE YEARS AS MANAGING EDITOR IF APPOINTEE'S LOYALTY OR INTEGRITY WAS QUESTIONED. HE ADVISED HE IS FAMILIAR WITH APPOINTEE'S FORMER WIFE, APPOINTEE'S MOTHER AND APPOINTEE'S PRESENT WIFE, WHO WORKS FOR NEW YORK CITY. AND MAINTAINS APARTMENT ON AS WELL AS AN APARTMENT 'IN WASHINGTON, D.C. WITH APPOINTEE. AD VISED IT IS HIS BELIEF APPOINTEE'S WIFE'S MAIDEN NAME IS SPELLED HE ADVISED APPOINTEE'S FAMILY ALL FINE PEOPLE. KNOWS NO DEROGATORY INFORMATION RE APPOINTEE OR FAMILY. HIGHLY RECOMMENDS.

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INQUIRIES AT ______ NEW YORK, NEW YORK, DETER-MINDED APPOINTEE'S WIFE CURRENTLY IN WASHINGTON, D.C. UNTIL MONDAY, FEBRUARY 7, 1977; INTENDS TO RETAIN POSITION AT

ON FEBRUARY 1, 1977, SA AUGUST J. MICEK CAUSED SEARCH

b6 b7C PAGE THREENY 161-2129C L E A ROF NYCPD RECORDS WHICH REFLECT NO INFORMATION

IDENT IF IABLE WITH APPOINTEE'S WIFE.

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**\$** Ъ6 l b7C l 1 - JIDE FUN February 4, 1977 . DISSEMINATION BY LIAISON CC TO: / 10 9/33 Ò REQ. REC'D Honorable Robert J. Lipshutz Counsel to the President AUG 19 1981 The White House ANS Washington; D. C. BY: Dear Mr. Lipshutz: In accordance with a request received from you on January 21, 1977, an investigation has been conducted concerning Mr. Richard Charles (Holbrooke. Transmitted herewith are two copies of a summary memorandum containing the results of this investigation. An applicant-type investigation was conducted concerning Mr. Holbrooke in 1966, the results of which have been previously furnished to you. The enclosed summary b6 Per IRS memorandum covers the period since August, 1966. b7C The Office of Security, Department of State, and concerning Mr. Holbrooke have not been completed. wnen these checks and additional inquiries have been completed, you will be advised. yours, b6 V-10 F.B b7C Clarence M. Kelley FEC-60 Sector RECORDED 22 MAR 2 1977 AD Adm. Enclosures (2) DELIVERED BY LIAISON Dep. 3D Inv. Dep Asst. Dir.: Adm. Sary ON VINE тиле Ext. Affalra Fin. & Pers. Gen. Inv. Ident. Inspection . Intell. . MEF:dd;jlm Loboratory. (5) NOTE Legal Coun Plan. & Evol. Rec. Mant. Spec, Inv. Training Telephone Rm AIL ROOM TELETÝPE UNIT Director Sec" 53 MAR 21 1910 8343 GPO : 1976 O - 207-526

# Honorable Robert J. Lipshutz

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NOTE: Mr. Holbrooke was recently appointed Assistant Secretary of State for East Asia and Pacific Affairs. He was a Foreign Service Officer with the Department of State from 1962 to 1974, and Later served as Director of Publications for Carnegie Endowment for International Peace in Washington, D. C. Investigation favorable, except for delinquent rent of \$235 and \$10 Intercharge owed to rental company for an apartment he vacated without giving notice. Additional inquiries and the checks outstanding.



UNITED STATES DEPARTMENT OF JUSTICE

FEDERAL BUREAU OF INVESTIGATION

WASHINGTON, D.C. 20535

February 4, 1977

## RICHARD CHARLES HOLBROOKE

THE INVESTIGATION OF MR. HOLBROOKE COVERED INQUIRIES IN THE CONTINENTAL UNITED STATES AS TO HIS CHARACTER, LOYALTY, ABILITY, AND GENERAL STANDING, BUT NO INQUIRIES WERE MADE AS TO THE SOURCES OF HIS INCOME.

The information in this summary memorandum covers the period since August, 1966. Mr. Holbrooke was born on April 24, 1941, in New York, New York.

#### Education

Mr. Holbrooke attended Princeton University, Princeton, New Jersey, from September, 1969, to June, 1970, receiving no degree.

### Employment

Mr. Holbrooke continued to be employed by the Department of State on detail to The White House Office, Washington, D. C., as a staff member. On September 24, 1967, he was reassigned to the Office of the Under Secretary of State, Washington, D. C. He served in various capacities in the United States and abroad until May 14, 1972, when he was placed on leave without pay in order to accept a position with "Foreign Policy" magazine, New York, New York. On May 17, 1974, he resigned. He attended Princeton University, Princeton, New Jersey, in his capacity as a Foreign Service Officer.

Mr. Holbrooke was employed by the Carnegie Endowment for International Peace, New York, New York, in Washington, D. C., as Managing Editor of its magazine, "Foreign Policy," from March, 1972, to January, 1977, and as Director of Publications from May, 1973, to January, 1977. He was on a leave of absence from July, 1976, to November, 1976.

-14612-

FBI/DOJ

July, 1976, to November, 1976

January, 1977, to the present 1976 Democratic Presidential Campaign Committee, Incorporated, Atlanta, Georgia, as a researcher and advisor

Department of State, Washington, D. C., as Assistant Secretary for East Asia and Pacific Affairs

Marital Status

Mr. Holbrooke is married to the former Washington, D. C.

The records of the Domestic Relations Branch, Family Division, Superior Court of the District of Columbia, indicate that on May 2, 1975 ______ plaintiff, filed a petition for divorce from Richard Charles Holbrooke, defendant, on the grounds of voluntary separation for more than one year. The records indicate they were married on June 27, 1964, at Saigon, South Vietnam, and two children mono home of this marriage. The children were identified as

born December 16, 1969. A decree of divorce was granted on September 10, 1975. Mrs. Holbrooke was granted custody of their two minor children.

Washington, D. C., advised she and Mr. Holbrooke separated in the spring of 1973 and were divorced in 1975. She commented favorably concerning Mr. Holbrooke's character, reputation, associates, and loyalty. b6 She recommended Mr. Holbrooke for a position of trust and b7C confidence with the United States Government.

#### Interviews

W. Averill Harriman, former Ambassador to the Union of Soviet Socialist Republics, advised in Washington, D. C., that he has been socially and professionally acquainted with Mr. Holbrooke since May, 1968. He said they became acquainted when Mr. Holbrooke joined the staff of the United States Peace Mission which was negotiating with representatives of North Vietnam in Paris, France. He said their friendship has grown

- 2 -

#### Richard Charles Holbrooke

since this meeting in 1968, and Mr. Holbrooke has stayed at his, Ambassador Harriman's, country home in New York State and dines with him on occasion in Washington, D. C. He said Mr. Holbrooke became acquainted with President Jimmy Carter a few years ago, and this relationship has grown into a close friendship. He said that through Mr. Holbrooke, he has been in contact with President Carter on three occasions involving sensitive discussions concerning communications between President Carter and Soviet authorities. He said Mr. Holbrooke was always present during these conversations, and in his opinion, enjoys the highest trust and confidence of President Carter.

Ambassador Harriman said Mr. Holbrooke impresses him as an individual with the courage to defend his convictions. He said Mr. Holbrooke has been known to argue against the prevailing policy rather than to acquiesce to the group consensus. He said he is aware of absolutely no derogatory information concerning Mr. Holbrooke's character, associates, reputation, or loyalty. He highly recommended Mr. Holbrooke for a position of trust and confidence with the United States Government.

For East Asia and Pacific Affairs, Department of State, Washington, D. C., advised he has been acquainted with Mr. Holbrooke since 1963 when Mr. Holbrooke was a Foreign Service Officer in South Vietnam on detail to the Agency for International Development. He said they later served together in 1968 in connection with the Vietnamese Peace Talks in Paris, France. He said he is also acquainted with Mr. Holbrooke on a social basis. He described Mr. Holbrooke as an intelligent, objective, and extremely capable individual. He commented favorably concerning Mr. Holbrooke's character, associates, reputation, and loyalty. He highly recommended Mr. Holbrooke for a position of trust and confidence with the United States Government.

Publications, Carnegie Endowment for International Peace, Washington, D. C., advised she has been socially and professionally acquainted with Mr. Holbrooke since 1970. She noted that Mr. Holbrooke recently remarried and lives with his wife in Washington, D. C. She described Mr. Holbrooke as an intelligent and capable individual who is highly respected in his field. She commented favorably concerning Mr. Holbrooke's character, associates, reputation, and loyalty. She recommended Mr. Holbrooke for a position of trust and confidence with the United States Government.

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### Richard Charles Holbrooke

Cyrus R. Vance, Secretary of State, Washington, D. C., advised he has been acquainted with Mr. Holbrooke since 1968. He said he met Mr. Holbrooke in connection with the Vietnamese Peace Talks in Paris, France. He described Mr. Holbrooke as an excellent and splendid individual. He commented favorably concerning Mr. Holbrooke's character, associates, reputation, and loyalty. He recommended Mr. Holbrooke for a position of trust and confidence with the United States Government noting that he recommended Mr. Holbrooke for his present position with the Department of State.

Philip C. Habib, Under Secretary for Political Affairs, Department of State, Washington, D. C., advised he has been socially and professionally acquainted with Mr. Holbrooke for approximately eleven years. He described Mr. Holbrooke as an energetic, intelligent, dedicated, and ambitious individual. He commented favorably concerning Mr. Holbrooke's character, associates, reputation, and loyalty to the United States. He highly recommended Mr. Holbrooke for a position of trust and confidence with the United States Government.

Washington, D. C., advised that her firm manages the Newport West Apartments, Washington, D. C. She said her records indicate Mr. Holbrooke resided in this apartment complex from April, 1973, until May, 1974, when he vacated his apartment without giving notice and owing delinquent rental payments in the amount of \$235 plus a \$10 late charge. She said attempts have been made to collect this delinquent account and that to date, no payment has been received.

Twenty additional persons, consisting of neighbors, references, professional associates, and social acquaintances, were interviewed. They commented favorably concerning Mr. Holbrooke's ability, character, loyalty, reputation, associates, and morals. Mr. Holbrooke was described as honest, intelligent, discreet, hardworking, conscientious, and reliable. They recommended him for a position of trust and confidence with the United States Government. Those persons acquainted with his close relatives described them as reputable and loyal individuals.

- 4 -

### Close Relatives

In addition to his wife and children, mentioned previously, Mr. Holbrooke has the following living close relatives:

Stepfather

Stanley Kearl Scarsdale, New York

Mother

• Trudi Moos Holbrooke Kearl Scarsdale, New York

Brother

b6 b7C

#### Credit and Arrest Checks

Information has been received from appropriate credit reporting agencies indicating their files contain either no record or no additional pertinent information concerning Mr. Holbrooke.

Information has been received from appropriate law enforcement agencies indicating their files contain no record concerning Mr. Holbrooke or his close relatives, except the following:

> Records of the Department of Motor Vehicles, District of Columbia Government, Washington, D. C., indicate Mr. Holbrooke was charged with five traffic violations such as speeding and no left turn, from October 6, 1972, to January 19, 1976, for which he was convicted on dates not indicated. The records contain no additional information concerning these traffic citations.

Agency Checks

Information has been received from	
governmental agencies indicating their files	contain
	concerning
mi . HOIDTOOKC.	

Bureau of Personnel Investigations, Civil Service Commission; Central Intelligence Agency; United States Secret Service; and The White House Office.

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Richard Charles Holbrooke

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The central files of the FBI, including the files of the Identification Division, contain no additional pertinent information concerning Mr. Holbrooke.

FD-36 (Rev. 7-27-76) FBI PRECEDENCE: CLASSIFICATION: TRANSMIT VIA: Teletype Immediate TOP SECRET Facsimile Priority SECRET CONFIDENTIAL X Airtel □ Routine EFTO CLEAR Date ____.2/8/77 DIRECTOR, FBI (161-4622) TO: SAC, WFO (161-3820) FROM: (P) RICHARD CHARLES HOLBROOKE SPECIAL INQUIRY BUDED: 1/28/77 WF ReButel and airtel dated 1/21/77, and WFOairtel to Bureau dated 1/28/77 and 2/1/77. All persons interviewed were advised of the provisions of the Privacy Act of 1974, and unless otherwise noted, none requested confidentiality. For information of the Bureau, SA GEORGE SAUNDED has advised that interview of appointee's associate, bб will be impossible until early next week because of the b7C demands of his position. Because of the short deadline in this matter, no additional attempts will be made to interview LEAD. WFO. IRS outstanding. 1101-14012 NOT RECORDED 22 MAR 7 1977 Bureau WFO RLW:mad (2) Transmitted . (Number) (Time)

WFO 161-3820 MJB:dmv 1

> Carnegie Endowment for International Peace 11 Dupont Circle, N.W. Washington, D.C.

The following investigation was conducted by SA on February 1, 1977:

advised that the appointee was employed as the Managing Editor for the Foreign Policy Magazine from 1972 to 1977. He stated that while he was acquainted with the appointee only on a professional basis that he and the appointee worked very closely during this period and he had a great deal of time to observe the appointee's working habits. He described the appointee as being a very dedicated, hard working and responsible person of the highest intergrity. He stated that the appointee's character, associates, reputation and loyalty are completely favorable and he recommended the appointee without question for a position of confidence and trust.

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b7C

pf Middle East Programs, advised that he and the appointee were associated on a professional basis at Carnegie from 1974 to 1977. He stated that he has had some limited social contacts with the appointee and that he has been to the appointee's home at 1524 Corcoran Street, N.W. He described the appointee as being an intelligent, dedicated and energetic individual for whom he has the highest regard and respect. He stated that the appointee's character, associates, reputation and loyalty are completely favorable and he highly recommended the appointee for a position of confidence and trust.

## WFO 161-3820 RLW:stw 1

## STATE DEPARTMENT SECURITY

On February 3, 1977, Special Agent ______ reveiwed the files of the Security Office, United States Department of State (USDS) at Washington, D. C., which disclosed the following concerning RICHARD CHARLES ALBERT HOLBROOKE born April 24, 1941, at New York City, New York: b6 b7C

By letter dated March 4, 1971, the Regional Security Office, American Embassy, RABAT advised the State Department, Washington, D. C., that Foreign Service Officer, RICHARD HOLBROOKE, Peace Corps Director, RABAT, Morocco, had reported the loss of his State Department and Peace Corps identification cards on February 27, 1971. The theft was also reported to local police for investigation. HOLBROOKE stated someone entered his home and stole his wallet containing the identification cards.

By letter dated March 31, 1971, from USDS, the American Embassy at RABAT was advised that the loss of employee identification card had been recorded in the Office of Security. It was stated that another card could not be issued until HOLBROOKE was next in Washington, D. C.

Form DS-1032 indicates that HOLBROOKE resigned his position as Foreign Service Officer, USDS, (Leave Without Pay) effective May 17, 1974. It was noted that he had been in a "Leave Without Pay" status since May 14, 1972.

HOLBROOKE was granted "Top Secret" clearance by USDS on June 30, 1962, while he was a Foreign Service Officer.

The Security file does not show any termination of clearance concerning this individual; however, Security has advised that all its clearances terminate when the person's relationship with the Department of State terminates.

# WFO 161-3820 2

On November 4, 1974, HOLBROOKE was granted "Secret" clearance by USDS in connection with a research project for the Cormission on the Organization of the Government for the Conduct of Foreign Policy.

The Security file does not show any termination of clearance concerning this individual; however, Security has advised that all its clearances terminate when the person's relationship with the Department of State terminates.

On November 26, 1976, the Security Office, USDS granted HOLBROOKE "Top Secret" clearance as a member of the Transition Team for President-Elect CARTER.

The file indicates that HOLBROOKE, Foreign Service Reserve Officer, USDS, was granted "Top Secret" clearance by USDS on January 20, 1977, concerning his position as Assistant Secretary for East Asian and Pacific affairs.

It was noted in files of Security, USDS, in a USDS notice to Key Personnel dated November 24, 1976, that Mr. RICHARD HOLBROOKE would be a consultant to the Liaison Office for President-Elect CARTER in the Department of State. WFO 161-3820 MJB:nas <u>1</u>

> 1524 Corcoran Street, N.W. Washington, D. C.

The following investigation was conducted by SA on 1/31/77:

that the appointee has lived excess of two years. He stated that while he is only acquainted with the appointee as a neighbor the appointee has always impressed him as a very friendly, personable individual. He knows of nothing derogatory regarding the appointee's character, associates, reputation or loyalty and recommended the appointee for a position of confidence and trust with the United States Government.

that he has resided in the neighborhood for a period of about one year but that he is not acquainted with the appointee and could furnish no information regarding him,

Numerous attempts were made to contact other residents in the neighborhood regarding the appointee without success. WFO 161-3820 LVA:fle 1

The following interview was conducted by SA on February 1, 1977 in reference to the appointee, RICHARD CHARLES HOLBROOKE: د بالم Bureau of International Organization Affairs, U. S. Department b6 of State (USDS), advised he has been acquainted with the b7C appointee on a professional basis for approximately four years. He advised they have had some limited social contact. ΗE advised he first became acquainted with the appointee when the appointee was the managing editor of Foreign Policy. stated he considered the appointee to be a brilliant man; in the top one per cent of his age group. He stated he has no reason to question the appointee's character, associates, reputation, or loyalty, and would highly recommend him for a position of trust and confidence with the U.S. Government.

----l bб 1 b7C ٦ 2 24 February 11, 1977 BY LIAISON Jun Angel CC TO Honorable Robert J. Lipshutz REQ. REC'D Counsel to the President AUG 19 1981 The White House Washington, D. C. ANS Dear Mr. Lipshutz: Reference is made to my letter dated February 4, b3 Per IRS 1977, which furnished you the results of investigation conbб cerning Mr. Richard Charles Holbrooke. b7C Transmitted herewith are two copies of a summary memorandum containing the results of additional investigation which has been conducted in this matter. This completes the investigation in, this matter Sincerely yo RDED Clarence M. Kelley Assoc. Dir. Dep. AD Adm. Director Dep. AD Inv. Asst. Dir.: Enclosures (2) DELIVERED BY LIAISON Adm. Serv. ___ Ext. Affairs _ DN સ Fin. & Pers. b6 Supplemental summary memorandum prepared to report Gen. Inv. _ NOTE: b7C Ident. -results of additional favorable interviews and one agency Intell. check, Legal Coun. Plon. & Insp. Rec. Mgt. MEF:dd:ljm S.& T. Serv. 141, ffle Spec. Inv.d Troining . PETURN TO TELETYPE UNIT ROOM IL ROOM 🗹



## UNITED STATES DEPARTMENT OF JUSTICE

FEDERAL BUREAU OF INVESTIGATION

WASHINGTON, D.C. 20535

February 11, 1977

## RICHARD CHARLES HOLBROOKE

The information in this summary memorandum supplements the information contained in a summary memorandum dated February 4, 1977.

Interviews

Uppartment of State, Washington, D. C., advised he has been socially and professionally acquainted with Mr. Holbrooke for approximately four years. He described Mr. Holbrooke as a "brilliant man." He said he considers Mr. Holbrooke to be "in the top one percent of his age group." He commented favorably concerning Mr. Holbrooke's character, associates, reputation, and loyalty. He highly recommended Mr. Holbrooke for a position of trust and confidence with the United States Government.

Warren Manshel, Editor and Publisher, "Foreign Policy" magazine, New York, New York, advised he has been socially and professionally acquainted with Mr. Holbrooke for approximately six years. He said Mr. Holbrooke's performance as Managing Editor of "Foreign Policy" magazine was excellent. He described Mr. Holbrooke as a hardworking and intelligent individual. He said he is acquainted with Mr. Holbrooke's mother, former wife, and present wife, describing them as reputable and loyal individuals. He said Mr. Holbrooke is a loyal American of excellent character, associates, and reputation. He highly recommended Mr. Holbrooke for a position of trust and confidence with the United States Government.

Seven additional persons, consisting of professional associates and social acquaintances, were interviewed. They commented favorably concerning Mr. Holbrooke's ability, character, loyalty, reputation, associates, and morals. Mr. Holbrooke was described as honest, intelligent, discreet, hardworking, conscientious, and reliable. They recommended him for a position of trust and confidence with the United States Government.

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## Richard Charles Holbrooke

## Agency Check

The files of the Office of Security, Department of State, indicate Mr. Holbrooke had an active security clearance while he was previously employed by the Department of State from July, 1962, to May, 1974. This clearance was terminated when Mr. Holbrooke resigned. On January 20, 1977, he was granted a top secret clearance by the Department of State. This clearance is active.

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pone their special order requests to other day.

S 4766

Mr. ROBERT C. BYRD, Mr. President, I hope we will not have an attendance problem. I cannot say that we will not. I hope we will not have an attendance problem. I hope that, once we have disposed of the economic stimulus appropriations bill, we can continue our action on amendments to the code of ethics measure.

ORDER FOR RECESS FROM TO-MORROW UNTIL 11 A.M. ON FRI-DAY NEXT

Mr. ROBERT C. BYRD. Mr. President, ask unanimous consent that when the sepate completes its business on tonorrow, it stand in recess until 11 a.m. ov Friday next. The FRESIDING OFFICER. Without

objection, it is so ordered.

Afr. ROBERT C. BYRD. Mr. President, an Friday, upon the disposition of the fact making economic stimulus appropriations, the code of conduct measure would automatically be back before the Senate, would it not,

The PRESIDING OFFICER. The Senator is correct.

#### APPOINTMENT BY THE VICE PRESIDENT

The PRESIDING OFFICER. The Chair, on behalf of the Vice President, pursuant to Public Law 86-380, appoints the Senator from Delaware (Mr. Roth) to the Advisory Commission on Intergovernmental Relations.

#### ORDER FOR H.R. 3437 TO BE HELD AT THE DESK

Mr. ROBERT C. BYRD. Mr. President, I ask unanimous consent that H.R. 3437 be held at the desk pending further disposition.

The PRESIDING OFFICER. Without objection, it is so ordered.

WAIVER OF THE CONGRESSIONAL BUDGET ACT WITH RESPECT TO CONSIDERATION OF S. 1025

Mr. ROBERT C. BYRD, Mr. President, I ask unanimous consent that the Senate proceed to the immediate consideration of Senate Resolution 121, waiver of section 402(a) of the Congressional Budget Act with respect to consideration of S. 1025, to amend the Securities and Ex-change Act of 1934 to increase the amount authorized to be appropriated for the Securities and Exchange Commission for fiscal year 1977.

The PRESIDING OFFICER. The bill will be stated by title.

The legislative clerk read as follows:

5 5 MAY 2 4 1977

A resolution (S. Res. 121) waiving section 402(a) of the Congressional Budget Act of 1974 with respect to the consideration of S. 1025,

The PRESIDING OFFICER IS THERE objection to the present consideration of the resolution?

There being no objection, the resolution was considered and agreed to, as follows:

Resolved, That pursuant to section 402(c) of the Congressional Budget Act of 1974, the provisions of section 402(a) of such Act are waived with respect to the consideration of S. 1025, Such waiver is necessary because the need for the additional funds arose after May 15, 1976. The supplemental request, transmitted to Congress on January 19, 1977, covers the pay increase which went into ef fect in October 1976, and additional funds needed to complete the modernization of the automated data processing and record sys-tem of the Securities and Exchange Commission.

1025-SECURIFIES AND EX-CHANGE COMMISSION AUTHOR-S. IZATIONS

Mr. ROBERT C. BYRD. Mr. President, I understand that Calendar No. 48, S. 1025, has now been cleared for action by unanimous consent, now that the waiver has been disposed of.

The PRESIDING OFFICER, The Senator is correct.

Mr. ROBERT C. BYRD. Is this correct? Mr. BAKER. Mr. President, it is correct. We are cleared, pending only the adoption of the budget waiver, which was just done. We have no objection to proceeding with its disposition.

Mr. ROBERT C. BYRD. Mr. President, I would just ask the clerk to transfer Calendar No. 48 to the Unanimous Consent Calendar, so that it will be there on tomorrow.

The PRESIDING OFFICER. That will be done.

#### PROGRAM

Mr. ROBERT C. BYRD. Mr. President, the Senate will convene at 12 o'clock noon tomorrow.

After the two leaders or their designees have been recognized under the standing order, the Senate will resume the consideration of the pending measure, Senate Resolution 110. The pending question at that time will be on the adoption of the amendment, as modified, by Mr. SCHMITT, or "Thich there is a time agreement of 1 hour. There will be rollcall votes throughout the afternoon tomorrow and late into the day.

#### · ALCESS,

Mr. ROBERT MEBYRD. Mr. President, if there be no further business to come before the Senate, I move, in accordance

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in the previous order, that the Senate and in recess until 12 meridian tomor-TON

The motion was agreed to' and at 9'2' · • • • • No.

March 23, 1977

March 24, 1977, at 12 meridian.

#### NOMINATIONS

Executive nominations received by the Senate March 23, 1977:

FEDERAL TRADE COMMISSION

Michael Perischuk, of the District of Columbia, to be a Federal Trade Commissioner for the unexpired term of 7 years from September 26, 1970, vice Stephen A. Nyc, re-fgned.

DEPARTMENT OF THE TREASURY

Robert Carswell, of New York, to be Deputy Secretary of the Treasury, vice George H. Dixon, resigned.

#### CONFIRMATIONS

Executive nominations confirmed by the Senate March 23, 1977:

#### DEPARTMENT STATE

Lucy Wilson Benson, of Massachusetts, to be Under Secretary of State for Coordinating Security Asy slance programs. Hodding Conter III, of Mississippi, to be an Assistant Locretary of State.

Richard Holbrooke, of the District of Co-lumbla, to be an Assistant Secretary of State.

Terence A. Todman, of the Virgin Islands, a Foreign Service officer of the class of career minister, to be an Assistant Secretary of State.

Patsy T. Mink, of Hawaii, to be an Assistant Secretary of State for Oceans and International Environmental and Scientific Affairs.

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#### U.S. INFORMATION AGENCY

John E. Reinhardt, of Maryland, a Foreign -Service information officer of the class of Career Minister for Information, to be Director of the U.S. Information Agency.

AGENCY FOR INTERNATIONAL DEVELOPMENT

John J. Gilligan, of Ohio, to be Administrator of the Agency for International Development.

> DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Jay Janis, of Florida, to be Under Secretary of Housing and Urban Development.

Lawrence B. Simons, of New York, to be an Assistant Secretary of Housing and Urban Development.

Robert Campbell Embry, Jr., of Maryland, to be an Assistant Secretary of Housing and Urban Development.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Thomas D. Morris, of the District of Columbia, to be Inspector General, Department

of Health, Education, and Welfare. Arabella Martinez, of the District of Co- b6lumbia, to be an Assistant Secretary of b7cHealth, Education, and Welfare.

The above nominations were approved subject to the nominees' commitments to re-spond to requests to appear and testify before any duly constituted committee of the Senate.

RECORDEL

MAY **19** 1977



UNITED STATES Y RESEARCH AND DEVELOPMENT A NISTRATION WASHINGTON, D.C. 20545

HEDERAL GOVER

AUG 15 1977

Ms. Jacqualyn Dinwiddie Staff Assistant White House Security Office, Room 43 Old Executive Office Building Washington, D.C. 20500

Dear Ms. Dinwiddle:

54SEP191977

REQUEST FOR INVESTIGATIVE REPORTS -- RICHARD CHARLES HOLBROOKE

The Department of State has requested that the captioned individual be processed for access to Restricted Data.

This office has been advised that the Federal Bureau of Investigation (FBI) has conducted a recent investigation on Mr. Holbrooke for the White House. It would be of great assistance to this office in processing the Department of State's request if you would authorize the FBI to release a copy of the investigative reports to this Administration.

Your assistance in this matter is appreciated.

Sincerely,

HLTaylo

H. Laessle Taylor Assistant Director for Security Affairs Division of Safeguards and Security June ade

Summary memoranda dated 2-11-77, 2-4-77, and 8-26-66 furnished to ERDA on 8-18-77.

> NOT RECORDED AUG 23 1977

G.LWS: age

161-4612

## FEDERAL BUREAU OF INVESTIGATION FOIPA DELETED PAGE INFORMATION SHEET

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OPM REQUESTED DATE DATE

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	THE WHITE HOUSE WASHINGTON	Data 7-2-1	593 G√
To: Federal Bureau of Investigation Atta: C EADSU (Room 496)		ALL FBI INI HEREIN IS U	CORMATION CONTAINED NOCLASSIFIED 2011 BY 60324UCBAW/SB/CHW
From: The White House EOP Security Office XX White House Counsel		n 79	1775
Subject's full name <u>Richard</u>	Charles Albert	Holbrooke	
Other names used (including birth, pri		<u> </u>	
Social Security Number 132-32-3	3096 Date of birth $04/34/41$	Place of birth Sca	rsdale, NY
Permanent address (also current residence, if different)			10024
Current employer(s) <u>Credit</u>	Suisse First Bos	ton .	
SUBJECT'S CONSENT: I hereby a	authorize the FBI to provide the	ð)formation specified beld	bw to the White House. <u>udis 195</u> b70
Request of FBI (Use of this form to consent. Exceptions will only be per			
<ul> <li>Name check (EADSU)</li> <li>Expanded name check (SIGBIU)</li> <li>Full field investigation (SIGBIU)</li> <li>S-year reinvestigation (SIGBIU)</li> <li>Limited update investigation (SIG</li> <li>Other (specify)</li> </ul>	🗖 Level 2 🛛 L	Level 3	· · ·
The applicant is being considered for: Presidential appointment X White House staff position Access: Detailee/other go Presidential recognition Other (specify)	X Position requiring Senate confir		Volunteer 56328—2
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I certify, subject to 18 U.S.C. understand that obtaining this information Act, 5 U.S.C. § 552a.	§ 1001, that the above is sought f ation under false pretenses of	or official purposes only a	nd I Privacy
	Requested b		
This request has been reviewed	ed and approved by the White Hou	re Caresa's Office	
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## THE WHITE HOUSE

#### WASHINGTON

## PRIVACY ACT PROTECTED INFORMATION (When Completed)

Disclosure and Authorization Pertaining to Consumer Reports Pursuant to the Fair Credit Reporting Act

This is a release for the Federal Bureau of Investigation and/or the Office of Counsel to the President, acting on the President's behalf, to obtain one or more consumer/credit reports about you in connection with consideration of your appointment to a position within the Executive Branch, or in the course of your employment with the Federal Government. One or more reports about you may be obtained for employment purposes, including evaluating your fitness for employment, promotion, reassignment, retention, or access to classified information. I, <u>Richard Halbrooke</u>, hereby authorize the Federal Bureau

of Investigation and/or the Office of Counsel to the President, acting on the President's behalf, to obtain such reports from any consumer/credit reporting agency for employment purposes.

Signature

June 15, 1998

Date

132-32-3096

Social Security Number

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#### WHERE YOU HAVE LIVED

List the places where you have lived, beginning with the most recent (#1) and working back 7 years. All periods must be accounted for in your list. Be sure to indicate the actual physical location of your residence; do not use a post office box as an address, do not list a permanent address when you were actually living at a school address, etc. Be sure to specify your location as closely as possible: for example, do not list only your base or ship, list your barracks number or home port. You may omit temporary military duty locations under 90 days (list your permanent address instead), and you should use your APO/FPO address if you lived oversees.

For any address in the last 5 years, list a person who knew you at that address, and who preferably still lives in that area (do not list people for residences completely outside this 5-year period, and do not list your spouse, former spouses, or other relatives). Also for addresses in the last five years, if the address is "General Delivery," a Rural or Star Route, or may be difficult to locate, provide directions for locating the residence on an attached continuation sheet.

Month/Year Month/Year	Street Add	liess			Apt #	City (Cou	unity)			State	ZIP Code	
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WHERE YOU WEN List the schools you have University degrees and school, no matter when • Use one of the foll 1 - High S • For schools you all completely outside • For correspondent Month/Year Month/Year *1 1969 To 1970 Street Address and City (Country Princeton	ve attended the dates t that educe owing code School tended in t this 3-yea ce schools Code 3 of School	f, beyond Jur hey were rec ation occurred as in the *Cod he past 3 yea r period. and extension Name of Sot	eived. It all of you te" block: 2 • College/ ars, list a person w n classes, provide mool ton Univ	Inversity/Milita tho know you at the address with the sideress with the sideress with	urred more t ry College school (an ir here the reco	nan 7 yea nstructor, ords are m Dei Vi	studer studer nalntalr grec/Di	. list you 3 - Vi nt, etc.), ned, <u>cone</u> gree	r most recen ocational/Teo Do not list p ther _Fellos	I education	beyond high le School fucation Year Awarded ZiP Code	9d 7d 
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VOUD	FMOL	OYMENT	ACTIVITIES	

List your employment activities, beginning with the present (#1) and working back 7 years. You should list all full-time work, part-time work, military service, temporary military duty locations over 90 days, self-employment, other paid work, and all periods of unemployment. The entire 7-year period must be accounted for without breaks, but you need not list employments before your 16th birthday. EXCEPTION: Show all Federal civilian service, whether it occurred within the last 7 years or not.

. Code. Use one of the codes listed below to identify the type of employment:

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- 1 Active military duty stations
- 2 · National Guard/Reserve
- 3 U.S.P.H.S. Commissioned Corps 4 - Other Federal employment
- 6 Self-employment (Include business name

5 - State Government (Non-Federal employ-

and/or name of person who can verify)

ment

- 7 Unemployment (Include name 9 Other of person who can varify)
- Federal Contractor (List Contractor, not Federal agency)
- Employer/Verifier Name. List the business name of your employer or the name of the person who can verify your self-employment or unemployment in this block. If military service is being listed, include your duty location or home port here as well as your branch of service. You should provide separate listings to reflect changes in your military duty locations or home ports.
- Previous Periods of Activity. Complete these lines if you worked for an employer on more than one occasion at the same location. After entering the
  most recent period of employment in the initial numbered block, provide previous periods of employment at the same location on the additional lines
  provided. For example, if you worked at XY Plumbing in Denver, CO, during 3 separate periods of time, you would enter dates and information concerning
  the most recent period of employment first, and provide dates, position titles, and supervisors for the two previous periods of employment on the lines
  below that information.

M	oninYear	Month/Year	Code	Employer/Verifier Name/Military Du	ty Location		Your Pos	sition Title/Militar	y Rank
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Employ	er s/Verifie	or's Street Add	ross		City (Country)		State	ZIP Code	Telephone Number
Elev	zen Ma	adison	Aver	we	New York		NY	10010	(212) 325-444
Street	Address of	Job Location	(If differ	ent than Employer's Address)	City (Country)		State	ZIP Code	Telephone Number
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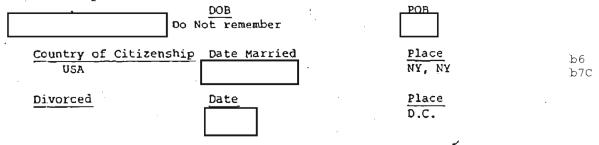
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13. (contid.)

** Former spouse



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	<ul> <li>Include short trip need to list each</li> </ul>	os to Car trip. Ins	nada or M stead, pro	exico. If you have vide the time perio	lived	near a coda,	border an the count	id have mad ry, and a no	e short (one te ("Many Sh	day or less) t ort Trips"}.	rips 10 th	nelghboring count	ry, you	do not
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This concludes Part 1 of this form. If you have used Page 9, continuation sheets, or blank sheets to complete any of the questions in Pan 1, give the number for those questions in the space to the right:

Enter vour Social Security Number before going to the next page + 132-32-3096 Page 6 .

06/24/98 11:20 AM Document1/1

- 17. I have no formal relationships with any foreign entities, but I have made client calls on behalf of Credit Suisse First Boston in Europe and East Asia. I am not currently involved in any ongoing business relationships overseas for Credit Suisse First Boston.
- 18. I have called on government officials on behalf of Credit Suisse First Boston and, between 1981 and 1993 on behalf of Lehman Brothers. These calls included government officials of most of the governments of East Asia including Japan, China, Philippines, Korea, Hong Kong, Singapore, Thailand and Indonesia. Similarly, in Europe I have made calls on government officials on behalf of my firm in Germany, Romania, Estonia, Latvia, Lithuania, Sweden, Hungary, and Kazakstan.

Standard Form 86 Revised September 1995 U.S. Office of Personnel Management 5 CFR Parts 731, 732, and 738

OFFICIAL

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# QUESTIONNAIRE FOR NATIONAL SECURITY POSITIONS



Form approved: O.M.B. No. 3206-0007 NSN 7540-00-634-4036 86-111

Are you a make born after December 31, 1959? If "No," go to 21. If "Yes," go to b.     Are you registered with the Selective Service System? If "Yes," provide your registration number. If "No," show the reason for your legal exemption below.     Registration Number     Legal Exemption Explanation     YOUR MEDICAL RECORD     In the last 7 years, have you consulted with a mental health professional (psychiatrist, psychologist, counselor, etc.) or have you consulted with another health care provider about a mental health related condition?     If you answered "Yes", provide the dates of treatment and the name and address of the therapist or doctor below, unless the consultation(s) hvolved only marital, family, or grief counseling, not related to violence by you.     Month/Year Month/Year Marme/Address of Therapist or Doctor     To	15	Ye
YOUR SELECTIVE SERVICE RECORD   A do you a make Domanaker December 31, 19597 If "No," go to 21. If "Yes," go to b.   Har your register with the Selective Service System? If 'Yes," provide your registration number. If "No," show the reason for your legist examption below.   Registration Number    In the last 7 years, have you consulted with a mental health professional (psychiatrist, psychologist, counselor, etc.) or have you consulted with a mental health professional (psychiatrist, psychologist, counselor, etc.) or have you consulted with a mental health condition?   In the last 7 years, have you consulted with a mental health condition?   If you answered "Yes", provide the dates of the strengts or discond to determent sand the name and address of the therapist or doctor below, unless the consultation(s) involved only martial, limity, or grief counseling, not related to volence by you.    Would EMPLOYMENT RECORD  Has any of the following order about in the last 7 years 7. If 'Yes,' begin with the most recent occurrence and go backward, providing date find, quit, or left, and other information requested. Would the following oddes and applain the reason or prolyment was ended: 3 - Left a job by mutual agreement following allegations of under unhavorable circum unacrobite circum unacrobite for other research unacrobite for other research unacrobite action registration or going and the following allegations of under unacrobite stricked U.S.J State YOUR EMPLOYMENT RECORD 4 - Left ajob by mutual agreement following allegations of under unacrobite circum unacrobite circum unacrobite for other research unacrobite action of under unacrobite circum unacrobite for other research or otherwise stricken from the court record. The site later, report how the court issued an ecourd prode state of reference Controled Substances Act for which the cou	X	
A varyou is male born dar December 31, 1959? If "Na," go to 21. If "Yes," go to b.     Have your registered with the Salective Service System? If "Yes," provide your registration number. If "No," show the     reason for your legit exemption below.     Registration Number     Legit Exemption Explanation     YOUR MEDICAL RECORD     In the last 7 years, have you consulted with a mental health professional (psychlatrist, psychologist, counselor, etc.) or have you consulted     with another health care provider about a mental health professional (psychlatrist, psychologist, counselor, etc.) or have you consulted     with another health care provider about a mental health professional (psychlatrist, psychologist, counselor, etc.) or have you consulted     with another health care provider about a mental health inelated condition?     If you assevered "Yee," provide the dates of treatment and the name and address of the therapist or doctor below, unless the consultation(q)     howbed only marital, family, or grief counseling, not related to violence by you.     YoUR EMPLOYMENT RECORD     Has any of the following happened to you in the last 7 years? If "Yes," begin with the most recent occurrence and go     backward, providing date firsted, cut, or list, and other Information requested.     YoUR EMPLOYMENT RECORD     YoUR EMPLOYMENT RECORD     YoUR POLICE RECORD     YoUR Police Record and opsile the reason your employment was ended:     YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      YoUR Police Record      Your evertev		
Have you registered with the Selective Service System? If "Yes," provide your registration number. If "No," show the     reason for your legal exemption below.     Registration Number     Legal Exemption Explanation     VOUR MEDICAL RECORD     In the last 7 years, have you consulted with a mental health professional (esychlatrist, psychologist, counsellor, etc.) or have you consulted     With another health care provider about a mental health related confilion?     If you answered "Yes", provide the dates of instrument and the name and address of the therapist or dector below, unless the consultation(i)     In on units. If may, or grief counseling, not related to violence by you.     ConftYear     MonitYear     MonitYear     Meme/Address of Therapist or Docior     To     To     To     YOUR EMPLOYMENT RECORD     Has any of the following codes and explain the reason you employment was ended:     1 > Erind from a job	88	Y
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YOUR MEDICAL RECORD       In the last 7 years, have you consulted with a mental health professional (psychlatrist, psychologist, counselor, etc.) or have you consulted with another health care provider about a mental health related condition?         If you answered "Yes", provide the dates of treatment and the name and address of the therapist or doctor below, unless the consultation(c) hocked only marital, tamily, or grief counseling, not related to volence by you.         Introductives       Neme/Address of Therapist or Docior       State         To       To       YOUR EMPLOYMENT RECORD         Has any of the following happened to you in the last 7 years? If "Yea," begin with the most recent accurrence and go backward, providing date fired, quit, or left, and other information requested.       S - Left a job for other reason your employment was ended:         1 - Fired from a job       2 - Left a job by mutual agreement following allegations of misconduct under unformation requested.       S - Left a job b for other reason your employment was ended:         2 - Out a job a fired       4 - Left a job by mutual agreement following allegations of misconduct under unfavorable circum unsatisfactory performance       S - Left a job b for outside under unfavorable circum unsatisfactory performance         WOVER FOLICE RECOND       A - Left a job by mutual agreement following allegations of misconduct is supported to a supported by of 21 U.S.C. 844 or 18 U.S.C. 3607.       Are been charged with or convicted of any falory follense?         M Have you ever been charged with or convicted of any falory follense?       Are beane charged with or convicted of any falory fol	:	
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	ave you ever i	legally used a c		empl	oyed as a la	w enforceme	int officer	, prosecutor, or courtroom official; while lic safety?	)	x
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	you answered		above, provide the date(s)	), ide	ntify the con	ntrolled substa	ance(s) a	nd/or prescription drugs used, and the	number	of
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FROM : HYATT REGENCY BELGRADE THE CLASSES - LOSSE Standard Form 36 Bavient Beats hoev . 308 U.S. ORICE OF PERSONNEL MEMORALIST 2 CFR Para 731 732 and 736

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NSN 7540-00-914-4036

UNITED STATES OF AMERICA

## AUTHORIZATION FOR RELEASE OF INFORMATION

HEREIN IS UNCLASSIFIED

Carefully read this authorization to release information about you, then sign and date it in ink.

DATE 10-13-2011 BY 60324 uc baw/sab/rs

I Authorize any investigator, special agent, or other duly accredited representative of the authorized Federal agency conducting my background Investigation, to obtain any information relating to my activitles from individuals, schools, residential management agents, employers, criminal justice agencies, credit bureaus, consumer reporting agencies, collection agencles, retail business establishments, or other sources of information. This information may include, but is not limited to, my academic, residential, achievement, performance, attendance, disciplinary, employment history. criminal history record information, and financial and credit information. I authorize the Federal agency conducting my investigation to disclose the record of my background investigation to the requesting agency for the purpose of making a determination of suitability or eligibility for a security clearance.

I Understand that, for financial or lending institutions, medical institutions, hospitals, health care professionals, and other sources of Information, a separate specific release will be needed, and I may be contacted for such a release at a later date. Where a separate release is requested for information relating to mental health treatment or counseling, the release will contain a list of the specific questions, relevant to the job description, which the doctor or therapist will be esked.

I Further Authorize any investigator, special agent, or other duly accredited representative of the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, the Detense Investigative Service, and any other authorized Federal agency, to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for access to classified information and/or for assignment to, or retention in, a sensitive National Security position, in accordance with 5 U.S.C. 9101. 1 understand that I may request a copy of such records as may be available to me under the law.

I Authorize custodiaris of records and other sources of information pertaining to me to release such Information upon request of the Investigator, special agent, or other duly accredited representative of any Federal agency authorized above regardless of any previous agreement to the contrary.

I Understand that the information released by records custodians and sources of information is for official use by the Federal Government only for the purposes provided in this Slandard Form 86, and that it may be redisclosed by the Government only as authorized by law.

Coples of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for five (5) years from the date signed or upon the termination of my affliation with the Federal Government, whichever is sooner. Read, sign and date the release on the next page if you answered "Yes" to question 21.

Signature (Signat Ink) Full Name	(Type or Frint Legibly)	Date Stoned
Richar Richar	d Charles Alber	+ Holbrooke 06/24/98
Other Hames Used		Social Socurty Number
		132-34-3096
Current Address (Street City)	Stale ZIP C	ode Home Telephone Number (Rickude Area Code)
211 Central Park West, 8-G, New Yo	IK NY. 100	024 (212) 496-1106

Page 10

07/02/98 THU US:53 FAA

FROM : HYATT REGENCY BELGRADE

Iten - stat

Sundard Ferri 85 Revised September 1995 U.S. Office of Personnel Manenument S CFR Parts 731, 732, and 730

IMITE PHONE NO. : 381 11 311 3623 

ALL INFORMATION CONTAINED



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3 3/10 AD342400. O M E. No. 3209-0007 NSN 7346-00-834-4035 DATE 02-14-2011 BY 60324UCBAW/SB/CMW 84.111

# UNITED STATES OF AMERICA

HEREIN IS UNCLASSIFIED

#### AUTHORIZATION FOR RELEASE OF MEDICAL INFORMATION

Carefully read mis authorization to release information about you, then sign and date it in Ink.

#### Instructions for Completing this Release

This is a release for the investigator to ask your health practitioner(s) the three questions below concerning your mential health consultations. Your signature will allow the practitioner(s) to answer only these questions.

I am seeking assignment to or retention in a position with the Federal government which regultes access to classified national security information or special nuclear information or material. As part of the clearance process, I hereby authorize the investigator, special agent, or duly accredited representative of the authorized Federal agency conducting my background investigation, to obtain the following information relating to my mental health consultations:

Does the person under investigation have a condition or treatment that could impair his/her judgement or reliability, particularly in the context of safeguarding classified national security information or special nuclear information or material?

If so, please describe the nature of the condition and the extent and duration of the impairment or treatment.

What is the prognosis?

I understand the Information released pursuant to this release to for use by the Federal Government only for purposes provided in the Standard Form 88 and that It may be redisclosed by the Government only as authorized by law,

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for 1 year from the date signed or upon termination of my affiliation with the Federal Government, whichever is sooner.

Equative (Shon in his)	Full Name (Type or Print Logibly)	Data Signed
Ri Kr	Richard Cha-les Albert Ho	1000xe 06/24/95
Other Names Uped		Bodel Socurry Number
,		132-32-3096
Current Address (Street, City)	Statio ZIP Cade	Home Telephone Number
211 Central Parx West, 8-6	, New York NY 10024	(include Anes Code; (212)496-1106

# SUPPLEMENT TO STANDARD FORM 86 (SF-86) (Attach additional pages if necessary)

15. Please list names of all corporations, firms, partnerships or other business enterprises, and all nonprofit arganizations and other institutions with which you are now, or during the past five years have been, affiliated as an officer, owner, director, trustee, partner, advisor, attorney or consultant. In addition, please provide the names of any other organizations with which you were effiliated prior to the past five years that might present a potential conflict or appearance of conflict of interest with your prospective appointment. (Plaase note that in the case of an attorney's client listing, it is only necessary to provide the names of major clients and those that might present a potential conflict or appearance of conflict of interest with the prospective appointment). See attached curriculum vitae. 25. Please list all your interests in real property, other than a personal residence, setting forth the natura of your interest, the type of property and the address. None. 3s. Have you or any fire, company or other entity with which you have been associated ever been convicted of a violation of any Federal, state, county or municipal law, regulation or ordinance? If so, please provide full details. No. **4**\$. have you or any firm, company or other entity with which you have been associated ever been the subject of Federal, state or local investigation for possible violation of a criminal statute? If so, please give full details. No. 5s. Have you ever been involved in civil or criminal litigation, or in administrative or legislative proceedings of any kind, either as a plaintiff, defendant, respondent, witness or party in interest7 if so, please give full details identifying dates, issues litigated and the location where the civil action is recorded. No. 161A-HQ-1256328-2

Ø 017

Have you ever been disciplined or cited for a breach of ethics or unprofessional conduct by, or 65. been the subject of a complaint to any court, administrative agency, professional association, disciplinary committee, or other professional group? If so, please give full details. XIO. Nava you ever run for political office, served on a political committee or been identified in a 7S. public way with a perticular organization, candidate or fasue? Have any complaints been lodged against you or your political committee with the Federal Election Commission or state or local election authorities? If so, please describe. No. as. Are you currently, or have you ever been, a member or office holder in any club or organization that restricts or restricted membership on the basis of sex, race, color, religion, national origin, age or handicap? If so, provide the name, address and datas of membership for each. No Please identify any adults (18 years or older) currently living with you who are not members of **9**S. your immediate family. Provide the names of those individuals, dates and places of birth, and whether or not they are United States citizens. None. 105. Is there anything in your personal life that could be used by someone to coerce or blackmail you? is the<u>re anything in your life that could cause an embarrassment</u> to you or to the President if publicly known? If so, please provide full details. No. I understand that the information being provided on this supplement to the SF-B6 is to be 98 9 06 considered part of the original SF-B6 dated and a false statement on this form is punishable by law. Signature

	Memo	orandum	ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-14-2011 BY 60324UCBAW/SB/CMW
$\checkmark$	To :	WFO FILE 161A-HQ-1256328	Date 7/23/98
	From :	PSS	
	Subject:	RECORD CHECKS	

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Attached are records checks which are to be made part of the above listed file. These checks were conducted during the background investigation of HOLBROOKE.

~ ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED DATE 02-14-2011 BY 60324UCBAW/SB/CMW
(CFR) PC
BODED 1-21-48 WITHOUTFAIL
date sent to indices $9-2-98$
APPOINTEE Richard Charles Albert Holbrooke
CASE NUMBER 161A - HQ-NO# AS OF YET
NUMBER OF NAMES TO BE SEARCHED
SEARCH and REVIEW all names that are underlined.
DO NOT REVIEW 241's, 161's, 116's,77's and 67's.
DATE SEARCHED SEARCHED BY NEG/POS
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FBI - WASHINGTON FIELD

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WHERE	VOU	LAAV/C	
WHEEF	<b>VIII</b>	HAVE	LIVEL

List the places where you have fixed, beginning with the most recent (#1) and working back-7 years. All periods must be accounted for in your list. Be sure to indicate the actual physical location of your residence: do not use a post office box as an address, do not list a permanent address when you were actually living at a school address, etc. Be sure to specify your location as closely as possible: for example, do not list only your base or ship, list your barracks number or home part. You may amit temporary military duty locations under 90 days (list your permanent address instead), and you should use your APO/FPO address if you lived overseas.

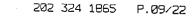
For any address in the last 5 years, list a person who knew you at that address, and who preferably still lives in that area (do not list people for residences completely outside this 5-year period, and do not list your spouse, former spouses, or other relatives). Also for addresses in the last five years, if the address is "General Delivery," a Rural or Star Route, or may be difficult to locate, provide direction for localing the residence on an attached continuation sheet.

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Princeton							LN J	.	
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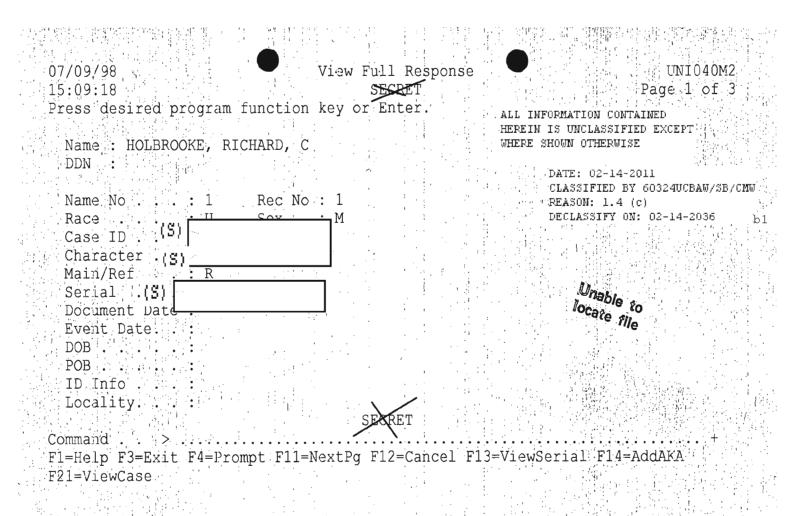
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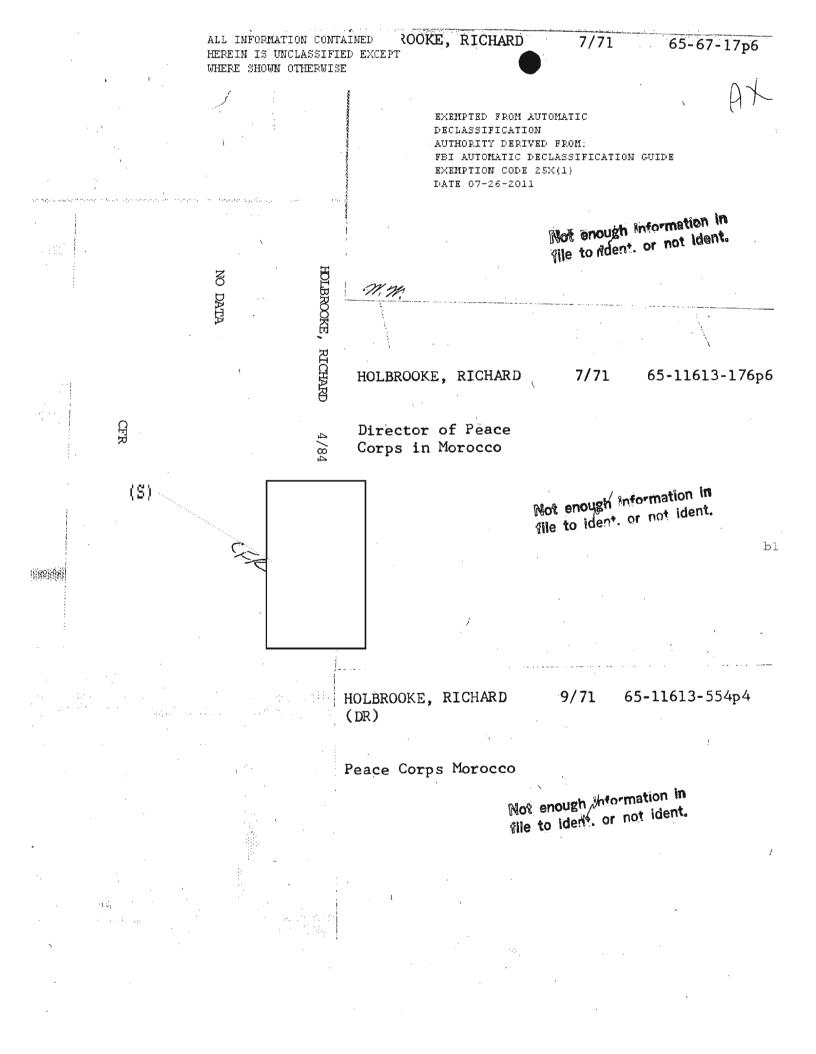


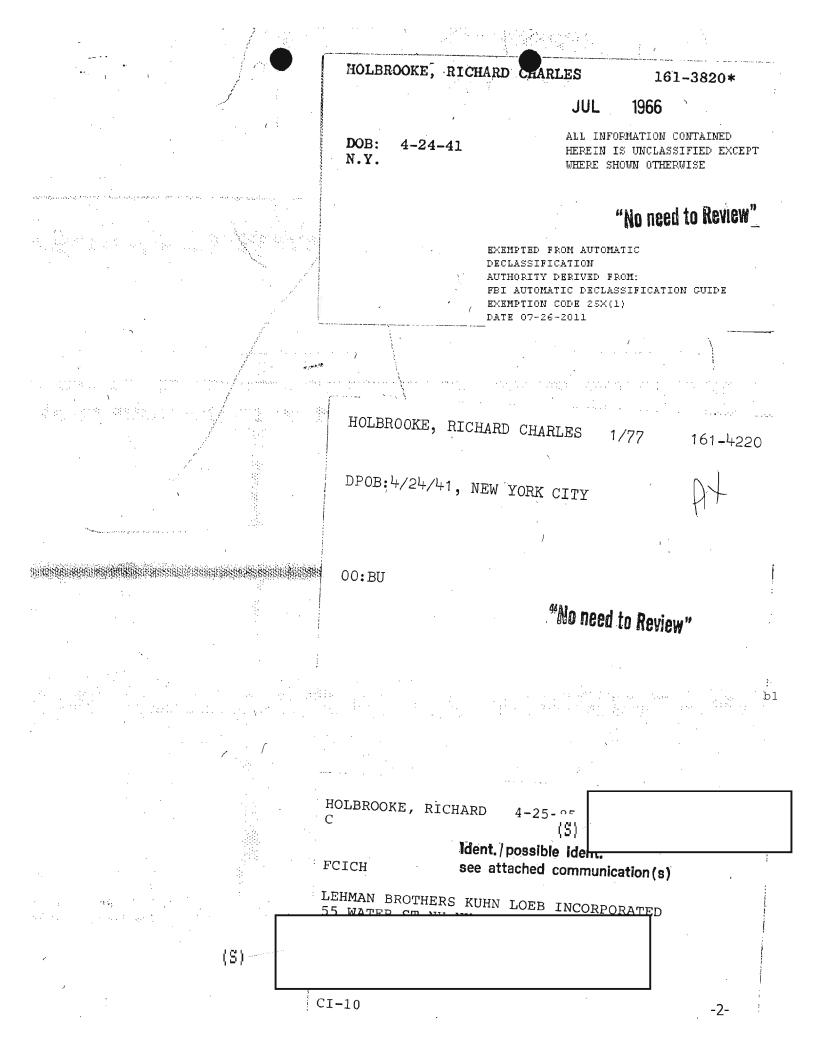
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		네 교통한 김 사이들을 가지 않고 있다. 1.1.25일 전 관리 김 사이들을 것이
(1) 여러 사업에 비교에 비원하는 것이 있는 것이라. 이 가지 않는 것이다. (2) 이 지원 신表 통령이 가격적 위에 가지 않는 것이라. 이 가지 않는 것이다.		
· 성업 및 실험에 열차 관계로 주말하는 것이 가지 않는 것이 한 것을 하는 것이다. - 전 사람 물건 전 것이 같은 것이 같은 것이 있는 것이 같은 것이 같이 있다.		도 사람이는 것 같은 것이 가지 않는다. 도 사람은 것은 것은 것이 가격하는 것 같이 것 도 사람은 것은 것이 것은 것이 같은 것이 같이 같이 같이 같이 같이 같이 같이 같이 같이 같이 같이 같이 같이
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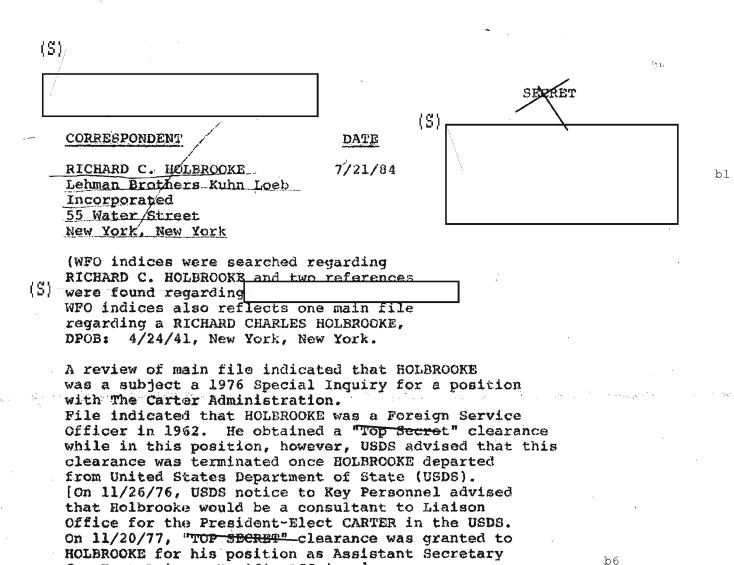
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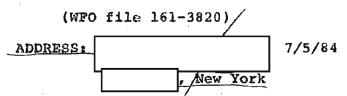
SAC, NEW YORK 11/16/84 WASHINGTON FIELD OFFICE SAC. (P) (CI-10) (S)(S) OO:WFO All markings, notations and items of information contained in this communication are classified "Searet" unless otherwise noted. Re WFO airtel to New York dated February 9, 1981. Enclosed for New York are 135 copies of information (S) provided by 化乙酰氨基苯基酰氨基 化合金 Information provided b should be handled in accordance with instructions provided in the FCI Manual. (S) is a highly sensitive source and it is essential b1 this information be handled with the utmost discretion. Copies of investigations opened as а regult of the information provided should be directed to referenced (S)---in this communication. Also, a copy of that investigation should he directed to (S) (S)dvised the following individua (S) ----contact with the below listed officials. (S) -SECRET Classified by: 7588 Searched Declassify On: OADR 2-New York (Enc. 135) (S). 11-Washington Fiedd Office (S)¹ VJM:rkg A 1-161-3820 (HOLBROOKE) (13)

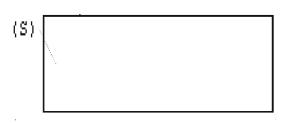
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for East Asian & Pacific Affairs.] No other information was available regarding HOLBROOKE except that HOLBROOKE was favored highly by friends and associates and investigation was closed with no derogative information.



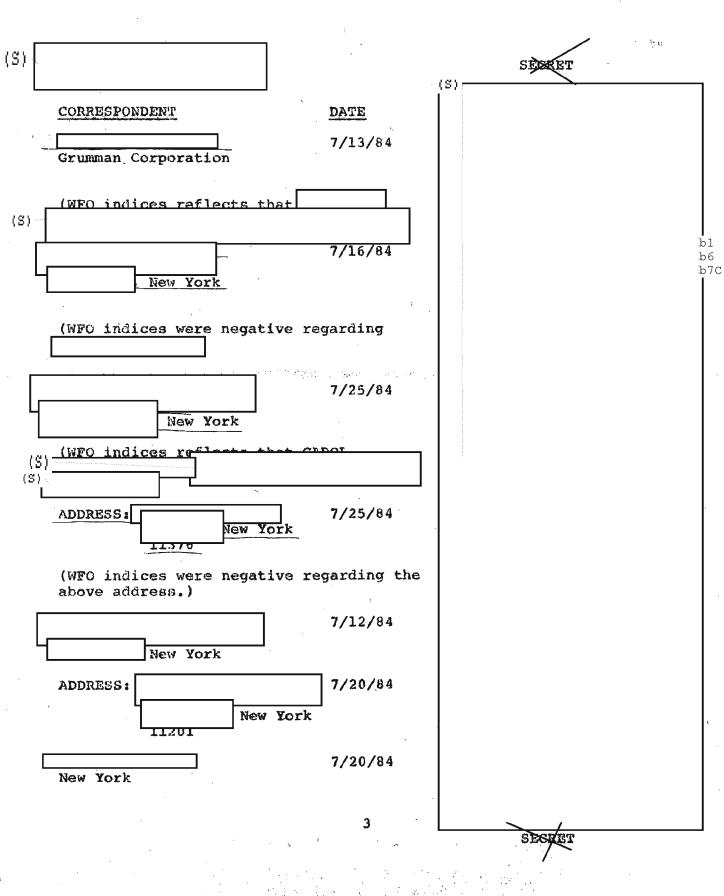


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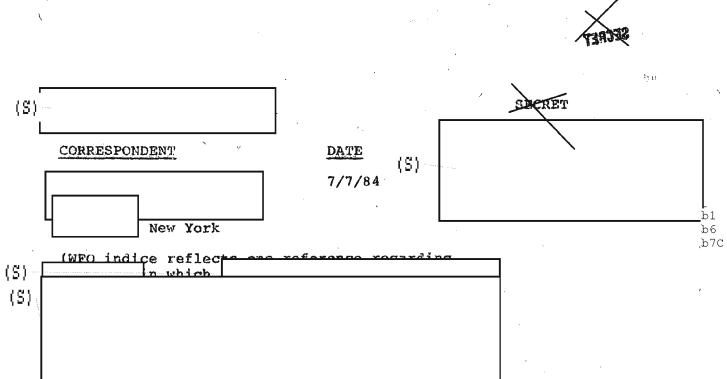
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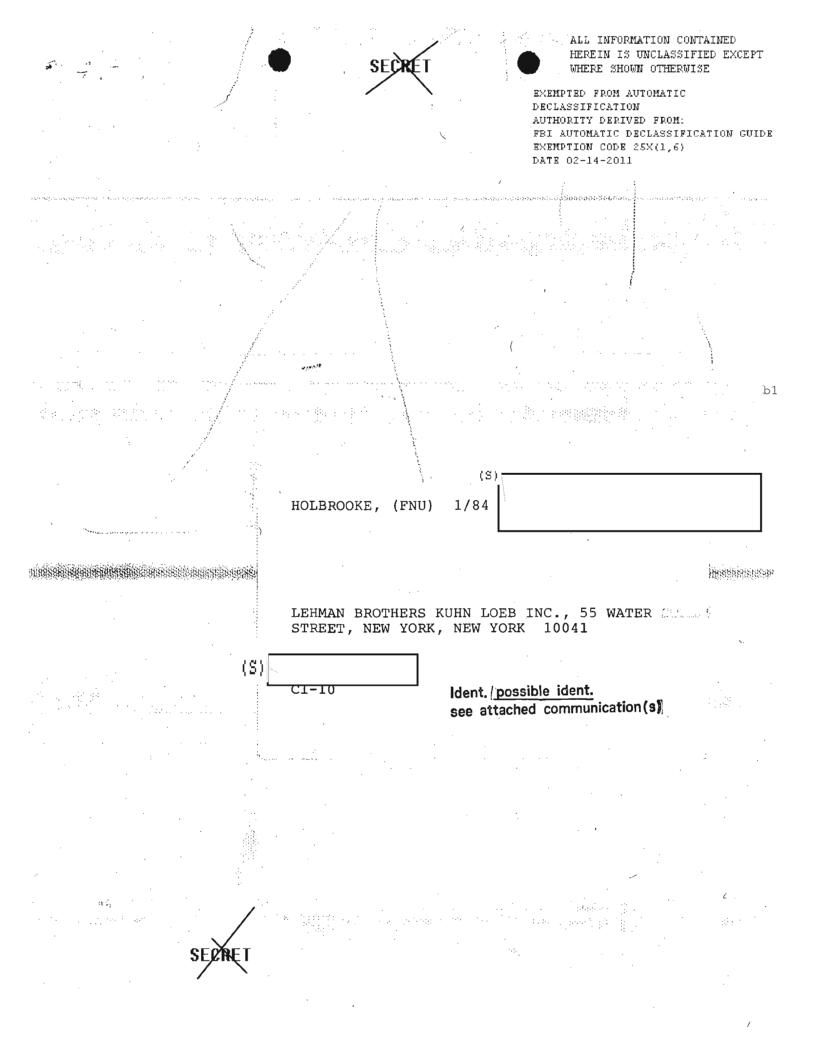




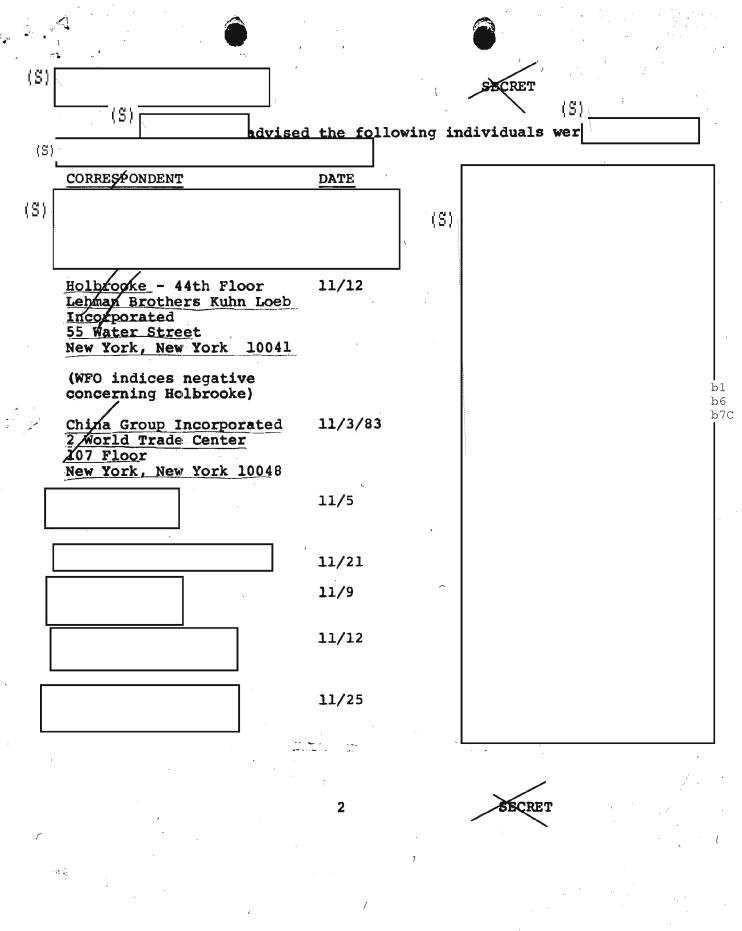
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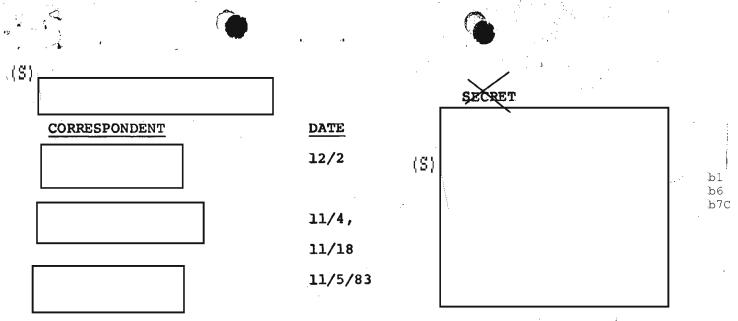
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ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED EXCEPT Memorandum WHERE SHOWN OTHERWISE SECIET То Date 12/30/83 SAC, NEW YORK From (P)(CI-10)SAC SECNET EXEMPTED FROM AUTOMATIC DECLASSIFICATION Subject : (S)AUTHORITY DERIVED FROM: FEI AUTOMATIC DECLASSIFICATION GUIDE EXEMPTION CODE 25X(1) **UU:WFU** DATE 02-14-2011 All markings, notations and items of information contained in this communication are classified "Secret" unless otherwise noted. ReWFO airtel to New York, dated 2/9/81. Frelosed for New York are 104 copies of information (S) provided by Information provided by should be handled in (S)accordance with instructions provided in the FCI Manual. b1 is a highly sensitive source and it is essential (S) this information be handled with the utmost discretion. Copies of investigations prened as a result of the informa-(S). tion provided should be directed to referenced in this communication. Also (S) (S)(S). SECRET Classified by: Declassify on: New York (Enc. 104) (S) elimphee___ Serialized_ (S) Indexed_ Filed _ VJM:lcr la (10)FB1/DOJ



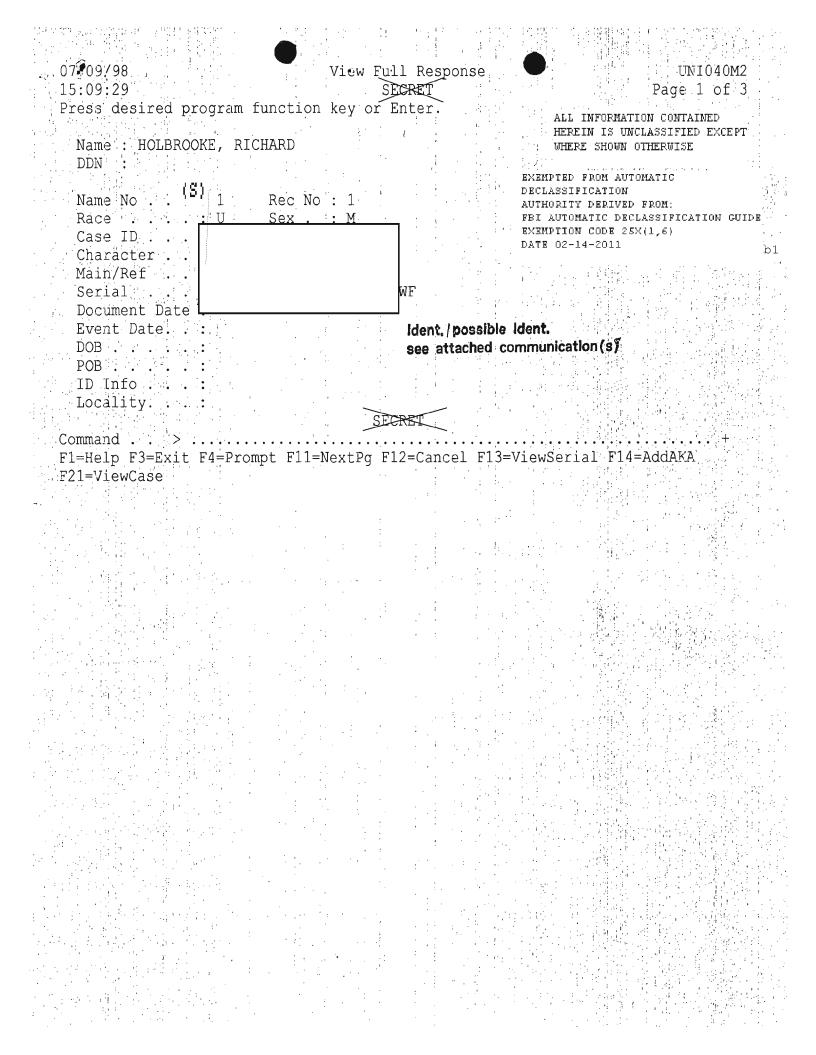


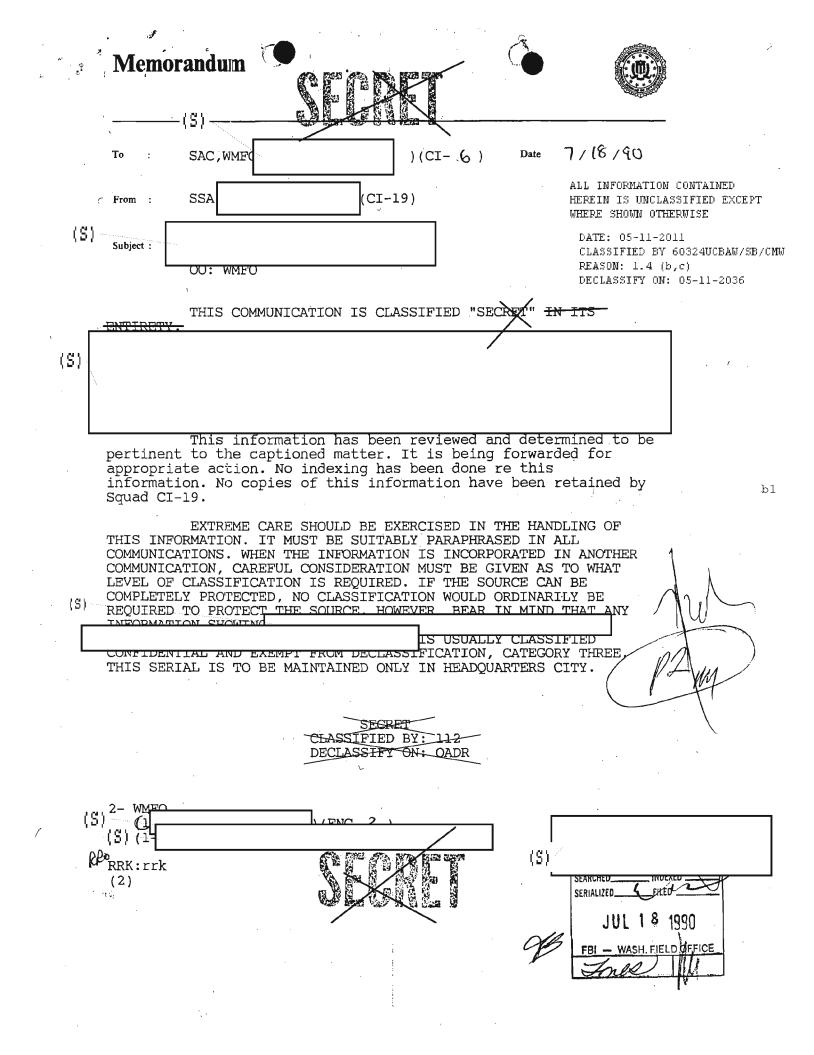
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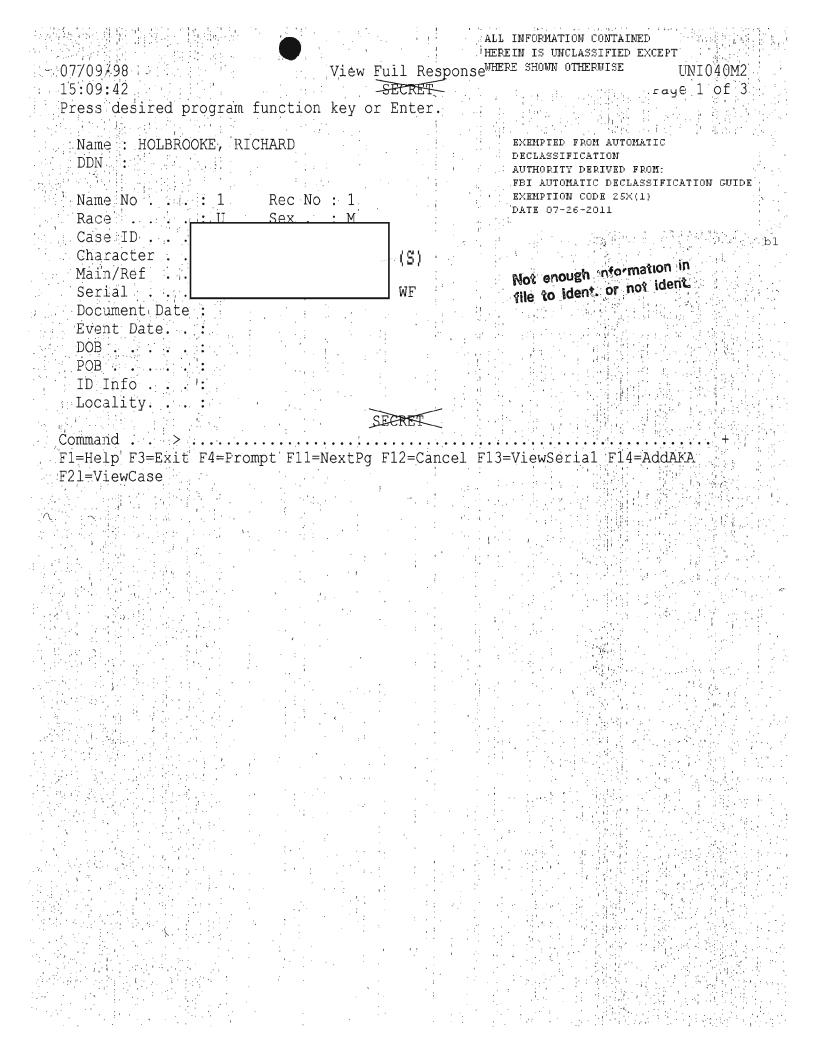
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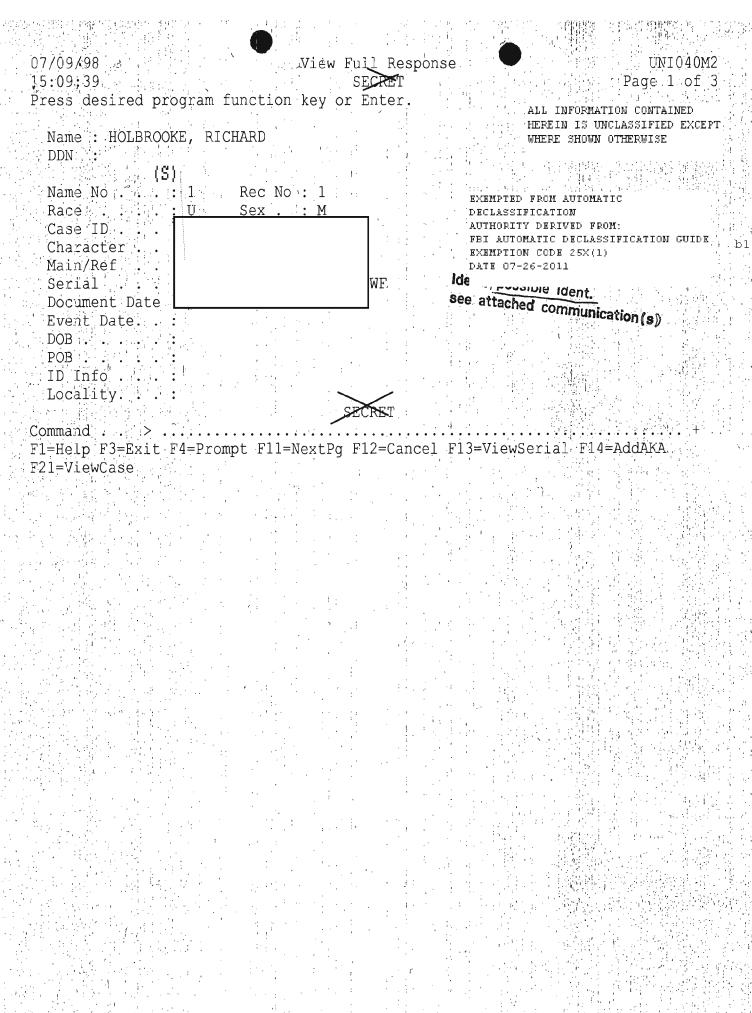
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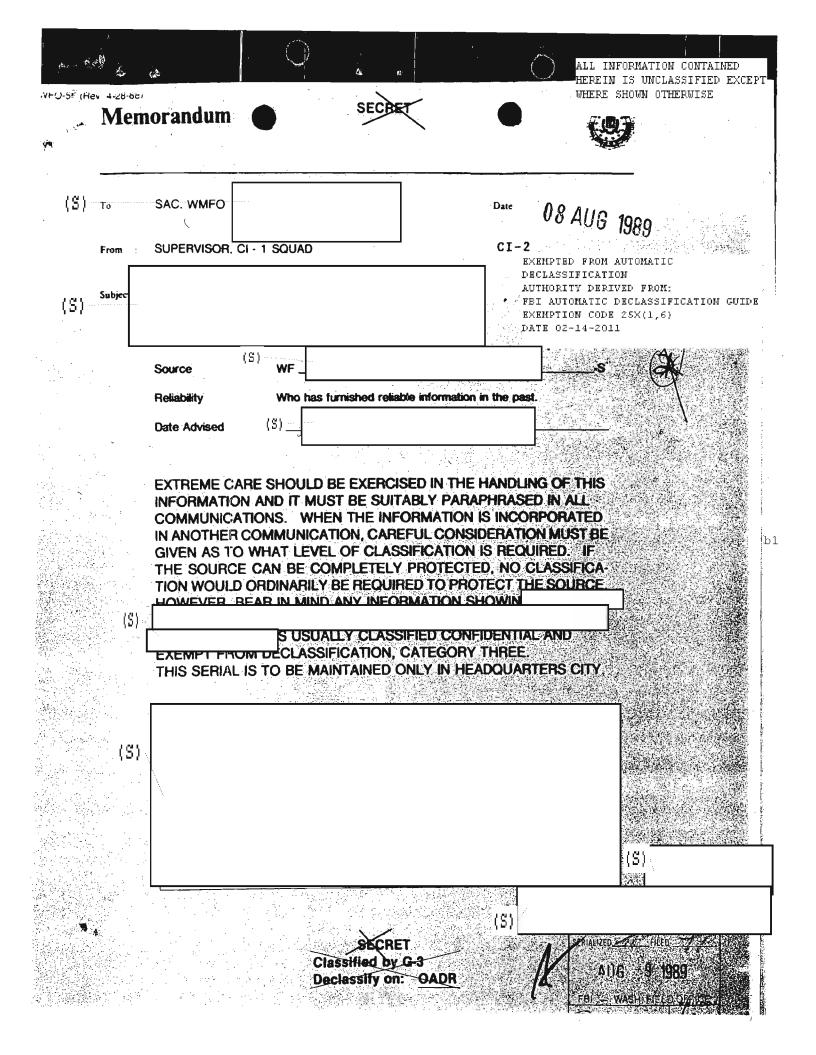
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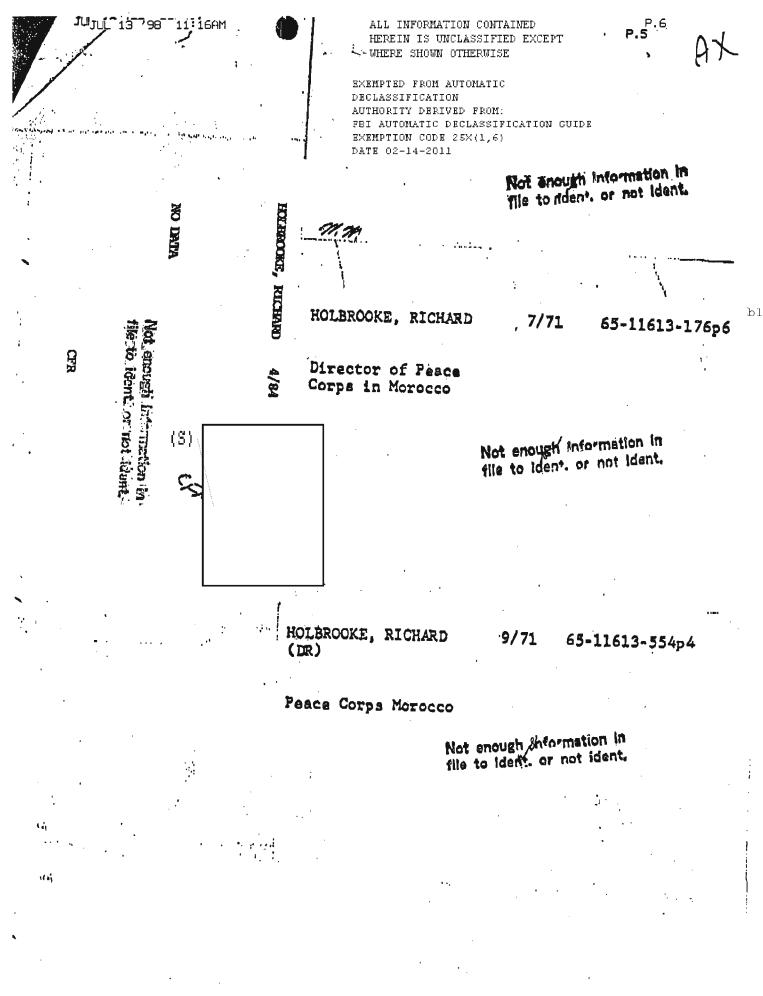




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ALL INFORMATION CONTAINED JUL-02-1998 12:17 P.02/12 HEREIN IS UNCLASSIFIED EXCEPT ,SEXBET, ...., WHERE SHOWN OTHERWISE ******** ********* NAME CHECK ** 07/02/98 kun 1 Fage l ** Searcher # 0533 ** 11:58:35 ** 4.4 E 🖈 DATE: 02-14-2011 ** Subject: Search: HOLBROOKE, RICHARD, CHARLES CLASSIFIED BY 60324UCBAW/SB/CMW 4 # REASON: 1.4 (c) ** Agency: WHITE HOUSE/SPECIAL INQUIRY DECLASSIFY ON: 02-14-2036 * * ** ** Return to ...: Room Ext ** ** Supervisor ** ~/ * * ** ** File Review: R# PROD UTD *********** *** ** Search DOB : 04-24-1941 Search SOC: * * ** ** Rules.....: SP,N,A,N,Y,N,A,N,N ********* **** HOLBROOKE, RICHARD, CHARLES True Name: HOLBROOKE, RICHARD, CHARLES ALBERT Entry date: 08/01/1966 (I) HQ 161-4612 Entry date: 10/10/1966 (I) HQ 161-4612 R SERIAL: 47 HO R SERIAL: 24 HO HOLBROOKE, RICHARD, CHARLES ALBERT Entry date: 08/01/1966 (I)HQ 161-4612 Entry date: 07/05/1994 (I) 161B-HQ-4612 Entry date: 07/11/1994 (I)161B-HQ-2004612 HOLBROOKE, RICHARD, C. Entry date: 10/21/1994 HQ 64-175-232 R SERIAL: 2966 HQ Entry date: 08/17/1971 HQ 65-74060 R SERIAL: 1067 HQ Entry date: 10/31/1997 (S) HOLBROOK, RICHARD

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Entry date: 07/24/1987 HQ 139-0

JUL-02-1998 12:17	SECRET	P.03/12
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** 07/02/98 ** 11:58:35	NAME CHECK	Run 1 Page 2 ** Searcher # 0533 **
** Subject:		**
<pre>** Search: HOLBROOKE, RICHARD, ** Agency: WHITE HOUSE/SPECIAL</pre>		**
**	*****	** ************
HOLBROOKE, RICHARD		
Entry date: 08/18/1971 HQ 65-74060	R SERIAL: 1	077-P4 HQ
Entry date: 06/25/1971 HQ 65-74060	R SERIAL: 3	D HQ
Entry date: 07/15/1971 HQ 65-74060	R SERIAL: 3	50-P6 HQ
Entry date: 06/26/1979 HQ 109-C12-A-		ASHINGTON POST HQ
Entry date: 02/17/1995 HQ 109-C12-273	R SERIAL: 20	55 HQ
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Entry date: 11/18/1997 199L-NY-C234460	NP R SERIAL: 15	52
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HOLBROOKE, TRUDI

	True Name:	KEARL,	TRUDI,	MOOS		~
	Entry date	: 10/10/	1966			
(I)	HQ 161-461	2	1		R SERIAL:	18 HQ

HOLBROOKE, TRUDI, MOOS

	True Name:	KEARL,	TRUDI,	MOOS
	Entry date:	10/10	/1966	
(I)	HQ 161-4612			

R SERIAL: 18 HQ

NAME CHECK Run 1 Page 1 Searcher # 0533
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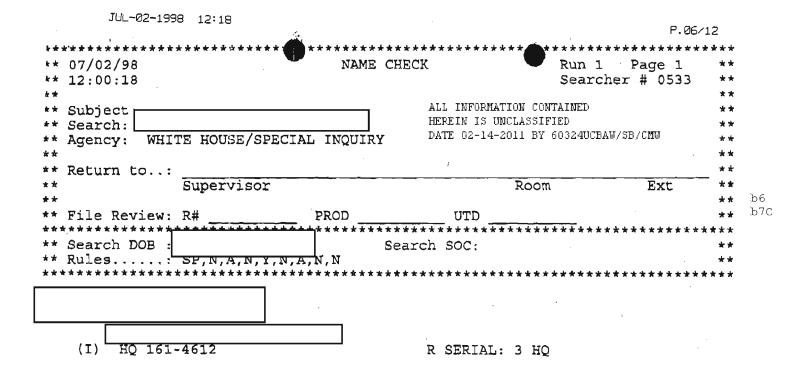
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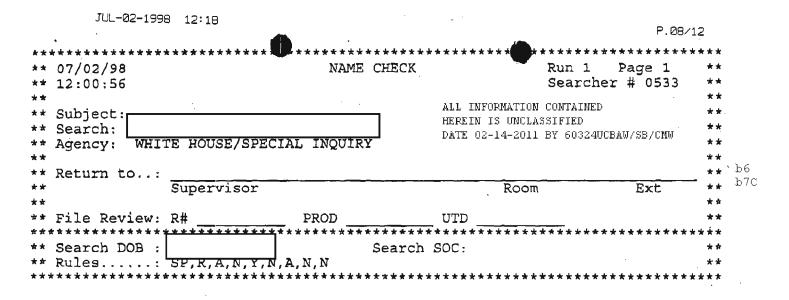
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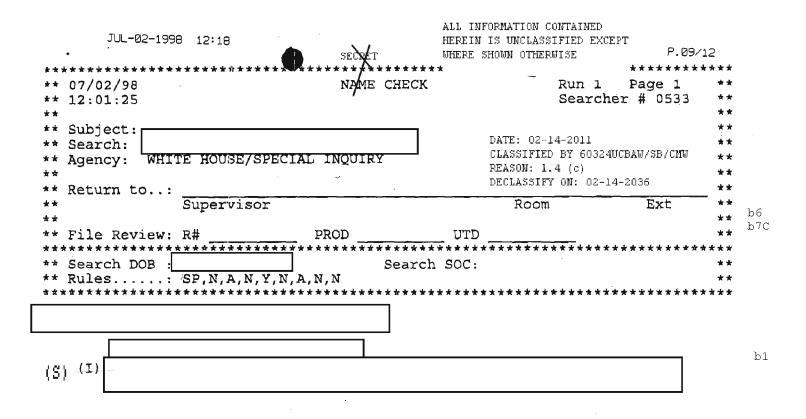


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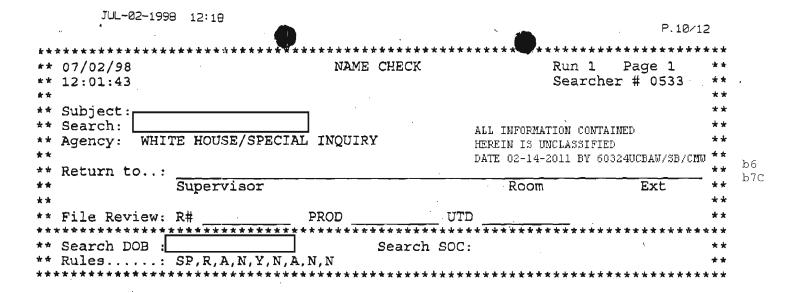
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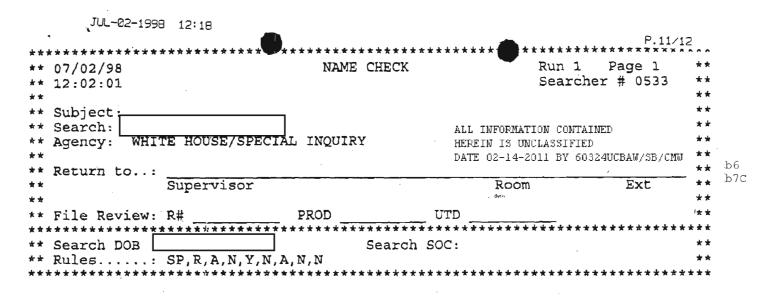
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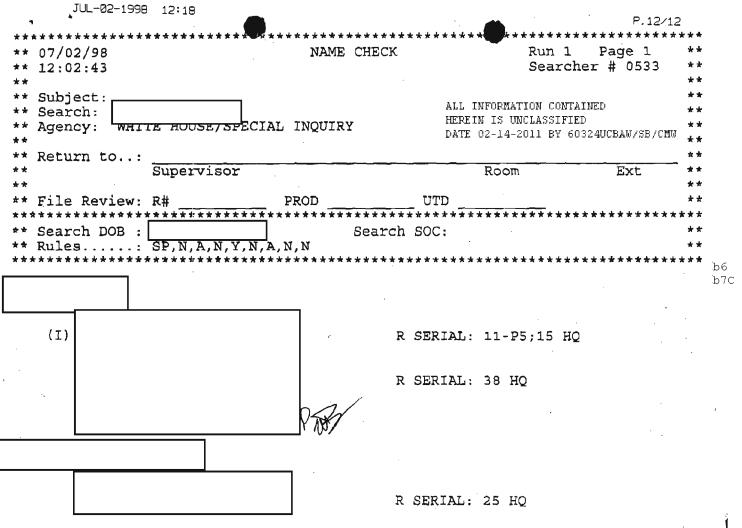
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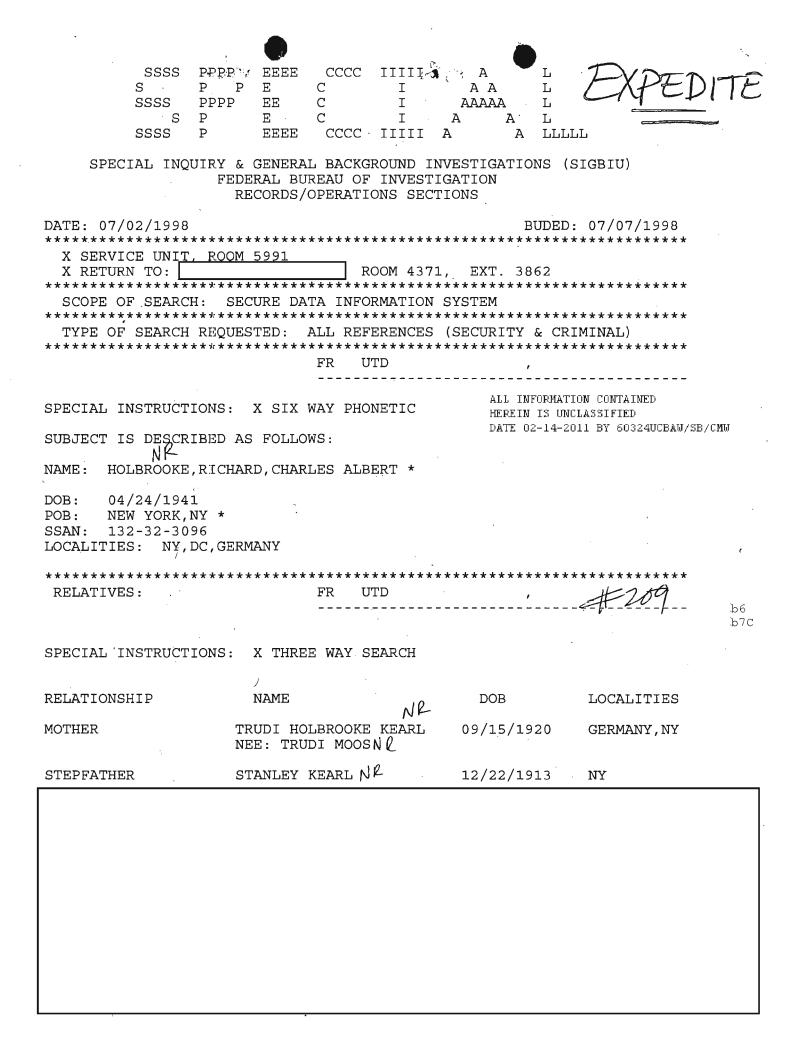


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See Attached Sheet



EXPEI IDENT CHECK ROOM 11262B TUBE J1, ATTN: FROM: SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS UNIT, DIV 3, RM EXT: 3862 ATTN: PSS SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE BUDED: 07/07/1998 BUREAU FILE NUMBER: 161B-* THE BUREAU HAS BEEN REQUESTED TO CONDUCT AN EXPEDITE BACKGROUND INVESTIGATION OF THE ABOVE-CAPTIONED SUBJECT, WHO IS BEING CONSIDERED FOR PRESIDENTIAL APPOINTMENT. YOU ARE REQUESTED TO CHECK APPROPRIATE INDICES BASED UPON AVAILABLE INFORMATION CONCERNING SUBJECT, EMPLOYMENT, AND ALL CLOSE RELATIVES. IT IS REQUESTED THAT THE RESULTS OF YOUR CHECK, WHETHER POSITIVE OR NEGATIVE, BE INDICATED IN THE SPACES PROVIDED BELOW, AND RELAYED TO THE SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS UNIT, RM 4371 VIA ROUTING SLIP MARKED 'URGENT'. SUBJECT IS DESCRIBED AS FOLLOWS: RESULT NAME: RICHARD CHARLES ALBERT HOLDROOKE Ъĥ DOB: 04/24/1941 b7C POB: NEW YORK, NY SSAN: 132-32-3096 CURRENT ADDRESS: 211 CENTRAL PARK NEW YORK, NY 10024 CREDIT SUISSE FIRST BOSTON EMPLOYMENT: ELEVEN MADISON AVE NEW YORK, NY 10010 CLOSE RELATIVES RESULT NAME DOB RESIDENCE _ _ _ _ _ _ _ ----- - ---------TRUDI HOLBROOKE KEARL 09/15/1920 344 SPRAIN RD NEE: TRUDI SCARSDALE, NY

CHECK CO	NDUCTED	BY:	CDW	_, ON 7/2/98

IDENT CHECK ROOM 11262B TUBE J1, ATTN:	E
FROM: SPECIAL INQUIRY & GENERAL BACKCROIND INVESTIGATIONS UNIT, DIV 3, RM EXT: 3862 ATTN: PSS	
SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE BUDED: 07/07/1998	
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CHECK CONDUCTED BY: $CDD$ , on $7/2/98$	
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-	IDENT CHECK ROOM 11 DE J1, ATTN:
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	CLOSE RELATIVES
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	TRUDI HOLBROOKE KEARL 09/15/1920 344 SPRAIN RD
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CHECK CONDUCTED BY: CDD, on 7/2/98

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NCIC CH	ECK ROOM 132 TL153, ATTN:		
	,	WANTED & CCH	FILES
FROM: E	XT: 3862 ATTN: PSS		
SUBJECT AKA(S):	: RICHARD CHARLES ALBERT HOL	BROOKE	BUDED: 07/28/1998
BACKGRO BEING C TO CHEC CONCERN REQUEST NEGATIV TO THE VIA ROUTIN	E BUREAU HAS BEEN REQUESTED T UND INVESTIGATION OF THE ABOV ONSIDERED FOR PRESIDENTIAL AF K APPROPRIATE INDICES BASED U ING SUBJECT, EMPLOYMENT, AND ED THAT THE RESULTS OF YOUR C E, BE INDICATED IN THE SPACES G SLIP 'URGENT'.	YE-CAPTIONED SU POINTMENT. YO PON AVAILABLE ALL CLOSE RELA CHECK, WHETHER PROVIDED BELO ALL INFOR	BJECT, WHO IS U ARE REQUESTED INFORMATION TIVES. IT IS POSITIVE OR W, AND RELAYED RM
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RESULT	NAME	DOB	RESIDENCE
NR	TRUDI HOLBROOKE KEARL NEE: TRUDI MOOS	09/15/1920	344 SPRAIN RD SCARSDALE, NY
_NR	STANLEY KEARL	12/22/1913	344 SPRAIN RD SCARSDALE, NY
NR NR NR NR See Attached			

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GW.DCFBIWAA6.NAM/MOOS, TRUDI .DOB/091520
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DCFBIWAA6 NO NCIC WANT DOB/122213 NAM/KEARL, STANLEY

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TO: FROM:	NEXIS -		ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-14-2011 BY 60324UCBAW/	SB/CMW
	IRY & GENERAL	BACKGROUND INVESTIGATIONS,	4383,	b6 b7С

SUBJECT: RICHARD CHARLES ALBERT HOLBROOKE

BUDED: 07/07/1998

THE BUREAU HAS BEEN REQUESTED TO CONDUCT AN EXPEDITE BACKGROUND INVESTIGATION OF THE ABOVE-CAPTIONED SUBJECT, WHO IS BEING CONSIDERED FOR PRESIDENTIAL APPOINTMENT. YOU ARE REQUESTED TO CHECK APPROPRIATE INDICES BASED UPON AVAILABLE INFORMATION CONCERNING SUBJECT, EMPLOYMENT, AND ALL CLOSE RELATIVES. IT IS REQUESTED THAT THE RESULTS OF YOUR CHECK, WHETHER POSITIVE OR NEGATIVE, BE INDICATED IN THE SPACES PROVIDED BELOW, AND RELAYED TO THE SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS, VIA ROUTING SLIP

MARKED 'URGENT'.

NAME :

SUBJECT IS DESCRIBED AS FOLLOWS:

RESULT +/-

DOB: 04/24/1941 POB: NEW YORK, NY SSAN: 132-32-3096 CURRENT RESIDENCE: 211 CENTRAL PARK NEW YORK, NY 10024 EMPLOYMENT: CREDIT SUISSE FIRST BOSTON ELEVEN MADISON AVE NEW YORK, NY 10010

RICHARD CHARLES ALBERT HOLBROOKE

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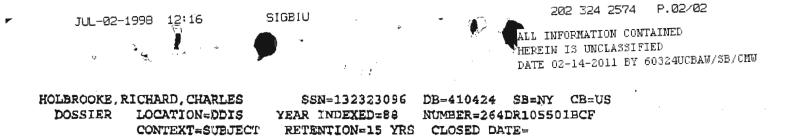
RM 4383

ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-14-2011 BY 60324UCBAN/SB/CMU

*01 HOLBROOKE, RICHARD, CHARLES SSN=132323096 DB=410424 SB=NY CB=US 2 DOSSIER LOCATION=DDIS YEAR INDEXED=88 NUMBER=264DR105501BCF CONTEXT=SUBJECT RETENTION=15 YRS CLOSED DATE=

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SSN SEARCH

98/07/02

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ADDITIONAL INFORMATION MAY BE OBTAINED FROM Dept of State Attr

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## ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-14-2011 BY 60324UCBAW/SB/CMW

WFO 161A-HQ-1256328 EMD:emd

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#### RECORD CHECK

# DRIVER'S RECORD

GOVERNMENT OF THE DISTRICT OF COLUMBIA Department of Public Works Bureau of Motor Vehicle Services Commercial Drivers License (CDL) Room 1011 Washington, D.C.

On July 9, 1998, (IA), Federal Bureau of Investigation (FBI), Washington Field Office (WFO), Washington, D.C., conducted a computerized search at the above captioned agency in order to acquire any driver's record information concerning, RICHARD CHARLES ALBERT HOLBROOKE, born April 24, 1941. A review of the records disclosed the following information:

#### DRIVER'S RECORD:

NAME:	Richard C. Holbrooke
ADDRESS:	1215 29th Street, NW
	Washington, DC 20007
DOB:	04/24/41
SSN:	132-32-3096

### PERMIT RECORD

According to the information available as of 07/09/98, the above named individual's operator privilege status is legal and DC permit status is disclosed in the following information listed below:

OPERATOR'S	PERMIT:	DC 132323096
STATUS:		Expired
EXPIRATION:		02/17/97

No additional information was obtained.

b6 b7C WFO 161A-HQ-1256328 CDM:cdm 1

### RECORD CHECK

UNITED STATES SECRET SERVICE (USSS) Investigative Support Division (ISD) 1800 G Street, Northwest, Washington, D.C.

On July 9, 1998, Investigative Analyst (IA) caused a search to be made of the files of the United States Secret Service (USSS), Department of Treasury, Washington, D.C., concerning RICHARD CHARLES ALBERT HOLBROOKE.

On July 9 1998 USSS, advised IA that no record could be located concerning the above-mentioned individual. bб b7С



ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-14-2011 BY 60324UCBAW/SB/CMW

WFO 161A-HQ-1256328 CDM:cdm 1

# RECORD CHECK

U.S. DEPARTMENT OF JUSTICE Public Integrity Section Criminal Division 1400 New York Avenue, N.W., Washington, D.C.

On July 9, 1998, Investigative Analyst (IA) caused a search to be made of the files of the U.S. Department of Justice (DOJ), Criminal Division, Public Integrity Section, Washington, D.C., concerning RICHARD CHARLES ALBERT HOLBROOKE.

Public Integrity Section, DOJ, advised IA that a search of the files concerning the above-mentioned individual was met with negative results.

ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-14-2011 BY 60324UCBAW/SB/CMW

WFO 161A-HQ-1256328 TMS:tms

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## LAW ENFORCEMENT AGENCY CHECK

NATIONAL PARK SERVICE United States Park Police Department 1100 Ohio Drive, Southwest Washington, D.C.

On July 9, 1998, Investigative Analyst (IA) caused a search to be made of the files of the United States Park Police Department, 1100 Ohio Drive, Southwest, Washington, D.C., concerning RICHARD CHARLES ALBERT HOLBROOKE.

On July 9, 1998, ________ advised that no identifiable Adult Criminal record could be located concerning HOLBROOKE.

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ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-14-2011 BY 60324UCBAW/SB/CMW

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WFO 161A-HQ-1256328 CH <u>1</u>

## RECORD CHECK

## FEDERAL DEPOSIT INSURANCE CORPORATION

Compliance Section and Consumer Affairs 1730 Pennsylvania Avenue <u>Washington, D.C.</u>

On July 7, 1998, Investigative Analyst (IA) received and initiated a search at the above captioned agency in an effort to obtain any pertinent information regarding, RICHARD CHARLES ALBERT HOLBROOKE.

On July 9, 1998, Information Analyst, advised that no identifiable record could be located regarding HOLBROOKE.

JUL-10-1998 11:23

ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-14-2011 BY 60324UCBAW/SB/CMU

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WFO 161A-HQ-1256328 ASE:ase

## RECORD CHECK

SECURITIES AND EXCHANGE COMMISSION (SEC) Office of the Inspector General/Security Office 450 5th Street, Northwest Washington, D.C.

On July 9, 1998,		to the Inspector General,
Inspector General Office, SEC		
Washington, D.C., was contac		
concerning RICHARD CHARL		
1941; Place of Birth: New Yor		
132-32-3096; and his affiliate		
Madison Avenue, New York, N		
Street, New York, New York, 1	10285; and PUBLIC STRATEC	SIES, 2550 M Street,
Northwest, Washington, D.C.,		
r		

On July 9, 1998 advised IA that no identifiable record/information could be located regarding RICHARD CHARLES ALBERT HOLBROOKE or his affiliate companies, CREDIT SUISSE FIRST BOSTON, LEHMAN BROTHERS, INC. and PUBLIC STRATEGIES.

 further advised IA
 that their Inspector General

 Office and Security Office are combined
 indicated that SEC's

 Inspector General's Office maintains/handles all security matters involving any
 violations/infractions by employees

 also indicated that their agency
 investigates any federal violations and infractions under the United States Code (USC).

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ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-14-2011 BY 60324UCBAW/SB/CMW

WFO 161A-HQ-1256328 PSD:psd 1

## RECORD CHECK

United States Department of State Office of the Inspector General Metro Building, Room 910 Rosslyn, Virginia

The following investigation was conducted by Investigative Analyst (IA) _______ on July 9, 1998 regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE:

Office of Inspector General advised that there was no record involving RICHARD CHARLES ALBERT HOLBROOKE.

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ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-14-2011 BY 60324UCBAW/SB/CMW

WFO 161A-HQ-1256328 PSD:psd 1

## RECORD CHECK

United States Department of State Office of Security 2121 Virginia Avenue, 4th Floor Washington, D.C.

SL.

The following investigation was conducted by Investigative Analyst (IA) on July 9, 1998, regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE: b6 b7C

Referral/Consult

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		OFFICIAL_	PERSONNEL FOLDER (O)	<u>PF)</u>	
	United State Office of Pe Room 1609 Washington,		of State		Referral/Consu ມ
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WFO 161A-HQ- 256328 PSD:psd

## WHITE HOUSE OFFICIAL PERSONNEL FOLDER

Office of Human Resources Management Office of Administration Executive Office of the President Room 4013 New Executive Office Building 725 17th Street, N.W. Washington, D.C.

The following investigation was conducted by Investigative Analyst (IA) n July 9, 1998, regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE:

There was no Official Personnel Folder for RICHARD CHARLES ALBERT HOLBROOKE at the Office of Human Resources Management. Ъ6 Ъ7С

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WFO 161A-HQ-1256328 CET:mlp 1

## ARREST CHECK

UNITED STATES DEPARTMENT OF JUSTICE Office of the United States Attorney Judiciary Center 555 Fourth Street, N.W., Washington, D.C. 20001

On July 8, 1998, the following investigation was initiated by Investigative Analyst (IA) at captioned agency concerning the appointee, RICHARD CHARLES ALBERT HOLEROOKE.

On July 10, 1998, U.S. Attorney's Office, Narcotics, Public Corruption, Economic Crime, Transnational and Major Crime Unit, advised IA TREAKLE that no identifiable record could be located regarding the appointee.

On July 8, 1998, IA caused a search to be made of the files of the Civil Division.

On July 10, 1998, _______ of the Civil Division advised IA PETERBARK that no identifiable record could be located regarding the appointee.

It should be noted that the index system of the Civil Division, U.S. Attorney's Office (USAO) contains only names of plaintiffs, except in civil actions brought by the United States against a particular defendant. Suits against government employees who are represented by the United States Attorney would be filed by plaintiff's name and docket number. Ъ6 Ъ7С

## ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-14-2011 BY 60324UCBAW/SB/CMW

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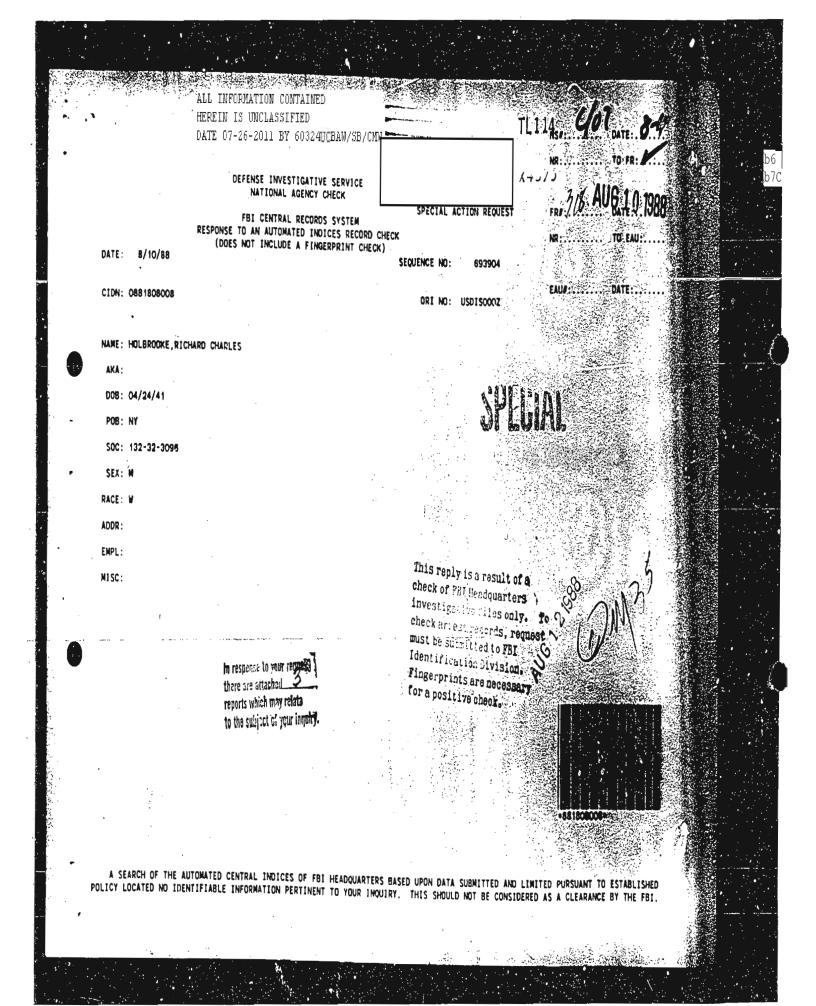
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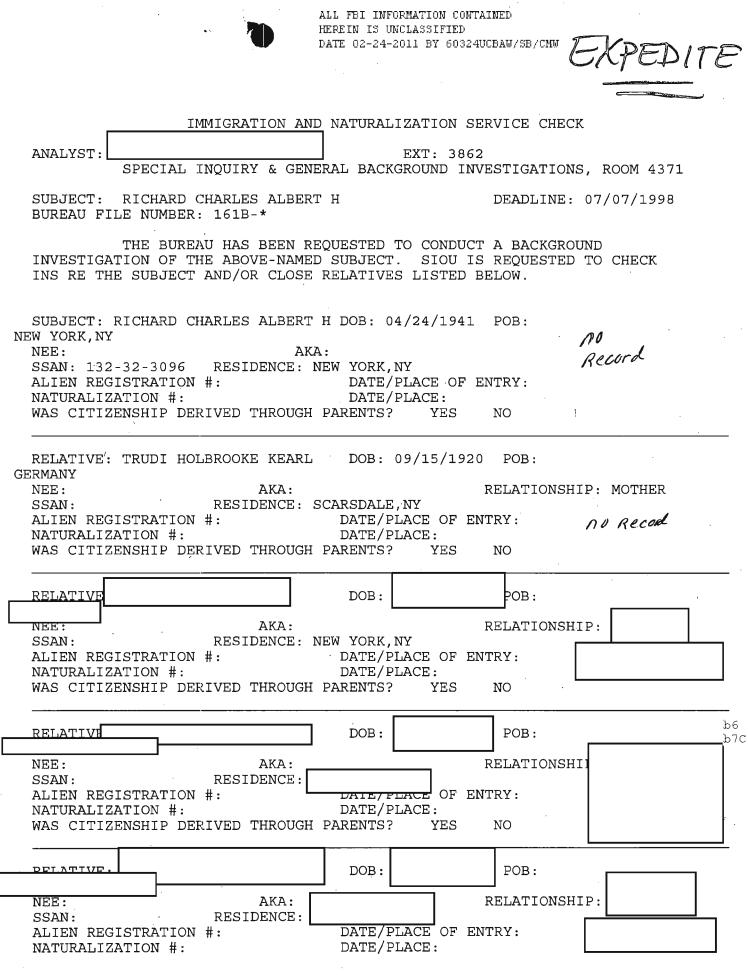
## RECORD CHECK

FEDERAL RESERVE BOARD	
Office of the Inspector Generation	al
20th and C. Street, Northwest	
Washington, D.C.	
	•

On July 9, 1998, Investigative Analyst (IA) received and initiated a search of the records at the above captioned office concerning RICHARD CHARLES ALBERT HOLBROOKE.

On July 10,1998, ______ Senior Special Agent, advised that no identifiable record could be located regarding HOLBROOKE. b6 b7C





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# WAS CITIZENSHIP DERIVED THROUGH PARENTS?

YES

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an an an an an an an an an an an an an a		•	DATE	07/02/1998	
TO: CONTRACTOR FROM: SPECIAL INQUI	RY & GENERAL BAC	CKGROUND INVES	STIGATIONS (S	IGBIU)	
ATTENTION:	RC	DOM 4371	EXT. 3862		
$ \begin{array}{c}                                     $	TOURS	1 1 1 1 1 1 1 1 1	SUITABILITY	Î	
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SEX: M SOCIA	AL SECURITY ACCOU	JNT NUMBER (SS	SAN): 132-32-	3096	
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SUBJECT'S CURRENT		、 、			
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ENCLOSURE - RELEASE FORM TO BE ATTACHED

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FROM	: HYATT REGENCY BELGRADE
-	CTR 22-1914 2:0050 PC - 192
•	Slandare Form 36
	Ravison Boots noer . 308
*	U.S. Office of Personnel Management
	E CFR Para 131 732 and 736

MITE	PHONE	NO. : 381	11,311	3623

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. I : J **.** . Corm eporoveu OM 8 Na 2208-0007 NSN 7540-00-034.4038

64-111

Re.

Jun. 24 1998 09:20PM P3

W. VIII

# UNITED STATES OF AMERICA

AUTHORIZATION FOR RELEASE OF INFORMATION

INI

Carefully read this authorization to release information about you, then sign and date it in ink.

I Authorize any investigator, special agent, or other duly accredited representative of the authorized Federal agency conducting my background investigation, to obtain any information relating to my activitles from individuals, schools, residential management agents, employers, criminal justice agencies, credit bureaus, consumer reporting agencies, collection agencles, retail business establishments, or other sources of information. This information may include, but is not limited to, my academic, residential, achievement, performance, attendance, disciplinary, employment history. criminal history record information, and financial and credit information. I authorize the Federal agency conducting my investigation to disclose the record of my background investigation to the requesting agency for the purpose of making a determination of suitability or eligibility for a security clearance.

I Understand that, for financial or lending institutions, medical institutions, hospitals, health care professionals, and other sources of Information, a separate specific release will be needed, and I may be contacted for such a release at a later date. Where a separate release is requested for information relating to mental health treatment or counseling, the release will contain a list of the specific questions, relevant to the job description, which the doctor or therapist will be esked.

I Further Authorize any investigator, special agent, or other duly accredited representative of the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, the Defense Investigative Service, and any other authorized Federal agency, to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for access to classified information and/or for assignment to, or retention in, a sensitive National Security position, in accordance with 5 U.S.C. 9101. Junderstand that I may request a copy of such records as may be available to me under the law.

I Authorize custodians of records and other sources of information pertaining to me to release such information upon request of the Investigator, special agent, or other duly accredited representative of any Federal agency authorized above regardless of any previous agreement to the contrary.

1 Understand that the information released by records custodians and sources of information is for official use by the Federal Government only for the purposes provided in this Standard Form 86, and that it may be redisclosed by the Government only as authorized by law.

Coples of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for five (5) years from the date signed or upon the termination of my effliation with the Federal Government, whichever is sooner. Read, sign and date the release on the next page if you answered "Yes" to question 21.

Signature (Signat Ink) Full Nerve (Type	or Print Legal	550		Dete Signed
Richard C	Charles	Albert Hold	brooke	06/24/98
Other Names Used			Social So	curtor Number
			/32	2-34-3046
Current Address (Street City)	Stalo	Zif Code		ophone Number
211 Central Park West, 8-G, New York	NY	10024		) 496-1106

Page 10

07/13/98 MON 13:30 FAX 202 305 1737 JUL-02-1998 12:20 FROM SPINIT

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ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-15-2011 BY 60324UCBAW/SB/CMW

P.02

PRt

TRUDI HOLBROOKE

D/POB: 09/15/20 - GERMANY

nee: TRUDI KEARL

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CURRENTLY RESIDES: SCARSDALE, NEW YORK May have derived Citzenship Huvy his Mother, Trud, Holbrooke

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I-94 ADM #:		· · · ·		
PASSPORT #:				
FBI #:	• •			
DRIVER LIC:				
FINGER CD#:				

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## Fax:412-794-3086

ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-15-2011 BY 60324UCBAW/SB/CMW

July 2, 1998

# TO: INVESTIGATION BACKGROUND BRANCH (IIB) OPM ATTN

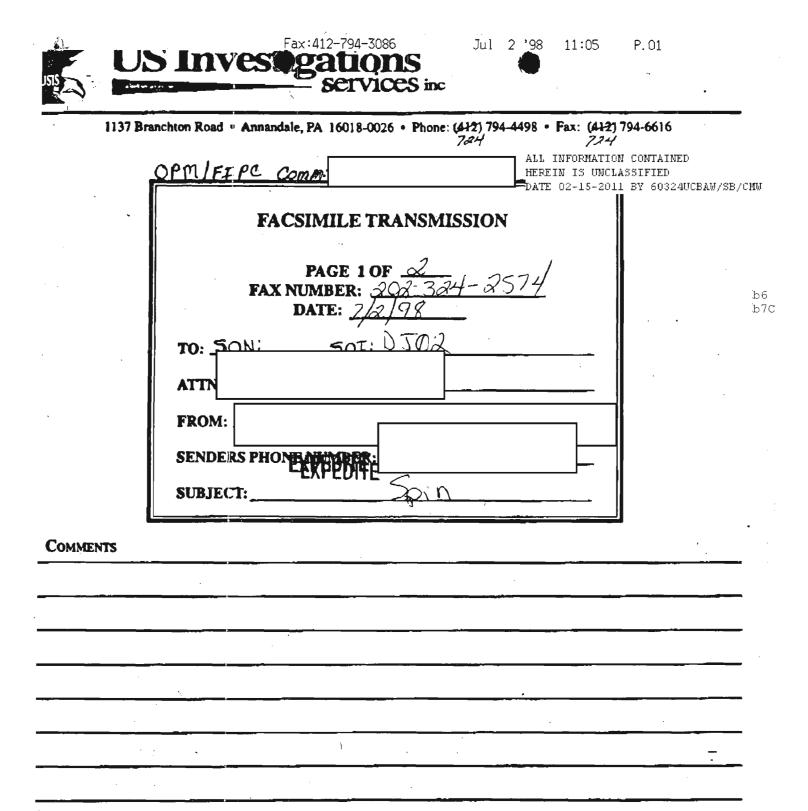
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n. .

FROM: SPECIAL INQUIRY & GENERAL BACKGROUND INVESTIGATIONS UNIT (SIGBIU) FBIHQ

NAME	DOB	SSAN
HOLBROOKE, RICHARD CHAP aka: HOLBROOKE, RICHARD aka: HOLBROOKE, RICHARD aka: HOLBROOKE, RICHARD aka: HOLBROOKE, RICHARD OFI-79. PRI 7/6/91 OFI-79. BI 6/28/91	CHARLES ALBERT C.A. 1 D/State	132-32-3096 - New yor K, N
79 Not- other BI 7 OFI=79 7/4/85 Please fax results to SIGBIU Fax		ons please contact

TOTAL F.02



THE DOCUMENTS ACCOMPANYING WHIS TELECOPY TRANSMISSION MAY CONTAIN BENSITIVE INFORMATION WHICH IS PRIVILEGED. THE INFORMATION IS INTENDED ONLY FOR THE USE OF THE RECIPIENT. IF YOU HAVE RECEIVED THIS TELECOPY IN ERROR, PLEASE IMMEDIATELY NOTIFY THE BENDER BY TELEPHONE TO ARRANGE FOR RETURN OF THE ORIGINAL DOCUMENTS TO THE SENDER.

WARNING: MOST FACSIMILE MACHINES PRODUCE COPIES ON THERMAL PAPER. THE IMAGE RODUCED IS HIGHLY UNSTABLE AND WILL DETERIORATE SIGNIFICANTLY IN A FEW YEARS. IT SHOULD BE COPIED ON A PLAIN PAPER SOPER PRIOR TO FILING.

USIS HQ-005

Dorto: WTO yot 11/30/76

LIMITED OFFICIA SE

HOLBROOKE, Richard Charles

Files of the following police departments were negative regarding APPLICANT as of the date indicated:

Metropolitan Police, Washington, D.C. - November 26, 1976

## CREDIT:

Referral/Consult

Files of the Credit Bureau, Washington, D.C., were reviewed on November 26, 1976, and were non-derogatory concerning APPLICANT.

## CSC:

On November 26, 1976 the Security Investigations Index located at the Civil Service Commission, Washington, D.C., was searched in the name of APPLICANT and reflected that the FBI initiated an investigation for the White House on July 25, 1966 and that the Department of State initiated an investigation on April 26, 1962.

On this same date,

was reviewed at the Commission. Contained therein were results of a National Agency Check with inquiries processed October 3, 1973 for the Federal Trade Commission. The file also contained an FBI Memo dated August 26, 1966 at Washington, D.C., concerning

The Memo reflected in part, the following information:

In May 1971, an informant who has furnished reliable information in the past, advised that the name and address of APPLICANT, Brown University, were contained in the records of the Forum for Civil Liberties and the Fair Play for Cuba Committee at Brown University. The informant was unable to advise the significance of this information.

whose comments are set forth hereinbefore, advised that the Forum for Civil Liberties was active at Brown University only in 1961. He said it was organized by a group at Brown University and Pembroke College students who held meetings and speakers were invited for group discussions of current events and interest. He said it was moderate in nature and had very few members.

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## HOLBROOKE, Richard Charles

The Fair Play for Cuba Committe was organized in New York City in April 1950 and served as Fidel Castro's propoganda arm in the United States until the assassination of the former President John F. Kennedy, when it became inactive. At one time, the Fair Play for Cuba Committee had chapters throughout the United States and many of thse chapters came under the domination of the Socialist Workers Party or the Communist Party, U.S.A.

The Socialist Workers Party has been designated pursuant to Executive Order 10450.

The Central Files of the FBI including the files of the Identification Division, contain no additional pertinent information concerning APPLICANT. No additional pertinent information was contained in this file.

### FBI:

Criminal Records of the FBI were checked by name only on November 24, 1976 concerning APPLICANT and reflected no prior arrest record.

The report of FBI Investigative Records was hand carried to SY Headquarters on November 29, 1976.

## MISCELLANEOUS

APPLICANT was assisted in preparing his Form 86, on November 24, 1976. At this time, APPLICANT stated that there is an overlap in his employments with the Department of State and Foreign Policy Magazine. He indicated that from 1972 to 1974 he was legally designated as a Foreign Service Officer however, he was on leave without pay from the State Department working for and being paid by Foreign Policy Magazine, 11 Dupont Circle, Washington, D.C.

When preparing item 20, foreign countries visited, APPLICANT stated that he has visited nearly every country between Italy and Japan, except the Bloc countreis, he added that all travel was in conjunction with his official duties with the Department of State or his employment with Foreign Policy Magazine. APPLICANT indicated that his only travel to a Bloc Country occurred in November 1975 when he visited East Berlin. He stated that the purpose of this visit was a meeting with Ambassador and that he remained in East Berlin for approximately three hours. He stated that he crossed the border in an official limousine provided by Ambassador He further added that following this meeting, he visited the National Musuem in East Berlin with a member of Ambassador's Staff. He continued that during this short visit he had no contact with East German Personnel.

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REUIRY

TANT

from

## FEDERAL BUREAU OF INVESTIGATION

Precedence: DEADLINE	07/28/1998	Date:	07/02/1998
To: Los Angeles New York St. Louis Washington Field	Attn: Squad	A-1	
From: Administrative SIGBIU/Room Contact: PS	4371		Ъ6 Ъ7С
Approved By:			
Drafted By:			
<b>Case ID #:</b> 161A-HQ-12	56328 (Pending)		
Title: RICHARD CHARLE	S ALBERT HOLBROOKE		

LEVEL I - PAS

**Synopsis:** Initiation of full-field background investigation (FFI) on captioned candidate.

Administrative: BUDED is 7/28/98.

NOTE: As a result of discussions with representatives of the White House (WH), for which the FBI conducts FFIs, changes in certain procedures/policy involving those FFIs have been made. These changes must be followed when conducting WH FFIs (including Presidential appointments requiring Senate confirmation for Federal judgeships and certain DOJ positions). The changes are addressed below.

All WH FFIs conducted by the FBI are initiated within the 161 classification except as follows: FFIs for certain Federal judgeships, and all DOJ positions requiring Senate confirmation, are initiated under the 77A subclassification. These FFIs vary in scope depending upon the position for which the candidate is being considered. They are conducted using only the SF-86 and its accompanying release forms.

In 9/95, the SF-86 and one of its accompanying release forms were revised. Additionally, a second accompanying release form was created to be used when obtaining medical information about a candidate. As a result of instructions issued by the Office of Management and Budget regarding these revisions, and other considerations, SIGBIU management contacted WH representatives to discuss the scope of our FFIs, especially with respect (although not limited) to the areas of mental health and

161A-HQ-1256328-3

alcohol related counseling, prior illegal drug use, prescription drug abuse, and other drug activity. As a result of these discussions, changes in certain policy involving FFIs conducted by the FBI for the WH have been made. These changes are addressed below and must be followed in this FFI, and all future FFIs conducted for the WH, unless otherwise instructed by the SIGBIU, FBIHQ. Except for these changes, investigation in all other areas addressed in these FFIs is to remain the same.

RECEIVING OFFICES ARE TO ENSURE THAT A COPY OF THIS EC IS PROVIDED TO EACH INDIVIDUAL (I.E., BUREAU EMPLOYEE OR BICS SPECIAL INVESTIGATOR) CONDUCTING INVESTIGATION IN CAPTIONED MATTER. Additionally, when sending followup leads to other field offices/BICS Regions not known to be involved in captioned matter, "ensure" that a copy of this EC is provided to those field offices/BICS Regions.

To the extent that they do not conflict with the policy/procedure changes herein, the investigative quidelines set forth in MICG, Part I, Sections 77 and 161, and Part II, Section 17, are to be referred to for assistance in conducting investigation in captioned matter. However, to the extent those guidelines are in conflict with the changes, the quidelines are to be disregarded and the changes followed.

## POLICY CHANGES

## I. CANDIDATE INTERVIEWS

Regardless of the scope, i.e., the timeframe, to be addressed in candidate's FFI, the "INITIAL" candidate interview is to address each of those areas set forth in MIOG, Part II, Section 17-5.6(1)(a)-(n), for the candidate's entire adult life, i.e., since his/her 18th birthday, EXCEPT FOR COUNSELING. Only information pertaining to counseling received by the candidate "WITHIN THE SCOPE OF THE FFI (but not prior to his/her 18th birthday)" is to be solicited and addressed, and then, only as specifically set forth below under the "COUNSELING/COUNSELOR INTERVIEWS" section.

When addressing each of the areas with the candidate, he/she is to be advised that responses to all questions asked are to address candidate's entire adult life (i.e., since his/her 18th birthday), except for counseling which must be addressed as set forth in Section II, "Counseling/Counselor Interviews", below. The fact that questions addressing each of the areas were asked, as well as candidate's responses thereto and knowledge of their scope, must be clearly set forth in the FD-302 reflecting the results of the candidate's interview. To: Los Angeles From: Administrative Services Re: 161A-HQ-2004612, 07/02/1998

If the candidate refuses to answer any question, that is to be clearly set forth in the FD-302 reflecting the results of the candidate's interview. An effort should be made to obtain from the candidate an explanation for refusing to answer and, if provided, the explanation is also to be reported in the FD-302. If the candidate refuses to provide an explanation, that also is to be reported. Thereafter, no further efforts to obtain a response to the question candidate refused to answer should be made, unless instructed by SIGBIU, FBIHQ.

## II. COUNSELING/COUNSELOR INTERVIEWS

A. <u>Counseling information to be solicited from the</u> <u>candidate is to be limited only to that information set forth in</u> <u>questions 21 and 25 of candidate's SF-86, except that the</u> <u>information is to cover "only" the scope of candidate's FFI (but</u> <u>not prior to his/her 18th birthday). For example, if the scope</u> <u>of candidate's FFI is 15 years, then counseling information</u> <u>solicited from the candidate, and to be addressed in the FFI,</u> <u>must be limited to the last 15 years or since candidate's 18th</u> <u>birthday, whichever is less. Counseling which occurred outside</u> <u>the scope of the candidate's FFI is "not" to be solicited or</u> <u>addressed, unless otherwise instructed by SIGBIU, FBIHQ.</u> <u>NOTE: The new policy also prohibits marriage, family, or grief</u> <u>counseling from being solicited and addressed, except where</u> <u>violence by the candidate is involved.</u>

B. For interviews of counselors, a copy of an executed "Authorization for Release of Medical Information" form must be utilized. NOTE: The questions which can be asked of counselors are limited. In addition to verifying the dates of the counseling, the questions asked are to be "limited only to the three questions set forth on the aforementioned release." The counselor is to be instructed to provide only that information he/she believes is responsive to each of the three questions. Each question is to be specifically asked and answered, and responses to each clearly reported in the FD-302/insert reflecting the interview results.

Because information concerning counseling is limited to the scope of the FFI, if the candidate voluntarily provides counseling information which occurred outside the scope of the BI, that information is to be fully explored with the candidate only during his/her interview, recorded and reported. However, no additional investigation is to be conducted concerning the information, unless instructed to do so by SIGBIU, FBIHQ. The fact that the information beyond the scope of the FFI was volunteered by the candidate, and not solicited (except as further explored with the candidate) by the FBI, must also be

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To: Los Angeles From: Administrative Services Re: 161A-HQ-2004612, 07/02/1998

<u>clearly set forth in the FD-302 reflecting the results of the</u> <u>candidate's interview.</u>

## III. THIRD-PARTY INTERVIEWS

The area of bias and prejudice is to be addressed during interviews of persons knowledgeable of the candidate in "all" 161 classification FFIs. Prior policy required that this area be addressed only in FFIs involving Presidential appointments.

<u>Ensure to conduct investigation as set forth under the</u> <u>"Lead(s)" section herein and/or as marked on the enclosed SF-86.</u>

Field offices/BICS Regions are reminded that neither the investigative status of a background investigation nor any deadlines are to be disclosed to the candidate or any interviewees. Candidates making inquiries of the status of their investigation are to be referred to the client entity.

Direct results/questions to PSS supra. Advise SIGBIU (PSS and appropriate field offices of any derogatory information in accordance with MIOG, Part II, Section 17-5.1(1). If Buded will not be met, telephonically advise PSS and set forth reason(s) in <u>Administrative Section</u> of investigative report. SIGBIU facsimile numbers are (202) 324-1865, (202) 324-4504, (202) 324-2574, and (202) 324-1373.

**Enclosures:** Being forwarded to each field office/BICS Region with a hard copy of this EC, via Bureau mail, is one copy each of the following: candidate's SF-86 dated 6/24/98, Authorization for Release of Information dated 6/24/98, and Authorization for Release of Medical Information dated 6/24/98.

**Details:** Bureau has been requested by the WH to conduct a Level I FFI of candidate. After reviewing the information in this EC (ESPECIALLY NOTING POLICY CHANGES SET FORTH IN THE "ADMINISTRATIVE SECTION") and its enclosures, conduct investigation set forth under the "Lead(s)" section herein and/or as marked on the enclosed SF-86. Ensure that each individual conducting investigation in this matter is provided a copy of this EC. SIGBIU is not yet in receipt of several prior BIs conducted on candidate by FBI, DIS and DOS. When received by SIGBIU, additional leads may be set. b6

To: Los Angeles From: Administrative Services Re: 161A-HQ-2004612, 07/02/1998

LEAD (s):

Set Lead 1:

## LOS ANGELES

### AT LOS ANGELES, CA

Interview former Secretary of State Warren Christopher. Attempt to develop and set appropriate leads to interview individuals who can comment on candidate's position as chief negotiator for the Dayton Peace Accord in Bosnia.

## Set Lead 2:

NEW YORK

#### AT NEW YORK, NY

Conduct candidate interview. Ascertain information necessary to verify current wife's citizenship and set appropriate leads for same. Check U.S. Attorney's Office. Ensure at least fifteen individuals knowledgeable of the candidate are interviewed.

## Set Lead 3:

WASHINGTON FIELD

#### AT WASHINGTON, DC

During employment investigation at DOS, also verify 1995 position as chief negotiator for the Dayton Peace Accord in Bosnia, as well as his June, 1997, position as special Presidential envoy for Cyprus. Review OPF/IG/SY at DOS. Check White House Office. Check USSS. Check PIS at DOJ. Check U.S. Attorney's Office. Check FDIC; SEC; Federal Reserve; and Office of the Comptroller of the Treasurey. Ensure at least fifteen individuals knowledgeable of candidate are interviewed.

**

## WHERE YOU HAVE LIVED

List the places where you have lived, beginning with the most recent (#1) and working back 7 years. All periods must be accounted for in your list. Be sure to indicate the actual physical location of your residence: do not use a post office box as an address, do not list a permanent address when you were actually living at a school address, etc. Be sure to specify your location as closely as possible: for example, do not list only your base or ship, list your barracks number or home port. You may omit temporary military duty locations under 90 days (list your permanent address instead), and you should use your APO/FPO address if you lived overseas.

For any address in the last 5 years, list a person who knew you at that address, and who preferably still lives in that area (do not list people for residences completely outside this 5-year period, and do not list your spouse, former spouses, or other relatives). Also for addresses in the last five years, if the address is "General Delivery," a Rural or Star Route, or may be difficult to locate, provide direction for locating the residence on an attached continuation sheet.

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ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-15-2011 BY 60324UCBAW/SB/CMW

(01/26/1998)

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# FEDERAL BUREAU OF INVESTIGATION

Precede	nce: IMMEDIATE			Date:	07/10/1998
To: Ad	ministrative Services	Attn:	SIGBIU. PSS	Room 4	371
Wa	shington Field		100		
From: WAI Approve	St. Louis d By:				
Drafted	By:	map			
Case ID	<b>#:</b> 161A-HQ-1256328	(Pending)			
Title:	RICHARD CHARLES ALBE LEVEL I - PAS	RT HOLBROOK	Œ		

Synopsis: Official Personnel Folder (OPF), not located at Federal Records Center, Civilian Branch, St. Louis, Missouri.

Administrative: All persons interviewed were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality have not been granted.

Bureau EC to Los Angeles, dated 7/2/98.

Details: On July 10, 1998, Personnel, Federal Records Center, <u>Civilian Branch.</u> 111 Winnebago, St. Louis, Missouri, advised IA that OPF for RICHARD CHARLES ALBERT HOLBROOKE, DOB 4/24/41, SSAN 132-32-3096, not located this center. They advised that the OPF is located at Department of State, PER EX IM, Room 1818MS, Washington, D.C. 20520.

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161A-HQ-1256328

CHANDED TO ASS/ECF:

191MAPOLEC

Ъ6 Ъ7С To: Administrative Services From: St. Louis Re: 161A-HQ-, 07/10/1998

LEAD (s):

A . A.

Set Lead 1: (Adm)

WASHINGTON FIELD

## AT WASHINGTON, D.C.

If not already done, locate and review OPF for RICHARD CHARLES ALBERT HOLBROOKE, DOB 4/24/41, SSAN 132-32-3096, at Department of State, PER EX IM, Room 1818MS, Washington, D.C. 20520 and report results to Bureau.

St. Louis Division General and Confidential Indices were negative for Holbrooke.

All investigation is completed in the St. Louis Division.

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JUL-14-1998 15:30

FD-263 (Rev. 4-30-85)

ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-15-2011 BY 60324UCBAW/SB/CMW

# FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD
LOS ANGELES	BUREAU	07/14/98 REPORT MADE BY	07/09/1998-07/14/1998 TYPED BY:
RICHARD CHARLES AL	BERT HOLBROOKE	SA CHARACIER OF C	mr
		LEVEL I - P	PAS
·			
BUDED: 07/28/1998			

REFERENCE: FBIHQ SIGBIU EC dated 07/02/1998.

- C -

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<u>ADMINISTRATIVE</u>: All persons interviewed were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality have not been granted.

A facsimile of this Los Angeles closing report was sent to FBIHQ on 07/14/1998.

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APPROVED	SPECIAL AGEN IN CHARC	IN CHARGE DO NOT WRITE IN SPACES BELO				ωw	
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ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-15-2011 BY 60324UCBAW/SB/CMW

Office: Los Angeles Field Office

## UNITED STATES DEPARTMENT OF JUSTICE Federal Bureau of Investigation

Copy to:

FD-204 (Rev. 12-1-95)

Report of:	SA
Date:	Jυ

Case ID #:

Tide:

July 14, 1998 161A-HQ-1256328

161A-HQ-1256328 RICHARD CHARLES ALBERT HOLBROOKE

Character:

LEVEL I - PRESIDENTIAL APPOINTMENT WITH SENATE CONFIRMATION

Synopsis:

Former supervisor interviewed and recommends.

- C

DETAILS:

This document contains neither recommendations nor conclusions of the FB1. It is the property of the FBI and is losned to your agency; it and its contents are not to be distributed outside your agency.

(01/26/1998)

## FEDERAL BUREAU OF INVESTIGATION

Precedence: DEADLINE	07/28/1998	Date:	07/14/1998	
To: FBIHQ-SIGBIU/Room San Francisco Washington Field	4371 Attn: PSS	ALL INFORMATION HEREIN IS UNCLA	SSIFIED	- b6
From: Los Angeles Squad AP-1 Contact: SA		DATE 02-15-2011	. BY 60324UCBAW/SB/CMW	b7c
Approved By:				
Drafted By:				
Case ID #: 161A-HQ-12	56328 (Pending)			
Title: RICHARD CHARLES LEVEL I - PAS	S ALBERT HOLBROOKE			

Synopsis: Initiation of Leads to interview individuals with knowledge of candidates activities while serving as chief negotiator of the Dayton Peace Accord.

Enclosures: To San Francisco, one copy of FBIHQ EC to Los Angeles, et al, Dtd 07/02/1998, setting forth candidate's SF-86. (Washington Field already in reciept of this EC)

Administrative: BUDED is 7/28/1998, however, the Bureau has changed this deadline to 7/17/1998.

Details: During interview of candidate's former supervisor, WARREN CHRISTOPHER, former Secretary of State, Los Angeles developed additional individuals who can verify candidate_s former position as chief negotiator for the Dayton Peace Accord in Bosnia in 1995. Leads to interview these individuals are set forth.

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b7C

To: Washington Find From: Los Angeles Re: 161A-HQ-1256328, 07/14/1998

LEAD (s):

Set Lead 1:

SAN FRANCISCO

AT SAN FRANCISCO, CA

Interview telephone number International Advisory Corporation, and former Secretary of Political Affairs, regarding his knowledge of RICHARD CHARLES ALBERT HOLBROOKE and obtain comments regarding HOLBROOKE as chief negotiator for the Dayton Peace Accord in Bosnia. Submit results to FBIHQ SIGBUI, Room 4371, PSS by BUDED.

Set Lead 2:

WASHINGTON FIELD

AT WASHINGTON, DC

Interview the following individuals regarding knowledge of RICHARD CHARLES ALBERT HOLBROOKE and comments regarding HOLBROOKE as chief negotiator for the Davton Peace Accord in Bosnia:

	Secretary of State, thru
	Submit results to FBIHQ SIGBUI,
Room 4371, PSS	by BUDED.

161A-HQ-1256328 MR:mr & ALL FEI INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-15-2011 BY 60324UCBAW/SB/CMW

EMPLOYMENT

Department of State 2201 C St NW Washington D.C. 20520 August 1994-February 1996 U.S. Embassy Bonn Germany September 1993-August 1994

The following investigation was conducted on 07/14/1998 by SA regarding the candidate, RICHARD CHARLES ALBERT HOLBROOKE.

WARREN CHRISTOPHER, Former Secretary of State and currently Senior Partner at O'Melveney and Myers Law Firm, 1999 Avenue of The Stars, 7th floor, Los Angeles, California, business telephone number (310) 246 6751, home telephone number (310) 247-2207, was interviewed regarding RICHARD CHARLES ALBERT HOLBROOKE. After being advised of the nature of the interview, information on the candidates position as Chief Negotiator for the Dayton Peace Accord in Bosnia, scope of the interview, and the identity of the interviewing agent, he provided the following information:

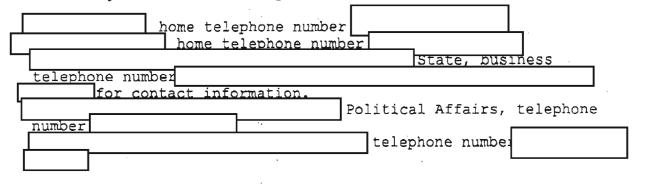
CHRISTOPHER has known HOLBROOKE socially and professionally for over twenty years, they met in 1977 while working together at the State Department in Washington D.C. CHRISTOPHER describes the candidate as a man of excellent character and a dedicated patriot. In regards to HOLBROOKE's position as chief negotiator of the Dayton Peace Accord, CHRISTOPHER advised that HOLBROOKE did a fantastic job and reported to him on a daily basis.

CHRISTOPHER knows of no activity in which HOLBROOKE participates which could expose him to blackmail, coercion, or could compromise or negatively impact his judgement, discretion, trustworthiness or responsibility. CHRISTOPHER does not question his character, associates, reputation or loyalty to the Untied States of America.

CHRISTOPHER does not believe HOLBROOKE to ever have abused prescription drugs or alcohol, or to have used, purchased, or to have been in the possession of illegal drugs. He does not believe he has been involved in the manufacture, sale or any type of distribution, or transport of illegal drugs. CHRISTOPHER believes him to live within his financial means and to be bб Ъ7С 161A-HQ-1256328 MR:mg/_

mentally capable and stable. He does not believe the candidate to be biased or prejudiced against any group of persons for any reason. CHRISTOPHER highly recommends RICHARD CHARLES ALBERT HOLBROOKE for a continued position of trust and confidence with the government.

CHRISTOPHER states the following individuals would have personal knowledge of HOLBROOKE'S activities while serving as the chief negotiator for the Dayton Peace Accord in Bosnia:



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### FD-204 (Rev. 12-1-95)

### UNITED STATES DEPARTMENT OF JUSTICE Federal Bureau of Investigation

Copy to:

Report of:	PSS
Date:	July 14, 1998
Case ID #:	161A-HQ-1256328'

Office: WFO

Title:

RICHARD CHARLES ALBERT HOLBROOKE

Character:

LEVEL I - PAS

Synopsis:

White House Office checked, no record. Employment at United States Department of State verified and favorable. Residence at 1527 35th Street, N.W., verified and favorable. References commented. favorably. Membership with National Advisory Forum of the Holocaust Memorial Museum verified. Records at Comptroller of the Currency checked, no record. Records at Federal Deposit Insurance Corporation checked, no record. Records at Federal Reserve Board checked, no record. Records at Securities and Exchange Commission checked, no record. Records at United States Department of Justice Public Integrity Section checked, no record. Records at United States Secret Service checked, no record. Records at United States Attorney's Office checked, no record. Records at District of Columbia Motor Vehicle Services revealed expired license. All other local law enforcement agencies checked, no record.

-RUC-

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

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### EMPLOYMENT

U.S. Department of State (DOS) 2201 C Street, N.W. Washington, D.C. <u>9/93 to 8/94; 8/94 to 2/96</u>

The following investigation was conducted by Special Agent regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE.

On 7/6/98, Washington Conference on Holocaust Era Assets, DOS, advised that he has known the appoint<u>ee on a professional basi</u>s since _____ He advised that he in Germany when the appointee was was the Ambassador to that country. He advised that this was in <u>He adv</u>ised that he also worked for the appointee from and had almost daily contact with the appointee during his period of employment from described the appointee as respectable, forceful, highly effective and someone he admires very much He added that the appointee is a great public servant. _____advised that he knew the appointee during his position as Chief Negotiator for the Dayton Peace Accord in Bosnia in 1995. He advised that he was also aware of the appointee's position as Special Presidential Envoy for Cyprus.

<u>On 7/6/</u>98,

DOS, advised that he has known the appointee for over 20 years. He described the appointee as dynamic, ebullient, and an absolutely fantastic person. Advised that he knew the appointee during his position as Chief Negotiator for the Dayton Peace Accord in Bosnia in 1995, and also as Special Presidential Envoy for Cyprus in 1995.

On 7/6/98, State, Bureau of European and Canadian Affairs, DOS, advised that he has known the appointee for about 10 years. He advised that the appointee is very, very intelligent and energetic. He stated that the appointee is a remarkable person who loves his country and someone he would recommend without hesitation.

On 7/9/98, DOS employee currently on his way to an assignment to Moscow and contacted at his place of residence at advised that he has known the appointee for 4-5 years. He advised that he was in Hamburg while the appointee was Ambassador to Germany. He 161A-HQ-1256328 <u>2</u>

advised that they <u>overlapped</u> in Germany, and <u>also had contact</u> with him when he was the Germany at Main State. described the appointee as a person with a fine, upstanding character and personality.

On 7/13/98, Washington Conference on Holocaust Era Assets, DOS, advised that he has known the appointee since the Fall of 1993. He advised that it was at this time that they first met when he was one of the Political Officers in Bonn, Germany, and the appointee was assigned there as Ambassador. described the appointee someone with a lot of energy, brilliant, rather forceful and aggressive.

All persons interviewed advised that they were aware of nothing negative or derogatory regarding the appointee's character, associates, reputation or loyalty to the United States. All persons advised that they have never known the appointee to abuse alcohol or prescription drugs, or to use illegal drugs. All persons advised that they have never known the appointee to express bias or prejudice towards or against persons or groups. All persons advised that they were aware of no financial, physical or emotional problems on the part of HOLBROOKE.

All persons interviewed advised that the appointee was suitable for access to classified materials and recommended him for a position of trust and confidence with the government. All persons advised that they were not aware of any activity or conduct that could be used to influence, pressure, coerce, or compromise the appointee in any way, or that could have an adverse impact on his character, judgement, stability, discretion, trustworthiness or responsibility. Ъб Ъ7С WF0 161A-HQ-1256328 LTF:ltf 1

### EMPLOYMENT

UNITED STATES DEPARTMENT OF STATE 2201 C Street NW Washington, D.C. <u>August 1994 to February 1996</u>

UNITED STATES DEPARTMENT OF STATE US Embassy Bonn Germany September 1993 to August 1994

### 1995 DAYTON PEACE ACCORD

### 1997 PRESIDENTIAL ENVOY FOR CYPRUS

The following investigation was conducted by Special Agent (SA) ______ concerning the appointee RICHARD CHARLES ALBERT HOLBROOKE:

On July 9, 1998, O'MELVENY & MYERS, 555 13th Street NW, Suite 500 West, Washington, D.C., verified the above captioned employment and the position of Chief Negotiator for the Dayton Peace Accord in Bosnia, as well as the appointee's June 1997 position as Special Presidential Envoy for Cyprus. Refer to the Reference Section of this report for additional comments. WFO 161A-HQ-1256328 SBB:sbb 1

#### NEIGHBORHOOD

### 1527 35th Street, N.W. Washington D.C. 20007 August 1994 to February 1996

On July 9, 1998, Special Agent (SA) performed the following investigations regarding the appointee RICHARD CHARLES ALBERT HOLBROOKE:

1527 35th Street, N.W., is located on the Southeast corner of the intersection of 35th Street and Volta Place. Across 35th Street is a large building with the address 1524, which houses offices, and just to the north of that building is the Georgetown Visitation Preparatory School. Interviews were therefore only conducted along the East side of 35th Street and along Volta Place.

there only since

and could not be of any help.

An FD-754 request for response card with the interviewing Agent's name and phone number was left at but no response has come from that address.

Alexander Graham Bell Association for the Deaf, 1537 35th Street, both stated that they had worked at that location since and had noticed no disturbances at the residence at 1527 35th Street. Both said they had seen high-brow receptions of the black tie variety, and catering trucks at that residence, but no problems had ever been noted in connection with those parties or at any other time.

At ________ contacted, but the owner was not available and the _______ had no knowledge of the neighborhood during the above time period.

An FD-754 request for response card with the interviewing Agent's name and phone number was left at a residence which to the appointee's former residence, but no response has come from that address.

stated that he had lived there since and while he did not know the appointee, he had not observed and did not know of any disturbances at 1527 35th Street, which explained was the "Bell House" where Alexander Graham bell once lived. b6 b7C

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WFO 161A-HQ-1256328 LTF:ltf 1

### NEIGHBORHOOD

### 1527 35th Street, N.W. Washington D.C. 20007 August 1994 to February 1996

The following investigation was conducted by Special Agent (SA) regarding the appointee RICHARD CHARLES ALBERT HOLBROOKE:

On July 10, 1998,

(CEO), Fannie Mae, 3900 Wisconsin Avenue NW, Washington, D.C., verified the above captioned previous address of the appointee. advised that he has known the appointee for thirty years. He stated that they met at graduate school at Princeton University. stated that the appointee's character is the best. He advised that the appointee is an outstanding individual. Advised that he has no questions whatsoever concerning the appointee. He is aware of no complaints or disturbances regarding the appointee.

character, associates, reputation, and loyalty to the United States government. He has never seen or heard of any evidence of alcohol or prescription drug abuse or the use of illegal drugs on the part of the appointee. He has no knowledge of any physical, emotional, or financial problems which would affect the appointee's ability to perform any job. He considers the appointee suitable for access to classified and sensitive information. He has no knowledge of any biases or prejudices on the part of the appointee. He knows of nothing in the appointee's background that could be used to coerce or influence him. ______recommended the appointee for a position of trust and confidence with the United States government.

On July 14, 1998, Washington, D.C., advised that she is aware of who the appointee is and has known of him for a number of years. She stated that she was not aware that he had resided at the above captioned address and imagined that because of his former positions with the Department of State, he traveled a great deal. She did advise that she has never noticed any problems at the residence during the period of time the appointee lived there.

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161A-HQ-1256328 HM:hm

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### REFERENCE

The following investigation was conducted by Special Agent regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE.

On 7/6/98,

advised on behalf of the following regarding the appointee. He advised that would described the appointee as one of the most energetic, valuable, able persons he knows. He advised that the appointee is certainly worthy of the position for which he is being considered. he advised that appointee for about 20 years. known the appointee for 20 years and has worked closely with him. He advised that he shares the same opinion of the appointee.

dvised on behalf of _____that he was not aware of anything negative or derogatory regarding the appointee's character, associates, reputation or loyalty to the United States. He advised that he has never known the appointee to abuse alcohol or prescription drugs, or to use illegal drugs. He advised that he has never known the appointee to express bias or prejudice towards or against persons or groups. He advised that he was aware of no financial, physical or emotional problems on the part of HOLBROOKE.

advised on behalf of that the appointee was suitable for access to classified materials and recommended him for a position of trust and confidence with the government. He advised that he was not aware of any activity or conduct that could be used to influence, pressure, coerce, or compromise the appointee in any way, or that could have an adverse impact on his character, judgement, stability, discretion, trustworthiness or responsibility. WFO 161A-HQ-1256328 LTF:ltf 1

### REFERENCES

The following investigations were conducted by Special Agent (SA) ______ concerning the appointee RICHARD CHARLES ALBERT HOLBROOKE:

On July 9, 1998, efforts to contact Carlyle Group, 1001 Pennsylvania Avenue NW, Washington, D.C., have met with negative results. Investigation to date has determined that is in Hong Kong for an extended period of time. office advised that they are unaware of his date of return. O'MELVENEY & MYERS, On July 9, 1998, 555 13th Street NW, Suite 500 West, Washington, D.C., advised that he has known the appointee both socially and professionally since 1979 when they met through a mutual friend and colleague, Fannie Mae. advised that he served as the for the State Department and worked closely with the appointee during the appointee's tenure as Assistant Secretary of State and U.S. Ambassado<u>r to Germa</u>ny. advised that he and the appointee were during both the CARTER Administration and the first term of the CLINTON Administration. advised that he has worked intimately with the appointee. advised that he considers the appointee to be a first class intellect. He stated that the appointee is a patriot and totally devoted to his public service positions. Advised that in 1995 the appointee was the chief negotiator for the Dayton Peace Accord in Bosnia. dvised that he and the appointee worked very closely on the Boshian negotiations and he finds the appointee to be reliable and extremely <u>effective</u>. advised that he left ____but can verify that the the State Department in appointee served as Special Presidential Envoy for Cyprus. commented favorably regarding the appointee's character, associates, reputation, and loyalty to the United States government. He has never seen or heard of any evidence of alcohol or prescription drug abuse or the use of illegal drugs on the part of the appointee. He has no knowledge of any physical, emotional, or financial problems which would affect the appointee's ability to perform any job. He considers the

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### ORGANIZATION

### NATIONAL ADVISORY FORUM OF THE HOLOCAUST MEMORIAL MUSEUM

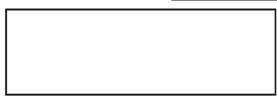
The following investigation was conducted by Special Agent (SA) concerning the appointee RICHARD CHARLES ALBERT HOLBROOKE:

On July 9, 1998		for Council	b6
Relations, United St	ates National Holocaust	Memorial Museum, 100	b70
Rauol Wallenberg Pla	ce SW, Washington, D.C.	, <u>advised</u> that she	
could verify the abo	ve captioned membership	stated that	
	en a member of the capt		
May 1996 and is a me	mber in good standing.	advised that	
she does not persona	lly know the appointee	and cannot comment on	
his character, etc.			

### WFO 161A-HQ-1256328 VJM:vjm

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## RECORD CHECK



On July 10, 1998, Investigative Analyst (IA) Vincent J. Motofuji, initiated an inquiry with the above captioned agency, concerning, RICHARD CHARLES ALBERT HOLBROOKE.

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WFO 161A-HQ-1256328 SDT:sdt 1

### LAW ENFORCEMENT AGENCIES

On July 3, 1998, a search was made of the records of the Metropolitan Police Department, Washington, D.C., and it was advised that no records were located regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE.

It should be noted that at all times an indefinite number of unidentified records are out of file, and therefore, unavailable for review.



FD-263 (Rev. 4-30-85)

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ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED EXCEPT WHERE SHOWN OTHERWISE

# FEDÉRAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATI	VE PERIOD	
WFO	BUREAU	7/14/98	7/3/98	- 7/13/98	
TITLE OF CASE		REPORT MADE B			TYPED BY:
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### FEDERAL BUREAU OF INVESTIGATION FOIPA DELETED PAGE INFORMATION SHEET

No Duplication Fees are charged for Deleted Page Information Sheet(s).

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F	D-26.	3 (Rev. 4-30	-85)

# FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD	
LOS_ANGELES	BUREAU	07/14/98 REPORT MADE BY	07/09/1998-07/14/199	98 YPED BY:
RICHARD CHARLES AL	BERT HOLBROOKE	SA		mr
		CHARACTER OF CA	ASE	
		LEVEL I - P	PAS	
BUDED: 07/28/1998				

REFERENCE: FBIHQ SIGBIU EC dated 07/02/1998.

- C - '

<u>ADMINISTRATIVE</u>: All persons interviewed were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality have not been granted.

A facsimile of this Los Angeles closing report was sent to FBIHQ on 07/14/1998.

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From: New York A-6 Contact: SA		- Ext.			
Approved By:					
Drafted By:	ctv				
<b>Case ID #:</b> 161A-HQ-1256328	(Pending)				
Title: RICHARD CHARLES ALBER LEVEL I - PAS	T HOLBROOKI	E			
Synopsis: Background investig	gation re a	appointee	e contir	nuing.	
Details: Appointee DOB 04/24, currently Vice Chairman with Madison Avenue, New York, New lists his SSAN as 132-32-3096	Credit Suis York, 02/9	sse First	: Bostor	n, 11	
On 07/09/1998, durin advised he and his wife residence at which was purchased in 1987. residence also at 327 North Fi purchased in 1991. He noted f	He rurtner ir, Tellur:	urrently r stated ide, Cold	own a p Co ne owns orado, v	private onnecticut, s a private which was	

currently up for sale and approximately one month ago, he and his wife purchased another private residence at He noted the residence in is rented out and he never visits it, and nis residence at 327 North Fir in Telluride, Colorado is utilized

three to four times a year.

161A-HQ-1256328-8

Ъб Ъ7С To: Personnel From: New York Re: 161A-HQ-1256328, 07/15/1998

LEAD (s):

Set Lead 1:

<u>DENVER</u>

### AT DENVER, COLORADO

Will conduct indices check and U. S. attorney check re appointee.

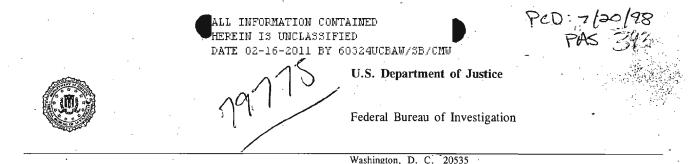
Set Lead 2:

NEW HAVEN

### AT NEW HAVEN, CONNECTICUT

Will conduct indices check and U. S. attorney check re appointee.

**



# JUL 17 1999

### BY COURIER

Honorable Charles F. C. Ruff Counsel to the President The White House Washington, D.C.

Dear Mr. Ruff:

Based on a request received from your office dated July 2, 1998, a Level I background investigation has been conducted concerning Mr. Richard Charles Albert Holbrooke. Enclosed is a summary memorandum containing the results of this investigation.

Several background investigations have been conducted concerning Mr. Holbrooke by the FBI, the Defense Investigative Service, and the Department of State, the most recent having been by the FBI in 1994. The results of those investigations are incorporated in the enclosed summary memorandum.

Also enclosed is a copy of your July 2, 1998, request which has been initialed and dated by a representative of the FBI's Office of General Counsel.

•		this in Securit	nvestigation tv Specialis		ed to supervi or my -1256328	
	. ,			Sincerely	yours,	
		•••		JAO	o Bu	b6
	۰.			Chiet		b7C
ie				Special Ind	quiry and Ger nd Investigat	•
Gaa. sel	Enclosures	s (3)				
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mel Soc.	CLOSED					
rend				·		· .

MALL ROOM O

Cour Lest, D Crim Criss Firms Info, Insp. Leb. Netio Charles F. C. Ruff

NOTE: This case was opened on 7/2/98. Mr. Holbrooke is currently employed by Credit Suisse First Boston, New York, New York, as vice chairman. He is being investigated for a Presidential appointment to be the United States representative to the United Nations, which requires Senate confirmation Investigation disclosed Investigation is complete.

Naturalization information concerning was provided by Office of Records, Immigration and Naturalization Service, Washington, D.C., on 7/13/98.

The following footnotes correspond to information located in the <u>Agency Checks</u> section of the summary:

1. 161B-4612, now 161A-HQ-1256328

2. 949794AB2

Ъб Ъ7С



Federal Bureau of Investigation

# Washington, D. C. 2053500

### RICHARD CHARLES ALBERT HOLBROOKE

This summary memorandum contains the results of a Level I background investigation concerning Mr. Holbrooke, which addressed his entire adult life. Inquiries were conducted as to Mr. Holbrooke's character, loyalty, and general standing, but no inquiries were made as to the sources of his income.

### <u>Birth</u>

Mr. Holbrooke was born on April 24, 1941; in New York, New York.

#### Education

Mr. Holbrooke attended Brown University, Providence, Rhode Island, from September, 1958, to June, 1962, receiving an A.B. degree in history.

### Military Service

Mr. Holbrooke indicated no prior military service.

### Employment

While pursuing an education, Mr. Holbrooke was employed as a soda jerk, an attendant or an office boy in Scarsdale or New York, New York.

July, 1962, to May, 1974

uns.

United States Department of State (DOS), Washington, D.C. initially as a foreign service reserve officer, serving in various capacities in the United States and abroad_until July, 1966, when he was detailed to the White House as a staff member to the White House Foreign Affairs Officer. In September, 1967, Mr. Holbrooke was reassigned to the Office of the Undersecretary of State, Washington, D.C., as an

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March, 1972, to July, 1976, and November, 1976, to January, 1977

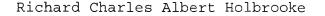
July, 1976, to November, 1976

January, 1977, to January, 1981; September, 1993, to February, 1996; and July, 1996, to the present international relations officer. He served in various capacities in the United States and abroad until May, 1972, when he was place on leave without pay to accept a position with "Foreign Policy" magazine in New York, New York. Mr. Holbrooke resigned from DOS in May, 1974

Carnegie Endowment for International Peace, New York, New York, initially as Managing Editor of "Foreign Policy" magazine, and subsequently as Director of Publications

1976 Democratic Presidential Campaign Committee, Incorporated, Atlanta, Georgia, as a researcher and advisor

DOS, Washington, D.C., initially as Assistant Secretary, Bureau of East Asian and Pacific Affairs. In September, 1993, he was appointed Ambassador to Germany. In August, 1994, Mr. Holbrooke was reassigned as Assistant Secretary, Bureau of European Affairs. He resigned from this position in February, 1996. Since July, 1996, Mr. Holbrooke has been a Foreign Affairs Officer -Expert, in the office of the Assistant Secretary, Bureau of European Affairs. Additionally, Mr. Holbrooke was appointed in 1995 to be Chief Negotiator for the Dayton Peace Accord in Bosnia, and since June, 1997, has been Special Presidential Envoy for Cyprus



March, 1981, to April, 1985 (exact dates not recorded)

April, 1985, to September, 1993

March, 1993, to September, 1993

February, 1996, to the present

Public Strategies, Washington, D.C., as Vice President. This company was purchased by Lehman Brothers.

Lehman Brothers, New York, New York, as a Managing Director

Department of Defense, Washington, D.C., as an unsalaried consultant

Credit Suisse First Boston Corporation, New York, New York, as Vice Chairman

### Family Status

Stepfather

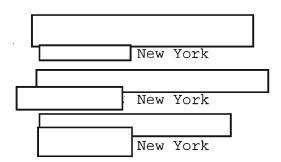
Mr. Holbrooke is mar indicated that his wif <u>e is a n</u> They and her children, reside in New York.	ried to He has aturalized United States citizen. b6 b7
Records of the Immig disclosed that Mr. Holbrooke's	ration and Naturalization Service wife
Columbia Superior Court, Washi	tic Relations Branch, District of ngton, D.C., disclosed that <u>f, was divorced from Mr. Holbrooke,</u> <u>The grounds for the di</u> vorce
plaintiff. was divorced from	court disclosed that Mr. Holbrooke, defendant, ds for the divorce were listed as
	er, Dan Holbrooke, is deceased. In hildren, Mr. Holbrooke has listed atives:
Mother	Trudi Holbrooke Kearl Scarsdale, New York

Stanley Kearl Scarsdale, New York

Son

Son

Brother



Records of the Immigration and Naturalization Service disclosed that Mr. Holbrooke's mother, Trudi Holbrooke Kearl, became a naturalized United States citizen on April 11, 1941.

### <u>Interviews</u>

Thirty-six persons, consisting of current and former supervisors and colleagues, present and former neighbors, references, professional associates, and social acquaintances, were interviewed. They provided favorable comments concerning Mr. Holbrooke's character, associates, reputation, and loyalty.

All persons interviewed during the course of this background investigation stated they are unaware of any illegal drug use or alcohol abuse by Mr. Holbrooke, nor have they ever known him to exhibit any type of bias or prejudice against any class of citizen or any type of religious, racial or ethnic group. They also commented that they believe Mr. Holbrooke lives within his financial means. None of the individuals contacted was aware of any information concerning Mr. Holbrooke that could be used to compromise or coerce him. All persons interviewed recommended him for a position of trust and responsibility.

	Among those	interviewed	are the fol	lowing:	
Holocaust	Era Assets,	DOS, Washing		ton Confe:	rence on
				DOS,	
Washingtor	ı, D.C.;				
European a	and Canadian	Affairs, DOS	Washingto	n D C ·	Bureau of
L		· · · · · ·	, nabiiingeo	n, <i>b</i> .c.,	, Fannie
Mae, Wash	ington, D.C.;				
Myers, Los	s Angeles, Ca	alifornia;		O'Melveny	and

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York, New	, ,	New
New York;	Credit Suisse First Boston, New Y	ork,
New York,	Credit Suisse First Bost	.on,

### Financial Responsibility

A search of computerized credit records, which was conducted at FBI Headquarters in July, 1998, disclosed no pertinent information concerning Mr. Holbrooke, except as noted below. The results of additional inquiries concerning this debt are also set forth below:

> Records of the Trans Union Corporation, Springfield, Pennsylvania, disclosed a public record of a Calfornia state tax lien placed against Mr. Holbrooke in August, 1991.

> During a 1993 DOS background investigation of Mr. Holbrooke, records of the Sacramento County, California, Recorder's Office were reviewed and disclosed that a tax lien was filed against Mr. Holbrooke on August 12, 1991, by the California Franchise Tax Board (CFTB) for tax year 1989 in the amount of \$123.90 (including tax, interest, penalty, and cost). Records further indicated that the lien was released on November 13, 1991.

During the 1993 DOS and also during a 1994 FBI background investigation, Mr. Holbrooke was interviewed regarding the California state tax lien. In both interviews, Mr. Holbrooke advised that he had no knowledge of the lien. During the 1994 FBI background investigation, Mr. Holbrooke additionally advised he contacted one of his accountants, who told him that the lien arose from certain stocks he held in a California firm. The lien resulted from a tax adjustment and had long since been paid. The accountant, Mahoney, Cohen and b6 b7C

Company, New York, New York, was also interviewed in 1994 by the FBI and advised that Mr. Holbrooke paid the Calfornia state tax lien in full on September 17, 1991.

### Law Enforcement Agency Checks

Information has been received from appropriate law enforcement agencies indicating their files contain no pertinent information concerning Mr. Holbrooke.

### Miscellaneous

A search of NEXIS, a computerized news retrieval service, disclosed no pertinent information concerning Mr. Holbrooke.

### Agency Checks

Mr. Holbrooke was the subject of baclground investigations conducted by the Defense Investigative Service (DIS) in August, 1988, and by DOS in June, 1962, December, 1976, and July, 1993. Those investigations are incorporated into this summary memorandum. During the course of those investigations, sixty-nine individuals were interviewed and provided favorable comments concerning Mr. Holbrooke. During the 1976 DOS background investigation, a former supervisor advised Mr. Holbrooke was reluctant to give credit to subordinates when it was due.

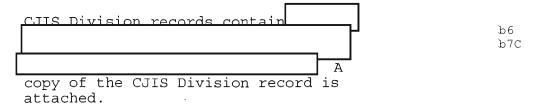
During the course of this background investigation, the
records of the following entities were checked and found to
contain concerning
Mr. Holbrooke, unless otherwise noted in this summary memorandum:
Central Intelligence Agency; Office of Personnel Management; Public Integrity Section and appropriate United States Attorneys, Department of Justice; Defense Clearance and Investigations Index; DOS; Comptroller of the Currency, United States Department of the Treasury; Federal Reserve Board; Federal Deposit Insurance Corporation; Securities and Exchange Commission; United States Secret Service;
and the White House Office.

Searches of the various indices of the FBI, including but not limited to the central index maintained at FBI Headquarters, the index of the Criminal Justice Information Services Division (by name and other known identifying data), the indices of appropriate field offices and other appropriate computer data bases, did not identify any documents that contain pertinent information identifiable with Mr. Holbrooke or his close relatives, except the following:

> Mr. Holbrooke was the subject of three background investigations¹ conducted by the FBI in 1966, 1977 and 1994 in connection with employment at the White House or DOS. Those investigations are incorporated into this summary memorandum. During the course of those investigations, seventy-five persons provided favorable comments regarding Mr. Holbrooke. During the course of the 1994 investigation, one neighbor commented that he did not consider Mr. Holbrooke to be very reliable or responsible because of occasional late payments of maintenance fees on his apartment. This individual also stated that Mr. Holbrooke could be argumentative, difficult, and not very tactful when dealing with people. Another neighbor commented that Mr. Holbrooke was not very friendly, and had been disrespectful This to others in the building. individual also stated that Mr. Holbrooke was not reliable or responsible, and could be rude at times. A third individual advised that Mr. Holbrooke was not well organized and that his bookkeeping was sloppy. Also, during the 1994 FBI investigation, credit records disclosed a New York City Department of Finance (NYCDOF) judgment for \$8,539 filed against Mr. Holbrooke in April, 1990. Records of the NYCDOF indicated that as of July 14, 1994, an unpaid balance of \$326 in interest remained.

> > 7

On July 17, 1998, records of the NYCDOF, Brooklyn, New York, disclosed that Mr. Holbrooke's record is clear and owes no money to the city of New York.



A check of the Narcotics and Dangerous Drugs Information System (NADDIS), operated by the Drug <u>Enforcement</u> <u>Administration</u>, revealed no information concerning

It should be noted that results of the above indices searches reveal only data entered into those indices as of the date each was searched. However, it should also be noted that some delays may occur as to the entry of such data.

Enclosure

FD-263 (Rev. 4-30-85)

## FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD		
WFO	BUREAU	7/23/98	7/22/98 - 7/23/98		b6
TITLE OF CASE		REPORT MADE BY		TYPED BY:	.06 b7C
RICHARD CHARLES ALBERT HOLBROOKE		PSS	SDT	DIC	
		CHARACTER OF CA	ASE		
		LEVEL I - P.	AS		
		-h			

<u>REFERENCE</u>: BUREAU EC to WFO dated 7/2/98.

(RUC)

### ADMINISTRATIVE: BUDED: 7/15/98

All individuals were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality, both limited and unlimited, have been granted where noted.

	7	This 1	report	is	beir	ng si	ubmitted	l past	BUDE	) due	to	
developed	leads	from	FBIHQ	SIG	BIU	per	telcal	Unit	Chief			
7/22/98.												

APPROVED JC	d m	SPECIAL IN C	AGENT CHARGE	,	DO NOT WRITI	E IN SPACES	BELOW	
COPIES MADE: 2 BUREAU ( PSS 1-WFO	161A-HO-	1256328)	<b>A</b>					
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DISSEMINA	TION RECORD	OF ATTACHE	D REPORT	Notations		-		
Agency				1				
Request Recd.				7				
Date Fwd.				1				
How Fwd.				7				
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### UNITED STATES DEPARTMENT OF JUSTICE Federal Bureau of Investigation

Copy to:	
Report of: Date:	PSS Office: WFO July 23, 1998
Case ID #:	161A-HQ-1256328
Title:	RICHARD CHARLES ALBERT HOLBROOKE
Character:	LEVEL I - PAS
Synopsis:	Special Agent interviewed. Records at Recorder of Deeds checked, no record.

-RUC-

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

### ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-16-2011 BY 60324UCBAW/SB/CMW

- 1 -

### FEDERAL BUREAU OF INVESTIGATION

Date of transcription 7/22/98

Special Agent, Office of Inspector General (OIG), United States Department of State (DOS), 1700 N. Moore Street, Room 910, was interviewed for the purpose of obtaining information from him concerning an OIG criminal investigation regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE. After being apprised of the identity of the interviewing Agent, furnished the following information:

advised that he was working on an investigation FBI, regarding the Campaign with Special Agent (SA) Contributions investigation. advised that they were looking into the burial of Ambassador LARRY LAWRENCE, at Arlington National Cemetery. In reviewing the Background Investigation conducted on Ambassador LAWRENCE, it was discovered that there were missing derogatory documents. Apparently, Ambassador LAWRENCE advised the appointee that he had been a Merchant Marine. The appointee wrote a letter to Department officials concerning the Ambassador, for the purpose of facilitating a burial at Arlington National Cemetery. _____advised that the appointee probably had no knowledge that Ambassador LAWRENCE lied about his Merchant Marine career. During this investigation, determined that the appointee had resided at LAWRENCE's Georgetown mansion from 1994 to 1996 and never disclosed this information as a gift on his State Department financial disclosure forms. At this time, the appointee was Ambassador LAWRENCE's superior at the Department of State. advised that he intended to interview the appointee concerning this financial disclosure issue, when he was contacted by his superiors and advised that he should cancel this interview based on more information they had received in an anonymous letter.

advised that this anonymous letter complained that during the winder of 1994 to 1995, the Ambassador to Budapest received a call from the appointee. The American Embassy in Budapest was supporting an American company that was bidding for a contract with the Hungarian government regarding a telephone privatization deal. The company, SOLOMON Brothers, was the only American company bidding for this contract. The writer of the anonymous letter referred to this company as Merrill Lynch, but discovered it was actually SOLOMON Brothers. ______stated that this was a \$60 million contract. It was discovered,

Investigation on	7/22/98	at Arl:	ington, Virg	ginia		
File # <u>161A</u>	-HQ-12563 <u>28</u>	0		Date dictated	<u>7/22/98</u>	b6
by SA			<b>-</b>			Ъ7С
		<u> </u>				

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Ъ6 Ъ7С FD-302a (Rev. 10-6-95)

### 161A-HQ-1256328

Continuation of FD-302 of

, On 7/22/98 , Page 2

according to this letter, that a company known as Credit Suisse First Boston (CSFB), located in New York City, New York, was also competing for this contract. The appointee received a telephone call from CSFB the day before the deal was to be decided. An official from CSFB realized that the Embassy was supporting Ъб b7C SOLOMON Brothers and asked the appointee to intervene on their behalf. At this time, the appointee served as Assistant Secretary of State, and was superior to the Ambassador in Hungary. The Embassy in Budapest knew that CSFB was bidding as well and the Ambassador wrote a letter to the Hungarian government backing SOLOMON Brothers and saying that they were the best company for the job. Apparently, this letter was leaked to the press and ______, CSFB, contacted the Ambassador and was irate that the Embassy was backing SOLOMON served as in the Brothers. BUSH administration. The Ambassador advised that they were not an American company which is why the Embassy was backing only SOLOMON Brothers. ______advised the Ambassador that they employed a great number of Americans and they were located in New York. The Ambassador learned that the CSFB was majority Swiss owned. The Ambassador placated by saying that he may send a letter to support CSFB. A couple of days later, the Ambassador received a telephone call from the appointee stating showed up at the appointee's office in Washington, that D.C., unannounced to see why they were not backing CSFB. The Ambassador was told by the appointee to back them anyway and the appointee dictated a letter advising the Ambassador of what to say.

The day after the appointee left his employment at the Department of State, he became the Vice Chair of Credit Suisse First Boston with a salary and bonuses of \$1.3 million.

The anonymous letter also mentioned that the appointee has, in his current position of Vice Chair of CSFB, asked for meetings with high level officials in foreign governments and has taken ambassadors with him to these meetings. The letter alleges that having ambassadors in on these sales meetings has given the impression that the appointee is enjoying a "quasi official status" while working at CSFB, most likely because of his reputation concerning his initiative with the Dayton Peace Accord. FD-302a (Rev. 10-6-95)

161A-HQ-1256328

_{, On} 7/22/98 3 Continuation of FD-302 of , Page

stated that the following are the main issues of importance that his office is investigating at this time:

-When did the appointee negotiate his current position with Credit Suisse First Boston (CSFB)?

-The appointee's actions taken on behalf of CSFB while he was Assistant Secretary of State.

-The appropriateness of using ambassadors on sales calls.

-Financial disclosure concerning living at the LAWRENCE residence.

advised that he has interviewed the appointee regarding the financial disclosure issue and the other matters. The appointee advised _______ that he did call the Ambassador in Hungary and intervened on behalf of CSFB because ________ showed up at his office. The appointee claimed that he discovered through the Department of Commerce that CSFB was primarily an American owned company. The appointee advised _______ that he had never met any officials from CSFB prior to this incident. However, _______ advised that the appointee's employment to the Department of State was with Lehman Brothers, Inc. and questions whether or not the appointee had any prior business dealings with CSFB.

advised that the appointee met with a high level official at CSFB in June 1995 to talk about working at CSFB. was in the Nixon administration. The appointee advised that he intervened on behalf of CSFB with the Embassy in Hungary in the winter of 1995. Stated that witnesses have provided that date to be April 1995 which is less than sixty days prior to the meeting with

Additionally, _____advised that when the appointee was residing at Ambassador LAWRENCE's Georgetown home, LAWRENCE's financial disclosure form reflected in excess of one million dollars in an account at Credit Suisse First Boston. _____is not aware of how long Ambassador LAWRENCE had this account. The appointee advised ______that Ambassador LAWRENCE had nothing to do

bб b7С FD-302a (Rev. 10-6-95)

161A-HQ-1256328

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Continuation of FD-302 of		, On 7/22/98	_, Page	4
with him obtaining his po	sition with CSFB.			
filed recusal letters wit of State regarding CSFB a for future employment. T the summer of 1995. Howe indicate that he did this advised that he spoke wit about moving into Ambassa appointee advised that advised that	nd any other company the appointee advised over, a review of the in December 1995. h dor LAWRENCE's home stated it would he had no recollects notes reflect that th	nt at the Depar concerning tal that he did th records at Sta The appointee with State, in Georgetown. d not be a prok ion of this	rtment lks nis in ate , The	
advised th and Section, United States De Avenue, Washington, D.C., stated that the appointee	partment of Justice, telephone number (20	ublic Integrity 1400 New York )2) 514-1412.		]
stated tha briefed concerning this i Department and Office of State are aware of this m	Inspector General, U.	the Legal		
	views of witnesses. ill be concluded or i	ing subpoenas and he is He does not kn If it will be	for	

(The attached and incorporated copy of a four page anonymous letter and envelope initiated this investigation.)

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ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-16-2011 BY 60324UCBAW/SB/CMW

# - 1 -

# FEDERAL BUREAU OF INVESTIGATION

Ъб Ъ7С

Date of transcription 7/23/98

Special Agent, Office of Inspector General (OIG), United States Department of State, 1700 N. Moore Street, Room 910, Arlington, Virginia, was re-contacted concerning the OIG criminal investigation on the appointee, RICHARD CHARLES ALBERT HOLBROOKE. Having previous lv been apprised of the identity of the interviewing Agent provided the following information: The anonymous letter concerning certain criminal allegations regarding the appointee was addressed to the Inspector General of the Department of State. This letter was received by the front office. and more specifically, likely received by in the absence of the Inspector General who was on vacation at the time. The letter was dated June 19, 1998 and was received on July 8, 1998. It was mailed from overseas and is not aware of what country it came from. advised that the matter concerning the burial of Ambassador LARRY LAWRENCE, was a preliminary investigation he was working in conjunction with the FBI Campaign Contributions investigation in December 1997. The appointee was first interviewed regarding these

is unsure of the exact date that Secretary MADELEINE ALBRIGHT was briefed on this investigation but stated that for Investigations, Department of State, (202) 647 would have

matters on July 14, 1998.

this information.

could not recall the date he met with the Department of Justice, Public Integrity Section. He stated that this investigation is being coordinated with the Department of Justice, Public Integrity Section.

was not sure of the exact address of LAWRENCE's home in Georgetown and asked writer for the address she had as the appointee's previous residence. She advised that it was 1527 35th Street NW, Washington, D.C.

Investigation on	7/23/98	_at Falls	Church,	Virginia	(telephonically)
File # <u>161A-H</u>	Q-1256328	<u> </u>		Date dictated	7/23/98
by <u>SA</u>					

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	[					
Continuation of FD-302 of	SA		, On <mark>7/23/98</mark>	, Page	_2_	
	l					

like the address.

advised that he is leaving on instant date for London, England concerning this matter. He will return on Thursday, July 30, 1998. He advised that no one in his office, including the Inspector General, would have specific information concerning this case as he will have all of the notes with him.

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- 1 -

### FEDERAL BUREAU OF INVESTIGATION

Date of transcription 7/23/98 for Investigations, Office of Inspector General, United States Department of State, was advised of the identity of the interviewing Agent and the purpose of the interview, that being to obtain information concerning the criminal investigation being conducted by his office regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE. furnished the following information:

Secretary MADELEINE ALBRIGHT was briefed on this matter on Monday, July 20, 1998.

Investigation on	7/23/98	at Falls Chur	ch, Virginia	(telephonically)
	HQ-1256328		Date dictated	<u>7/23/98</u> b6 b7C
by <u>SA</u>		F		

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#### FEDERAL BUREAU OF INVESTIGATION

7/23/98 Date of transcription Trial Attorney, Public Integrity Section (PIS), United States Department of Justice (DOJ), 1400 New York Avenue NW, Washington, D.C., was advised of the identity of the interviewing Agent and the purpose of the interview, that being to obtain information from him concerning a meeting that transpired with SA OIG, DOS, regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE. furnished the following information: met with SA on July 10, 1998, concerning possible criminal allegations regarding the appointee. advised that his office routinely meets with the OIG, DOS concerning matters of interest. stated that this was an informal meeting in which was obtaining legal guidance. There has not been a formal referral in this matter and the PIS has not opene<u>d an official investigation</u> to date. advised that _____ office is coordinating this investigation in a general sense at this point.

Investigation on	7/23/98	at Falls Churc	ch, Virginia	(telephonically)
File # <u>161A-H</u>	IQ-1256328		Date dictated	7/23/98
by SA LES	SLIE T. FAIRE	BAIRN		
-				

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# WFO 161A-HQ-1256328 VJM:vjm <u>1</u>

# RECORD CHECK

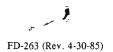
Recorder of Deeds 515 D Street, Northwest Washington, D. C.

On July 23, 1998, Investigative Analyst (IA) caused a search to be made of the files of the Washington, D. C. (WDC) Recorder of Deeds concerning, RICHARD CHARLES ALBERT HOLBROOKE, 1527 35th Street, Northwest, Washington, D. C. at the above captioned agency.

IA search of the Land Record Database, utilizing Square # 1253 and Lot # 840, pertinent to 1527 35th Street, Northwest concerning HOLBROOKE was met with negative results. A manual search of records of Square #1253, Lot # 840, did not reflect any Deeds and or Deeds of Trust in the name of RICHARD CHARLES ALBERT HOLBROOKE.

IA search of the General DOcument Database reflected no records concerning any liens, judgements and/or financial statements filed against HOLBROOKE.

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# FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD	
DENVER	BUREAU	7/24/98	07/24/1998	
TITLE OF CASE	r	REPORT MADE BY		TYPED BY:
RICHARD CHARLES AL	BERT HOLBROOKE		,	ecv
	•	CHARACTER OF CA	ASE	
		LEVEL I - P	PAS	
-				

BUDED: 07/28/1998

REFERENCE: New York EC to FBIHQ, DATED 07/15/1998.

- P -

ADMINISTRATIVE:

Indices checks were conducted on the appointee with negative results.

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All Denver leads covered.

APPROVED		SPECIAL AGENT IN CHARGE		DO NOT WE	TTE IN SPACES	BELOW
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161A-HQ-1256328-14

# UNITED STATES DEPARTMENT OF JUSTICE Federal Bureau of Investigation

Copy to:

Report of: Date: Case ID #:	Office: Denver July 24, 1998 161A-HQ-1256328	b6 b7C
Title:	RICHARD CHARLES ALBERT HOLBROOKE	
Character:	LEVEL I - PAS	

Synopsis: Civil and criminal case records reviewed at the United States Attorney's Office, Denver, Colorado.

# **DETAILS**:

## UNITED STATES ATTORNEY'S OFFICE

The following investigation was conducted by Investigative Analyst (IA)

On 07/24/1998, United States Attorney's Office, Denver, Colorado reviewed the civil and criminal case records at her agency for any information identifiable with the appointee, Richard Charles Albert Holbrooke advised the records failed to disclose any information relative with the appointee.

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

POD: 8/3/

ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED

DATE 02-16-2011 BY 60324UCBAW/SB/

b7c



U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535

JUL 3 0 1999

BY COURIER

Honorable Charles F. C. Ruff Counsel to the President The White House Washington, D.C.

Dear Mr. Ruff:

Reference is made to my letter to your office dated July 17, 1998, which furnished the results of a Level I Deackground investigation concerning Mr. Richard Charles Albert Holbrooke. Reference is also made to telephone calls on

July 22, 1998, from Supervisory Personnel Security Specialist (SPSS) and myself to Associate Counsel of your office, advising of additional information developed concerning Mr. Holbrooke's background investigation. Enclosed is a summary memorandum containing the results of additional inquiries in this matter.

EXTREME CAUTION SHOULD BE EXERCISED IN DISCUSSING THIS MATTER AS ANY DISCLOSURE OF THE DETAILS COULD JEOPARDIZE THE INVESTIGATION. Dissemination of the information disclosed in the enclosed summary memorandum has been cleared by the Office of the Deputy Attorney General.

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N.	any questi SPSS	ons regard		matter, please syself, telephon			
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Charles F. C. Ruff

NOTE: This case was closed on July 17, 1998. On July 22, 1998, Associate Counsel ______White House Counsel's Office, was telephonically advised by Unit Chief ______and SPSS _______of a recent criminal investigation concerning Mr. Holbrooke being conducted by the Office of the Inspector General, United States Department of State. ______requested a limited inquiry concerning the matter. The limited inquiry is complete.

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# JUL 3 0 1888

#### RICHARD CHARLES ALBERT HOLBROOKE

This summary memorandum contains the results of a limited inquiry concerning Mr. Richard Charles Albert Holbrooke, and supplements the summary memorandum dated July 17, 1998.

The United States Department of State (DOS) Office of Inspector General (OIG) has recently advised the FBI that Mr. Holbrooke is the subject of a pending criminal investigation by the OIG. According to an OIG representative, the investigation was officially opened on July 16, 1998. Set forth below is information concerning the OIG investigation.

The OIG investigation involves four issues:

(1) Mr. Holbrooke's residing at the Georgetown mansion of former Ambassador Larry Lawrence from 1994 to 1996. At the time, Mr. Holbrooke was an Assistant Secretary of State and Ambassador Lawrence's superior at the DOS. Mr. Holbrooke did not disclose this information as a gift on his DOS financial disclosure forms.

(2) Negotiations by Mr. Holbrooke regarding his current position at Credit Suisse First Boston (CSFB).

(3) Mr. Holbrooke's actions taken on behalf of CSFB while he was an Assistant Secretary of State.

(4) Mr. Holbrooke's alleged use of ambassadors during sales meetings while at CSFB.

In regard to issues (2) - (4), on July 8, 1998, the DOS received an anonymous letter dated June 19, 1998, which set out allegations (2) - (4) in explicit detail.

Mr. Holbrooke is aware of the OIG investigation, and has been interviewed by the OIG concerning the above matters. On July 10, 1998, the OIG discussed its investigation with Dep. Dir. representatives of the Public Integrity Section, United States Chief of Staff Department of Justice. Additionally, Secretary of State Albright Off, of Gen. Counsel has been briefed by the OIG. The OIG does not know when its Asst. Dir : investigation will be concluded or if the matter will be referred Crim, Inv. CJIS for criminal prosecution. Finance

Inic. Res. _____ Insp. _____ Lab. _____ National Sec. ____ Personnel _____ Training _____ Off. of EEOA _____ Off. of Public _____

Director's Office

MAIL ROOM

FBI/DOJ

Richard Charles Albert Holbrooke

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No additional information can be provided at this time.

EXTREME CAUTION SHOULD BE EXERCISED IN DISCUSSING THIS MATTER AS ANY DISCLOSURE OF THE DETAILS COULD JEOPARDIZE THE INVESTIGATION.

Dissemination of the information disclosed in this summary memorandum has been cleared by the Office of the Deputy Attorney General.

U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535

# RICHARD CHARLES ALBERT HOLBROOKE

This summary memorandum contains the results of a limited inquiry concerning Mr. Richard Charles Albert Holbrooke, and supplements the summary memorandum dated July 17, 1998.

On July 22, 1998, a representative of the Office of Inspector General (OIG), United States Department of State (DOS), advised the FBI that Mr. Holbrooke was the subject of a pending criminal investigation by the OIG. According to the representative, the investigation was officially opened on July 16, 1998. Set forth below is information concerning the OIG investigation.

The OIG investigation involves four issues:

(1) Mr. Holbrooke's residing at the Georgetown mansion of former Ambassador Larry Lawrence from 1994 to 1996. At the time, Mr. Holbrooke was an Assistant Secretary of State and Ambassador Lawrence's superior at the DOS. Mr. Holbrooke did not disclose this information as a gift on his DOS financial disclosure forms.

(2) Negotiations by Mr. Holbrooke regarding his current position at Credit Suisse First Boston (CSFB).

(3) Mr. Holbrooke's actions taken on behalf of CSFB while he was an Assistant Secretary of State.

(4) Mr. Holbrooke's alleged use of ambassadors in sales meetings while at CSFB.

In regard to issues(2)-(4), on July 8, 1998, the DOS received an anonymous letter dated June 19, 1998. This letter indicated that during the winter of 1994-1995, the American Embassy in Budapest was supporting an American company that was bidding for a \$60 million dollar contract with the Hungarian government regarding a telephone privatization deal. The company was the only American company bidding for this contract. According to the letter, CSFB, located in New York City, New York, was also competing for this contract. A day before the



## Richard Charles Albert Holbrooke

deal was to be decided, Mr. Holbrooke received a telephone call from an CSFB official. The CSFB official realized that the American Embassy was supporting the American company and asked Mr. Holbrooke to intervene on CSFB's behalf. The American Embassy knew that CSFB was bidding on the contract, but had written the Hungarian government a letter in which it was supporting only the American company for the contract. Apparently, this letter was leaked to the press. A high ranking CSFB official then contacted the Ambassador in Budapest as to why the American Embassy was supporting the American company. The Ambassador told the CSFB official the reason. A couple of days later, the Ambassador to Budapest received a telephone call from Mr. Holbrooke in which Mr. Holbrooke advised that the same CSFB official had showed up unannounced at Mr. Holbrooke's office in Washington, D.C., to see why the American Embassy was not backing CSFB for the contract. Allegedly, the Ambassador was told by Mr. Holbrooke to back CSFB and Mr. Holbrooke dictated a letter advising the Ambassador of what to say.

The day after Mr. Holbrooke left his DOS employment, he became the Vice Chair of CSFB.

The anonymous letter also mentioned that Mr. Holbrooke, in his current position of Vice Chair of CSFB, asked for meetings with high level officials in foreign governments and has taken ambassadors with him to these meetings. The letter alleges that having ambassadors at these sales meetings has given the impression that Mr. Holbrooke is enjoying a "quasi official status" while working at CSFB.

Mr. Holbrooke is aware of the OIG investigation, and has been interviewed by the OIG concerning the above matters. The OIG has discussed their investigation with representatives of the Public Integrity Section, United States Department of Justice. Additionally, on July 20, 1998, Secretary of State Albright was briefed concerning the OIG investigation. The OIG does not know when their investigation will be concluded or if it will be referred for criminal prosecution.

No additional information can be provided at this time.

# EXTREME CAUTION SHOULD BE EXERCISED IN DISCUSSING THIS MATTER AS ANY DISCLOSURE OF THE DETAILS COULD JEOPARDIZE THE INVESTIGATION.

Dissemination of the information disclosed in this summary memorandum has been cleared by the Office of the Deputy Attorney General.



FD-263 (Rev. 4-30-85)

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# FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD		
New York	BUREAU	7/15/98	7/9 -7/15/98		
TITLE OF CASE		REPORT .AADE BY			TYPED BY:
RICHARD CHARLES HO	LBROOKE	SA			ctv
		CHARACTER OF CA	ASE		
		LEVEL I - P	AS	b6	
				b7C	

**REFERENCE**:

161E-HQ-1256328, Serial 1

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### ADMINISTRATIVE:

It is to be noted all individuals interviewed were apprised of the provisions of the Privacy Act of 1974 and no express promise of confidentiality was granted.

On 7/13/98, a review of New York Office general indices revealed no derogatory information regarding RICHARD CHARLES HOLBROOKE TRUDI HOLBOOKE nee KEARL, STANLEY KEARL.

1 1	L AGENT CHARGE		DO NOT WR	ITE IN SPACES B	ELOW
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#### FD-204 (Rev. 12-1-95)

## UNITED STATES DEPARTMENT OF JUSTICE Federal Bureau of Investigation

Copy to:

Report of: Date:	SA July 15, 1998	,	Office:	New	York	Ъ6 Ъ7С
Case ID #:	161E-HQ-1256328					

Title: RICHARD CHARLES HOLBROOKE

Character: LEVEL I - PAS

Synopsis: Appointee interviewed and results set forth. Appointee's birth verified. Appointee's residence and employment verified with no derogatory information. Appropriate agency checks re appointee and his family set forth.

- C -

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ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-16-2011 BY 60324UCBAW/SB/CMW

### - 1 -

#### FEDERAL BUREAU OF INVESTIGATION

Date of transcription

7/9/98

On July 9, 1998, RICHARD CHARLES ALBERT HOLBROOKE, 11 Madison Avenue, New York, New York, was interviewed and advised that the scope of the investigation would be from 1994 to present, and would cover all aspects of his adult life during that period. He then furnished the following information ..

He advised he was born April 24, 1941 at New York, New York.

He advised he has never served in the United States Military.

He advised he attended BROWN UNIVERSITY, Providence, Rhode Island, receiving a BA Degree in 1962. He noted he also attended two (2) classes at PRINCETON UNIVERSITY, Princeton, New Jersey, 1969 - 1970, no degree obtained. He stated he has attended no colleges since that time.

He advised he is currently Vice Chairman for CREDIT SUISSE FIRST BOSTON, 11 Madison Avenue, New York, New York, February, 1996 - present. He explained the above bank is involved in investment banking and he works in the Corporate Finance Section. He noted he has a number of clients he deals with, some are domestic and some are foreign. He explained he has traveled throughout the United States and the world on business matters for the above bank.

He stated he currently serves on several Advisory Boards and Boards of Directors, but noted he has sent notice to any and all Boards he is on that he is withdrawing from those Boards effective immediately. He stated he did not want to have it appear that there might be any possible conflict of interest between the position he is being considered for and any association with Boards in the past. He noted a number of the Boards that he has been affiliated in the past with have given him a stipend for appearing at regular scheduled Board meetings and appropriate consultation. He noted there are other various

Investi	gation on	7/9/98	at	NEW	YORK,	NEW	YORK			
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by	SA			]					b7C	

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# 161A-HQ-1256328

Continuation of FD-302 of RICHARD CHARLES HOLBR	OOKE	_, On <u>7/9/98</u>	, Page	2
speeches a year on various su foreign affairs. He noted he concerning political affairs effort.	has also writt	en two books		
He explained he was and co individual. He noted the fol members:	ntinues to be m	arried to that		
Mother Address	TRUDI HOLBRO 344 Sprain R Scarsdale, N	oad		Ъб Ъ7С
Father Address:	DANIEL HOLBR (deceased)	OOKE		
Stepfather Address	STANLEY KEAR 344 Sprain R Scarsdale, N	oad		
Son Address	New York, New	w York		
Son Address	New York, New	v York	]	
Stepchild Address	New York, New	/ York		
Stepchild Address	New York, New	v York		
Brother Address	New York, New	York		
Father-In-Law Address				

# 161A-HQ-1256328

Continuation of FD-302 of	RICHARD CHARLES HOLBROOKE	. On 7/9/98	Page	3
	Mother-In-Law Address			່ b6 b7C
	He noted he was formerly management having married her in 1964 He noted he was also formerly married her in 1977, but secu:	4 and secured a divorce married to		
his wif reside and his York al purchas they sp explain Hill Ros that pr property residend explaine that loc private he and taxe property are not	He advised he resides at New York, New York, Fel ed the above apartment is a co e prior to their marriage. He in that co-op as do his two st wife, who reside at so own an additional private for new York. He ed in 1994 and is listed under end occasional weekends at that ed he also owns a private residence in 1987 and is y. He explained he and his with the purchased that in 1991 at private residence is up for sale and his wife purchased a private re- residence is up for sale and his wife purchased a private re- residence is up for sale and his wife purchased a private re- residence is up for sale and his wife purchased a private re- residence is up for sale and his wife purchased a private re- residence is up for sale and his wife purchased a private re- relluride, Colorado as well. es are current, and he owns nor o ther than the above homes. encumbered with any covenants religion.	b-op which was purchased e explained he and his with tepchildren. He explain New York residence located at explained that home was this wife's name. He residence. He idence at 47 Upper Church He explained he purchas s used solely for rental fe also own a private Colorado. He idence and his wife visits a year. He explained approximately one month residence located at He explained all payme other real estate or He stated his properti	d by wife ned he . New s noted He ch ased t that that ents 	
were for attendin	He advised he has left the rs and visited more than 25 c the purpose of working for t g various business meetings. sionally for vacation purpose	ountries. He explained he State Department and He noted the travel ab	they	

161A-HQ-1256328

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Continuation of FD-302 of	RICHARD CH	HARLES	HOTRROOKE	. On 7/9/98	, Page	- 4
Commutation of PD-302 of			TTO DDICO OTCL	,011775750	, rage	_

He advised his personal policy has been not to incur indebtedness and as such advised there are no outstanding loans against him. He stated there are no outstanding tax liens or judgements outstanding against him as well. He stated he does not have any federal, state or local tax obligations and noted all taxes are current and up to date. He stated that included Income taxes, Medicare taxes, Social Security taxes, and Unemployment taxes. He noted that he and his wife do utilize the services of a housekeeper, but while she is foreign born, she does not reside with them and all Social Security taxes concerning her salary have been paid on a timely basis.

He explained he does belong to the CENTURY CLUB, New York, New York. He noted it is social in nature, but stated he does not have an official or executive position with them. He stated to the best of his knowledge, they are not encumbered with any restrictions pertaining to race, color, creed or religion.

He stated there are no current or past circumstances known to him that could have a bearing on his suitability for federal employment or access to classified information. He stated he has never utilized prescription drugs or been involved in alcohol abuse, illegal drug use or participation in drug/alcohol counseling rehabilitation programs. He noted he has never been involved in any civil suits as a plaintiff or a defendant with the exception of two divorce proceedings. He noted he has never been involved in any criminal matters, as either a subject or a suspect, nor has he ever been charged with any criminal matters, arrests or convictions.

He stated he has never been denied employment and/or dismissed for any reason whatsoever.

He stated he has never had any professional complaints or any non/judicial actions taken against him.

He stated he has never utilized services of a psychiatrist, psychologist or any other qualified counselor..

He stated he formerly was a member of the UNITED STATES STATE DEPARTMENT and also served for a time as United States Ambassador to Germany, and as such consulted numerous leaders of foreign countries during that period. He explained he continues

# 161A-HQ-1256328

# Continuation of FD-302 of RICHARD CHARLES HOLBROOKE . On 7/9/98 . Page 5

to meet numerous leaders of foreign countries, but has never said or done anything to the detriment of the United States. He stated he continues to be a loyal American citizen and felt there was nothing concerning his personal life which could be used to coerce him. He stated there are no business/investment circumstances that could involve or have involved conflict of interest allegations.

He stated he has never had any involvement in any organization which advocates the use of force to overthrow the United States government, or any involvement in the commission of sabotage, espionage or assistance of others.

<u>He explained his wife.</u>	was born
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He advised the SF-86 he signed and executed June 24, 1998 was complete and accurate to the best of his knowledge.

161E-HQ-1256328 GM:ctv

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# BIRTH

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On July 12, 1998, a review of records at BUREAU OF VITAL STATISTICS, New York, New York, determined RICHARD CHARLES ALBERLT HOLBROOKE was born April 24, 1941 at New York, New York. His birth was listed under Certificate Number 41-111424 and his listed parents were TRUDI and DANIEL HOLBROOKE.

161A-HQ-1256328 PAS:pas

NEIGHBORHOOD

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New	York,	New	York	
Februa	rv 199	6 -	Drecent	

The following investigation was conducted by Special Aqent <u>∩n J</u>µly 9, 1998, New York, New York, telephone advised that he has known the appointee since was working for U.S. SENATOR JACOB JAVITS when he first met the appointee, who was working for the Foreign Service at the time. He advised that he is currently in contact with the appointee. He described the appointee as having excellent character, honest, trustworthy, forthright, straightforward, fully responsible and reliable with the highest level of integrity and morals. He stated that he has a good mental disposition and is emotionally stable. The appointee can maintain confidences, secrets and exercise appropriate discretion. He stated that the appointee gets along extremely well with others and associates with reputable, law abiding people. He stated that the appointee is absolutely loyal to the United States. He stated that the appointee has the highest personal and professional reputation. The appointee always presents a professional appearance. The appointee does not use illegal drugs, abuse alcohol or prescription medicine. He stated that the appointee's lifestyle and spending habits are consistent with his financial means. The appointee never displayed any form of violent, irrational or deviant behavior nor any bias or prejudice towards any group or organization. He stated that the appointee has a very stable personality. He was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He stated that he would completely recommend the appointee for a position of trust and confidence with the United States Government.

		verifi	ed t	<u>hat t</u>	<u>he</u> app	oin	tee	has	resid	ded at	-	]
											repruz	iry
1996 to th					known	of	no	prob	olems	with	the	
appointee	since	e resid:	ing	there	•							

On July 13, 1998,

A.K.A.M. AND ASSOCIATES, 420 Lexington Avenue, New York, New York, telephone (212)986-0001, advised that a review of their records revealed that the appointee presently resides at b6 b7C

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	and has resided there since b6
February 1996. She advised that the	appointee's wife, b70
purchased th	e apartment back in October
1990. further stated that t	here were no problems with
the appointee and that he has regula	rly paid his fees on time.

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161A-HQ-1256328

TMK:tmk

**NEIGHBORHOOD** 

New York, New York 10024 <u>February 1996 - Present</u>

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<u>The following investigation was conducted by Special Agent</u>

<u>On July 9, 19</u>98,

New York, New York, advised that he has been in his current position for approximately four (4) years. stated that he met the appointee approximately four (4) years ago by working at the building where the appointee resides. They are currently in contact. He described the appointee as a very nice, pleasant, professional and friendly individual, who is both responsible and reliable. was unable to comment on the appointee's level of integrity and morals due to the limited nature of their relationship. The appointee has an even mental disposition and is emotionally stable. was unable to comment on the appointee's ability to maintain confidences, secrets and exercise the appropriate discretion due to the limited nature of their relationship. The appointee gets along well with others and associates with reputable, law abiding people. The appointee is loyal to the United States and has a favorable reputation with the doormen and other tenants. The appointee presents a professional appearance. The appointee does not use illegal drugs, abuse alcohol or prescription medicine.

was unable to comment on the appointee's lifestyle compared to his financial means due to the limited nature of their relationship. The appointee has a stable personality and does not display any form of violent, irrational or deviant behavior. _____ has never known the appointee to display any bias or prejudice towards any group or organization. He was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He concluded that the appointee is very pleasant, and he would certainly recommend him for a position of trust and confidence with the United States government.

On July 9, 19				
New York, Ne	w York, advised	that <u>he</u> ha	<u>as been</u> in h	is current
position for more	than ten (10) y	ears.	state	ed that he

met the appointee approximately ten (10) years ago in his New York, New capacity as a York, when the appointee visited some of his associates that lived in the building. The appointee has since moved into the building. They are currently in contact. He described the appointee as a very down to earth, unpretentious, level headed individual, who is both responsible and reliable. was unable to comment on the appointee's level of integrity and morals due to the limited nature of their relationship. The appointee has a very even consistent mental disposition and is emotionally stable. was unable to comment on the appointee's ability to maintain confidences, secrets and exercise the appropriate discretion due to the limited nature of their relationship. The appointee gets along well with others and associates with reputable, classy, law abiding people. The appointee is loyal to the United States and has a positive reputation with the doormen and other tenants. The appointee presents a professional appearance. The appointee does not use illegal drugs, abuse alcohol or prescription medicine. was unable to comment on the appointee's lifestyle compared to his financial means due to the limited nature of their relationship. The appointee has a stable personality and does not display any form of violent, irrational or deviant behavior. has never known the appointee to display any bias or prejudice towards any group or organization. He was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He concluded that the appointee is trustworthy and he would definitely recommend him for a position of trust and confidence with the United States government.

On July 9, 1998,

New York, New York, advised that he has <u>heen in his current position</u> for more than three (3) years. ______stated that he met the appointee approximately three (3) years ago by working at the building where the appointee resides. They are currently in contact. He described the appointe<u>e as a very</u> polite, straightforward, happy individual. was unable to comment on the appointee's level of integrity and morals due to the limited nature of their relationship. The appointee has a friendly mental disposition and is emotionally stable. was unable to comment on the appointee's ability to maintain confidences, secrets and exercise was unable to comment on the the appropriate discretion due to the limited nature of their relationship. The appointee gets along well with others and associates with reputable, law abiding people. The appointee is loyal to the United States and has a positive reputation with the doormen and other tenants. The appointee presents a professional appearance. The appointee does not use illegal drugs, abuse alcohol or prescription medicine. | was unable to comment

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on the appointee's lifestyle compared to his financial means due to the limited lature of their relationship. The appointee has a stable personality and does not display any form of violent, irrational or deviant behavior. As never known the appointee to display any bias or prejudice towards any group or organization. He was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He concluded that the appointee is trustworthy, and he would recommend him for a position of trust and confidence with the United States government.

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<u>On Julv 1</u>9, 1998, __New York, New York, advised that he has lived at his current address for approximately 12 years. stated that he met the appointee approximately two (2) or three (3) years ago by living across the hall from him. They are currently in contact. He described his interaction with the appointee as limited and stated that the appointee is consistently friendly, well mannered, trustworthy, and intelligent. _____was unable to comment on the appointee's level of integrity and morals due to the limited nature of their relationship. The appointee has balanced mental disposition and is emotionally stable. was unable to comment on the appointee's ability to maintain confidences, secrets and exercise the appropriate discretion due to the limited nature of their relationship. The appointee gets along well with others and associates with reputable, law abiding people. The appointee is loyal to the United States and has an excellent reputation with the tenants. The appointee presents an extremely professional appearance. The appointee does not use illegal drugs, abuse alcohol or prescription medicine. was unable to comment on the appointee's lifestyle compared to his financial means due to the limited nature of their relationship. The appointee has a stable personality and does not display any form of violent, irrational or deviant behavior. has never known the appointee to display any bias or prejudice towards any group or organization. He was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He concluded that he thinks highly of the appointee and he would certainly recommend him for a position of trust and confidence with the United States government.

<u>On July</u> 19, 1998

New York, New York, advised that he has known the appointee since circa 1959, having met him as classmates and coeditors of the school newspaper at Brown University. and the appointee currently reside in the same apartment building. They are currently in contact. He described his interaction with

-3-

the appointee as limited and stated that the appointee is very bright, responsible, intelligent and knowledgeable about glocal stated that the appointee has a high level of affairs. integrity and morals. The appointee has an even mental .b6 disposition and is emotionally stable. was unable to b7C comment on the appointee's ability to maintain confidences, secrets and exercise the appropriate discretion due to the limited nature of their relationship. The appointee gets along well with others and associates with reputable, law abiding people. The appointee is loyal to the United States and has a positive reputation. The appointee always presents a professional appearance. The appointee does not use illegal drugs, abuse alcohol or prescription medicine. was unable to comment on the appointee's lifestyle compared to his financial means due to the limited nature of their relationship. The appointee has a stable personality and does not display any form of violent, irrational or deviant behavior. ____ has never known the appointee to display any bias or prejudice towards any group or organization. He was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He concluded that he would certainly recommend the appointee for a position of trust and confidence with the United States government.

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On July 14, 1998, a review of records at the NEW YORK CITY REGISTRAR'S OFFICE. 31 Chambers Street, New York, New York, determined New York, New York. A review of the file determined that there were no tax liens on the property, nor were there any restrictive covenants pertaining to race, creed, color or national origin concerning the above building.

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TMK:tmk

**NEIGHBORHOOD** 

			New	York
1994	-	Present		

<u>The following investigation was conducted by Special</u>	
Agent b6	
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On July 14, 1998,	
New York,	
was found to be a residence set back from the road, the view of	
which from the street was obstructed by trees and shrubbery.	
There were no sidewalks on either side of A	
sign was posted in the groun <u>d at the top of the</u> res <u>idence's</u>	
driveway revealing the names and No	
house number was posted. The closest neighbors were located on	
both the east and west sides of the residence, approximately one-	
quarter mile in each direction. No trespassing signs and no	
soliciting signs were posted in close proximity to each of the	
neighbors' driveways.	

TMK:tmk

# SUFFOLK COUNTY CLERK'S OFFICE

	Suffolk County Clerk's Office County Center Route 24 Discourse of New York	b6 b7C
	Riverhead, New York On July 14, 1998, Special Agent	]
aed a	search of the records of the Suffolk County Clark's	

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caused a search of the records of the Suffolk County Clerk's
Office regarding the residence of
New York. The search met with the following
results:
The said residence is owned by
New York, New York, and is zoned in
The deed number of the
said property is A mortgage was taken out
against the property by on 04/17/1995 with
NATIONAL BANK and is currently outstanding. No other liens or
covenants on the property were noted.

161A-HQ-1256328 JNT:jnt

**EMPLOYMENT** 

Credit Suisse First Boston Eleven Madison Avenue New York, NY 10010 February 1996 - Present

	The following	investigation	was	conducted	by	Special A	gents
-	On July 10 1	998					

On July 10, 1998, Human Resources, Credit Suisse First Boston Corporation. Eleven Madison Avenue, New York, New York, telephone advised that a review of their files revealed that the appointee worked there from February 29, 1996 until present with an office title of Vice Chairman. He stated that the appointee was held in high esteem and would definitely be eligible for rehire.

described his character as committed, having a good disposition, a great grasp of the world scene, quick on his feet, articulate and concerned. He is responsible and reliable, with exemplary integrity and morals. He stated that the appointee's mental disposition and emotional stability are steady. He maintains confidences, secrets, exercises appropriate discretion and is honest. The appointee gets along well with others and associates with reputable, law-abiding persons. The appointee is definitely loyal to the United States. appointee's personal and professional reputations are extremely positive. He stated that the appointee's role with the company is to increase market share through client development. The appointee generates new business for the firm and at the same time, <u>pursues h</u>is roles as diplomat and statesman with equal vigor. described his work abilities as hardworking and responsive. The appointee presents a professional appearance. He stated that the appointee does not display any absence or tardiness problems. The appointee does not use illegal drugs, abuse alcohol or prescription medicine to knowledge. He could not comment on the appointee's lifestyle and spending habits being consistent with his financial means. The appointee has a stable personality and has not displayed any violent, irrational or deviant behavior. The appointee never displayed any bias or prejudice towards any group or organization. He is unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgment or discretion. stated that he would highly recommend the appointee for a position of trust and confidence with the United States Government.

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161A-HQ-1256328 CLL:cll

EMPLOYMENT

# Credit Suisse First Boston Eleven Madison Avenue New York, NY 10010 February 1996 - Present

The following investigation was conducted by Special Agent

On July 13, 1998, Credit Suisse First Boston. Eleven Madison Avenue, New York, New York, telephone advised that he has known the appointee for approximately three years, having met him through their employment at Credit Suisse First Boston. He remains in contact with him. He described his character as a bright person who is involved with what he does and a good guy. He is responsible and reliable, with the highest of integrity and morals. He stated that the appointee's mental disposition and emotional stability were steady. He maintains confidences, secrets, exercises appropriate discretion and is honest. The appointee gets along well with others and associates with

appointee gets along well with others and associates with reputable, law-abiding persons. The appointee is loyal to the United States. stated that the appointee's personal and professional reputations are highly regarded and unblemished. He described his work abilities as hardworking and focused. The appointee presents a professional appearance. He stated that the appointee does not display any absence or tardiness problems. The appointee does not use illegal drugs, abuse alcohol or prescription medicine to knowledge. The appointee's lifestyle and spending habits are consistent with his financial means. The appointee has a stable personality and has not displayed any violent, irrational or deviant behavior. The appointee never displayed any bias or prejudice towards any group or organization. He is unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgment or discretion. He stated that he would definitely recommend the appointee for a position of trust and confidence with the United States Government.

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EMPLOYMENT

# Credit Suisse First Boston Eleven Madison Avenue New York, NY 10010 February 1996 - Present

The following investigation was conducted by Special Agents and

On July 10, 1998, Credit Suisse First Boston, Eleven Madison Avenue, New York, New York, telephone advised that he has known the appointee for approximately three years, having met him through their employment at Credit Suisse First Boston. He does not remain in contact with him. He described his character as a strong, opinionated person, with a soft side, who had a strong vision of what is right and wrong and was a tough negotiator. He was responsible and reliable, with good integrity and morals. He stated that the appointee's mental disposition and emotional stability were steady. He maintained confidences, secrets, exercised appropriate discretion and was honest. The appointee got along well with others and associated with reputable, law-abiding persons. The appointee appointee's personal and professional reputations were good. He described his work abilities as highly energetic. The appointee presented a professional appearance. He could not comment on the appointee's absence or tardiness. The appointee did not illegal drugs, abuse alcohol or prescription medicine to knowledge. He could not comment on the appointee's lifestyle and spending habits being consistent with his financial means. The appointee had a stable personality and did not display any violent, irrational or deviant behavior. The appointee never displayed any bias or prejudice towards any group or organization. He is unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgment or discretion. He stated that he would definitely recommend the appointee for a position of trust and confidence with the United States Government.

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**EMPLOYMENT** 

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Credit Suisse First Boston Eleven Madison Avenue New York, NY 10010 February 1996 - Present

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EMPLOYMENT

Credit Suisse First Boston Eleven Madison Avenue New York, NY 10010 February 1996 - Present

The following	inve and	estigation	was	<u>conduct</u> e	d by	Special	Agents

On July 10, 1998, , Credit Suisse First Eleven Madison Avenue, <u>New York, New York, telephone</u> , Credit Suisse Fir<u>st Boston.</u> advised that he has known the appointee for approximately three years, having met him when he joined First Boston Function. He remains in contact with him. He described his character as a gregarious, focused, sharp person with a good business sense and a intense competitive side. He is responsible and reliable, with exemplary integrity and morals. He stated that the appointee's mental disposition and emotional stability were steady. He maintains confidences, secrets, exercises appropriate discretion and is honest. The appointee gets along well with others and associates with reputable, law-abiding persons. The appointee is stated that the appointee's role is not fully understood, thus causing the mixed feelings about his reputation. He described his work abilities as hardworking and responsive. The appointee presents a professional appearance. He stated that the appointee does not display any absence or tardiness problems, but has canceled out on functions at the last minute due to other priorities. The appointee does not use illegal drugs, abuse alcohol or prescription medicine to knowledge. He could not comment on the appointee's lifestyle and spending habits being consistent with his financial means. The appointee has a stable personality and has not displayed any violent, irrational or deviant behavior. The appointee never displayed any bias or prejudice towards any group or organization. He is unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgment or discretion. He stated that he would definitely recommend the appointee for a position of trust and confidence with the United States Government.

	-	stated	that				t	elephor	ne	
	is	another	person	at	this	location	that	knows	the	e
appointee.										

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EMPLOYMENT

Credit Suisse First Boston Eleven Madison Avenue New York, NY 10010 February 1996 - Present

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The following investigation was conducted by Special Agent On July 13, 1998, Credit Suisse First Boston, Eleven Madison Avenue, New York, New York, telephone advised that he has known the appointee for approximately one and one half years, having met him through their partnership at Credit Suisse First Boston. He remains in contact with him, occasionally. He described his character as a highly professional person with the highest of character. He is responsible and reliable, with the highest of integrity and morals. He stated that the appointee's mental disposition and emotional stability were steady and always in control. He maintains confidences, secrets, exercises appropriate discretion and is honest. The appointee gets along well with others and associates with reputable, law-abiding persons. The appointee is absolutely loyal to the United States. absolutely loyal to the United States. apointee's personal and professional rep<del>utations</del> are highly regarded and unblemished. He described his work abilities as hardworking and dedicated. The appointee presents a professional appearance. He stated that the appointee does not display any absence or tardiness problems. The appointee does not use illegal drugs, abuse alcohol or prescription medicine to knowledge. _____ could not comment on the appointee's lifestyle and spending habits being consistent with his financial means. The appointee has a stable personality and has not displayed any violent, irrational or deviant behavior. The appointee never displayed any bias or prejudice towards any group or organization. He is unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgment or discretion. He stated that he would definitely recommend the appointee for a position of trust and confidence with the United States Government.

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EMPLOYMENT

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Credit Suisse First Boston Eleven Madison Avenue New York, NY 10010 February 1996 - Present

<u>The following investigation was conducted by Special Agent</u>

On July 13, 1998,
Credit Suisse First Boston, Eleven Madison Avenue, New York, New
York, telephone advised that he has known the
appointee since September, 1987, h <u>aving met him when he</u>
interviewed her for a position as
She remains in contact with him. She described his character as
a straightforward, fair, upright, outstanding person who is
responsible and reliable, with the highest of integrity and
morals. She stated that the appointee's mental disposition and
emotional stability were steady. He maintains confidences,
secrets, exercises appropriate discretion and is honest. The
appointee gets along well with others and associates with
reputable, law-abiding persons. The appointee is definately
loyal to the United States, an outstanding citizen with the
highest respect for the President and others in authority.
stated that appointee's personal and professional
reputations are highly regarded and unblemished. She described
his work abilities as well respected, bright and admired. The
appointee presents a professional appearance. She stated that
the appointee does not display any absence or tardiness problems.
The appointee does not use illegal drugs, abuse alcohol or prescription medicine to knowledge. The appointee's
prescription medicine to knowledge. The appointee's lifestyle and spending habits are consistent with his financial
means. The appointee has a stable personality and has not
displayed any violent, irrational or deviant behavior. The
appointee never displayed any bias or prejudice towards any group
or organization. She is unaware of any concealed activity or
conduct which could be used in any way to subject the appointee
to influence, pressure, coercion or compromise and/or would
impact negatively on his character, reputation, judgment or
discretion. She stated that she would definitely recommend the
appointee for a position of trust and confidence with the United
States Government.

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**EMPLOYMENT** 

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Credit Suisse First Boston Eleven Madison Avenue New York, NY 10010 February 1996 - Present

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EMPLOYMENT

Credit Suisse First Boston Eleven Madison Avenue New York, NY 10010 February 1996 - Present Ъ6 Ъ7С

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EMPLOYMENT

Credit Suisse First Boston Eleven Madison Avenue New York, NY 10010 February 1996 - Present

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The following investigation was conducted by Special Agent

On July 13, 1998

Corporate and Investment Banking, Credit Suisse First Boston Eleven Madison Avenue, New York, New York, telephone advised that he has known the appointee for approximately three years, having met him when the appointee applied for a position with Credit Suisse First Boston. He remains in contact with him. He described his character as a straightforward, good person. He is responsible and reliable, with good integrity and morals. He stated that the appointee's mental disposition and emotional stability were steady. He maintains confidences, secrets, exercises appropriate discretion and is honest. The appointee gets along well with others and associates with reputable, law-abiding persons. The appointee is absolutely loyal to the United States. _____stated that the appointee's personal and professional reputations are good. He described his work abilities as hardworking and gets the job done. The appointee presents a professional appearance. He stated that the appointee does not display any absence or tardiness problems. The appointee does not use illegal drugs, abuse alcohol or prescription medicine to knowledge. The appointee's lifestyle and spending habits are consistent with his financial means. The appointee has a stable personality and has not displayed any violent, irrational or deviant behavior. The appointee never displayed any bias or prejudice towards any group or organization. He is unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgment or discretion. He stated that he would definitely recommend the appointee for a position of trust and confidence with the United States Government.

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EMPLOYMENT

Credit Suisse First Boston Eleven Madison Avenue b6 New York, NY 10010 b7C February 1996 - Present

The following investigation was conducted by Special Agent

On July 13, 1998, Credit Suisse First Boston, Eleven Madison Avenue, New York, New York, telephone Credit Suisse First advised that he has known the appointee for since 1996, having met him when he applied for a position as an April, with Credit Suisse First Boston. He remains in contact with nim. He described his character as a hardworking, energetic, intelligent person. He is responsible and reliable, with the good integrity and morals. He stated that the appointee's mental disposition and emotional stability were steady. He maintains confidences, secrets, exercises appropriate discretion and is honest. The appointee gets along well with others and associates with reputable, law-abiding persons. The appointee is loyal to the United States. stated states stated stated those of a hardworking, energetic person. He described his work abilities as hardworking and energetic. The appointee presents a professional appearance. He stated that the appointee does not display any absence or tardiness problems. The appointee does not use illegal drugs, abuse alcohol or prescription medicine to knowledge. The appointee's lifestyle and spending habits are consistent with his financial means. The appointee has a stable personality and has not displayed any violent, irrational or deviant behavior. The appointee never displayed any bias or prejudice towards any group or organization. He is unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgment or discretion. He stated that he would definitely recommend the appointee for a position of trust and confidence with the United States Government.

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# <u>ASSOCIATE</u>

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The following investigation was conducted by Special		
Agent		
<u>On July 14, 1998,</u>		
New York, New York, telephone number		
advised that he has known the appointee for in excess of twenty		
(20) years, having met him through their mutual involvement at		
the United Nations. Subsequent to their mee <u>ting, th</u> e appointee		
served as Assistant Secretary of State under They are		
currently still in contact. He described the appointee as a		
hardworking, capable, able and intelligent individual who is both		
responsible and reliable. The appointee possesses an		
unquestionably high level of integrity and morals. The appointee		
has a balanced mental disposition and is emotionally stable. The		
appointee can maintain confidences, secrets and exercises the		
appropriate discretion. The appointee gets along well with		
others and associates with reputable, law abiding people. The		
appointee is very loyal to the United States and has a reputation		
for being an honest and trustworthy individual. The appointee		
presents a professional appearance. The appointee does not use		
illegal drugs, abuse alcohol or prescription medicine. The		
appointee's lifestyle is consistent with his financial means.		
The appointee has a stable personality and does not display any		
form of violent, irrational or deviant behavior. has never		
known the appointee to display any bias or prejudice towards any		
group or organization. He was unaware of any concealed activity		
or conduct which could be used in any way to subject the		
appointee to influence, pressure, coercion or compromise and/or		
would impact negatively on his character, reputation, judgement		
or discretion. He concluded that the appointee is the ideal		
choice for a position of trust and confidence with the United		
States government, and he recommends him for such a position		
without question.		

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ORGANIZATION

American Council on Germany 14 East 60th Street New York, New York <u>1993-Present</u>

The following investigation was conducted by Special
Agent Agent
On July 10, 1998, American Council on Germany, 14 East 60th Street, New York, New York, telephone number planning of an organization function. Is still in contact with the appointee. Istated that the appointee became a member of the American council on Germany (Council) in the Fall of 1993, shortly after he was appointed United States Ambassador to Germany. He was elected to the Council's board of directors in May, 1996. Stated that the appointee's duties in the organization usually called upon him to host organization functions and introduce quests. The appointee also acted as an advisor on diplomacy. advised that the board of directors meet approximately four times per year. She stated, however, that the appointee never attended any of the meetings because he was usually traveling when the meetings were held. described the Council as a not-for-profit organization whose goals are to promote good business, economic and cultural relations between the United States and Germany. The Council does not have any policies that restrict membershin on the basis of sex, race, color, religion or national origin. The appointee's position as a member of the board of directors is unpaid. described the appointee as responsible, reliable, a good speaker at organization functions, and as having an excellent personality. She stated that the appointee has a high character with good morals and integrity. She advised that the appointee's mental disposition and emotional stability are good.
The appointee can maintain confidences, secrets and exercise appropriate discretion. The appointee gets along well with others and associates with reputable, law-abiding people.
advised that the appointee is loyal to the United States and is admired and well liked both personally and professionally. He always presents a professional appearance and does not use
illegal drugs, abuse alcohol or prescription medicine. The appointee's spending habits and lifestyle are within his financial means. He has a stable personality and has not displayed any form of violent, irrational, or deviant behavior. The appointee has never displayed any bias or prejudice towards
any group or organization. was unaware of any concealed

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## 161A-HQ-1256328

activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. She highly recommended the appointee for a position of trust and confidence with the United States Government. 161A-HQ-1256328 VML:vml

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ORGANIZATION

The Trilateral Commission 345 East 46th Street New York, New York <u>1973-Present</u>

Agent The following investigation was conducted by Special
On July 10, 1998 The Trilateral Commission. 345 East 46th Street, New advised that he has known the appointee since 1972, having met him when the appointee was the editor of the publication FOREIGN POLICY. is still in contact with the appointee. Stated that the appointee has been a member of the Trilateral Commission (Commission) intermittently since approximately 1973, but would leave the organization each time he entered government service, and reestablish his membership with the Commission when he concluded his government service. The appointee's membership position is unpaid, and the Commission is a not-for-profit organization. The Commission focuses on the three global democratic industrial powers, the European Union, North America, and Japan, and examines foreign policy issues and methods of fostering cooperation among them. The appointee's duties are advisory in nature and include assisting in writing reports. The Commission does not have any policies restricting membership on the basis of sex, race, color, religion or national origin.
described the appointee as extremely energetic, highly intelligent, dedicated, responsible, reliable, and with a high
capacity for work. He stated that the appointee has high morals and integrity. He advised that the appointee's mental disposition and emotional stability are good. Advised that the appointee is often forceful and animated in asserting his position, but never irrational. The appointee can maintain confidences, secrets and exercise appropriate discretion. The appointee gets along well with others and associates with reputable, law-abiding people. Advised that the appointee is absolutely loyal to the United States. Stated that the appointee is highly thought of both personarry and
professionally, but does have some critics who say that he is overly ambitious. He always presents a professional appearance and does not use illegal drugs, abuse alcohol or prescription medicine. The appointee's spending habits and lifestyle are within his financial means. He has a stable personality and has not displayed any form of violent, irrational, or deviant behavior. The appointee has never displayed any bias or prejudice towards any group or organization. Was unaware of any concealed activity or conduct which could be used in any way

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to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. ______recommended the appointee for a position of trust and confidence with the United States Government. 161A-HQ-1256328 VML:vml

ORGANIZATI<u>ON</u>

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Council on Foreign Relations 58 East 68th Street New York, New York <u>1970-Present</u>

following investigation was conducted by Special Aqent On July 10, 1998, Council on Foreign Relations, 58 East 68th Street, New York, New York, advised that he has known the telephone number was working in appointee since 1971, having met him when the White House for the Nixon Administration and the appointee was also working in government service. remains in frequent contact with the appointee. advised that the appointee has been a member of the Council on Foreign Relations (Council), a not-for-profit organization, since 1970. The appointee is a member of the board of directors, an unpaid position. The Council is a nonpartisan group devoted to the study of foreign policy, and publishes the journal FOREIGN AFFAIRS. The appointee's duties include chairing committees and providing his expertise and knowledge in foreign policy areas. advised that the Council does not have any policies restricting membership on the basis of sex, race, color, religion or national origin, and is devoted to increasing minority described the appointee as having an representation. excellent character, and totally responsible and reliable. He advised that the appointee has good morals and integrity. He advised that the appointee's mental disposition and emotional stability are good. The appointee can maintain confidences, secrets and exercise appropriate discretion. The appointee gets along well with others and associates with very reputable, lawabiding people. advised that the appointee is unquestionably loyal to the United States. stated that the appointee has a good reputation and is considered one of the brightest and most able people in the field of foreign policy professionals. _____advised that the appointee gets along well with most people, even though he is aggressive in asserting his views. He always presents a professional appearance and does not use illegal drugs, abuse alcohol or prescription medicine. The appointee's spending habits and lifestyle are within his financial means. He has a stable personality and has not displayed any form of violent, irrational, or deviant behavior. The appointee has never displayed any bias or prejudice towards any group or organization. was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement

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or discretion. enthusiastically recommended the appointee for a position of trust and confidence with the United States Government, and stated that his appointment was a brilliant choice.

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ORGANIZATION

Citizens Committee for New York City 305 Seventh Avenue New York, New York <u>1992-Present</u>

Agent

The following investigation was conducted by Special

On July 10, 1998,

Citizens Committee for New York City (Committee), 305 Seventh Avenue, New York, New York, telephone number (212)989-0909, advised that he has known the appointee for five years, having been introduced to him by the chairman of the Committee. ______ is still in contact with the appointee. ______ advised that the appointee has been a member of the Committee intermittently since September, 1992, but would leave the organization each time he entered government service, and reestablish his membership with the Committee when he concluded his government service. The appointee was made a member of the board of directors, an unpaid position. The objective of the Committee, a not-for-profit organization, is to improve the quality of life in New York City by assisting approximately 12,000 block, neighborhood, and resident associations through various programs. The appointee's duties entail providing oversight, direction, developing program ideas, and identifying sources of financial support. The Committee does not have any policies that restrict membership on the basis of sex, race, color, religion or national origin. described the appointee as very passionate advocate of peace and the ending of suffering. The appointee is a responsible and reliable person, with great integrity and morals. He advised that the appointee's mental disposition and emotional stability are good. The appointee can maintain confidences, secrets and exercise appropriate discretion. The appointee gets along well with others and associates with reputable, law-abiding advised that the appointee is loyal to the United people. States and has an excellent reputation. He always presents a professional appearance and does not use illegal drugs, abuse alcohol or prescription medicine. The appointee's spending habits and lifestyle are within his financial means. He has a stable, thoughtful personality and has not displayed any form of violent, irrational, or deviant behavior. The appointee has never displayed any bias or prejudice towards any group or organization. was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He highly recommended the appointee for a position of trust and confidence with the United States Government.

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ORGANIZATION

International Capital Markets Advisory Committee for the New York Stock Exchange 11 Wall Street New York, New York <u>1996-Present</u>

The following investigation was conducted by Special Agent

On July 10, 1998, International and Resource Group for the New York Stock Exchange, 11 Wall Street, New York, New York, telephone number (212)656-6161, advised that she has does not know the appointee personally but does know within the scope of her employment the appointee's affiliation with the International Capital Markets Advisory Committee for the New York Stock Exchange (Advisory Committee). stated that the appointee became a member of the Advisory Committee's board of directors in February of 1996. This is an unpaid position. The Advisory Committee is a not-for-profit organization which studies international capital markets. The appointee's duties are advisory in nature. She stated that the appointee has never attended any meetings as he was always traveling each time meetings were held. The Advisory Committee does not have any policies that restrict membership on the basis of sex, race, color, religion or national origin. was unable to provide any further information.

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ORGANIZATION

International Rescue Committee b6 122 East 42nd Street b7c New York, New York <u>1985-Present</u>

The following investigation was conducted by Special Agent On July 10, 1998 International Rescue Committee (Rescue Committee), 122 East 42nd Street, New York, New York, telephone number advised that she has known the appointee since 1985 when he began work<u>ing with</u> the Rescue Committee. She remains in contact with him. ______ stated that the appointee became a member of the board of directors of the Rescue in 1985. This is an unpaid position. His membership has been intermittent as he leaves the Rescue Committee each time he enters government service, and rejoins the organization when his government service is concluded. The objective of the Rescue Committee, a not-forprofit organization, is to provide relief and resettlement services for refugees around the world. The appointee's duties as a member of the board of directors is to set policy for the organization and to provide advice on areas of expertise. The Rescue Committee does not have any policies that restrict membership on the basis of sex, race, color, religion or national origin. __lescribed the appointee as bright, focussed on goals, and direct. The appointee is a responsible and reliable person, with good integrity and morals. She advised that the appointee's mental disposition and emotional stability are good. The appointee can maintain confidences, secrets and exercise appropriate discretion. The appointee gets along well with others and associates with reputable, law-abiding people. advised that the appointee is loyal to the United States and is very much admired by his peers. He always presents a professional appearance, and does not use illegal drugs, or abuse alcohol or prescription medicine. The appointee's spending habits and lifestyle are within his financial means. He has a stable personality and has not displayed any form of violent, irrational, or deviant behavior. The appointee has never displayed any hias or prejudice towards any group or organization. ______ was unaware of any concealed a organization. was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. She recommended the appointee for a position of trust and confidence with the United States Government.

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ORGANIZATION

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Refugees International 2639 Connecticut Avenue NW Washington, DC <u>1994-Present</u>

The following investigation was conducted by Special Agent On July 10, 1998, for External Relations, American International Group, 70 Pine Street, New York, New York, telephone number advised that he has known the appointee since 1964, having met when both were officers in the foreign service in Vietnam. He remains in frequent contact with the appointee. ______ is currently a member of Refugees International. stated that the appointee has been a member of Refugees International, a notfor-profit organization, for approximately four years, and has served as chairman of the board of directors, an unpaid position. <u>advised that the appointee's duties are advisory in</u> nature stated that the objectives of Refugees International are to focus attention on ending situations abroad likely to produce human tragedy and refugees, to influence the United States to aid in resolving these situations, and to provide humanitarian support for groups abroad in need. Refugees International does not have any policies that restrict membership on the basis of sex, race, color, religion or national origin. described the appointee as intense, hard charging, driven, enormously ambitious, and committed. The appointee is a responsible and reliable person, with a terrific sense of principles. He has good integrity and morals. ______advised that the appointee's mental disposition, judgement and emotional stability are good. The appointee can maintain confidences, secrets and exercise appropriate discretion. The appointee gets along well with others, but is hard on people who disagree with his views. The appointee, however, is never unprofessional. advised that the appointee is loyal to the United States. He always presents a professional appearance and does not use illegal drugs, abuse alcohol or prescription medicine. The appointee's spending habits and lifestyle are within his financial means. He has a stable personality and has not displayed any form of violent, irrational, or deviant behavior. The appointee has never displayed any bias or prejudice towards any group or organization. was unaware of any concealed activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He recommended the appointee for a position of trust and confidence with the United States Government.

#### ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-16-2011 BY 60324UCBAW/SB/CMW

161A-HQ-1256328 IBV:ibv

ORGANIZATION

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#### American Academy in Berlin 14 East 60th Street New York, New York <u>1994-Present</u>

Agent _____ The following investigation was conducted by Special

On July 10, 1998, American Academy in Berlin, 14 east 60th Street, New York, New York, telephone number (212)588-1755, advised that he has known the appointee since approximately 1994. having met him through the appointee's wife, an associate of at Columbia University. He remains in regular contact with the appointee. stated that the appointee became a member of the American Academy in Berlin (Academy), a not-for-profit organization, in 1994. The appointee held the position of chairman, an unpaid position. His duties included fund raising, hiring staff and organizing major conferences. The Academy's goal is to advance commercial and cultural understanding between Germany and the United States. The Academy does not have any policies that restrict membership on the basis of sex, race, color, religion or national origin. _____ described the appointee as fair and honest, a good decision maker, and an ethical, honorable person, who is passionate about his beliefs. The appointee is responsible and reliable. He commented favorably on his integrity, stating that the appointee is a highly moral man. He advised that the appointee's mental disposition and emotional stability are strong. The appointee can maintain confidences, secrets and exercise appropriate discretion. The appointee has a good reputation, and is known for being able to get things done. Although some people find him demanding, the appointee generally gets along well with others and associates with reputable, lawabiding people. ______advised that the appointee is loyal and patriotic to the United States. He always presents a professional appearance, and does not use illegal drugs, or abuse alcohol or prescription medicine. The appointee's spending habits and lifestyle are within his financial means. He has a stable personality and has not displayed any form of violent, irrational, or deviant behavior. The appointee has never displayed any bias or prejudice towards any group or organization. was unaware of any concealed activity or conduct which courd be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He recommended the appointee for a position of trust and confidence with the United States Government.

b6 b7C 161A-HQ-1256328 GM:ctv

#### DEPARTMENT OF MOTOR VEHICLES NEW YORK, NEW YORK

On July 14, 1998, a review of records at the NEW YORK STATE DEPARTMENT OF MOTOR VEHICLES, New York, New York, revealed RICHARD HOLBROOKE, DOB April 24, 1941 at New York, has a valid New York State Drivers License. The record indicated his file was clear and there were no traffic violations issued to him. 161A-HQ-1256328 IBV:ibv

ORGANIZATION

950 3RD	REA SOCIETY ) Avenue rk, New York resent	Ъб Ъ7С
Agent The following inv	vestigation was	conducted by Special
New York, New York, telepho he has known the appointee White House. is stil stated that the appoi and has not held an office. SOCIETY's annual dinner and support the organization. The raising letters on behalf of SOCIETY as a not-for-profit promote better understanding The SOCIETY does not have and on the basis of sex, race, of stated that membership The appointee has not been p SOCIETY. described the	DREA SOCIETY (SC one number (212) since 1979, hav l in contact wi ntee was not a However, he ha has spoken at t the appointee ha of the SOCIETY organization w g between Korea ny policies tha color, religion p in the SOCIET paid for his co he appointee as t the appointee He advised tha ional stability idences, secret e appointee get	ving met him at the th the appointee. member of the SOCIETY as cochaired the the annual dinner to also written fund described the whose goals are to and the United States. and the United States. are strict membership or national origin. Y is open to everyone. Intributions to the responsible and has morals and t the appointee's are good. The s and exercise s along well with
advised that the appointee i admired and well liked both	is loyal to the	United States and is
admired and well liked both always presents a profession illegal drugs, abuse alcohol appointee's spending habits a financial means. He has a s displayed any form of violen The appointee has never disp any group or organization.	nal appearance of l or prescription and lifestyle a stable personal: nt, irrational, plaved any bias	and does not use on medicine. The re within his ity and has not or deviant behavior.

### 161A-HQ-1256328

activity or conduct which could be used in any way to subject the appointee to influence, pressure, coercion or compromise and/or would impact negatively on his character, reputation, judgement or discretion. He highly recommended the appointee for a position of trust and confidence with the United States Government.

-2-

ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-16-2011 BY 60324UCBAW/SB/CMW

161A-HQ-1256328 GM:ctv

#### UNITED STATES ATTORNEY'S OFFICE NEW YORK, NEW YORK

On July 14, 1998, a review of records at the UNITED STATES ATTORNEY'S OFFICE, Southern District of New York, New York, New York, and UNITED STATES ATTORNEY'S OFFICE, Eastern District of New York, Brooklyn, New York, revealed no file identifiable for RICHARD CHARLES ALBERT HOLBROOKE in either the Civil Division or Criminal Division of the above federal agencies.

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#### <u>Miscellaneous</u>

On July 17, 1998 IA advised a search of records at the New York City Department of Finance, 25 Elm Place, Brooklyn, New York determined RICHARD HOLBROOKE, DOB: 04/24/41 at New York had several liens placed on his account in the past. It was determined that it had to do with payment of the appointee's Un-incorporated Business Tax for several years in the early 1990's. He stated the record did not contain any specific references to a specific payment of \$326.00 concerning interest or penalty against HOLBROOKE for late submission of taxes due. It was further determined that there was no outstanding monies owed to New York by HOLBROOKE and his record was clear and up to date. The record indicated the appointee's listed residence was 211 Central Park West, New York, NY.

On July 17, 1998 STARR and COMPANY, 350 Park Avenue, New York, NY advised the above accounting firm currently handles RICHARD and KATI HOLBROOK's financial accounting matters. He explained the above firm has handled the HOLBROOK account since last year. He stated a review of records did not contain any reference or material pertaining to the \$326.00 payment in question to the New York City Department of Finance. He stated he is in contact with the appointee's former accounting firm and their transference of his records to the above firm. He stated HOLBROOKE is in complete compliance with his taxes relating to New York and his current record is clear.

On July 17, 199 MAHONEY, COHEN and COMPANY, 111 W. 40th Street, New York, NY advised the above company formerly handled the appointee'S financial accounting transactions. She noted HOLBROOKE changed firms last year to STARR and COMPANY, New York, NY. She stated she is currently in the process of turning over all records of the appointee to that firm. She stated she reviewed all documents and returns but could not find any reference to the payment of #326.00 to New York City. She said she does not have any copies of canceled checks and could not furnish any exact date when such a payment was sent to the New York City Department of Finance. She added, that up to last year he was in complete compliance with his New York taxes and his record was clear.

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161A-HQ-1256328 GM:ctv

#### ARREST

On July 15, 1998, a review of records at the NEW YORK CITY POLICE DEPARTMENT, New York, New York, revealed no file identifiable for RICHARD CHARLES ALBERT HOLBROOKE.

On July 15, 1998, a review of records at the BRIDGEHAMPTON POLICE DEPARTMENT, Bridgehampton, New York, revealead no file identifiable for RICHARD CHARLES ALBERET HOLBROOKE. 1.5

T	ne White House	373
		FORMATION CONTAINED UNCLASSIFIED -2011 BY 60324UCBAW/SB/CMW
~	COUNSEL'S OFFICE	RECEIVED: AUG 2 5 1998
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FROM:		
TELEPHONE NUMBER:		
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# PLEASE DELIVER AS SOON AS POSSIBLE

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#### THE WHITE HOUSE

WASHINGTON

August 24, 1998

MEMORANDUM TO CHIEF, SPECIAL INQUIRY AND GENERAL BACKGROUND INVESTIGATION UNIT, FEDERAL BUREAU OF INVESTIGATION FROM: Office of Counsel to the President RE: Limited Update Inquiry on Richard Charles Albert Holbrooke

Reference is made to your letter of July 30, 1998 as well as the attached summary. This is to request that a limited update inquiry be conducted into the current status of the pending matter discussed therein, including, if possible, an estimate of how much additional time will be needed if it is still pending. We appreciate your attention to this matter.

(ASSISN to full p/198 mg

b6 b7C

## U.S. Department of Justice

Federal Bureau of Investigation

ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED __DATE 02-16-2011 BY 60324UCBAW/SB/CMW

Office of the General Counsel

Washington, D.C. 20535

#### July 28, 1998

Ъ6 Ъ7С

MEMORANDUM FOR THE DEPUTY ATTORNEY GENERAL

FROM: General Counsel, FBI

SUBJECT: FORWARDING MATTER OF LIMITED INQUIRY OF PROSPECTIVE PRESIDENTIAL APPOINTEE (RICHARD CHARLES ALBERT HOLBROOKE) WHICH HAS REVEALED AN ONGOING CRIMINAL INVESTIGATION

PURPOSE: To obtain the Deputy Attorney General's determination of what information should be communicated to the White House Counsel's Office in response to a limited inquiry of the abovecaptioned prospective presidential appointee which has revealed an ongoing criminal investigation.

TIMETABLE: Immediate (Congress will be adjourning on July 31, 1998).

DISCUSSION:

By summary memorandum dated July 17, 1998, the FBI concluded its original background investigation of Mr. Holbrooke and disseminated that information to the White House based on a thorough background investigation, including negative checks of Bureau records and the Office of Inspector General (OIG), Department of State (DOS). On July 16, 1998, however, the OIG, DOS opened a criminal investigation on Mr. Holbrooke. This information did not appear during the FBI's original background investigation of Mr. Holbrooke because the FBI's Special Inquiry and General Background Investigations Unit's (SIGBIU) check with the OIG, DOS was made on July 9, 1998.

Mr. Holbrooke is aware of the OIG, <u>DOC investigation</u>. <u>The OIG. DOS</u> has discussed this matter with and attorneys, Public Integrity Section, Department of Justice (DOJ) (telephone number The investigating agent for OIG, DOS nas advised that he does not yet know when this investigation will be concluded or whether it will be referred for criminal prosecution. The Campaign Contributions

#### Sensitive information--pending investigation



Memorandum for the Deputy Attorney General

Re: Forwarding Matter of Limited Inquiry of Prospective Presidential Appointee (Richard Charles Albert Holbrooke) Which Has Revealed an Ongoing Criminal Investigation

(CampCon) investigation is also aware of this investigation, because Ambassador Lawrence (the owner of the residence at issue in item number one of the enclosure), was the subject of CampCon interest.

Pursuant to a limited inquiry request from the White House Counsel's Office, we have prepared a proposed response apprising them of this matter. A copy of our proposed response is attached. This proposed response has been reviewed by both the Counsel to the Inspector General, DOS, and the FBI Campaign Contributions (CampCon) investigation, who have no objections to this dissemination. Per the recommendation in the FBI General Counsel's memo of June 14, 1996, to Director Freeh (approved by him and Deputy Attorney General Gorelick same date), I am now forwarding this matter "in order (for you) to determine what if any information should be communicated to the White House Counsel."

RECOMMENDATION: That you approve dissemination by the FBI to the White House Counsel's Office of the information contained in the

attachment hereto.	
	7-28-9
APPROVI	
DISAPPRO	
OTHER	

Enclosure

Sensitive information--pending investigation

Ъ6 Ъ7С

#### July 28, 1998

MEMORANDUM FOR THE DEPUTY ATTORNEY GENERAL

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	Mr. Holbrooke is aware of the OIG, <u>DOS investigation</u> . The OIG, <u>DOS</u> has discussed this matter with and attorneys, <u>Public Integrity Section</u> , <u>Department</u> of Justice ( <u>DOJ</u> ) (telephone number The investigating agent for OIG, <u>DOS</u> has advised that he does not yet know when this investigation will be concluded or whether it will be referred for criminal prosecution. The Campaign Contributions		
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Asst. Dir.: Adm. Servs Crim. inv Ident	1 - Mr. R. M. Bryant (7142) 1 - (4371) 1 - Mr. B. Bucknam (7176) 1 - (4371) (4371) (4371)		
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RECOMMENDATION: That you approve dissemination by the FBI to the White House Counsel's Office of the information contained in the attachment hereto.

APPROVE _____

DISAPPROVE

OTHER

Enclosure

## Sensitive information--pending investigation

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## FEDERAL BUREAU OF INVESTIGATION

	<b>Precedence:</b> DEADLINE 08/28/1998 <b>Date:</b> 08/25/1998
	To: Washington Field Attn: Squad A-1
	From: Administrative Services SIGBIU/Room 4371 Contact: PSS
	Approved By: BT
	Drafted By: mws
	Case ID #: 161A-HQ-1256328 (Pending)
	Title: RICHARD CHARLES ALBERT HOLBROOKE LEVEL I - PAS
	Synopsis: Initiation of limited inquiry on captioned subject.
	Reference: 161A-HQ-1256328 Serial 12
	Administrative: Buded is 8/28/98. Direct results/questions to PSS supra. If Buded will not be met, telephonically advise PSS and set forth reason(s) in <u>Administrative</u> <u>Section</u> of investigative report. SIGBIU facsimile numbers are (202) 324-2574, 1865, 4504, and 1373.
	<b>Details:</b> The White House has requested an update on the investigation of Mr. Holbrooke being conducted at the Department of State (DOS).
INQUIRY	WFO is requested to contact a high-level management official at the DOS Office of Inspector General (IG), either the Inspector General or the Deputy Inspector General, to determine the following:
1 1	1. What is the status of their investigation? If it is still pending, determine the following:
ALL SPECIAL	a. an estimate of how long it will take to complete and resolve the matter, to include any administrative action or prosecutive opinion.
	b. if the official indicates that the investigation will not be completed by $9/10$ , have them state so.
íÖ	c. ascertain if they anticipate resolution by the time Congress recesses in early October.

2. No facts concerning the investigation are needed unless it is closed, and then the following should be obtained:

161 A-HQ-1256328-18

To: Washington Field From: Administrative Services Re: 161A-HQ-1256328, 08/25/1998

a. Date matter resolved.

b. The specific allegation(s).

c. What did the investigation disclose.

d. What was Mr. Holbrooke's response to the allegation(s)?

e. What is the basis for closing the investigation.

f. Was any evidence of wrongdoing on Mr. Holbrooke's part obtained during the investigation?

To: Washington Field From: Administrative Services Re: 161A-HQ-1256328, 08/25/1998

LEAD (s):

Set Lead 1:

WASHINGTON FIELD

### AT WASHINGTON, DC

Conduct the limited inquiry on candidate as set forth in the details section of this EC.

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FD-204 (Rev. 12-1-95)

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	UNITED STATES DEPARTMENT OF JUSTICE Federal Bureau of Investigation		
	B	Ъ6 Ъ7С	
Copy to:			
Report of: Date:	PSS Office: WFO August 26, 1998	<b>-</b> .	
Case ID #:	161A-HQ-1256328 -19	14. 1	
Title:	RICHARD CHARLES ALBERT HOLBROOKE		
Character:	LEVEL I - PAS		
Synopsis:	interviewed.		

-RUC-

Ser.

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

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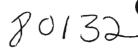
- 1 -

### FEDERAL BUREAU OF INVESTIGATION

			Pate of transcript	ion <u>8/25/98</u>
Department o	ons, Office of I of State, was re rinvestigation	-contacted c	concerning the	e status of
regarding th	e appointee, RI mished the foll date, this inv	CHARD CHARLE owing inform	ES ALBERT HOLE Nation:	BROOKE.
208 violatio sta regarding th two sets of records are will be an i Justice, Pub	till pending an ons in addition ted that the in ted that the in records which h received, they nterview of the ted that with t blic Integrity S ate by Labor Da	to a Failure vestigation At this tim ave been sub will need to appointee of he cooperati ection, he w	e to List Gift is near compl ne, his office opoenaed. Whe be reviewed. concerning the on of the Dep	violation. letion is awaiting en these Then, there findings. partment of
for that questio	advised Investigations, ns should be di	that as the he has auth rected to hi	ority over th	his matter and
Investigation on $\frac{8/25}{}$		Church, Vir	· •	elephonically)
File # <u>161A-HQ-1256</u>	<u>328</u>	]	Date dictated <u>8/2</u>	25/98

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FD-263 (Rev. 4-30-85)

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# FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD	de aga
WFO	BUREAU	8/26/98	8/25/98	
TITLE OF CASE		REPORT MADE BY		TYPED BY:
RICHARD CHARLES ALBERT HOLBROOKE		PSS		SDT
		CHARACTER OF	CASE	
		LEVEL I - PAS		.b6
				b7C
				-

<u>REFERENCE</u>: BUREAU EC to WFO dated 8/25/98.

(RUC)

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#### ADMINISTRATIVE: BUDED: 8/28/98

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All individuals were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality, both limited and unlimited, have been granted where noted.

APPROVED JC	dm	SPECIAL AGENT IN CHARGE			DO NOT WRI	ITE IN SPACE	S BELOW
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Agency Request Recd. Date Fwd. 45 How Fwd.				H	Att	)	
By 8/24	0/98	l	A* Cover	PAGE			

(12/31/1995)

# FEDERAL BUREAU OF INVESTIGATION

Precedence: DEADLINE 09	9/08/1998	Date:	09/08/1998		
To: Washington Field	Attn: Squad A	A-1			
From: Administrative Ser SIGBIU/Room 43 Contact: PSS			Ъб		
Approved By:	BIB		b7C		
Drafted By: : mws					
Case ID #: 161A-HQ-12563	328 (Pending)				
Title: RICHARD CHARLES ALBERT HOLBROOKE LEVEL I - PAS					
Synopsis: Initiation of	limited inquiry on cap	tioned s	subject.		
Reference: 161A-HQ-12563	328 Serial 18				
Administrative: Buded is	s 9/8/98 Direct resul	te/meet	ions to		

Administrative: Buded is 9/8/98. Direct results/questions to PSS supra. If Buded will not be met, telephonically advise PSS and set forth reason(s) in <u>Administrative</u> <u>Section</u> of investigative report. SIGBIU facsimile numbers are (202) 324-2574, 1865, 4504, and 1373.

**Details:** The White House has requested an update on the investigation of Mr. Holbrooke being conducted at the Department of State (DOS).

WFO is requested to recontact the DOS Office of Inspector General (IG) to reiterate the questions set forth in the EC to your office dated 8/25/98. (Serial 18)

LEAD (s):

SPECIAL INQUIRY

from

Set Lead 1:

WASHINGTON FIELD

AT WASHINGTON, DC

Conduct the limited inquiry on candidate at DOS.

161A-HQ-1256328-21

12 (Rev. 10-6-95)

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- 1 -

## FEDERAL BUREAU OF INVESTIGATION

Date of transcription

9/8/98

for Investigations, Office of Inspector General, United States Department of State, was re-contacted concerning the status of the criminal investigation being conducted by his office recording the appointee, RICHARD CHARLES ALBERT HOLBROOK. furnished the following information:

> Ъ6 Ъ7С

Investigation on	9/8/98	ar	Falls	Church,	Virginia	(telephonically)
File # <u>161A-H</u>	0-1256328				Date dictated	9/8/98
by <u>57</u>						
This document cont	ains neither recommendation	100 1	conclusions	of the FBI. It is t	he property of the FBI and	s loaded to your agency;

This document common neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed cutsine your agency.



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#### U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535

SEP - Trail

BY COURIER

Honorable Charles F. C. Ruff Counsel to the President The White House Washington, D.C.

Dear Mr. Ruff:

Reference is made to my letter dated July 30, 1998, which furnished the results of a limited inquiry concerning Mr. Richard Charles Albert Holbrooke. Reference is also made to a memorandum dated August 24, 1998, from Associate Counsel of your office, which requested an additional limited inquiry be conducted concerning Mr. Holbrooke in order to determine the status of an Office of the Inspector General (OIG), Department of State (DOS) investigation in which he is the subject.

advised that contact was made by the FBI on September 8, 1998, was advised that contact was made by the FBI on September 8, 1998, with a representative of the OIG, DOS. That representative, who is very knowledgeable of the investigation, advised that the OIG investigation of Mr. Holbrooke was still pending and he was unable to state when and how it will be resolved. A follow-up contact with the OIG representative on September 9, 1998, determined there was no change in the status of the OIG investigation. was advised by me of this follow-up contact via voice mail message.

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This completes our limited inquiry. Should you have any questions regarding this <u>matter please contact</u> Supervisory Personnel Security Specialist or myself, telephone number Sincerely yours, Chief Special Inquiry and General Background Investigations Unit CLOSED NOTE: On Augu<del>st 26</del> 1998 OIG, DOS, advised that the OIG Investigations investigation of Mr. Holbrooke was still pending. stated that the OIG anticipated a possible completion date by Labor Day (September 7) with the cooperation of the Public Integrity Section (PIS), Department of Justice (DOJ). On September 8, 1998, advised that <u>Mr. Holbrooke</u> was sent a "Target Letter" on September 1, 1998. stated that currently PIS, DOJ is handling this matter, and that he has no idea when this will be resolved or what will happen with the case. On September 9, 1998, SSA , WFO, advised that determined there was no change in the contact with status of the OIG investigation from September 8. Inasmuch as there has been no change in the OIG investigatips status, and only the status of the OIG investigation is being disseminated to the White House, coordination of the dissemination of the information in this letter with the Office of General Counsel, FBI, and the Office of the Deputy Attorney General, DOJ, was unnecessary.

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FROM:

Associate Counsel to the President

RE: Limited Update Inquiry Concerning Richard Charles Albert Holbrooke

Reference is made to your September 9, 1998 summary memorandum notifying this office that a criminal investigation of Richard Charles Albert Holbrooke was still pending at the Department of State. A press release issued yesterday by the Department of Justice reported that investigations conducted by the Departments of State and Justice into allegations that Mr. Holbrooke violated conflict of interest laws have been resolved. The press release further reported that Mr. Holbrooke has agreed to pay a civil penalty of \$5,000 to resolve the matter.

This is to request that you provide us with a limited update to confirm the status of the investigations conducted by the Departments of State and Justice, their conclusions and the penalties imposed on Mr. Holbrooke. As we discussed, I am also forwarding with this request the following signed documents: 1) an authorization for release of information and 2) the consent for FBI investigation; both were completed by Mr. Holbrooke today. Please do not hesitate to call me at the if you would like to discuss this request. We appreciate your attention to this matter.

Attachments

161A-HQ-1256328

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	Bureau of Investigation <ul> <li>EADSU (Room 4965)</li> </ul>	SIGBIU (Room 4371)	)
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Subject's full m	me Richard C	2. A. Holbrooke	
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Social Security	Number 132-32-3096	Date of birth 04/24/41	Place of birth New York
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Form approved: O.M.B. No. 3208-0007 NSN 7540-00-634-4038 88-111

# **AUTHORIZATION FOR RELEASE OF INFORMATION**

Carefully read this authorization to release information about you, then sign and date it in ink.

I Authorize any investigator, special agent, or other duly accredited representative of the authorized Federal agency conducting my background investigation, to obtain any information relating to my activities from individuals, schools, residential management agents, employers, criminal justice agencies, credit bureaus, consumer reporting agencies, collection agencies, retail business establishments, or other sources of information. This information may include, but is not limited to, my academic, residential, achievement, performance, attendance, disciplinary, employment history, criminal history record information, and financial and credit information. I authorize the Federal agency conducting my investigation to disclose the record of my background investigation to the requesting agency for the purpose of making a determination of suitability or eligibility for a security clearance.

I Understand that, for financial or lending institutions, medical institutions, hospitals, health care professionals, and other sources of information, a separate specific release will be needed, and I may be contacted for such a release at a later date. Where a separate release is requested for information relating to mental health treatment or counseling, the release will contain a list of the specific questions, relevant to the job description, which the doctor or therapist will be asked.

I Further Authorize any Investigator, special agent, or other duly accredited representative of the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, the Defense Investigative Service, and any other authorized Federal agency, to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for access to classified information and/or for assignment to, or retention in, a sensitive National Security position, in accordance with 5 U.S.C. 9101. I understand that I may request a copy of such records as may be available to me under the law.

I Authorize custodians of records and other sources of information pertaining to me to release such information upon request of the investigator, special agent, or other duly accredited representative of any Federal agency authorized above regardless of any previous agreement to the contrary.

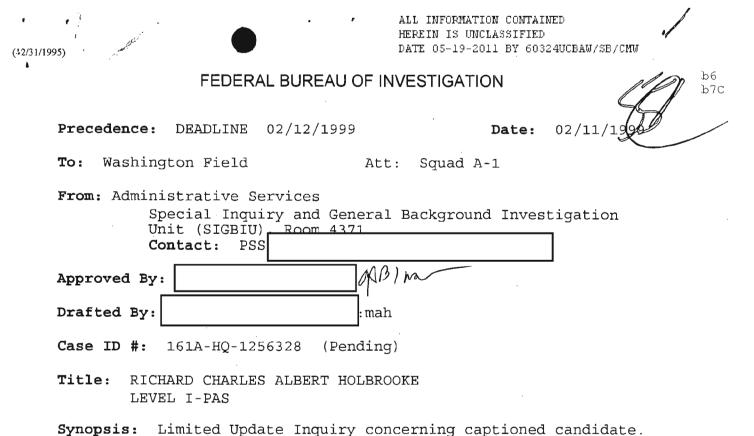
I Understand that the information released by records custodians and sources of information is for official use by the Federal Government only for the purposes provided in this Standard Form 86, and that it may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for five (5) years from the date signed or upon the termination of my affiliation with the Federal Government, whichever is sconer. Read, sign and date the release on the next page if you answered "Yes" to question 21.

Signature (Sign in Inki)	ature (Sign in Ink) Full Name (Type or Print Legibly)		
Rid C. A. Hole	Richard C.F	oke 02/10/99	
Other Names Used			Social Security Number
Current Address (Street, City)	State	ZIP Code	Home Telephone Number (Include Area Code)
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**Enclosures:** Being forwarded with a hard copy of this EC, via Bureau mail, is one copy each of candidate's Authorization for Release of Information dated 02/10/1999; and a USA Today and a Washington Post newspaper article each dated 2/10/99.

**Details:** The White House has requested an update on the investigation conducted by the Department of Justice (DOJ) and the Department of State (DOS) concerning Mr. Holbrooke. A press release issued 2/9/1999, by DOJ reported that the DOS and DOJ investigations into allegations that Mr. Holbrooke violated conflict of interest laws have been resolved. The press release also reported that Mr. Holbrooke has agreed to pay a civil penalty of \$5,000 to resolve the matter.

LEAD (s):

Set Lead 1:

WASHINGTON FIELD

AT WASHINGTON, DC

Contact either the Inspector General or Assistant Inspector General, DOS, and/or appropriate official of the Public Integrity Section (PIS), DOJ, to determine the following:

INQUIRY

PECIAL

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ENGLOSUME AT INCHED

161 A-MA -1256 328-24

a) Confirm status of the investigation.

b) Date matter resolved.

c) Specific allegation(s).

d) What the investigation disclosed concerning each allegation.

e) Mr. Holbrook's response to the allegations.

f) Conclusions reached, basis for each conclusion and basis for closing the investigation.

g) Was any evidence of wrongdoing on Mr. Holbrooke's part obtained during the investigation.

h) Any penalties imposed on Mr. Holbrooke.

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Obtain copies of the complaint and settlement agreement.

CC: 1 - PSS	
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him once more to the forefront of Arab diplomacy,

Assad's uncharacteristic decision to travel to King Husseln's funeral has prompted speculation that he hopes to divert the foreign policy of the newly named king away from peace with Israel Tuesday, Syria's government-controlled Tishrin newspaper, hinted at such pressure, denouncing "Israel's repeated blds to fish in troubled wa-y. ters in order to destroy Arab ties on ... CAN PARTY AND

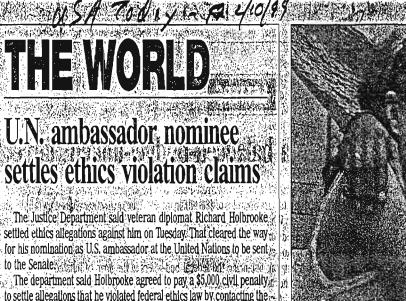
comes as he faces certain re-election today for a fifth' consecutive seven-year term. The rubber-stamp election was delayed from Monday because of the funeral.

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treaty with "Israel; ing delegation at the runeral but avoided... 1994. Recently, the Jor- all eye contact danlans have accused [14] There was at least one other diplo-Syria of illegally detain-16 matte contact of note at the funeral Ine Jordanian officials in ceremonies. Last year, Syrian Designation Israeli President Ezer Weizman fense Minister Mustafal and Naif Hawatmen, leader of the 2 "I think he did the right thing," R Tlas-condemned - King - Democratic Front for the Liberation The last meeting be Assad: Attended funeral Hussein, accusing him of Palestine terrorist group based in tween Assad and Clinagreed to re-establish permanent ( Only last week, Assad's son Bashari, tu encounter at the Royal Palace channels of communication. Jeveled thinly veiled criticism at King ; where they shook hands for the first. DFLP and other rejectionist group

officient the remotist attack on the r raeli town of Maalot in which ? schoolchildren were killed. But Lea Rabin, widow of assassinated Print Minister Yitzhak Rabin, supporte Welzman. bin fold Israel Army Radio. "The are exactly the meetings that shou be exploited for such an encount and handshake. W Back in Damascus, Hawatmeh



to settle allegations that he violated federal ethics law by contacting the U.S. ambassador to South Korea in 1996 after he left the State Depart ment to join an investment banking company. In a civil settlement filed in federal court, Holbrooke, 57, did not admit any wrongdoing. Former government officials are barred from contacting former colleagues for possible deals for at least one year after a leaving the government. Holbrooke denied ever communicating with any State Department employees, including embassy personnel in South Korea, on behalf of his New York-based company, CS First Boston, in violation of the law President Clinton nominated Holbrooke, a former ambassador to Germany, former assistant secretary of State and chief negotiator of them Bosnian peace accord, to the U.N. post in June 1998, a strange was the But the nomination has been held up by the investigation by the Justice Department and the State Department's inspector general into alleged conflict-of-interest violations by Holbrooke.

Shu de de transfer BRAZILIAN INMATES SHOT: Six inmates were killed in a shootout during a failed failbreak at a maximum security prison in southern Bras zil. Military police surrounded the Prala Grande prison in Santos in the southern state of Sao Paulo, blocked all access roads and kept hundreds. of relatives away from the prison. The prison, built to house 500 in mates, holds 680.3 TU SAME IN

ETHIOPIA-ERITREA: An Ethiopian plane bombed an Eritrean village, killing at least five civillans as It escalated.

the border dispute in



Painful parting: Lino David Reves, holding soit Davis, 2, and his wife, Merari Reves, say goodbye. Reves plans to find and the second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second second work in the USA, save enough money to buy a home and return to his family in Honduras. Hondurans eager to flee

undrade head for USA against anormous adds

2 WEDNESDAY, FEBRUARY 10, 1999

# Holbrooke Settles Complaint

Finton to Submit U.N. Nomination to Senate

y JOHN MINTZ aShington Post Staff Writer

Richard C. Holbrooke, a veteran diplomat the engineered the Bosnia peace accord, eached an agreement with the Justice Deartment yesterday under which he will pay 5,000 to settle ethics allegations that have or to the United Nations.

fr to the United Nations. Moments after the settlement was anbunced. President Clinton said he will abinit the nomination soon for Senate confir-If the United States (:: it is essential that we / which hat the was wearing in some of his ⁵ II ave a strong and capable diplomat" such as ⁵ contacts with former colleagues. Federal law ⁰¹ bibrooke as U.N. ambassador, Clinton said a's statement. "I look forward to the Senate's melt officials 'may' have with former col-ment officials 'may' have with former col-ment officials 'may' have with former col-sector of the senate's the senate's sector of the senate's the senate's the senate's the senate's the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the senate of the sena But a Senate staff member said the Foreign and the Sustice Department said in a formal tay pay \$5,000 to settle ethics allegations.
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 But a Senate staff Closing the investigative file does not that Holbrooke violated the ethics law in insure Holbrooke's quick confirmation, said arranging a 1996 trip to South Korea. viare Thiessen, spokesman for Foreign Rela Specifically, the complaint said, Holbrooke ions Committee Chairman Jesse Helms R-N:C.). Helms will want the committee tail to retrace the inquiry to determine what he sissue was and how it was resolved, Thiessen Said. Congressional Sources said hat while Holbrooke is widely admired as a tiplomat, he also has ruffled some Senate eelings probably not enough to block the iomination, but enough to delay it and make he confirmation hearings contentious. Among the issues are Holbrooke's support filed in court. The two sides said that order to allow my nomination to proceed station to Switzerland to be buried in Arlington National Cemetery, based on a claim of invitation to Laney to attend, the firm's Staff writer Thomas W. Lippman ÷е́г

that turned out to be spurious; Holbrooke's relationship with President Slobodan Milose-

vic of Yugoslavia, which some senators -believe is too cozy, and doubts about Holbrooke's commitment to reforms at the United Nations, a key Helms objective.

The allegations considered at the Justice Department centered on Holbrooke's activielayed his nomination to be U.S. ambassa ties in mid-1996. He had resigned in February

of that year as assistant secretary of state for European affairs and became a vice chairman at CS First Boston, an investment banking firm, and a special government employee dation. "At a time when international crises advising State Department officials" and a state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of the state of

> was "seeking official action by the Departfinent of State" on CS First Boston's behalf by asking the help of James Laney, U.S. ambassador to South Korea, to set up meetings with Korean officials; by arranging for Laney to set up a luncheon for him with Korean officials; and by inviting Laney to the opening of the firm's office in Seoul.

But the Justice lawyers agreed to toneddown language in a settlement agreement between them and Holbrooke that also was



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ed that during the South Korea trip he was acting as a special employee of the State Department, "and therefore it was appropri-

ate to communicate with ... embassy person-nel," the settlement said. It added that the re-Justice Department recognizes it may have been in the United States' national interest? to have Holbrooke meet the Koreans. All of my contacts with the U.S. government since I left my position as assistant (secretary were in my role as an unpaid, official consultant to the Secretary of State ) and were entirely appropriate, Holbrooke said in a statement. "I settled this matter in-

CAMP LEJEUN mander of a Mar tialed over an accid an Italian ski gon critical today of th fatal flight over Dolomites. The command Muegge, testified carry a personal v and to execute a low-altitude flight His statement or court-martial here ate superior, was ment of the defen 31, of Mission Vie Ashby, whose cable and sent the ground, could be s convicted on the manslaughter an against him. The r Joseph Schweitz similar charges ne T sent them ou regain proficiency see," said Muegge Ashby's EA-6B Pr Muegge said learned about the 3, 1998, acciden had not flown a k * more than six mo real smart thing t low-level in a wi syideotaping may l ppenin

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By STEVE VOCEL

Washington Post Sto

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#### FEDERAL BUREAU OF INVESTIGATION

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:	Date of transcription	2/16/99
On February 12, 1999	Special A	
United States Department of State, Office of	of the Inspect	cor ·
General, 1700 North Moo <u>re Street Room</u> 910,	Arlington, N	/irginia, ˈ
22209, telephone number and		
Special Agent, United States Department of	State, Office	e of the
Inspector General, 1700 North Moore Street,	<u>Roo</u> m 910, Ai	clington,
Virginia, 22209, <u>telephone numb</u> er	, were int	erviewed
by Special Agent regarding th	le appointee,	RICHARD
C. HOLBROOKE. After being advised as to th	le purpose of	the
interview and the official identity of the	interviewing	agent,
and provided the following i		2
and provided four	documents as	follows:
a 32-page prosecutive referral with cover l		
17, 1998; a 7-page information memorandum d		
1998; a 77-page report entitled "Holbrooke		
page report entitled "In the Matter of Amba	ssador Richar	rd

Holbrooke". These documents are being retained in a separate 1-A envelope.

Investigation on 2/12/99 at Arlington, Virginia File # 161A-HQ-1256328 Date dictated 2/16/99

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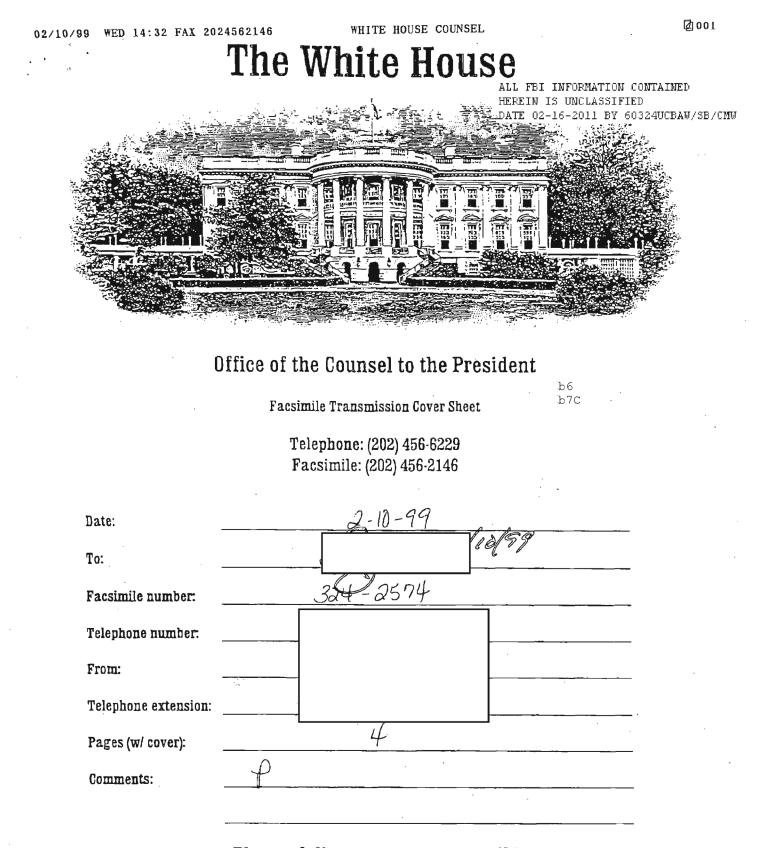
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# FEDERAL BUREAU OF INVESTIGATION

Operations, Office of Inspector General, United States Department of State, 1700 N. Moore Street, Suite 910, Arlington, Virginia, was contacted concerning the appointee, RICHARD CHARLES ALBERT HOLBROOKE. Having previously been advised of the identity of the interviewing Agent, provided the following information: advised that to date, his office has not been contacted by the United States Senate or the White House but anticipates that the Senate or White House will request a copy of b6 the Department of State's report concerning the investigation b7C

was advised that the FBI intends to turn over to the White House a copy of the appointee's interview provided by the Department of State along with the Complaint and Settlement Agreement which were both provided by the United States Department of Justice Public Integrity Section. ______stated that he is in agreement with this decision.

Investigation on	2/16/99	Washington, D.	с.	(telephonically)
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by SA				

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#### FEDERAL BUREAU OF INVESTIGATION

Date of transcription 2/14/99

Special Agent-In-Charge, Special Operations, Office of Inspector General, United States Department of State, 1700 N. Moore Street, Suite 910, Arlington, Virginia, 703/284-1913, was advised of the identity of the interviewing Agent and the nature of the interview, that being that the Federal Bureau of Investigation (FBI) is concluding their background investigation regarding the appointee, RICHARD CHARLES ALBERT HOLBROOKE, and is requesting information concerning the recent settlement agreement resulting from the Department of State's Investigation of the appointee. following information:

The settlement agreement with the Department of Justice was signed on February 9, 1999. There was a supplemental report sent over to the Secretary of State concerning two other issues which were not resolved by the Department of Justice. One issue was concerning the appointee residing in Ambassador LARRY LAWRENCE's home in Georgetown and contemporaneously signing a memo requesting that LAWRENCE's body be buried in Arlington National Cemetery, when, in fact, LAWRENCE was not entitled to be buried there. The other issue concerned the appointee's failure to properly disclose on the financial disclosure forms the fact that he resided in Ambassador LAWRENCE's home.

Additionally, a report was forwarded to the Internal Revenue Service because investigation revealed that the appointee could have some tax liability issues. When the appointee was with Credit Suisse First Boston (CSFB), he held luncheons with Assistant Secretaries of State and other high level individuals such as SANDY BERGER, National Security Council. These luncheons were paid for by CSFB.

stated that the Department of State's investigative report and the appointee's interviews were "hundreds of pages" in length; however, his office would be willing to provide the FBI with copies of them.

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Investigation on 2/14/99 M FALLS CHURCH,	VIRGINIA	(telephonically)
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#### FEDERAL BUREAU OF INVESTIGATION

Date of transcription 2/14/99

Special Agent, Office of Inspector General (OIG), United States Department of State, 1700 N. Moore Street, Room 910, Arlington, Virginia, was re-contacted concerning the OIG criminal investigation of the appointee, RICHARD CHARLES ALBERT HOLBROOKE. Having previously been apprised of the identity of the interviewing Agent, provided the following information:

furnished the interviewing Agent with his "Executive Summary" outlining the results of the OIG investigation of the appointee. That summary is included with this FD-302.

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Investigation on	2/14/99	at	Falls	Church,	Virginia	(telephonically)
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FD-302 (Rev. 10-6-95)

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#### FEDERAL BUREAU OF INVESTIGATION

Date of transcription 2/14/99

to Secretary MADELEINE ALBRIGHT, United States Department of State, Washington, D.C., contacted the writer to advise that she learned on instant date that the writer was informed that a supplemental report was forwarded to the Secretary concerning the appointee RICHARD CHARLES ALBERT HOLBROOKE.

advised that the Department of State does not a matter opened concerning the appointee and considers this investigation closed.

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CHARLES ALBERT HOLBROOKE.

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#### FEDERAL BUREAU OF INVESTIGATION

Date of transcription 2/14/99

LO Secretary MADELEINE ALBRIGHT, United States Department of State, Washington, D.C., contacted the writer to advise that she learned on instant date that the writer was informed that a supplemental report was forwarded to Secretary MADELEINE ALBRIGHT concerning potential allegations of wrongdoing on the part of the appointee RICHARD

advised that the supplemental report was received by the Secretary's Office and that Department of State will not be opening an investigation concerning the appointee and considers this matter closed.

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Investigation on	2/14/99	"Falls Church	1, Virginia	(telephonically)
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IN THE UNITED STATES DISTRICT COURT GLEAK FOR THE DISTRICT OF COLUMBIAUS, DISTRICT COURT DISTRICT OF COLUMBIA

UNITED STATES OF AMERICA, c/o U.S. Department of Justice Public Integrity Section P.O. Box 27518 McPherson Sq. Station Washington, D.C. 20038

Plaintiff

RICHARD C. HOLBROOKE, c/o Paul C. Curnin, Esq. Simpson Thacher & Bartlett 425 Lexington Avenue New York, NY 10017-3954

v.

Defendant

CASE NUMBER 1:99CV00309 JUDGE: Henry H. Kennedy DECK TYPE: Civil General DATE STAMP: 02/09/99

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COMPLAINT

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Plaintiff, the United States of America, by and through its undersigned attorneys, for its complaint alleges that:

This is an action for civil penalties pursuant to
 Section 216(b) of Title 18, United States Code, against RICHARD
 C. HOLBROOKE for violations of 18 U.S.C. § 207(c).

#### JURISDICTION AND VENUE

2. This Court has jurisdiction over this matter pursuant to 18 U.S.C. § 216 and 28 U.S.C. §§ 1331 and 1345.

Venue in the District of Columbia is appropriate under
 28 U.S.C. \$\$ 1391 and 1395(a).

-2-

#### PARTIES

4. The plaintiff in this action is the United States of America. At all times pertinent to this civil action, the Department of State was a department of the Executive Branch of the United States of America, headquartered in Washington, D.C.

5. From 1994 to 1996, the defendant in this action, RICHARD C. HOLBROOKE, was employed in Washington, D.C., as Assistant Secretary of State for European and Canadian Affairs, which was a senior level position covered by 18 U.S.C. § 207(c).

6. On February 21, 1996, HOLBROOKE resigned as Assistant Secretary to become a Vice Chairman of the investment banking firm CS First Boston, Inc. HOLBROOKE's responsibilities at CS First Boston included using his contacts to promote CS First Boston and generate investment banking opportunities for the firm.

#### GENERAL ALLEGATIONS

7. Within one year of leaving his position as Assistant Secretary of State, in connection with his work on behalf of CS First Boston, HOLBROOKE traveled to Korea, where he delivered a speech to the Asia Society, attended the opening ceremony of CS First Boston's new branch office in Seoul, and had a series of meetings with Korean business leaders and government officials. HOLBROOKE's trip was paid for by CS First Boston, and he was accompanied while in Korea by two CS First Boston officials.

8. On March 21, 1996, in connection with CS First Boston's interests in Korea, HOLBROOKE sent a letter on CS First Boston

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letterhead to the U.S. Ambassador in Korea, James T. Laney, requesting that he set up a "courtesy call" for him with Korean President Kim Young Sam. HOLBROOKE also suggested that Ambassador Laney might join in the meeting "if appropriate." Ambassador Laney agreed to make the arrangements and join HOLBROOKE. Ambassador Laney and his staff at the U.S. embassy subsequently contacted the Korean government and scheduled a meeting for HOLBROOKE and Ambassador Laney with President Kim for May 11, 1996.

9. In a letter dated March 22, 1996, Ambassador Laney offered to host a luncheon or dinner for HOLBROOKE "with appropriate guests." On March 22, 1996, on CS First Boston letterhead and in connection with CS First Boston's interests in Korea, HOLBROOKE accepted Ambassador Laney's offer "to host a meal with prominent Koreans." On April 26, 1996, Ambassador Laney sent a proposed list of invitees and asked HOLBROOKE for any additional suggestions. On April 30, 1996, on CS First Boston letterhead and in connection with CS First Boston's interests in Korea, HOLBROOKE wrote back saying that the proposed list looked "excellent" and suggested that the Korean Foreign Minister and Finance Minister also be invited.

10. On May 10, 1996, Ambassador Laney hosted a luncheon in honor of HOLBROOKE at the Ambassador's official residence. The U.S. embassy handled the arrangements. Four prominent Koreans attended the luncheon, including the Korean Minister of Trade, Industry and Energy, and the Chairman of the Korea Trade-

FROM

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Investment Promotion Agency. Also present were three officials from CS First Boston, including HOLBROOKE, and four U.S. embassy officials, including Ambassador Laney. The U.S. government paid for the luncheon.

11. In seeking reimbursement for the luncheon, Ambassador Laney certified in a document dated June 16, 1996, that the purpose of the luncheon had been "Promotion of U.S. National Interests (70%)" and "Promotion of U.S. Economic Activities (30%)."

12. Prior to May 9, 1996, and in connection with CS First Boston's interests in Korea, HOLBROOKE asked Ambassador Laney to attend a ribbon cutting ceremony to celebrate the opening of CS First Boston's new branch office in Seoul, Korea, on May 9, 1996. HOLBROOKE, Ambassador Laney and approximately 20 to 30 other people attended the event, which occurred during regular business hours.

#### COUNT ONE

13. Plaintiff realleges and incorporates by reference paragraphs 1 through 12 as though fully set forth herein.

14. On or between March 21, 1996, and May 9, 1996, RICHARD C. HOLBROOKE, within one year of his termination as an officer and employee of the Department of State employed at a rate of pay equal to or greater than the rate of basic pay payable for level 5 of the Senior Executive Service, knowingly communicated with the U.S. Ambassador to Korea, on behalf of CS First Boston, . •

seeking official action by the Department of State:

(a) in the arrangement of a meeting with Korean PresidentKim Young Sam;

(b) in the arrangement of a luncheon at the Ambassador's residence for HOLBROOKE and other CS First Boston employees to meet with Korean government officials and U.S. embassy officials, including the U.S. Ambassador; and

(c) by having the Ambassador attend and participate in a ribbon cutting ceremony to celebrate the opening of CS First Boston's new branch office in Seoul, Korea,

all in violation of 18 U.S.C. § 207(c).

#### PRAYER FOR RELIEF

WHEREFORE, plaintiff, the United States of America, prays that judgment be entered in its favor against RICHARD C. HOLBROOKE and requests civil penalties be awarded to plaintiff pursuant to 18 U.S.C. § 216(b).

Respectfully Submitted,

JOSEPH E. GANGLOFF D.C. Bar # 345-884 Principal Deputy STEVAN E. BUNNELL DC Bar # 414-938 Trial Attorney Public Integrity Section Criminal Division U.S. Department of Justice P.O. Box 27518, McPherson Station Washington, D.C. 20038 (202) 514-1412 `- •

ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-14-2011 BY 60324UCBAW/SB/CMW IN THE UNITED STATES DISTRICT COURT RECEIVED FOR THE DISTRICT OF COLUMBIA FEB 9 4 00 PH 199 N. HATER-REITTINGTON CLERK U.S. DISTRICT COURT ) UNITED STATES OF AMERICA. DISTRICT OF COLUMBIA c/0 U.S. Department of Justice Public Integrity Section P.O. Box 27518 McPherson Square Station Washington, D.C. 20038 CASE NUMBER 1:99CV00309 Plaintiff. JUDGE: Henry H. Kennedy V. DECK TYPE: Civil General RICHARD C. HOLBROOKE, DATE STANP: 02/09/99 Defendant, c/o Simpson Thacher & Bartlett 425 Lexington Avenue New York, New York 10017

#### ANSWER

Ambassador Richard C. Holbrooke, by and through his undersigned attorneys,

submits the following answer to the government's complaint in this matter.

His Attorneys.

#### FIRST DEFENSE

Ambassador Holbrooke answers the individual paragraphs of the complaint as

follows:

1. This paragraph alleges a description of the complaint as to which no answer

is required.

2. This paragraph alleges a conclusion of law as to which no answer is required.

3. This paragraph alleges a conclusion of law as to which no answer is required.

4 This paragraph identifies the plaintiff in this action and alleges a conclusion of law as to which no answer is required.

5. Ambassador Holbrooke admits that he was employed in Washington, D.C. as Assistant Secretary of State for European and Canadian Affairs.

6. Ambassador Holbrooke admits that he resigned as Assistant Secretary on February 21, 1996, that he became an employee of an investment banking firm, and that his responsibilities in that position included, among other things, using his contacts to promote the firm and generate investment banking opportunities for it. After resigning as Assistant Secretary, Ambassador Holbrooke also was appointed as an unpaid Special Government Employee ("SGE"). As an SGE, Ambassador Holbrooke provided advice to senior State Department officials and, on occasion, was requested by State Department officials to meet with certain foreign officials around the world to discuss U.S. foreign policy, particularly as it related to Bosnia, the expansion of NATO and European security matters.

7. Ambassador Holbrooke admits that after resigning as Assistant Secretary, he traveled to Korea, where he delivered an address to the Asia Society, attended the opening ceremony of his investment banking firm's new branch office in Seoul, and had certain meetings with Korean business leaders and government officials. Ambassador Holbrooke admits that his trip was paid for by his investment banking firm and that he was accompanied at times by two officials from the firm.

8. Ambassador Holbrooke admits that on March 21, 1996, he sent a letter on his firm's letterhead to the U.S. Ambassador in Korea, James T. Laney, requesting that he arrange a

"courtesy call" with Korean President Kim Young Sam, whom Ambassador Holbrooke had known "since 1978," and that he suggested that Ambassador Laney might attend the meeting "if appropriate." In diplomatic parlance, the term "courtesy call" indicated that the visit would not touch upon any business-related issues. Ambassador Holbrooke admits that Ambassador Laney agreed to make the arrangements and to join him. On information and belief, Ambassador Holbrooke admits that Ambassador Laney and/or his staff at the U.S. embassy subsequently contacted the Korean government and scheduled a meeting for him and Ambassador Laney with President Kim. Ambassador Holbrooke denies that this meeting, which never took place, had any connection whatsoever with his investment banking firm, and maintains instead that it was intended to provide Ambassador Holbrooke an opportunity to brief President Kim on evolving U.S. foreign policy and other foreign policy issues.

9. Ambassador Holbrooke admits that in a letter dated March 22, 1996, Ambassador Laney offered to host a luncheon or dinner for him "with appropriate guests." Ambassador Holbrooke admits that on March 22, 1996, he accepted Ambassador Laney's offer "to host a meal with prominent Koreans." Ambassador Holbrooke admits that on April 26, 1996, Ambassador Laney sent a list of proposed invitees for a luncheon and asked Ambassador Holbrooke for additional suggestions. Ambassador Holbrooke admits that on April 30, 1996, he wrote back saying that the proposed list looked "excellent" and suggested, "as a courtesy," that the Korean Foreign Minister and Finance Minister also be invited. Ambassador Holbrooke denies that his correspondence was connected in any way with the interests of his investment banking firm.

10. Ambassador Holbrooke admits that on May 10, 1996, Ambassador Laney hosted a lunch in his honor at the Ambassador's official residence and that the U.S. embassy

FROM

made the arrangements for the lunch. Ambassador Holbrooke denies that the Korean Minister of Trade, Industry and Energy, and the Chairman of the Korean Trade-Investment Promotion Agency were present. Ambassador Holbrooke admits that certain Korean officials, three officials from his investment firm, including himself, and four U.S. embassy officials, including Ambassador Laney, were present. On information and belief, Ambassador Holbrooke admits that the U.S. government paid for the luncheon. Ambassador Holbrooke denies that any business was discussed at the lunch and refers to the factual stipulation of the parties as to that issue.

11. Ambassador Holbrooke denies information sufficient to form a belief as to the accuracy of this paragraph.

12. Ambassador Holbrooke denies that he invited Ambassador Laney to attend any ceremony at his investment banking firm's office in Korea. Ambassador Holbrooke admits that Ambassador Laney and others attended the event, which occurred during regular business hours.

13. Ambassador Holbrooke realleges and incorporates by reference the answers to paragraphs 1 through 12 as though fully set forth herein.

14. Ambassador Holbrooke denies that at any time relevant hereto he ever communicated with any State Department or embassy employee on behalf of his investment banking firm for any purpose, specifically including:

(a) the arrangement of a meeting with Korean President Kim;

(b) the arrangement of a luncheon at Ambassador Laney's residence; and

(c) the participation of Ambassador Laney at a ceremony at his investment banking firm's office in Seoul, Korea.

### SECOND DEFENSE

The complaint fails to state a claim upon which relief can be granted. During the period at issue, Ambassador Holbrooke was not a "former" officer, as defined by 18 U.S.C. § 207(c), because he continued as an SGE after his resignation as Assistant Secretary. Nor did Ambassador Holbrooke contact any State Department or embassy personnel "with the intent to influence" any "official action" on behalf of any person or entity other than the United States. 18 U.S.C. § 207(c). At no time after his resignation as Assistant Secretary did Ambassador Holbrooke contact any State Department or embassy personnel to seek official action on behalf of the investment banking firm that employed him. All contacts Ambassador Holbrooke had with State Department or embassy personnel after his resignation as Assistant Secretary were made in his capacity as an SGE. Each such contact was made in furtherance of U.S. foreign policy interests, with the support of the U.S. State Department, and was entirely appropriate under all applicable legal and ethical guidelines and regulations.

# PRAYER FOR RELIEF

WHEREFORE, Richard C. Holbrooke respectfully requests that judgment be

entered in his favor against the United States.

February 4, 1999

Respectfully Submitted,

PAUL C. CURNIN JASON P. CRONIC (D.C. Bar # 442-002) SIMPSON THACHER & BARTLETT 425 Lexington Avenue New York, New York 10017 (212) 455-2000

Attorneys for Richard C. Holbrooke

7037623094 P.13/21

ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-14-2011 BY 60324UCBAW/SB/CMW

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IN THE UNITED STATES DISTRICT COURT FOR THE DISTRICT OF COLUMBIA

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N. MAYER WHITTINGTON CLERK U.S. DISTRICT COURT DISTRICT OF COLUMBIA

UNITED STATES OF AMERICA,

v.

Civil Action No.

RICHARD C. HOLBROOKE

Defendant

Plaintiff

#### STIPULATION OF DISMISSAL OF COMPLAINT

Pursuant to Federal Rule of Civil Procedure 41(a)(1)(ii), plaintiff, the United States of America, and defendant, RICHARD C. HOLBROOKE, agree that the Complaint in the above-captioned matter is hereby dismissed with prejudice, pursuant to the Settlement Agreement and Factual Stipulation, attached hereto. -2-

Each party shall bear its own costs and attorneys' fees.

#### FOR THE PLAINTIFF

THE UNITED STATES OF AMERICA

Date:

By: OSEPH E. GANGLOFF

Principal Deputy STEVAN E. BUNNELL D.C. Bar # 414-938 Trial Attorney Public Integrity Section Criminal Division U.S. Department of Justice P.O. Box 27518, McPherson Station Washington, D.C. 20038 (202)-514-1412

FOR THE DEFENDANT

149 Date: 2

Date: 2/4/99

RICHARD C. HOLBROOKE

Defendant

PAUL C. CURNIN JASON P. CRONIC D.C. Bar # 442-002 Simpson Thacher & Bartlett 425 Lexington Avenue New York, New York 10017 (212) 455-2000

#### SETTLEMENT AGREEMENT

This Settlement Agreement (Agreement) is made and entered into this  $\underline{9^{\prime\prime}}_{-}$  day of February, 1999, by and between the United States Department of Justice (United States) and RICHARD C. HOLBROOKE.

#### PREAMBLE

WHEREAS, both parties agree that the factual predicate for this settlement is set forth in the Complaint and in the Factual Stipulation, which is attached hereto and incorporated by reference into this Settlement Agreement; and

WHEREAS, the United States maintains as follows: that in April and May, 1996, as set forth in the attached Factual Stipulation, RICHARD C. HOLBROOKE violated 18 U.S.C. § 207(c), by communicating with a State Department official at the U.S. embassy in Korea to seek official action in connection with assistance in arranging meetings with high-level Korean government officials; that Holbrooke violated section 207(c) by inviting the U.S. ambassador to Korea to attend the ceremonial opening of CS First Boston's branch office in Seoul, Korea; that RICHARD C. HOLBROOKE's communications with embassy personnel occurred within one-year of the termination of his employment as Assistant Secretary of State for European and Canadian Affairs, which was a senior position covered by the special postemployment restrictions of section 207(c); and that HOLBROOKE's communications with the embassy were made, at least in part, on behalf of his then employer, CS First Boston, Inc; and

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WHEREAS, the United States does not allege: (a) that HOLBROOKE communicated with the U.S. embassy in Korea in willful violation of section 207(c); or (b) that the communications resulted in any direct financial gain to HOLBROOKE or CS First Boston; and

WHEREAS, the United States recognizes that it may have been in the United States's national interest to have HOLBROOKE discuss certain foreign policy issues with certain high-level Korean officials; and

WHEREAS, RICHARD C. HOLBROOKE denies that he violated 18 U.S.C. § 207(c), and asserts that: (1) he was acting at all times as a Special Government Employee of the State Department and therefore that it was appropriate to communicate with State Department and embassy personnel; (2) maintains that he communicated with State Department and embassy employees to further the policy interests of the United States and not for any other reason; and (3) that he never invited the U.S. Ambassador to Korea to attend any ceremony at an office of CS First Boston.

WHEREAS, both parties nevertheless desire to reach a full and final compromise of any and all actual and potential allegations relating to HOLBROOKE's post employment contacts with U.S. Government personnel in Korea and elsewhere, and further wish to avoid the expense, delay and uncertainty of potentially protracted litigation.

ACCORDINGLY, in reliance upon the representations contained herein and in consideration of the mutual promises, covenants, -3-

and obligations in this Agreement, as a resolution of all pending claims and differences, for good and valuable consideration, the sufficiency of which is hereby acknowledged, the parties agree as follows:

#### TERMS AND CONDITIONS

1. RICHARD C. HOLBROOKE agrees to make a lump sum payment of \$5,000.00 made payable to the United States Treasury, within ten days of the filing of this Settlement Agreement in the United States District Court for the District of Columbia.

2. Except as noted below, the United States hereby releases and discharges all claims, demands, charges, complaints and causes of action against RICHARD C. HOLBROOKE, based on the facts set forth in the Factual Stipulation and all other facts presently known to the Department of Justice as a result of the Department of State and Justice Department's investigation of RICHARD C. HOLBROOKE'S alleged post-employment contacts on behalf of CS First Boston with State Department personnel. The United States further promises to refrain from instituting or maintaining any claim, demand, charge, complaint or cause of action, of any nature whatsoever, against RICHARD C. HOLBROOKE, based on these same contacts and related conduct presently known to the Department of Justice. The terms and conditions of this Settlement Agreement do not apply to any tax matters that may arise or may have arisen out of facts discovered during the course of the Government's investigation of this matter.....

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3. The parties further agree that this Settlement Agreement is the entire agreement with respect to any and all promises of the United States and RICHARD C. HOLBROOKE, in connection with the potential liability of RICHARD C. HOLBROOKE arising out of the facts set forth in the Complaint and Factual Stipulation and all facts presently known to the Justice Department as a result of the Government's investigation of this matter.

4. The parties agree that this Settlement Agreement may not be altered, amended, modified or otherwise changed except in writing duly executed by RICHARD C. HOLBROOKE and the United States.

5. If this Settlement Agreement does not become effective, the pleadings and Factual Stipulation shall not be binding on either party.

6. This Settlement Agreement shall become effective upon signing by all signatories set forth below, but it may be executed in separate counterparts, each of which shall be deemed an original, but all counterparts collectively shall constitute one and the same instrument.

FROM

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-5-

# FOR THE PLAINTIFF

THE UNITED STATES OF AMERICA

Date: 2/9/99

By:

JOSEPH E. GANGLOFF Principal Deputy STEVAN E. BUNNELL D.C. Bar # 414-938 Trial Attorney Public Integrity Section Criminal Division U.S. Department of Justice P.O. Box 27518, McPherson Station Washington, D.C. 20038 (202)-514-1412

FOR THE DEFENDANT

Date: 2/4/97

24/99 Date:

RICHARD C. HOLBROOKE Defendant

PAUL C. CURNIN JASON P. CRONIC D.C. Bar # 442-002 Simpson Thacher & Bartlett 425 Lexington Avenue New York, New York 10017 (212) 455-2000

## FACTUAL STIPULATION

From 1977 to 1981, Richard C. Holbrooke was Assistant Secretary of State for East Asian and Pacific Affairs. From 1993 to 1994, Richard C. Holbrooke was United States Ambassador to Germany. In 1994, he became Assistant Secretary of State for European and Canadian Affairs, which is a senior level position covered by 18 U.S.C. § 207(c). While Assistant Secretary, Holbrooke became the lead U.S. negotiator in the 1995 Dayton Peace Accords, which ended the war in the former Yugoslavia. On February 21, 1996, Holbrooke resigned as Assistant Secretary to become a Vice Chairman of the investment banking firm CS First Boston, Inc. Holbrooke's responsibilities at CS First Boston included using his contacts to promote CS First Boston and generate investment banking opportunities for the firm.

After resigning as Assistant Secretary of State, Holbrooke was appointed to be an unpaid Special Government Employee. As a Special Government Employee, Holbrooke provided advice to senior State Department officials and on occasion was requested by State Department officials to meet with certain foreign officials around the world to discuss U.S. foreign policy, particularly as it related to Bosnia, the expansion of NATO and European security matters.

Within one year of leaving his position as Assistant Secretary of State, Holbrooke contacted Department of State personnel in Washington and various U.S. embassies, including Korea. Some of these contacts concerned matters of interest to CS First Boston. In certain instances, these contacts were merely social. In other instances, the contacts also related to matters pertinent to his appointment as a Special Government Employee.

Holbrooke's trip to Korea. In May 1996, Holbrooke traveled to Korea, where he delivered a speech to the Asia Society, attended the opening ceremony of CS First Boston's new branch office in Seoul, and had a series of meetings with Korean business leaders and government officials. Holbrooke's trip was paid for by CS First Boston, and he was accompanied while in Korea by two CS First Boston officials, David P. Walker and Hobart Epstein.

Communications concerning meeting with President Kim. On March 21, 1996, in the course of preparing for the Korea trip, Holbrooke sent a letter on CS First Boston letterhead to the U.S. Ambassador in Korea, James T. Laney, requesting that he set up a "courtesy call" for him with Korean President Kim Young Sam. Holbrooke also suggested that Ambassador Laney might join in the meeting "if appropriate." Laney agreed to make the arrangements and join Holbrooke. Laney and his staff at the U.S. embassy subsequently contacted the Korean government and scheduled a meeting for Holbrooke and Laney with President Kim for May 11, 1996. The meeting ultimately had to be canceled because of a · • • • • •

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TOTAL P.21

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scheduling conflict.

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<u>Communications concerning arrangements for luncheon</u>. In addition to attempting to arrange a meeting with President Kim, Laney, by letter dated March 22, 1996, offered to host a luncheon or dinner for Holbrooke "with appropriate guests." On March 22, 1996, on CS First Boston letterhead, Holbrooke accepted Laney's offer "to host a meal with prominent Koreans." On April 26, 1996, Laney sent a proposed list of invitees and asked Holbrooke for any additional suggestions. On April 30, 1996, on CS First Boston letterhead, Holbrooke wrote back saying that the proposed list looked "excellent" and suggested that the Korean Foreign Minister and Finance Minister also be invited.

On May 10, 1996, Laney hosted a luncheon in honor of Holbrooke at the Ambassador's official residence. The U.S. embassy handled the arrangements. According to official embassy records, four prominent Koreans attended the luncheon, including the Korean Minister of Trade, Industry and Energy, and the Chairman of the Korea Trade-Investment Promotion Agency. Also present were three officials from CS First Boston, including Holbrooke, and four U.S. embassy officials, including Laney. The U.S. government paid for the luncheon. In seeking reimbursement for the luncheon, Ambassador Laney certified in a document dated June 16, 1996, that the purpose of the luncheon had been "Promotion of U.S. National Interests (70%)" and "Promotion of U.S. Economic Activities (30%)." The government does not allege that any specific business interests related to CS First Boston were discussed at the luncheon.

Communications concerning CS First Boston Ribbon Cutting. There is evidence that Holbrooke also asked Laney to attend a ribbon cutting ceremony to celebrate the opening of CS First Boston's new branch office in Seoul, Korea, on May 9, 1996. Holbrooke, Laney and approximately 20 to 30 other people attended the event, which occurred during regular business hours. Holbrooke states that he did not invite Laney.

FD-204 (Rev. 12-1-95)

# UNITED STATES DEPARTMENT OF JUSTICE Federal Bureau of Investigation

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Сору ю:		Ъб Ъ7С
Report of: Date:	PSS Office: WFO February 16, 1999	
Case ID #:	161A-HQ-1256328 🌮	
Title:	RICHARD CHARLES ALBERT HOLBROOKE	
Character:	LEVEL I - PAS	
Synopsis:	Special Agent-In-Charge Office of Inspector General interviewed. Trial Attorney, PIS interviewed. ELAINE SHOCAS, Chief of Staff to Secretary MADELEINE ALBRIGHT, interviewed. Special Agent Office of Inspector General interviewed.	

-RUC-

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

Charles F. C. Ruff

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NOTE: This limited inquiry was opened on 2/11/99. The DOS OIG investigation of Mr. Holbrooke was completed in December, 1998, and a referral for prosecution on a SES violation was forwarded to DOJ/PIS. A civil complaint was filed in U.S. District Court on February 9, 1999. Mr. Holbrooke settled the civil complaint by agreeing to pay a \$5,000 fine to the U.S. Government. Our limited inquiry is complete.

Sent to the White House: copies of the civil complaint and settlement agreement; a July 14, 1998, interview of Mr. Holbrooke conducted by the OIG and PIS; and, a November 20, 1998, unclassified deposition of Mr. Holbrooke conducted by the OIG and PIS. A classified portion of the deposition was not provided to the FBI by the DOS (All obtained from WFO on 2/16/99).

DOS concurrence to disseminate Mr Holbrooke's interview and deposition was given by Special Agent-In-Charge, Special Operations, OIG, DOS, on 2/16/99. Ъ6 Ъ7С

FD-263 (Rev. 4-30-85)

# 83309

# FEDERAL BUREAU OF INVESTIGATION

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TITLÊ OF CASE		REPORT MADE BY		TYPED BY:
RICHARD CHARLES	ALBERT HOLBROOKE	PSS		SDT 5
· ·	•	CHARACTER OF	CASE	
		LEVEL I -	PAS	
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<u>REFERENCE</u>: BUREAU EC to WFO dated 2/11/99.

(RUC)

# ADMINISTRATIVE: BUDED: 2/12/99

All individuals were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality, both limited and unlimited, have been granted where noted.

This case is being submitted past the BUDED due to the	Ъ6 Ъ7С
fact additional leads were developed to recontract and ELAINE SHOCAS.	

SPECIAL AGENT       APPROVED     IN CHARGE       COPIES MADE:     IN CHARGE       2 BUREAU     (161A-HQ-1256328)       PSS     In CHARGE       1 - WFO     In CHARGE       DISSEMINATION RECORD OF ATTACHED REPORT     Notations       Agency     In CHARGE       Request Recd.     In CHARGE       Date Fwd.     In CHARGE       How Fwd.     In CHARGE							•	
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FD-302 (Rev. 10-6-95)

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#### FEDERAL BUREAU OF INVESTIGATION

Date of transcription

2/17/99

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Special Agent-In-Charge, Special Operations, Office of Inspector General, United States Department of State, 1700 N. Moore Street, Suite 910, Arlington, Virginia, 703/284-1913, was contacted concerning the appointee, RICHARD CHARLES ALBERT HOLBROOKE. Having previously been advised of the identity of the interviewing Agent, provided the following information:

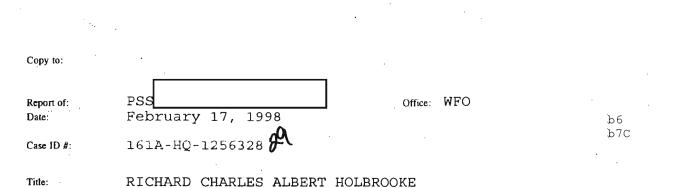
advised that to date, his office has not been contacted by the United States Senate or the White House but anticipates that the Senate or White House will request a copy of the Department of State's report concerning the investigation conducted on the appointee.

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency;

#### FD-204 (Rev. 12-1-95)

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# UNITED STATES DEPARTMENT OF JUSTICE Federal Bureau of Investigation



Character: LEVEL I - PAS
Synopsis:
interviewed.
ELAINE SHOCAS re-

-RUC-

This document contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside your agency.

and



2/16/99

Date of transcription

#### - 1 -

#### FEDERAL BUREAU OF INVESTIGATION

On February 12, 1999, Special Agent, United States Department of State, Office of the Inspector General, 1700 North Moore Street Poom 910, Arlington, Virginia, 22209, telephone number and Special Agent, United States Department of State, Office of the Inspector General, 1700 North Moore Street, Room 910, Arlington, Virginia, 22209, telephone number were interviewes by Special Agent regarding the appointee, MICHANN C. HOLBROOKE. After being advised as to the purpose of the

provided the following information:

and provided four documents as follows: a 32-page prosecutive referral with cover letter dated December 17, 1998; a 7-page information memorandum dated December 17, 1998; a 77-page report entitled "Holbrooke Interview"; and, 207page report entitled "In the Matter of Ambassador Richard Holbrooke". These documents are being retained in a separate 1-A envelope.

interview and the official identity of the interviewing agent,

Ъб Ъ7С

Invest	gation on	2/12/99	a Arlington, Virg			
File #	<u>161A-E</u>	HQ-1256326		Date dictated	2/16/99	
by _	SA					

This document contains neither recommendations for conclusions of the FBL. It is the property of the FBL and is loaned to cour agency, it and its contents are not to be distributed outside your agency.

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-12-1999 17:43	EQUAD A-1 TYSONS RA	7037623094 P.01/07
		- ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED DATE 02-17-2011 BY 60324UCBAW/SB/CD
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PRECEDENCE	CLASSIFICATION	
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To:	B/ll nc of Office	Date: 2/14/99
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FD-263 (Rev. 4-30-85)

# 83309 FEDERAL BUREAU OF INVESTIGATION

REPORTING OFFICE	OFFICE OF ORIGIN	DATE	INVESTIGATIVE PERIOD	
WFO	BUREAU	2/16/99	2/14/99	
TITLE OF CASE		REPORT MADE BY	,	TYPED BY:
RICHARD CHARLES ALBERT HOLBROOKE		PSS CHARACTER OF	CASE	SDT 9
		LEVEL I -		
			·	

- 1

<u>REFERENCE</u>: BUREAU EC to WFO dated 2/11/99.

(RUC)

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## ADMINISTRATIVE: BUDED: 2/12/99

All individuals were furnished the appropriate provisions of the Privacy Act. Express promises of confidentiality, both limited and unlimited, have been granted where noted.

This case is being submitted past the BUDED due to the fact interview's were unavailable until late evening on February 12, 1999.

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U.S. Department of



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Federal Bureau of Investigation

Washington, D. C. 20535-0001

MAR 17 KG? BY COURIER

Honorable Charles F. C. Ruff Counsel to the President The White House Washington, D.C.

Dear Mr. Ruff:

Reference is made to my telephone conversation on March 12, 1999, with Associate Counsel . of your office. During our conversation was advised that additional information had come to the attention of the FBI concerning Mr. Richard Charles Albert Holbrooke. Enclosed is a summary memorandum addressing that information. Also enclosed is a copy of the newspaper article referred to in the summary memorandum.

EXTREME CAUTION SHOULD BE EXERCISED IN DISCUSSING THIS MATTER AS ANY DISCLOSURE OF THE DETAILS COULD JEOPARDIZE. THE INVESTIGATION. Dissemination of the information disclosed in the enclosed summary memorandum has been cleared by the Office of the Deputy Attorney General.

This completes our investigation. Should you have any questions regarding this matter please contact. Supervisory or myself, telephone number

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Sincerely yours.

Special Inquiry and-General Background Investigations Unit

Freesence______ Info, Rec._____ Insp._____ Networkd Soc._____ Personned ______ MWS / TIWS Turining CLIOSED XC of Peddac & Come Arts

OPENLZ 3/11 P.P.O 3/17 FSC: S. GALA

This document is unclassified when classified enclosures are detached.

**Three idea**ment contains neither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside **FROMON** agency.

Charles F. C. Ruff



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NOTE: On March 12, 1999, in addition to being advised that information had come to the attention of the FBI concerning Mr. Holbrooke, was advised that the information would be forwarded to the White House following review by the Office of the Deputy Attorney General. was not advised what the information was. dvised that Mr. Holbrooke's Senate confirmation hearings had not been scheduled and would not occur until at least sometime in early April.





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January 28, 1999, Thursday, Final Edition

LEVEL 1 - 1 OF 1 STORY

SECTION: A SECTION; Pg. A01

LENGTH: 1482 words

HEADLINE: Serbs Tried To Cover Up Massacre; Kosovo Reprisal Plot Bared by Phone Taps

BYLINE: R. Jeffrey Smith, Washington Post Foreign Service

DATELINE: RACAK, Yugoslavia, Jan. 27

#### BODY:

The attack on this Kosovo village that led to the killing of 45 ethnic Albanian civilians 12 days ago came at the orders of senior officials of the Serb-led Belgrade government who then orchestrated a coverup following an international outcry, according to telephone intercepts by Western governments.

Angered by the slaying of three soldiers in Kosovo, the officials ordered government forces to "go in heavy" in a Jan. 15 assault on Racak to search out ethnic Albanian guerrillas believed responsible for the slayings, according to Western sources familiar with the intercepts.

As the civilian death toll from the assault mounted and in the face of international condemnation, Yugoslavia's deputy prime minister and the general in command of Serbian security forces in Kosovo systematically sought to cover up what had taken place, according to telephone conversations between the two.

Details of the conversations, which were made available by Western sources, shed new light on the attack and its aftermath, which have again brought NATO to the brink of confrontation with Yugoslav President Slobodan Milosevic over his government's repression of separatist ethnic Albanians in Kosovo. The calls show that the assault on Racak was monitored closely at the highest levels of the Yugoslav government and controlled by the senior Serbian military commander in Kosovo -- a province of Serbia, Yugoslavia's dominant republic.

The bodies of 45 ethnic Albanian civilians were discovered on a hillside outside the village by residents and international observers shortly after the government forces withdrew.

"We have to have a full, independent investigation of this to get to the bottom of it," a senior Clinton administration official told staff writer Dana Priest in Washington. "Those responsible have to be brought to justice."

In a series of telephone conversations, Deputy Prime Minister Nikola Sainovic and Serbian Interior Ministry Gen. Sreten Lukic, expressed concern about international reaction to the assault and discussed how to make the killings look as if they had resulted from a battle between government troops and members













of the separatist Kosovo Liberation Army.

The objective was to challenge claims by survivors -- later supported by international monitors -- that the victims had been killed in an execution-style massacre and to defuse pressures for a NATO military response.

Sainovic is the highest-ranking official in the Yugoslav government responsible for Kosovo matters and has been present at most negotiations with top Western officials; several Western officials said they understand that he reports to Milosevic on Kosovo issues. "We often see him as the link between the government in Belgrade and the administration down here" in Kosovo, one official said.

Yugoslav army and Serbian Interior Ministry troops have waged an 11-month campaign against ethnic Albanian guerrillas seeking independence for Kosovo, where ethnic Albanians outnumber Serbs 9 to 1 but Serbs hold all the power. At least 1,000 civilians have been killed in the conflict.

Under an October accord imposed on Milosevic with the threat of NATO airstrikes, the Yugoslav leader agreed to withdraw some of his forces from Kosovo, and the conflict eased as both sides maintained -- albeit sporadically -- an unofficial truce.

That changed in this farming village when army and Interior Ministry troops converged on the area. As a result of the attack, the village has been transformed into a ghostly place, bathed in dense, damp fog that cloaks ice-covered thickets and leafless trees. Many of its houses were shattered by direct fire from three T-55 army tanks. Now there are only a few dogs, a handful of braying donkeys and scores of other barnyard animals where more than 1,500 ethnic Albanians once lived.

One source familiar with the phone calls between military leaders in Kosovo and officials in Belgrade on Jan. 15 and succeeding days said they show that "the intent was to go in heavy" to find three guerrillas whom government security officials blamed for the ambush of an Interior Ministry convoy on Jan. 8 southwest of Racak in which three soldiers died. "It was a search and destroy" mission" with explicit approval in Belgrade, the source said.

As tank and artillery fire and the chatter of machine-guns echoed off the hills surrounding Racak, Sainovic called Lukic from Belgrade, according to Western sources. Sainovic was aware that the assault was underway, and he wanted the general to tell him how many people had been killed. Lukic replied that as of that moment the tally stood at 22, the sources said.

In calls over the following days, Sainovic and Lukic expressed concern about the international outcry and discussed how to make the killings look like the result of a pitched battle. Their efforts to cover up what occurred continued, the Western sources said.

One measure Sainovic advocated in his calls was to seal Kosovo's border with Macedonia to prevent Louise Arbour, a top U.N. war crimes investigator, from entering. Arbour was turned back. Another was to demand that Interior Ministry troops fight to regain control of the killing site and reclaim the bodies. Serbian forces launched a second assault on the village Jan. 17, and the following day they seized the bodies from a mosque and transferred them to a



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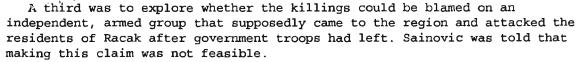








morgue in Pristina, the provincial capital.



Shortly after the attack, a Yugoslav government spokesman said that the bodies found on the hillside were armed, uniformed members of the Kosovo Liberation Army. The account was challenged by international inspectors and journalists who arrived on the scene Jan. 16 and found dozens of corpses on the ground, all in civilian clothes.

Government officials later alleged that some of the victims were accidentally caught in a cross-fire between security forces and the rebels or were deliberately slain by the guerrillas to provoke international outrage. But survivors, diplomatic observers and rebels who were in the area at the time of the killings say that little shooting occurred inside the town early in the the assault and that no battle was underway at around 1 p.m., when most of the victims are said to have died. These sources say that Kosovo Liberation Army forces were not deployed near a gully where at least 23 of the bodies were found, and that none of the trees in the area bore bullet marks suggestive of a battle.

A team of forensic pathologists that arrived in Kosovo from Finland last Friday, a week after the killings, has found nothing to contradict these accounts, according to a Western official. "A picture is beginning to emerge from the autopsies, and it is a tragic one," said another source, explaining that the types of wounds on the victims indicate that they were "humiliated" before being fired on from several directions.

The last of 40 autopsies were to be completed today, and the Finnish pathologists say their final report will be ready by next week. But their preliminary conclusion is consistent with an account given on Jan. 16 by Imri Jakupi, 32, a resident of Racak who said he escaped death by running into the woods. He said that he and other men had been rounded up by security forces in house-to-house searches and ordered to walk along a ravine before troops "started shooting from the hills at us. . . Firing came from all over."

According to Shukri Buja, 32, the commander of guerrilla forces in the area, Racak was home to many rebels, as government security officials suspected. But he said that most of them were driven into the hills early Jan. 15 by a wave of artillery and tank fire. "We were shot at from three sides . . . and they moved their forces during the day, so it was very hard for us to come down into the village," Buja said.

Villagers told inspectors and reporters at the scene on Jan. 17 that many of the dead were last seen alive in the hands of Interior Ministry troops, who said they were under arrest. Many of the troops involved in the operation wore black ski masks, but survivors said they recognized some local policemen and Serbian civilians in uniforms.

Jakupi and another Racak resident, Rem Shabani, told reporters that they overheard some of what the troops were saying on their walkie-talkies as two groups of men were being led away from the village.













"How many of them are there?" one soldier asked. When the reply came back as 29,'Shabani recalled, the order given was: "Okay, bring them up." Yakupi said he then overheard another order: "Now get ready to shoot." He fled before the shots rang out.

GRAPHIC: MAP,, TWP

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LANGUAGE: ENGLISH

LOAD-DATE: January 28, 1999



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DECLASSIFIED BY uc/baw 60324 ON 10-12-2011

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March 12, 1999

MEMORANDUM FOR THE DEPUTY ATTORNEY GENERAL

FROM: General Counsel, FBI

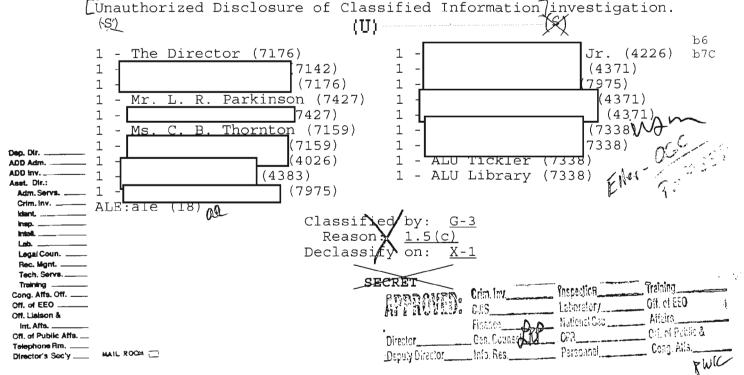
SUBJECT: FORWARDING MATTER OF SUPPLEMENTAL TO LIMITED INQUIRY ON PROSPECTIVE PRESIDENTIAL APPOINTEE (RICHARD CHARLES ALBERT HOLBROOKE) WHICH HAS REVEALED AN ONGOING INVESTIGATION (S) U

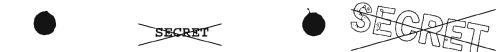
PURPOSE: To obtain the Deputy Attorney General's determination of what information should be communicated to the White House Counsel's Office in response to a limited inquiry request on the above-captioned prospective presidential appointee which has revealed an ongoing investigation. (S) N

TIMETABLE: Immediate. (U)

DISCUSSION:

The FBI supplied a summary memorandum to the White House Counsel's Office on February 18, 1999, in response to that office's request for a limited inquiry on this subject. Following dissemination of that memorandum to the White House, the FBIHQ unit responsible for background investigations was informed of a recently opened investigation involving the prospective appointee who was at one time the focus of an ongoing





Memorandum for the Deputy Attorney General

Re: Forwarding Matter of Supplement to Limited Inquiry on Prospective Presidential Appointee (Richard Charles Albert Holbrooke) Which Has Revealed An Ongoing Investigation (\$)(14)

After consulting with the responsible FBIHQ substantive unit to determine what information could be disseminated without harm to the investigation, we have prepared a proposed response apprising the White House Counsel's Office of the matter. The Attorney General has been briefed on this matter by FBI Executive Management. Acting Chief, Internal Security Section, Criminal Division, Department of Justice is directing the investigation. telephone number is

RECOMMENDATION: That you approve dissemination by the FBI to the White House of the information contained in the attachment hereto. (U)

APPROVE _____

DISAPPROVE _____

OTHER _____

Enclosure

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Page 1



MAIL-IT REQUESTED: MARCH 16, 1999

CLIENT: LIBRARY: NEWS FILE: WPOST

YOUR SEARCH REQUEST AT THE TIME THIS MAIL-IT WAS REQUESTED: SERBS TRIED TO COVER UP MASSACRE

NUMBER OF STORIES FOUND WITH YOUR REQUEST THROUGH: LEVEL 1... 1

LEVEL 1 PRINTED

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DISPLAY FORMAT: FULL

MULTIPLE DOCUMENTS ON A PAGE

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SEND TO: FBI 10TH & PENN AVE NW JEH FBI BUILDING WASHINGTON DISTRICT OF COLUMBIA 20535



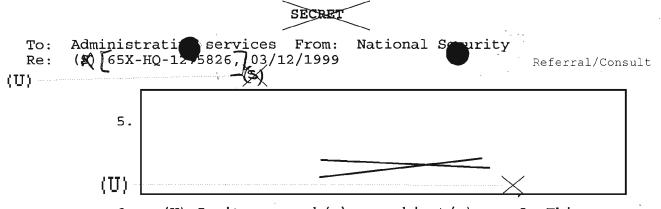
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(0.)+26/1998) SECRET REAU OF INVES IMMEDIATE Date: 03/12/1999 Precedence: Special Induiry To: Administrative services Attn: UC National_Security From: (U) NS-1C, Room 4226 Extension Contact: IOS Approved By: Drafted By: (U) Case ID #: (\$) 65X-HQ-1275826 (Pending) b6 UNSUB(S); UNAUTHORIZED DISCLOSURE OF b7C (\$) Title: CLASSIFIED INFORMATION IN THE JANUARY 28, 1999 EDITION OF THE WASHINGTON POST, ENTITLED "SERBS TRIED TO COVER UP MASSACRE," BY JEFFREY SMITH; (U) ESP-X (MEDIA LEAK) 00:HQ Synopsis: ((U)) - Responds to request for information relating to captioned matter as it relates to Special Envoy to the Balkans, Richard Holbrooke. (🕱) Classified By: 7259 NS-1C/NSD Reason DECLASSIFIED BY uc/baw 60324 Declass‡fy On: ON 10-12-2011 X1 N The following responds to your request made to Details: (U) NSD, NS-1C, on 03/10/1999. (\$) (What is the file number? 65X-HQ-1275826. (U) 1. (U) Who is the OO? FBIHQ. 2. Who is the HQ Unit handling з. (U) (SSA/Unit Chief to contact? IOS Unit Chief (When was the investigation opened/initiated? (U)Investigation opened February 1, 1999 SECRET AC ALL INFORMATION CONTAINED MEREIN IS UNCLASSIFIED EXCEPT WHERE SHOWN OTHERWISE. DECLASSIFY ON # 445901



- 6. (U) Is it an unsub(s) or subject(s) case? This investigation is an Unsub(s) case.
- 7. (U) What is Holbrooke's connection to the case, i.e., his involvement/how related to the investigation? Also, is/was he a subject, target, witness, unknown relationship in the case? Or has investigation eliminated him as being/possibly being any of those and/or no longer of interest to the investigation? The FBI received information that Holbrooke was the source of the unauthorized The information was disclosure to specific, but the sources were removed from the person(s) with first hand knowledge. Based on interviews conducted by the FBI, including an interview of Holbrooke, it was determined that the information implicating Holbrooke was inaccurate in important aspects. Holbrooke is no longer the focus of this investigation.
- 8. (U) Is Holbrooke aware of the investigation? If so, how? Has he been told his connection, if known to the case, e.g., subject suspect, etc.? Holbrooke is aware of the investigation as he was interviewed by the FBI and was asked directly if he was responsible for the unauthorized disclosure. He denied being the source of the unauthorized disclosure. He was not apprised of of the source of the information.
  - (U) Has he been, or is he going to be interviewed? Holbrooke was interviewed by the FBI on 03/01/1999.

9.

10. (U) Has he been, or is he going to be, polygraphed? If he has been, what questions were asked, what were his responses, and what are the results of the polygraph? During the FBI's interview of Holbrooke he was asked if he would

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take a polygraph. He refused, stating that he
would quit the government first.
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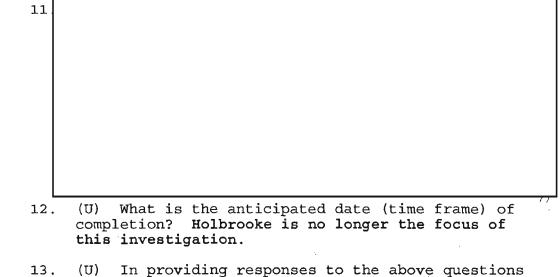
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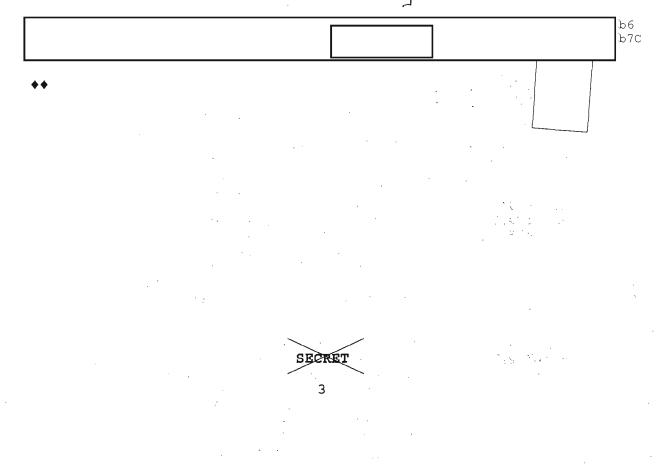
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To: Re:

(U)



what part, if any is classified, and at what level? SECRET. (Information pertaining to the accuracy of media reporting is classified.



3/10/99

Holbrooke

- 1. What is the file #?
- 2. Who is the OO?
- 3. Who is the HQ Unit handling and person (SSA/Unit Chief) to contact?
- (U) 4. When was the investigation opened/initiated?

5. What is the allegation(s)/ investigation about?

6. Is it an unsub(s) or subject(s) case?

7. What is Holbrooke 's connection to the case, i.e., his involvement/ how related to the investigation? Also, is/ was he a subject, suspect, target, witness, unknown relationship in the case? Or has investigation eliminated him as being/possibly being any of those and/or no longer of interest to the investigation?

8. Is Holbrooke aware of the investigation? If so, how? Has he been told his connection, if known, to the case, e.g., subject suspect, etc.?

9. Has he been, or is he going to be, interviewed?

10. Has he been, or is he going to be, polygraphed ? If he has been, what questions were asked, what were his responses, and what are the results of the polygraph?

11. Has the matter been discussed with the DOJ and or USA, or is it going to be? If it has, what offices and who is the point of contact (including telephone #) in them regarding the investigation?

12. What is the anticipated date (time frame) of completion?

13. In providing responses to the above questions what part, if any, is classified, and at what level?

 14. If the investigation has not eliminated, but eventually does eliminate, Holbrooke as a subject/suspect/target, promptly advise the SIGBIU, ASD, 4-2568, Room 4371. Points of contact =Unit

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 or SPSS

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U.S. Department of Justice

Federal Bureau of In tigation



Office of the General Counsel

Washington, D.C. 20535

March 12, 1999

MEMORANDUM FOR THE DEPUTY ATTORNEY GENERAL

FROM: General Counsel, FBI

SUBJECT: FORWARDING MATTER OF SUPPLEMENT TO LIMITED INQUIRY ON PROSPECTIVE PRESIDENTIAL APPOINTEE (RICHARD CHARLES ALBERT HOLBROOKE) WHICH HAS REVEALED AN ONGOING INVESTIGATION (S)(L)

PURPOSE: To obtain the Deputy Attorney General's determination of what information should be communicated to the White House Counsel's Office in response to a limited inquiry request on the above-captioned prospective presidential appointee which has revealed an ongoing investigation. (S) (A)

TIMETABLE: Immediate. (U)

DISCUSSION:

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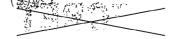
The FBI supplied a summary memorandum to the White House Counsel's Office on February 18, 1999, in response to that office's request for a limited inquiry on this subject. Following dissemination of that memorandum to the White House, the FBIHQ unit responsible for background investigations was informed of a recently opened investigation involving the prospective appointee who was at one time the focus of an ongoing Unauthorized Disclosure of Classified Information investigation.

> DECLASSIFIED BY uc/baw 60324 ON 10-12-2011

Classifi G-3 Reason: (C)Declassify on: X-1 SECRET



Memorandum for the Deputy Attorney General Re: Forwarding Matter of Supplement to Limited Inquiry on Prospective Presidential Appointee (Richard Charles Albert Holbrooke) Which Has Revealed An Ongoing Investigation (



After consulting with the responsible FBIHQ substantive unit to determine what information could be disseminated without harm to the investigation, we have prepared a proposed response apprising the White House Counsel's Office of the matter. The Attorney General has been briefed on this matter by FBI Executive Management. Acting Chief, Internal Security Section, Criminal Division, Department of Justice is directing the investigation. telephone number is (U)

SECRET

RECOMMENDATION: That you approve dissemination by the FBI to the White House of the information contained in the attachment hereto. (U)

APPROVE DISAPPROVE

Enclosure

OTHER



bб b7C





U.S. Department of Justice

Federal Bureau of Investigation

Washington, D. C. 20535-0001

#### RICHARD CHARLES ALBERT HOLBROOKE

(U) The information in this summary memorandum supplements the information provided to your office in the summary memorandum dated February 18, 1999.

(%) On February 1, 1999, the FBI initiated an Unauthorized Disclosure of Classified Information investigation upon being advised by other government agencies that information classified at the "Secret/Top Secret" level had been compromised in a newspaper article which appeared in the January 28, 1999, edition of the Washington Post, entitled "Serbs Tried To Cover Up Massacre." The FBI was advised that the source of the unauthorized disclosure of the classified information was Mr. Holbrooke. The information was specific, but the sources were (U) removed from the person with the first hand knowledge.

(U) On March 1, 1999, Mr. Holbrooke was interviewed by the FBI and was asked directly if he was responsible for the unauthorized disclosure of classified information. Mr. Holbrooke denied being the source of the unauthorized disclosure. He was not advised of the source of the information.

(U) Based on interviews conducted by the FBI, including the interview of Mr. Holbrooke on March 1, 1999, it was determined that the information implicating him as the source of the information was inaccurate in important aspects. Mr. Holbrooke is no longer the focus of this ongoing investigation. It is not known when the investigation will be completed.

(U) No additional information can be provided at this

time.

DECLASSIFIED BY uc/baw 60324 ON 10-12-2011 ALL INFORMATION CONTAINED HEREIN IS UNISSIFIED EXCEPT WHERE STUDIO OTMERNISE.

Derived fro BI communication dated 3/12/99 Declassify oh:

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Richard Charles Albert Holbrooke

(U) <u>EXTREME CAUTION SHOULD BE EXERCISED IN DISCUSSING</u> <u>THIS MATTER AS ANY DISCLOSURE OF THE DETAILS COULD JEOPARDIZE THE</u> <u>INVESTIGATION.</u>

(U) Dissemination of the information disclosed in this summary memorandum has been cleared by the Office of the Deputy Attorney General.



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## FEDERAL BUREAU OF INVESTIGATION FOIPA DELETED PAGE INFORMATION SHEET

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FD-340a (Rev. 11-12-89) (TITLE) RICHARD & HOLBROOLE (File No.) 16 1A-HQ-1256328 To be returned Yes No Date Filed Disposition ltem X Prosecutive Referral of Cover Un del 13/17/95 (32 pages) X Information Mesus del 12/17/98 (7 pages) X Hollopole Informier (77 pages) 211/44 1 216/50 Э 3 2/11/29 X Holbrooke Deposition (207 pages) 3/16/ 4 . -

PCD 2 U.S. Department of Justice Federal Bureau of Investigation Washington, D. C. 20535-0001 FEB 18 1999 Honorable Charles F. C. Ruff Counsel to the President The White House Washington, D.C. USC 6103 Dear Mr. Ruff: bb b7 Based on a request received from your office dated е. 1 February 10, 1999, a limited inquiry has been conducted concerning Mr. Richard Charles Albert Holprooke. Enclosed is a summary memorandum containing the results of this limited . inquiry. Also enclosed is a copy of your February 10, 1999 request. During the course of the limited inquiry, information disclosed indicating that the This completes our limited inquiry Should you have any questions regarding this matter please contact. Supervise Personnel Security Specialist b7C telephone number Sincerely yours, BULKY ENCLOSURE James A. Bourke Chief ? Special Inquiry and General Background Investigations Unit 6 Enclosyres (5) MWS: MVS CLOSED 69-61 This document contains heither recommendations nor conclusions of the FBI. It is the property of the FBI and is loaned to your agency; it and its contents are not to be distributed outside Your agency.

#### HOLBROOKE INTERVIEW

b7C Per DOS

1

SA	This is Tuesday, July 14th, 1998. We are in the office of			
Present today, and its approximately				
12:33 hrs is Mr. Richard HOLBROOKE along with his lawye				
am Special A	agent	with the Office of Inspecto	or General at the Department of	
State along v	vith Special Agen			

HOLBROOKE's lawyer is recording the interview as well.

First thing we'll do here this afternoon is to go over the warnings and assurances form.

Its titled <u>Noncustodial Warnings and Assurances Statement Usable in a Criminal</u> Proceeding.

Here you are sir. (SA handed the form to MR. HOLBROOKE)

MR. HOLBROOKE, just in starting I just want to get a little information. During what time frame were you Ambassador to Germany?

MR. HOLBROOKE: September of 93 to September of 94. I can't remember the exact dates.

SA

What was your personal office phone number?

## MR. HOLBROOKE: I have no idea.

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That's because you don't call yourself.

MR. HOLBROOKE: The switchboard number was 4 -- the country code was 49 -- the city code was 228 -- and the switchboard was 3391. But I don't remember the office or residence numbers.

SA And the time frame you were Assistant Secretary of State for European and Canadian Affairs?

MR. HOLBROOKE:

September 94 to February 97. [Inaudible]

SA

SA

And again, your personal office phone number?

MR. HOLBROOKE:

647

Your current status, as far as employment status with the State

Department, you're a special government employee?

MR. HOLBROOKE: Yes. Special Presidential Emissary for Cyprus. And I

provide occasional assistance on Bosnia.

SA

And that is an unpaid position? What grade is that?

It doesn't have any grade.

MR. HOLBROOKE: is my predecessor. [Laughter] In all positions [Inaudible] ... speed. It's one of these things where you serve a certain number of days a year as a part-time person, and then [Inaudible].

SA What we'll be speaking about today is, as we discussed on the phone, there appeared to be a failure to list an item, that being a gift, on your financial disclosure report. And that's what's in question here. It has to do with a gift received from We're speaking of the late Larry LAWRENCE and If you could start just kind of tell me about your relationship with How and when did it develop?

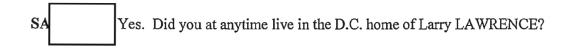
MR. HOLBROOKE: I first met Larry and in July 1993. We

were both going through the nomination process for ambassadors to Germany and Switzerland.

SA You never met him before and you knew nothing about him?

**MR. HOLBROOKE:** I kind of heard his name, but he was from California and I was from New York. And he was going to Switzerland and I was going to Germany. The office, its the same office, in the State Department; Germany, Austria, and Switzerland, are the same office, so the same people were handling us. And he was the subject from the beginning of a tremendous attack on his integrity and his qualifications for the job. We'll get to the end of the story in due course, which we're all familiar with. The American Foreign Service Association had chosen him as the person they would attack for contributing [inaudible]. I thought this was unfair because there are many other political contributors. Switzerland is, let's be honest, a very monied place. And he wanted to serve. And he seemed to me, being a business man, our relations with Switzerland are not strategic, it seemed to me to make perfect sense. When I realized that the Bureau was not supporting the LAWRENCE nomination enthusiastically -- they were very supportive to me -- I said to the person in charge at the office, David [inaudible], who later became my [inaudible] and now works for Stu EIZENSTADT. I said to [inaudible] that I felt the Department ought to get behind LAWRENCE because LAWRENCE was a reasonable candidate -- and I never said this to LAWRENCE -- but for a second year close. They were very grateful to me when they had found out I had done it. And LAWRENCE and I became friends. We went [inaudible] in the countries. I invited him up to Bonn to see how an embassy was run. I worked with him on doing something in Switzerland similar to what I had done in Germany, which was to

create a business information center to support American business. LAWRENCE was good at that, and so we became friends. And that was the initial phase of our relationship. Now you want to proceed with your questioning?



MR. HOLBROOKE: I did indeed.

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SA When?

**MR. HOLBROOKE:** This was no secret, it was well known. What happened is this. I was in Germany for only about seven months or eight months when the President and Secretary of State asked me to return on an emergency basis to Washington to take over the European bureau because, frankly, the European bureau was in a mess and there were many issues, but one, above all, Bosnia, was in a particular mess. I didn't really want to return. I loved the job in Germany, I was having a good time. I'd been an Assistant Secretary of State in the CARTER administration, and Bosnia was a lose-lose proposition. But when the President ask you personally, you have to do it. So I came back, and, at that time I owned a house at 1215 29th Street in Georgetown which was rented and which was in a shambles. I had not lived [inaudible]. Have you ever seen our house?

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SA No.			
MR. HOLBROOKE: It has been lived in by			
It was a mess.			
SA Can you hold on one moment, sir. (SA made adjustment to tape recorder)			
MR. HOLBROOKE: Now, an important point about all this. By this time I was			
engaged to be married to a woman who lived in New York.			
I told her that I would, that			
I had to accept this job but I would stay in it no more than a year. I also told this to the			
Secretary of State and to the President and to other people in the Department. I			
meanwhile put the house in Washington up for sale. I couldn't rehabilitate it and			
refurnish it. It was just beyond my financial reach, and even more than financial reach,			
on the day I started the job Bosnia was exploding. It went down hill steadily from			
September of 94 to the time that the negotiations began.			

I

That house was also rented too.

**MR. HOLBROOKE:** The house was rented and then it was vacated and the bottom was rented, in fact it was rented to and it was a shambles and so I put it up for sale and left it unfurnished. At that point I didn't know where to stay. And said "Look, we got this empty house, fully staffed at 35th Street and it's a four-story house, and you're welcome to use a room in it. Take a room." And I said "Fine." And I called up and I said I have no professional financial arrangements with one way or the other. I'm incredibly careful about conflicts of interest. I'm well aware of all this stuff. We work together. It's a purely social thing." And said something like "How long you gonna stay?" and I said "Well, I'm gonna be out of here in a year or less" and he said "Well its O.K." And the room is very small. You can visit it if you haven't already. I don't know if you've been over to the house already, but you can visit the room. It's the upper, when you go up to the top story its the first room at the head of the landing. Its got its own bath with a lousy kind of shower. Its a small room.

Too much?

MR. HOLBROOKE: I want them to have everything.

We want to finish today, with all due respect.

MR. HOLBROOKE: Hey, I'm remembering how small this room is. But I want to make it ...



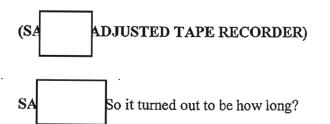
It's a big house though.

MR. HOLBROOKE: Very big. Yes, very big house.



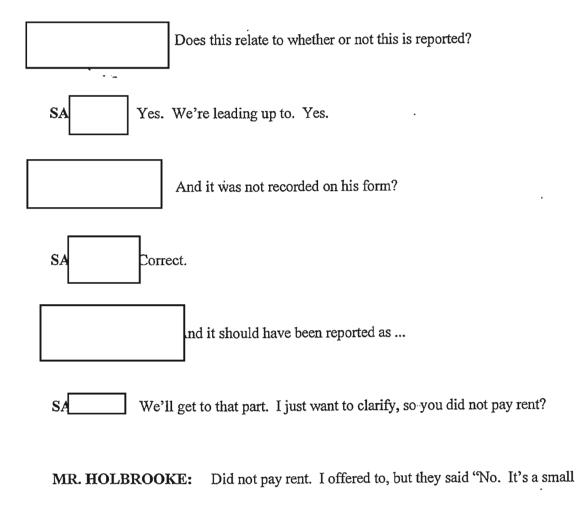
Was anyone else living in the house at the time?

MR. HOLBROOKE: The housekeepers. It was a fully staffed house. The room, I do want to explain this point. The room was about 15 by 20 and had its own bath. That was it. So I used that room. ______ came back and forth from time to time and when they were there, I would leave and get out of their way. And then the eleven or twelve months stretched on to seventeen months.



**MR. HOLBROOKE:** Seventeen months. Instead of the original year. Oh, by the way, its very important to note that during these seventeen months I was out of the city an enormous percent of the time. I would hate to give you an exact figure, but it was very

significant and I never was in the city for more than about ten or fifteen straight days. Even that was rare. It was a tremendously high-pressured job. I could not have done the job had I had to, as a bachelor, because my wife was here (N.Y.), I could not have done the job if it were not for generosity. And I will state that flat out without any hesitation. And there was no secret about my staying.



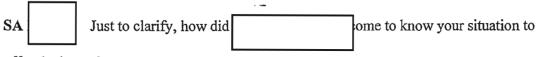
room. Doesn't matter to us." And I didn't pay rent.

SA So there was already a house full of staff. So utilities and what not were, is that correct, being paid by

MR. HOLBROOKE: Totally.

SA What about the phone?

MR. HOLBROOKE: Phone? I don't remember. I honestly don't remember whether I, I know that I asked to reimburse them for all phone calls. What I don't know is whether we did that on a regular basis or not. But I can check easily enough if its important to you.



offer the house?

**MR. HOLBROOKE:** Everybody knew it. I mean he was -- LAWRENCE visited me in Bonn, was he up there the weekend you were up there?

Yes.

MR. HOLBROOKE: Yeah, you remember. In fact, that's, I think, when it came up.

I happened to be there the weekend in Bonn.				
MR. HOLBROOKE: This was my last weekend in Germany. We threw a party.				
were planning to come over anyway came up and				
during the course of discussions they asked "Where are you going to live?" I said "I				
don't know, I probably have to rent a hotel room, or whatever. Stay with friends.				
said I could stay wit but it was a very crowded situation with				
the kids. And so they said "We got this empty house." So not knowing we'd ever meet				
in this office, but knowing it was an issue, I calle Although there's no memo				
on it.				
SA He told you that there were no concerns?				
MR. HOLBROOKE: He said it sounds O.K. to Now neither nor I knew that				
it would stretch on into seventeen months. That was				
SA Did you go back, after it did go beyond what you thought and recheck or anything with				

**MR. HOLBROOKE:** No. At that time, if I could be absolutely honest with you, we were fighting for our lives to stop the war. Nothing I have ever done, except maybe this

discussion, has been more difficult. At that point, I remember thinking to myself, "Thank God, that I have a place to leave my clothes."

SA_____ Did you believe that you received a gift from _____ by staying in their home rent free? Did you consider that a gift?

**MR. HOLBROOKE:** I'm not sure I understand the question. I don't. If it is [inaudible]. I'm an existentialist. They offered me a room in their house. That is a room in the house. Is it a gift? Like a box of chocolates? I don't know, I'd leave that to other people. I knew what it was. They knew what it was. And everyone else knew. The President and Mrs. CLINTON came over the house one day when I was overseas and the

showed them the room and I remember the President and Mrs. CLINTON mentioning to me later "Oh, we saw the room you're staying in." Now that doesn't involve anything on their part in knowledge about any of these other issues, but they knew I was there. Everyone knew I was there.

SA

Did you use the rest of the house? I'm assuming it had a pool.

**MR. HOLBROOKE:** It did not have a pool.

SA

Did you make use of the rest of the house? Did you cook there?

MR. HOLBROOKE: No. I never cooked a meal there. I...

Did the staff cook meals, prepare meals for you?

MR. HOLBROOKE: Breakfast occasionally. No dinners that I can remember ever except food that I might have bought down the street and brought in on a weekend. But almost was never there on a weekend. I could reconstruct my whole travel schedule with some degree of error. I mean I wouldn't, I wouldn't, I wouldn't want you to hold me to every, every minute of it. But I could come within a eighty percent accuracy of when I was there. I never entertained there that I can remember, but once in a while [inaudible] came over to have discussions and once in a while she brought over papers. And, of course, if I came in from Andrews on a military jet, or something, and I was being given port to portal service, I never used, I never went from there to the Department because that's not allowed. But if I was coming in they'd drop me off there. Everyone was. But, I want to stress that point because there was no attempt to conceal this.

 SA
 Sure. Did you perform or promise to perform any favors for

 in return for staying at their house?

MR. HOLBROOKE: If this weren't so serious I'd have an answer but, I can't kid around with these guys.

SA We have to ask the questions.

MR. HOLBROOKE: No, I understand this but, when the tape recorder's off I'll tell you my joke answer.

SA O.K.

MR. HOLBROOKE: Um, the answer is a categorical no.

SA As Assistant Secretary of State, do you happen to know, was your salary larger than that of Ambassador Lawrence?

MR. HOLBROOKE: I don't know and I'll tell you why I don't know. There are four classes of ambassadors and I don't know what class he was and I don't know what my salary was as Assistant Secretary. The only thing I know is it went down from being Ambassador to Germany.

SA

I noticed that (laughter). I was surprised

MR. HOLBROOKE: Believe me , I didn't want to come back but, life has its funny bounces. And, in the terms of [inaudible] I had no idea what LAWRENCE's salary was. He was a wealthy.....

SA For clarification, no one else other than staff was living in the house during the time you lived there aside from pccasionally coming back?

MR. HOLBROOKE: No, they had relatives and friends stay occasionally. But, I would try not to absent myself also. But they stayed in the major guest bedrooms on the lower floor which I was not in. And my fiancée, now wife, occasionally visited me.

SA Why did you not list living in house on your financial disclosure report?

MR. HOLBROOKE: I was not even aware that I listed [inaudible]. This stuff was prepared for me in the most extreme pressure and I'll have to, I'll have to defer to [inaudible]. I'm not aware that it was required if I didn't list it and I'm not aware that I didn't list it. This was all prepared for me by an accountant in New York.

SA These are, I'm going to present to you financial disclosure reports with your signature and date, June 24, '94; May 16, '95; June 4, '96.....

MR. HOLBROOKE: If this is only in reference to the house...

July 24, '97. SA

MR. HOLBROOKE: This one wouldn't apply.

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**MR. HOLBROOKE**: Can I take this for one minute? And just, I'll be right back. Would you excuse me if I just take this urgent call from Washington?

SA We're gonna turn off the recorder now so Ambassador HOLBROOKE can take a call.

SA O.K. the recorder's back on. Mr. HOLBROOKE's back from his phone call. It's 1:09, 13:09 hours. O.K., we were discussing your financial disclosure reports. I've just presented those to you and believe I was asking why you did not list living in house on your financial disclosure report.

MR. HOLBROOKE: Oh, I don't know the answer to that question. I don't know whether I didn't because I didn't think it was necessary or because it was omitted my accountant or, or what. I don't know it's not clear to me that it's... what is your view on this?

required.

Well, there's a legal interpretation here as to whether or not it's

SA Actually I guess, what's important here is, is maybe what was in your mind when the form, when you signed the form, versus what your attorney would now advise, you understand what I'm saying?

MR. HOLBROOKE: Let's see what they, let's see. My first form is dated August
25th, 1994. I'm not at house, right?
Sz Right.
Vell, this is 9/23.
MR. HOLBROOKE: That's, that's the Germany.
"Right: This is the Germany one.
MR. HOLBROOKE: That's, that's unrelated, right? Right? Is that correct?
SA Yes.

MR. HOLBROOKE: The second form is also unrelated because I'm not at house. This is a form filled out in Germany. The third form is my departure form when I'm retiring seventeen months later. The date of it is .... Where's the date? That's the date of the reviewing officer. O.K. I signed it on June 4, 1996. Um, I can't answer your question I mean I don't, all I know is that it says here, this phrase, "provided personal hospitality at the donor's residence" and that's exempted. "But, exclude anything given to you or provided as personal hospitality at donor's residence." But, I can't answer your question as to why it isn't in there because I didn't fill out this form, I only signed it, after I left the government. Who filled the form out for you? SA **MR. HOLBROOKE:** who was the assistant to my then accountant. And my accountant was... Can I write on here? Sure. SA I've switched MR. HOLBROOKE: My accountant was named accountants. I've now switched to my wife's, accountant. Do you know

: Yeah, I do.

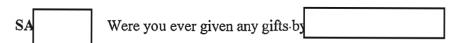


Did you review the form prior to signing it?

MR. HOLBROOKE: I, I skimmed it, yeah. But, did I review it carefully? No.

SA Did you ever consider, so in your mind you never considered living there rent free as a gift?

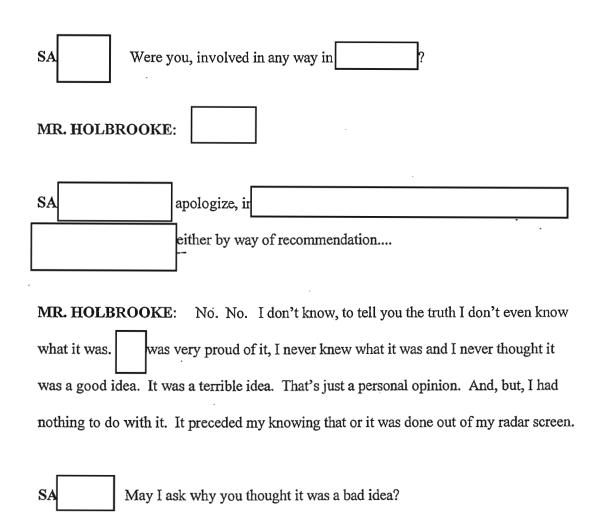
MR. HOLBROOKE: I don't I don't know how to answer that. I mean, I was there rent-free. Everybody knew it. If I felt I had clear authority to do so, and I didn't, it didn't occur to me that it was required on this form, or, alternatively, it was prepared by other people and I didn't check it. I, one thing I know is, I didn't go through these forms line-by-line at the time and, and look at Eastman-Kodak, Fannie Mae, and Disney Company, and stuff like this. This form, by the way, included my wife's assets for the first time, so it was incredibly complicated.



MR. HOLBROOKE: A wedding gift, I think. They gave us a photograph of us that they'd taken, once. I think they gave us a bowl or, or candlesticks or something for the wedding.

SA For the wedding?

#### MR. HOLBROOKE: I think so, yeah. They didn't come to the wedding.



MR. HOLBROOKE: Because I thought that it just, that

But, I don't, you know it wasn't a big deal.

SÀ Did you ever, do anything in your official capacity as Assistant... We'll pause for a moment so can change the, tape. O.K., the tape recorder's back on afte turned the tape over in recorder. I was asking if you, in your official capacity as Assistant Secretary of State for European and Canadian Affairs, ever did anything for

MR. HOLBROOKE: You gotta be more specific on that question. Of course I did things for ______ They-were, I had overall responsibility for fifty-one missions. Actually ninety-three missions, fifty-one overseas. And they were one of them -- a very minor one. But, so you have to be specific.

SA Did receive any special treatment or favoritism if you will in your official, in carrying out your official duties because of your friendship with them?

MR. HOLBROOKE: Categorically not.
And you guys all

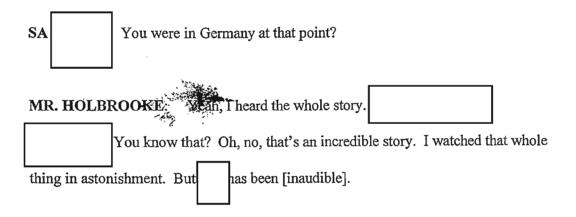
know that because I've been questioned about several other people you've investigated. Maybe not the two of you but, I really fight for [inaudible] and [inaudible]. But never did anything special for Larry LAWRENCE.

# SA Let me refer...

MR. HOLBROOKE: In fact he often complained to me, as did many other ambassadors, that he was getting quote "screwed by Washington" unquote. They . complained, which I think we've heard from almost every ambassador and I never did nothing special for him.

SA I understand when he became ambassador, I guess early on he requested a special assistant position be filled and was told by the Bureau that his position did not justify a special assistant. But somehow he ultimately did, did get one. Did you have any part to play in that?

## MR. HOLBROOKE: I was in Germany.



SA You were interviewed as part of a Diplomatic Security investigation, Diplomatic Security of course being separate and distinct from OIG. In one of their investigations in December of '97, they interviewed you relative to the waiver, determining the basis for the Department's waiver for Ambassador LAWRENCE to be buried in Arlington Cemetery. During that interview you told the DS agents that you had developed this friendship with Ambassador LAWRENCE and that after becoming Assistant Secretary of State for EUR during the next seventeen months, you gave LAWRENCE considerable attention while serving as assistant secretary because LAWRENCE was setting up several new projects that were interesting and because you liked him.

MR. HOLBROOKE: I've referred to the project earlier. That's the combined, that's the business support center in Geneva, which he set up in imitation of the ones that I had set up in Frankfurt, Dusseldorf, Berlin, Hamburg, and Munich. And our goal, our instruction from the President was to support American business and most American ambassadors don't do this well. Larry LAWRENCE was a businessman, its the core of our relationship with Switzerland and I encouraged him both as a friend, when I was in Bonn, and then when I was in the EUR to pursue his Geneva project. And I even visited it on one of my trips to Switzerland. I was going to Geneva and I went and spent about an hour there. I thought it was a good project. And I not only encouraged him, [inaudible] but I encouraged every ambassador, [inaudible] in Vienna, HARRIMAN in Paris, Admiral CROWE in London; all the embassies that I could reach I want us to do

the same thing. Some did it, some didn't. LAWRENCE was one of the ones who did this best.

SA What actions did you take, if any, on behalf of Mr. LAWRENCE gaining a waiver in order to be buried in Arlington Cemetery?

**MR. HOLBROOKE:** Well I think that's very well established already in previous interviews. But just to recapitulate, I signed a memo prepared for me in a routine manner by EUR/EX to Pat KENNEDY, asking KENNEDY to ask for the waiver on the grounds of two things, one of which turned out not to be true -- that he died as a sitting ambassador, which I was led to believe justified a waiver, but didn't make it automatic; and, on the basis of the fact that he was a wounded Merchant Marine veteran. The detail in that memo was all supplied by his official biography which had been vetted by the State Department, the White House, and the Senate Foreign Relations Committee; and which indeed he had testified about during the Senate Foreign Relations Committee hearings and the memo, I don't remember the exact date of the memo, but my memory is that it was late in January of 96. If you look at the calendar of January 96, you'll see that we were in the process of trying to get the Dayton agreements implemented and my amount of time I spent on that thing was about as long as it takes to initial. But I did initial it and I would have done it again, assuming the biography is correct.

SA I understand that you spoke with Ambassador LAWRENCE shortly before he died?

**MR. HOLBROOKE:** Yes -- but not after. I talked to him less than a week before he died. He was in the hospital.

SA At any time did he give you reason to question or to believe that his alleged Merchant Marine service was a fabrication?

MR. HOLBROOKE: No. He described floating around in the water.

SA Were you aware that Ambassador LAWRENCE had substantial holdings with Credit Suisse First Boston?

MR. HOLBROOKE: No, this is the first time I've ever heard of it. Very first time I heard of it. I knew nothing about his financial holdings except that he owned the hotel -- Coranado.

 SA
 Which brings me back to a question I skipped over. Did you ever stay at any other properties owned by

 ncluding the hotel Del Coranado?

MR. HOLBROOKE: Yes. I stayed at his house, I never stayed at the hotel Del, I did stay at his residence about a mile away, in San Diego, for about three or four days in August of 1995, with my wife, as his guests. The same house actually that the President and Mrs. CLINTON had stayed in several times. That was we were in California on a vacation. We had just gotten married [inaudible].

SA Any other times?

**MR. HOLBROOKE:** After he died, I was asked to speak at his funeral, but I did not stay overnight. I just flew out, spoke, and then returned immediately to the east coast. I never stayed in the hotel [inaudible].

**SA** Did Mr. LAWRENCE have anything to do with your securing a position with Credit Suisse First Boston in terms of making a recommendation on your behalf, or in any other way?

**MR. HOLBROOKE:** Absolutely not. There were four people involved in my hiring. I can give you all their names. They've never heard of Larry LAWRENCE. This is the first time [inaudible].

**SA** Did you go any place between State Department and Credit Suisse First Boston? Had you gone any other location?

MR. HOLBROOKE: I started work for Credit Suisse February 22nd, 1996, the day after my departure date [inaudible].



If I'm correct, you came to the Department from Shearson Lehman?

**MR. HOLBROOKE:** Yeah, I think it had changed its name to Lehman Brothers. It changes it's name regularly. It's the same firm.

SA And how long were you with Lehman Brothers/Sherson Lehman?

**MR. HOLBROOKE:** I began as a consultant there in the spring of 1981, became a full-time managing director in 1985, and remained with them until September of 93. Then I went to Germany. So two phases, a consultant and then a full-time managing director.

SA While you at work there at Sherson Lehman/Lehman Brothers, did you have any contacts with Credit Suisse First Boston?

## MR. HOLBROOKE: No.



And forgive me if I'm not technically correct in, I know Credit Suisse...

MR. HOLBROOKE: Credit Suisse was First Boston at that time.

SA O.K., did you have contacts at First Boston, I don't know, in the financial world I'm sure there's a network of...

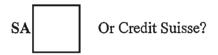
MR. HOLBROOKE: [Inaudible]

[Inaudible]

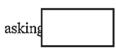
SA

You had no contacts at Credit Suisse or First Boston?

MR. HOLBROOKE: No. Although point is an important one because given where this set of questions are going, its important to note that Credit Suisse First Boston were then two separate organizations. But in any case, I never even knew anyone from First Boston.



MR. HOLBROOKE: They were two different firms then, weren't they? (Holbrooke



Yeah.

S. Did you approach Credit Suisse First Boston with the possibility of going to work for them or did they approach you?

MR. HOLBROOKE: Neither. I was, I knew I had to leave. I told you earlier because of my family situation, and under the rules, you cannot, when you leave to go back in the government, for example right now, I can't discuss with CS the possibility of ever returning. That would be a clear violation. That was the same with Lehman Brothers when I left them. They had said to me "We want you to come back." I said "I can't discuss it, don't say it, stop, I won't discuss it." And then, when I knew I was leaving, directly through and a few other friends the word got around. I had been very public [inaudible]. Then one day a mutual friend of mine called me up and said "Have you thought about First Boston?" I said "I don't know anything about First Boston." said "Well, you otta look at it. Its a good firm, you otta think about it." I think I checked with [inaudible]. And so a named named

SA Wh

When was this?

MR. HOLBROOKE: The first contact wit took place in sometime the summer of 1995. Before the Bosnia negotiations began, at a point when my wife and I had

decided that I would leave the government in September, which relates back to the point of seventeen months. And we were ready to go. Then the negotiations began. So I called up and I said "I can't talk to you now. I've got to delay my departure." aid "When are you gonna leave?" I said "I don't know. [Inaudible] Just watch the papers." After Dayton, they contacted me again and said "Are you still interested?" I said "Yes. But I really can't talk to you until the dates established." They said "Well, we'd really like to have you." I said "Fine. We'll talk about it at the right time." I then called up and said you negotiate the deal, anyway you want it, arms length, with them. If it's not good we'll go somewhere else, but this looks like the best firm, but keep me out of it." And for the record, I did the same thing on the book deal. I just want that clear. I was extremely careful on this.

SA We're not going into the book deal.

MR. HOLBROOKE: No. But the reason want to stress something here because I have no problem with your questions, I'm here to clear it up. But I want to stress a core point. I've been in the government on and off for 36 years. This is the first time anyone's ever questioned my integrity. Its a very serious issue [inaudible]. I've bent over backwards for 36 years, and that's why [inaudible]. I just want to make the point [inaudible]. This is what public service is all about. And I admire you for doing what you're doing [inaudible]. And that's why I mentioned the book here too, because the day I left the government, I [inaudible] and then a few days later [inaudible]

extremely careful. [Inaudible] Oh, and one other thing, every firm that approached me for employment possibilities post-government, we disclosed to Remember?

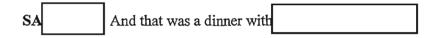
Yeah.

MR. HOLBROOKE: And we recused. So there is a letter in the files recusing me from each firm I had contact with. That was Lehman Brothers, Credit Suisse First Boston, Merril Lynch for sure, maybe Morgan Stanley; anyway, there in the list. There's a full disclosure. And each time that happened, I recused. Boom, out. And that is in writing.



So the first time you had contact with anyone from Credit Suisse was

MR. HOLBROOKE: Summer of 95.



MR. HOLBROOKE:

MR. HOLBROOKE:
NOTE: SAhanded MR. HOLBROOKE a stack of papers about Credit
Suisse First Boston that SA printed off of the Internet.
MR. HOLBROOKE: My current chain of command is thi
circled the name (Mr.
HOLBROOKE circled the name and
), these are not relevant.
<b>SA</b> There's probably a lot in here that's not relevant. There's an organizational chart.

**MR. HOLBROOKE:** This is all post-reorganization. The firm has been reorganized substantially since I joined it. What happened was that when I joined it, it had a different name and it was not wholly owned by Credit Suisse. Then they stepped up to the plate ...

SA You mentioned that four people were involved in the negotiations for hiring you, who were those?

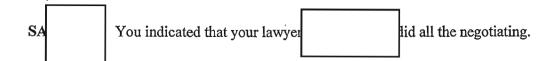
MR. HOLBROOKE: The two I circled
SA And that's
MR. HOLBROOKE:
SA
MR. HOLBROOKE:
SA What conversations did you have with any of those bout working with Credit Suisse?
MR. HOLBROOKE: I'm not sure I follow your question.
[Inaudible]
<b>MR. HOLBROOKE:</b> I joined a firm called CS First Boston, which then changed its name, which reorganized a year and a half later to Credit Suisse First Boston.
They had already increased their interest [inaudible].

SA So you went to work for CS First Boston?

MR. HOLBROOKE: Which then reorganized into the current [inaudible].

SA So what conversations did you have with those in negotiations for your being hired?

MR. HOLBROOKE: I'm not sure I follow you question, I thought I answered it already.



MR. HOLBROOKE: They [inaudible]. He said "I'd like you to see three other people, and [inaudible]." I saw all three of them. They all wanted me to work [inaudible]. Negotiations then started. But we never got to the job offer.

SA When did you see those three? Was it that same evening?

**MR. HOLBROOKE:** No. It was in the same time frame. I can probably reconstruct it if I had a calendar. But the key point is it preceded the Bosnia shuttle in Dayton. As

soon as the Bosnia shuttle began, which was roughly August of [inaudible], even before that, I called one of these guys, I don't remember which, but it was probably and I said "Look, you read the papers, I'm going to be engaged in this thing. I can't discuss this with you anymore." said "Well we're still interested. Come back to us when you can." At that point, three or four other firms were also talking to me. So it wasn't as though I had to make a deal with them. I then turned it over to and then negotiated the deal at a subsequent date. I [inaudible]. But all of this was done after Dayton. [Inaudible].

SA You had never met

**MR. HOLBROOKE:** I hadn't even heard of them. It was all through third party friends of mine. And Lehman Brothers was very interested [inaudible].

SA At what point did you, when was the first time you spoke with, after you turned it over to

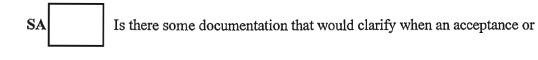
MR. HOLBROOKE: Talked to them again?

Yes. SA

MR. HOLBROOKE: I have no idea. I just [inaudible]. It was sometime, probably, in the beginning of 96. [Inaudible] I have to check my files.

Do you know what the discussions would have been about?

MR. HOLBROOKE: Just saying, I've got to be clear here, as knows, right up to the end, other companies were talking to me. I was in Budapest for example, when of Goldman Sax called me and said "Why didn't you call Goldman and come see us. I hear you're leaving the government." I said "Well I didn't think Goldman would be interested." And he said "Well your wrong." Is it too late?" And I said well, you know, and so on. There was a constant thing. There was never any clear commitment to Credit Suisse First Boston, or CS First Boston, or First Boston, or whatever you want to call it. There's no clear commitment til had finished his negotiations which you know I can't date precisely, but they were right at the end.



Yeah, there's a letter of agreement [inaudible].

SA

SA

Could we get a copy of that?

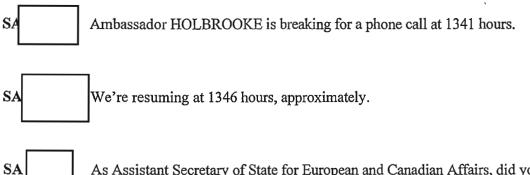
SA Is the whole negotiation process pretty well documented? To what extent is it?

No. The only thing that's documented would be the discussions with Credit Suisse First Boston. [Inaudible]

MR. HOLBROOKE: [Inaudible]

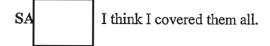
The only one that would be documented was the one that we went forward with -- Credit Suisse First Boston.

MR. HOLBROOKE: The people I talked to about it, the people I trusted to know, unanimously felt that Credit Suisse was the best. (A woman came into the room and handed Mr. HOLBROOKE a card) Can you excuse me one minute?



SA As Assistant Secretary of State for European and Canadian Affairs, did you at any time take any actions with regard to CS First Boston, Credit Suisse First Boston, Credit Suisse, or First Boston?

# MR. HOLBROOKE: No.



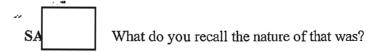
MR. HOLBROOKE: No.

SA You never intervened in any matter dealing with any of those named companies?

MR. HOLBROOKE: Not that I recall.

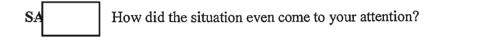
SA There's an allegation, if you will, that during the winter of 94/95, you contacted Embassy Budapest with regard to Credit Suisse First Boston or CS First Boston.

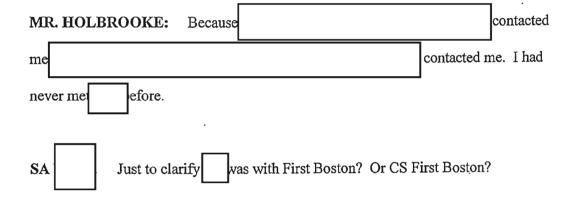
MR. HOLBROOKE: Um, yeah I have a vague memory of this.



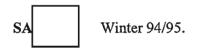
MR. HOLBROOKE: There was a issue involving something about whether or not Credit Suisse, or CS First Boston, or First Boston, was to get equal treatment under the

law or under the regulations with other American investment firms. And I told the Embassy in Budapest, after getting advisory from Commerce, that they should treat First Boston the same way they treat other American investment banks, that is without prejudice. That's my vague memory of this.





MR. HOLBROOKE: To tell you the truth, at that time, I don't know what the firm's name was. If you want me to guess, it was probably called CS First Boston at that time. But this was, when are you dating this event from? Because I have a vague memory of it.



MR. HOLBROOKE: Yeah, it was probably CS First Boston.

SA

What did this individua

called you and stated

MR. HOLBROOKE: aid that First Boston was being discriminated against and was not receiving equal treatment with other investment banks, Goldman Sachs, Soloman Brothers, one of those.

SA I believe the other, I believe the only other, well the only American company, as it was told to us, competing for the contract was Merril Lynch.

**MR. HOLBROOKE:** I don't even know what the contract was. I can't say what it was, but all I remember was they wanted to be treated equally. And they, I was told by the Commerce Department that that was a correct judgment, so I informed the Embassy in Budapest of that.

SA What mechanism did you use, how did you coordinate with the Commerce Department?

**MR. HOLBROOKE:** I don't remember. I either did it through a staff person or I did it directly.

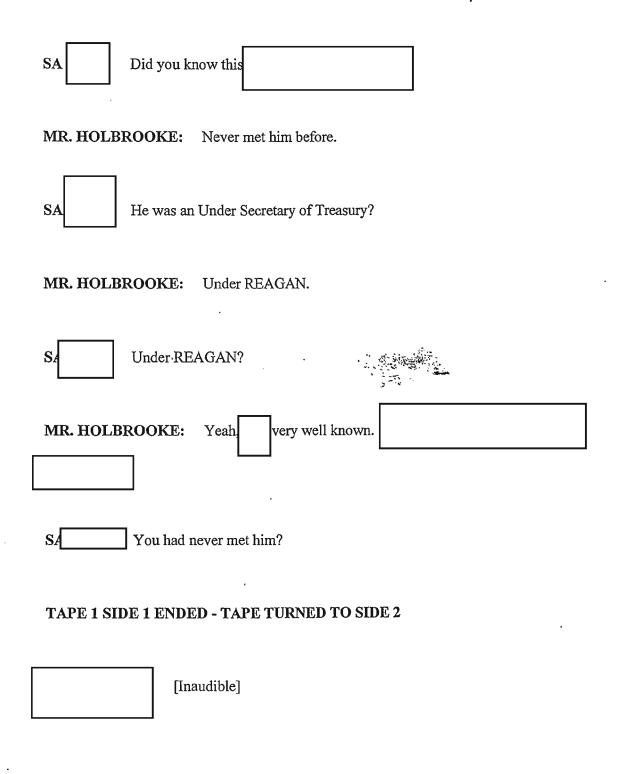


Would there be any documentation of any of these conversations?

MR. HOLBROOKE: I doubt it. But there might be. There might be cables or something. I don't have any memory of this. This is a routine thing you know the Assistant Secretaries of State for the regions are constantly being bombarded by business people who say we want American government support. The rules are very clear, if one American company is competing alone against a series of foreign or Japanese companies, you support that company. If a number of American companies, let's say Ford versus GM, are competing, you create a level playing field, without taking favorites. Its a very clear rule. The President had instructed all of us to support American companies, so the issue was whether CS First Boston was to be treated as an American company or not. That was not a judgment that I could make. It was not for me to make. It was not even in my view then, and I think now was not even a State Department issue, it was a Commerce Department issue. And once I was officially informed that First Boston was considered an American bank even though a majority of it was then owned already by the Swiss, but not this 100 percent ownership you mentioned earlier (referring to

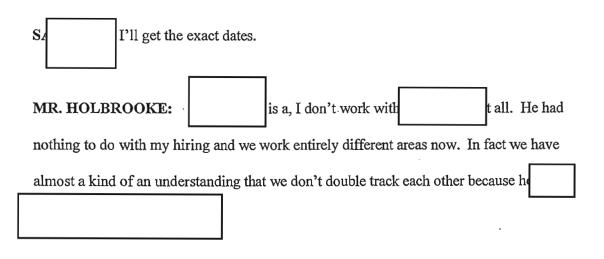
think that's an important distinction. Very important distinction. I contacted the Embassy in Budapest and said "Look, you are," I can't remember the details pecause its a long time ago and this is like a couple of minutes of one short day. But I remember saying to the people involved, whether I said this directly or indirectly, we could face a situation where if we don't show equal treatment and show a preference for one bank over another, that they would have a case that we didn't fulfill our level playing field obligation. But you say Merrill Lynch. I have absolutely no

memory of whether it was Merrill or somebody else, or more than one. But I don't even remember what the transaction was to be truthful with you.



MR. HOLBROOKE: Never met him before that day. I never met him before that day.

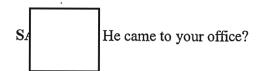
What is relevant, and we can get the date for you. That may be relevant to your inquiry. First Boston, which is a U.S. firm, had a minority stockholder, which was Credit Suisse, for many years. I think they owned like 20% of it. A small amount for First Boston. And they had nothing to do with it for about a couple of years. Then at some point around, during the period that we're talking about, then Credit Suisse stepped up, as said earlier, and became the majority stockholder to control the block, if you will, of First Boston. And then it became, irrespective of the name, but then it became a Credit Suisse First Boston operation. There was a period of time, and I think it was during these years, I think it was in the 90s, that it was still First Boston with Credit Suisse as the minority stockholder.



SA

You are Vice Chairman of

MR. HOLBROOKE: I'm a Vice Chairman of Credit Suisse First Boston Corp. in New York. Its a title without any line responsibility. Its a title with, I have no administrative or management responsibilities whatsoever. Its really a title for status only. But to go back to he came to see me that day and I remember clearly meeting him, because I had never met him before.



SA

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MR. HOLBROOKE: He came to the Department and then asked to see me and said it was urgent and somebody briefed me of the problem. I said "Look, he's a former Under Secretary of the Treasury, let's say hello to him." He made the case and I was informed, but I can't tell you by whom, during the process, that his assertion that First Boston was considered by Commerce an American company for purposes of an embassy support, was legitimate. And so we informed the embassy. I need to put this in context. This happened all the time. Companies would always come to us and ask us for support.

Did you independently verify it, or did you basically take his word?

MR. HOLBROOKE: Oh no, I didn't take his word. I got some kind of authoritative ruling, either through or directly from Commerce during the course of this event.

SA Do you know if that ruling would have been in writing or a verbal?

MR. HOLBROOKE: I can't remember.

SA Like I said, we came to you first so these are some of the things, you asked "What happens now?" We have to go and check out these things.

MR. HOLBROOKE: Sure. Absolutely. My guess is it was in writing. But I can't be sure, its just a guess. Again, I wanna stress that this is very routine and had nothing to do with my subsequent [inaudible].

SA I guess the only thing that I would mention is that [inaudible] dispute, and we haven't had a chance to check this out, you have to [inaudible] us as to whether or not Commerce had certified that Credit Suisse was an American corporation at that time. We've been told in the allegation, no, but then again we haven't had a chance to verify it.

MR. HOLBROOKE: Well I can assure you that I was told yes. I can't assure you by whom. There's no way, shape, or form, that I would have told Embassy Budapest to level the playing field on my own authority. I had never had a contact with First Boston, I'd never me . The idea that I might end up there a year and a half later had never entered my mind. And I was just doing my job in an absolute routine manner. As I did for many others.

 SA
 Is it fair to say that prior to the individual coming to your office from First

 Boston
 you had never had any contact with CS First Boston.

MR. HOLBROOKE: Never met anybody from the firm and never met before, and never saw him again until months after I had been hired at CS First Boston.

SA He never contacted you after your meeting?

MR. HOLBROOKE: And he was not part of the hiring process, as far as I know. And I don't work for him and he doesn't work for me. Its sort of like that's his world -this is mine.

SA During that meeting did he even broach the subject with you that you should consider coming to CS First Boston?

MR. HOLBROOKE: God no. No. If you knew you'd know

that's not his style.

S

Jone the less, you contacted Embassy Budapest. Who did you speak to?

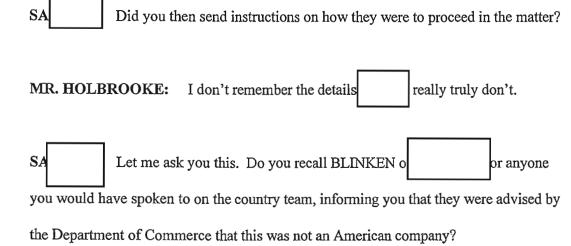
MR. HOLBROOKE: Ambassador BLINKEN I believe.

SA Did you also speak with the

MR. HOLBROOKE: I can't remember to be truthful with you -- Its possible.

SA But you're fairly certain you spoke with Ambassador BLINKEN?

MR. HOLBROOKE: Yeah. Fairly certain. The reason I can't, you know BLINKEN was a political appointee and sometimes when you're dealing with a political appointee you want to double it with a career guy, so I might of talked to I don't remember [inaudible]. You know when I say I'm sure I talked to BLINKEN, its a long time ago. My memory is I talked to Donald BLINKEN and said "Listen, you are in danger of getting a grievance filed against this embassy for discriminating against one of a number of American competitors. And its very simple, just give them a level playing field.



MR. HOLBROOKE: I don't remember. I don't remember any of this. I just remember that I was told they were.

**SA** The allegation is that the embassy was advised by Commerce Department's Commercial Advocacy Center that in fact they made the determination that Credit Suisse First Boston was not American company and that you were informed of that fact and regardless of that instructed them to support CS First Boston on an equal manner as Merril Lynch.

MR. HOLBROOKE: I have no memory of anything the [inaudible] Commercial Advocacy Section. I have a very vague memory, this is extremely vague, that somebody in the embassy said that they had been given contradictory information about whether Credit Suisse First Boston was or was not an American firm. But I was informed flatly, clearly, in Washington, not by because he obviously had bias, that they

were to be treated as an American firm. And on that basis I recommended that they go with the plan. And that was the end of it.

SA Well, we're told that most of this documentation still exist both at post and also at Commerce. So that's one of the leads that we'll have to pursue to clear up the matter.

MR. HOLBROOKE: Sure, I understand. But I reiterate again, this particular incident that you're referring to, the details which are very hazy in my mind, was categorically not linked to my subsequent employment. There's no linkage at all. There never was -- never could be. _______ and I had not even talked to each other in over a year now. Not because we haven't [inaudible] but because we have nothing to do with each other in our lines of work now. And beyond that there just wasn't an aspect of my subsequent employment. And the final point I want to stress is I did this routinely for all American companies. So the issue is was it an American company? I was informed it was. I never heard of this Commercial Advocacy Division, as I recall.

SA Comm

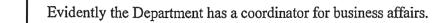
Commercial Advocacy Center.

MR. HOLBROOKE: I've never even heard of it.

SA

Department of Commerce.

MR. HOLBROOKE: Evidently based in Washington D.C.



MR. HOLBROOKE: Yeah, but did it then?

SA I don't know.

MR. HOLBROOKE:	was not involved. I know who you mean, it was a	wh	0
used to work, but I knov	was not involved.		

SA You would have dealt directly, not directly, but you or someone on your staff would have dealt directly with Department of Commerce?

MR. HOLBROOKE: Yeah. But I have no memory of whether I contacted Commerce, they contacted me, or I was informed by somebody. But I don't [inaudible] dealing with that office. I'm familiar with the office.

SA Since working with Credit Suisse First Boston, have you been in a position to hear what kind of business is being done in Hungary?

## MR. HOLBROOKE: Aha. I've got [inaudible].

SA And are you aware of this particular instance, this deal? Did CS First Boston actually get the deal?

MR. HOLBROOKE: I don't know. I really don't know. I don't remember what the deal was and I don't remember what the outcome was.

SA

We were told it was a Hungarian government privatization deal.

**MR. HOLBROOKE:** I don't, well it could be almost anything. I don't remember which one it was, or [inaudible].

SA For what purpose did you go to Hungary as a representative of Credit Suisse First Boston?

MR. HOLBROOKE:	so we try to get back					
there about once or twice a year. In fact, we were married in the backyard of the						
ambassador [inaudible]. So we looked for excuses to go back	there, quite frankly.					

SA

Was that when BLINKEN was still there? Ambassador BLINKEN?

MR. HOLBROOKE: Yes, I'm just trying to think. The last time we

were there, and what I do on these trips, I do not, permit me a brief explanation of how I function. I don't normally go in to solicit specific transactions. I go in to talk to people.

And on a typical trip, I might see

. ....

or the Prime Minister. But I have not been involved in any specific transaction business in Hungary that I can remember. I've been there, let me see, I've been there about two, between two and three times since I left the government. I can remember two [inaudible].

SA And did you have meetings with those government officials as a Credit Suisse First Boston representative?

MR. HOLBROOKE: You know, it's sort of a, kind of a definitional thing, that when they see me, they're seeing a person whose representing CSFB, but do they also know from my government experience?

SA I guess, what were the purpose for the meetings?

MR. HOLBROOKE: Let me put it this way. I've had no representation of the U.S. government in Hungary since the day I left government; unlike say Bosnia, Cyprus, Kosovo. And I have had a very strict rule, which I really want to record here. In the two plus years since I left the government, in areas where I had a residual government responsibility, I did nothing whatsoever, I did not even discuss issues with clients

[inaudible]. But in Hungary, I had no government responsibilities, so when I called these guys we chatted. We have an office in Budapest [inaudible]. But it wasn't transaction business if you follow what I mean, sometimes you go trips for a specific deal. That is not what I did.

SA Right. But you were there as a representative of Credit Suisse First Boston.

## MR. HOLBROOKE: Right.

SA

SA Did the Ambassador ever accompany you on these visits with the host country officials and attend any of these meetings with you?

MR. HOLBROOKE: The only one he ever attended was a meeting with Prime Minister HORN.

Are we still speaking of Ambassador BLINKEN?

**MR. HOLBROOKE:** Right. HORN. He asked to accompany the meeting with HORN, because it was understood in the past that we would not discuss business, and we didn't take the local rep from the CSFB office. And we went in there and we talked about old times, NATO, Bosnia, and so on. And he asked to do that; it was his request. And that was some time ago, some time in 1996.

SA Subsequent to that have you gone back to Hungary? On Credit Suisse First Boston business?

MR. HOLBROOKE: Yes, I think I did. But I can't give you the exact date.

SA And did the ambassador, or any other embassy of Budapest personnel accompany you on any other meetings?

MR. HOLBROOKE: Not that I can remember. But that may not be. You know, there may have been somebody [inaudible]. There have been many trips, and many countries.

SA Sure, I understand. What I'd like to do is, again and I are not here to adjudicate or to judge or anything; we're just fact gatherers and reporters of information. So just because I ask a question, I don't want there to be an assumption that we feel that there is something improper going on. What I'd like to do is just kind of read in part a letter that came to us, an allegation, and it specifically has to do with the area we're talking about now. And just to get your impression or response to this.

"Whatever our ambassadors, intentions, however, by sitting in on Mr. Holbrooke's meetings, they almost certainly created the impression that Mr. Holbrooke still enjoyed a

quasi-official status. Indeed, the distinction between Mr. Holbrooke's various hats, once they become even more puzzling, is his foreign contacts when in June 1997 he was made Special Presidential Emissary for Cyprus while still working full time at CSFB. How Mr. Holbrooke's appearance of a funny, excuse me, a fuzzy association with the U.S. government in 1996 and 1997 aided his simultaneous effort as a rainmaker at CSFB is a matter of speculation that the U.S. government are surrounding his dealings could not but have had an impact on the new democracies he visited, eager as they were to join NATO and otherwise curry favor with the United States. The unwitting support our embassies gave to Mr. Holbrooke's efforts on behalf of CSFB almost certainly deserve a closer look, particularly at CSFB matters wherever discussed at meetings in which our ambassadors were present."

#### MR. HOLBROOKE: What about it?

#### [Inaudible]

**SA** I guess the point is that this is the allegation that's come forward, and a possible conflict with or an appearance of the U.S. government promoting CSFB and just by going along to these meetings with you, or sponsoring, if you will.

**MR. HOLBROOKE:** Look, I don't even know how to respond to this paragraph. It's exactly why I said I was exceedingly careful. What he's saying is that there was an

appearance whe had the same job, and I when I had that job and many other people had all faced this issue. Each ambassador is free to make his own decision. I never took an ambassador with me for a CSFB discussion. The lines were very sharply etched. Because I feel very strongly about that. The allegation that it aided me as a rainmaker, when I wasn't even [inaudible], is just absurd. It was written by somebody whose never been on Wall Street, and doesn't know how it works. In any case, our firm did not do particularly well in these countries in the last two years. Not because of my efforts, either way, but because the firm [inaudible]. I don't even know what our transaction flow is. I don't know what [inaudible] does there, and we agreed what I would go there about once a year. That's about what I did. As part of general stuff. And that was that. And I'm just shocked by this, because I didn't ask for this God damn Cyprus job. I was besieged by the President and the Secretary of State to take it. And I did to...

And me also, because I wanted to take it, too, so I could ...

MR. HOLBROOKE: was moving on to be	Ι
mean I'm just flabbergasted by the fact that I take this unbelievable assignment, the m	ost
famously focused case in the United States foreign policy community Cyprus wh	ich
everyone from Dean ACHESON to has failed in, and that is then turn	led
into a rainmaking operation, is really unbelievable. I wasted a huge amount of my tin	ne
on this Cyprus thing, to the certain detriment of my compensation at CSFB, because t	hey
didn't want me to do Cyprus. But because had negotiated an agreement with the	m,

if the the President asked me to do something they'd agreed. But they sure as hell didn't like it. Every trip I made to Cyprus, or every consultation I had to make in London about Cyprus, or every phone call I had to make on Cyprus, was a diversion from what I was assigned to do and being paid to do. What I did, if that would create a rainmaker opportunity in a country like Hungary which doesn't give a shit about Cyprus, not at all, is bizarre. Completely bizarre.

Had you met with the same individual, I believe you said HORN ...

MR. HOLBROOKE: HORN is the prime minister.

SA

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Have you had opportunity to meet him as Assistant Secretary?

MR. HOLBROOKE: Yeah, he came to my wedding. They all came to my wedding. The Foreign Minister, the Defense minister, the President, the Prime Minister. Now, there's been a change in government the last month. But these guys are all personal friends And of course the ambassador wanted to come. If you were ambassador in a country, you always are looking for chances to spend time with the Prime Minister. The best way to do it is to go with somebody. But to make clear how careful we were, we didn't take the Credit Suisse in the room with said they've excluded me from was furious. Furious, and called us. and was [inaudible] "what are the meeting, and they're in there alone, and

you doing, you're undermining us here." That's an accusation of rainmaking? It's the exact opposite. The ambassador wanted to come, and by the way, putting on my former hat as an Assistant Secretary of State, he was right, because he should have full access to the Prime Minister, and we had agreed in advance we wouldn't even mention my firm. And then, when I met with there was no embassy person there. I did not use an official vehicle. I went to that level of precision. I really, you know, that's a well-written piece of fantasy as far as I'm concerned. That helped me as a rainmaker, when in fact I was criticized within my own firm for what happened? In this particular meeting? It's crazy.

SA Let me ask you this. We spoke a little bit about companies, American companies, and the role that embassies and ambassadors play in promoting American companies. CSFB, the current company you were hired by, what's their status?

MR. HOLBROOKE: I don't know. When you say status...

SA Status meaning if they were determined not to be an American company, would they enjoy the same support by ambassadors and embassies...

MR. HOLBROOKE: I have no idea. But can I be clear on why I don't know?

SA

Please.

MR. HOLBROOKE: Because since the day I left the government, I have never discussed the bank with anyone in the government. I never asked anyone for anything, and that is their business. I don't, I keep the two separate. So it's of no consequence to me whether I'm with an American firm that deserves the support of the government, or a Swiss firm that doesn't. That's problem. That's Zurich's problem. That's London's problem. But since I will never ask the U.S. government to do anything in my benefit, for my firm, never, even after you get past the time limits under the government ethics act, which I'm familiar with, it was inconsequential to me. I asked once, in passing, whether the change in status affected us and he said, "Gee, that's a good question. I don't know. Let me check." I never heard from and I never followed up. And I never asked anyone in Washington because that would imply an interest.

SA What other countries have you gone to as a CSFB employee in which an ambassador or other embassy person accompanied you to a meeting?

#### MR. HOLBROOKE: I can't remember.



**MR. HOLBROOKE:** There was a meeting in Slovakia, but I can't remember where the embassy [inaudible]. There was a meeting in Slovakia. There was a transaction deal,

and they asked me to intervene with the government, and I did and we lost. But I don't remember what the deal was. I remember we lost [inaudible]. That I remember clearly.

SA Let me ask you this. Do you recall going to any countries as a CSFB employee or representative in which an ambassador or employee did accompany you?

MR. HOLBROOKE: Well, you know, this, his gets into this question about trips in which you're doing two different things and there are, there are some cases where I went to countries wearing two hats. I tried to keep them separate. I just [inaudible]. I couldn't give you a full list now, because it might be, you know, it might be incomplete. There were countries where, outside of former Yugoslavia to Cyprus, which were completely out of the CSFB realm, where I would see one person, like in Budapest, see HORN with the ambassador, and then see of the central bank separately. That's a very common thing.

Can you think of other countries where that took place?

SA

**MR. HOLBROOKE:** Sweden. Sweden because Prime Minister KIRSTEN had asked the President if I could represent the United States on the Baltic Advisory Commission. And that was announced in the papers. And I said "sure." And that was a nonfunctioning, that was a non-executive group that met three or four times a year. I made two meetings, where we'd sit around and discuss things. And on a trip like that, I

would do the Baltic Advisory thing which was quasi-official, and then I'd sign the log separately, I'd make calls on people in the private sector, not government officials, but say, the head of a Swedish bank, or the head of Investor, a big investment corporation.



Did the ambassador ever go with you?

**MR. HOLBROOKE:** Not to the business meetings. And he didn't go to the Baltic Advisory Commission, either because he was not a [inaudible].

Well, what meetings did he go to?

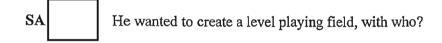
MR. HOLBROOKE: I don't remember. I don't know. But the Baltic Advisory Commission did not involve the United States, but it was something that KIRSTEN asked the White House about at the time. And before I agreed to it, I called who was then and said yes it did come up and yes, it was a nice idea. But that was completely unofficial; there was no, it wasn't a U.S. government appointment. It was a request to the White House. Would you object if we asked HOLBROOKE to be the American. And, you know, that was pretty routine. In Romania, I went to Romania on a trip in pursuit of a deal, which the firm also lost, in which the ambassador insisted on coming to the meeting. Insisted. And I asked him not to.

# SA Who was the ambassador?

MR. HOLBROOKE: Moses. He said I have to come, because I've come for your competitors and I want to show a level playing field. And there, that was his insistence, he said I've been in the room for other firms, and I'm going to be in the room for you to show a level playing field. And that was absolutely at his insistence. And my own colleagues were, they were angry, they'd been excluded from Hungary [inaudible]. Yeah, Bucharest.

It doesn't matter, in neither case does he get the business. He was not a rainmaker. [laughter]

MR. HOLBROOKE: If that's rainmaking, it was pretty [inaudible]. I can't remember what the deal was. But I do remember that Moses said, you know, I want to show a level playing field. And I said, Al, it's not necessary. It really isn't. Oh, I know what it was. It was the privatization of the Romanian [inaudible]. That's what the deal was. And we lost it big time. [inaudible] But I made one trip, and he wanted to come to the meetings. Now, in the meeting with the President, it never came up. There was no discussion. But he also came to the meeting of the ministers. And he said that he'd done this for other people, and he insisted. And my own guys objected. They said this is not what we want. We don't want [inaudible] of the U.S. government. And I said, I told him we'd rather not. And he said no, I have to come. That is quite a vivid memory.



MR. HOLBROOKE: He wanted to treat us equally with other firms.

SA

-____

With other American firms?

MR. HOLBROOKE: Yes. But I want to stress did not ask him to come. I asked him, I suggested he not come, but because [inaudible] he said "no, I've done it for Merrill and other firms, [inaudible]."

SA So he was certainly under the impression that CSFB was an American company.

MR. HOLBROOKE: I don't know what impression he was under.

SA Certainly he would have no obligation to create a level playing field for a foreign company, correct?

**MR. HOLBROOKE:** That's right. No, to the contrary. But I have no idea why he insisted on coming.

SA Did he ever inquire of you as to if CSFB was an American company?

MR. HOLBROOKE: No. Not that I remember.

SA I guess that's my point. Back to a previous question about under that situation, would it not be important for you to know if CSFB had that status, if it was an American company or not?

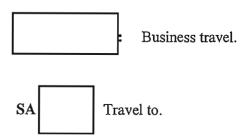
MR. HOLBROOKE: This particular meeting that we talked about, it all kind of took place on the fly, we were coming in and my guys had a meeting there, and Moses says, "I'm coming with you." And he came with us. And by the way, I want to be clear, he did not intervene on my behalf. He did not say, this is a good firm, this is a bad firm. He simply was there, as part of the discussion process. He did not take a position in any way, adversarial or supportive. But he was there, at his own insistence.

SA Would -- you can try and reach back into memory and just name as many other countries that you've traveled to as a representative of Credit Suisse First Boston.

MR. HOLBROOKE: Oh, God. I've made calls for the firm in Britain, France...

Calls meaning, just that -- telephone calls?

#### MR. HOLBROOKE: No, no.



MR. HOLBROOKE: Yes. I've made calls on clients, or spoken on behalf of the firm which is [inaudible] in Britain, France, Switzerland, Germany, Norway, Sweden, Latvia, Lithuania, Russia, Italy -- one call, Taiwan, Korea, Hong Kong, Singapore, Bangkok, [inaudible], and I said Hungary, Slovakia, I'd forgotten Slovakia until you mentioned it [inaudible]. But I remember [inaudible]. People come to see me in New York, too.

SA_____ Are those trips, I assume, well documented or documented to some degree as to you had meetings with?

**MR. HOLBROOKE:** Yeah, I think they're pretty well documented. It may show meetings that didn't take place because we cancelled, or meetings that took place which aren't on the schedule because these things change all the time.

SA Sure.

65

b7C Per DOS

MR. HOLBROOKE: But I have a pretty good sense of, I could reconstruct [inaudible].

SA The documents also show what meetings State Department people would have been present in the instances that you mentioned?

MR. HOLBROOKE: Some might, some might not.

SA Can you recall any other instances where an ambassador would have accompanied you to a meeting?

MR. HOLBROOKE: In Korea. Right after he was appointed and elected president, but before he was inaugurated, [inaudible]. This was in January or February of this year. And I called up Ambassador Bosworth and said this meeting was arranged through Credit Suisse First Boston, but there's no transaction business [inaudible] But I said this was your call. This was at the point [inaudible] and he said "I'd like to sit in."

SA Can I ask you why CSFB would not want an ambassador's presence or support?

MR. HOLBROOKE:	Because you explain (turning	t		. You can do
that a lot better than I car	1. [laughter] You've got all these		[inaudible	e].

In part, it's because of the question that you and I asked him. They don't want to suggest [inaudible] and, secondly, they don't want to be excluded from the situation [inaudible].

MR. HOLBROOKE: I think there's a third reason. And that is that if you think that embassies will help [inaudible]. And, I did this in the case of Korea, this was very important to show support for a government that was in the process of disarmament.

Can we stop for a second, and just take a break. I'm sorry.



-Sure. It's 2:42 hours -- we're taking a break.

**MR. HOLBROOKE:** If it was, and again I stress this, foreign minister or prime minister, never anyone in the financial [inaudible].

I want to add something to that so you get some sense of wha is talking about. You know, Cy VANCE is the, he retired just recently as a senior partner here. And I had accompanied Cy VANCE, Mr. VANCE, on a lot of business trips after his service in the government, when he came back to the law firm. We both came back to [inaudible] at the same time. And often, that trip would be a business trip for the law firm. But, without a doubt, and almost without fail, when Cy VANCE was going to a foreign country, and when Richard HOLBROOKE was going to a foreign country, the prime minister, the foreign minister, you know, they want to meet with either HOLBROOKE or VANCE. I mean they want to do that. It's nothing to do with business. They want to do it because that person has been in the government, because, you know, Mr. VANCE was a government official, now former government official. They just want to meet with them, and, without a doubt, I can't remember the specifics, but the ambassador in that country was always notified that the foreign minister of Saudi Arabia wanted to see Cy VANCE, and the ambassador was given the opportunity to go on the trip. And would want to go.

MR. HOLBROOKE: And almost always went. b7C Per DOS

Would almost want to go every time to a meeting because it's another opportunity for the ambassador to be in front of the prime minister or the foreign minister. And, you know, so you'd then set up these strict rules as ______lid -- you know, you can't discuss business. If you want to discuss business you [inaudible]. But they always want to meet with the HOLBROOKE or the VANCE. it would be surprising if they didn't.

MR. HOLBROOKE: Are you all going back to Washington tonight?

SA Yes we are. Very shortly. A couple more questions. Did you ever ask any ambassador or other State Department employee to speak with any host country official in any matter involving CSFB?

MR. HOLBROOKE: Not to my knowledge.

SA

If you had, do you think you would remember?

MR. HOLBROOKE: I think I would, yeah. If I did, it would violate my own rule that I enunciated earlier.

SA One more question. I don't believe we asked this one. I know we asked, did you seek any advice when living in home, did you seek any advice from any department personnel with regard to taking a position with Credit Suisse First Boston.

MR. HOLBROOKE: I informe as I told you earlier, in writing [inaudible] recused [inaudible] each time a person [inaudible].

SA

So those memorandum should be in L's files?

**MR. HOLBROOKE:** Should be. If he don't have them, I think I may be able to find them [inaudible]. Your question is did I talk to anyone in the government about going to Credit Suisse First Boston?

 SA
 No, anyone in the department.
 b7C Per DOS

 MR. HOLBROOKE:
 About going to CSFB?

 SA
 Yes.

 MR. HOLBROOKE:
 No. I did not even tell Secretary Christopher. The only person I told wal

 And I called
 p, and I said, tell me what the rules are.

 said
 "You send me letters of recusal [inaudible]." And [said no one else needs to know, unless it comes up, in which case [inaudible]. In other words, there never was a recusal issue.

You didn't have any conversations with Secretary Christopher?

**MR. HOLBROOKE:** About going to CSFB? I can't remember if I did. I certainly told him about it before the announcement.



SA

MR. HOLBROOKE: You know the fact that I was going never leaked. We announced it on the day I was leaving. And no one knew about it, because we were so careful. I certainly told Chris. Did I ask Chris's advice To be quite frank with you, I don't remember doing so, but I might have as a courtesy. I don't remember. I don't remember whether law firm had any previous contacts with CSFB anyway. But, I don't think so. No, my advisors in my future [inaudible]. I must have told Chris beforehand. But did I seek their advice? Not that I can remember. If I did, it was a courtesy.

SA Before I turn the tape off, do you have any questions?

I guess not related to the questions you've asked, but I would like to ask you some questions -- I don't know whether you're going to record this or not -- just about what happens now. And maybe the only way to ask you is to pose different hypotheticals. There are only so many courses of action. Tell me, what does that mean? If you two concluded, based on this interview and other information that you collected, that nothing should go forward, or there wasn't any reason to go forward, what would happen in that case?

SA What would happen is our office would close the investigation and a letter from the IG to the Secretary of State saying that there were no findings basically that we found no evidence substantiating the allegations.

And suppose during that period of time, the FBI came to you and says you have an investigation going on with respect to [inaudible], which I think is a routine thing, you would inform him that had an investigation going on?

SA Yes. In a case like this, given the sensitivity of this matter, one example would be [inaudible].

Obviously, another course of action would be [inaudible].

**SA** I'll be very up-front. I think right now, we can, with good confidence, say that, and I think I stated earlier in the interview, there is more work for us that needs to be done in the view of leading to, to do a complete investigaiton where, whatever entity may review it down the road, would not suspect that we did an incomplete job so, therefore, they need to do some type of further inquiry, so, in the interest of doing a complete job, I'll say right now with pretty fair certainty and confident that we do need to do some more work. I'll also state that this will be a priority, and is a priority, and will continue to be until it's closed.

You're aware of the extreme sensitivity as well as the confidential nature, and will remain confidential, and certainly of the timing, [inaudible] Dick needs this appointment process.

SA You can be assured this get's our office's top priority.

Come the other hypothetical, suppose when ever you conclude your work, that you determine that something further has to happen, what is it that potentially could happen?

SA Again, speaking completely hypothetically, this is standard language for our investigative process. If we determine that, and of course we did mention that we discussed this case with the Department of Justice, Public Integrity Section, if they were to accept the case for prosecution, for criminal, as a criminal matter, then we would send a report to them, and they would proceed accordingly. If they decide to decline criminal prosecution, then we would write an administrative report which would probably go to the Secretary of State.

And the Secretary of State?

SA Actually, I don't know if the Secretary of State would handle the action. It would probably be the Director General. Although given the level here, the Secretarey of State may or may not be involved in what happens.

Would you give us, would you come back to us and give us an opportunity to talk to you before you made that decision?

SA As far as the report, not normally. Again, we did this interview up-front on this investigation. Ordinarily [inaudible]. Certainly, if we gather any information during the course of our investigation, to the point that we can't reconcile what we've talked about today certainly we'll give you an opportunity to talk about it.

Is there anything else we can do to assist you?

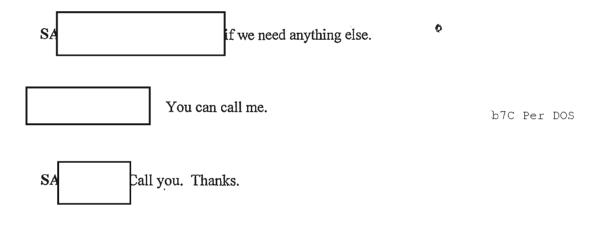
#### **TAPE 1 SIDE 2 ENDED - BEGAN RECORDING TAPE 2 SIDE 1**

SA

I think we mentioned that I would certainly like copies of [inaudible].

Here's that copy that you asked for. This is a copy of Dick's employment agreement, if you will, it's just a letter, with C.S. First Boston, which obviously we'd like to remain confidential. My copy's signed only by Credit Suisse First Boston. I don't have a copy signed by him. He did sign it, but, you know, what's

important to me is the signature from the other side. This is the final agreement that [inaudible].



**MR. HOLBROOKE:** Do you have any estimate of how long this process is going to take, and what effect it will have on the rest of the vetting process?

Sz It's difficult to say. Any time I've ever chanced a guess, it's an event that's happening, been totally wrong. Other than to say that this is a high priority case and we will finish this as expeditiously as possible. We've been told this comes first. And how this will affect the vetting process, I cannot even speculate. Again, other than as we discussed previously, that during the background the bureau (F.B.I.) may make an inquiry as to what we have in our files.

Is the Office of Public Integrity waiting for you to come back to them?

SA They're right now more on board as more of an advisory capacity. They have not formally accepted this case. We just went to them basically, to give them a heads up. But I would assume, and correct me if I'm wrong, that they would wait until you've completed your investigation. b7C Per DOS Right. And you'd let them know the outcome of the investigation. SA Exactly. Would you let us know? SA Well formally, there's no formal procedure for that. However, if you give us a call at any point, we'd be perfectly happy to tell you what the status is. We might not be able to be specific about what exactly we're doing, but we can certainly give you the status.

: If I called you up to know in a week, [inaudible] discussion, and you have concluded that you've done a full investigation and this shouldn't go any further, would you tell me that?

b7C Per DOS

[Inaudible}

SA

I think that concludes the interview at 1507 hrs on July 14th.

Supplemental" report seal to Secretary alloright



United States Department of State

Washington, D. C. 20520

December 17, 1998

PERSONNEL SENSITIVE INFORMATION MEMORANDUM S/S

#### **MEMORANDUM**

TO: The Secreta FROM: IG - Jacquelyn illiams-Bridgers

SUBJECT: Report of Investigation RICHARD C. HOLBROOKE Ambassador OIG Case No. 98-116

Attached for your information is a Report of Investigation on Ambassador Richard C. Holbrooke. Our investigation determined that Ambassador Holbrooke, while serving as Assistant Secretary of State for European and Canadian Affairs from September 1994, until February 1996, lived rent free in the Georgetown (Washington, D.C.) townhouse of then - Ambassador to Switzerland M. Larry Lawrence. Ambassador Holbrooke failed to disclose his stay in the townhouse as a gift as required on his Financial Disclosure Reports.

Subsequent to being interviewed by our office on this matter, Ambassador Holbrooke submitted an amendment to his Financial Disclosure Reports indicating that he had failed to disclose the gift of the rent from Ambassador Lawrence. Ambassador Holbrooke estimated the value of the "gift" at \$800-\$1000 per month for the seventeen months of his stay.

For your information, an investigation into conflict of interest allegations against Ambassador Holbrooke has been referred to the Department of Justice, Public Integrity Section for prosecutive consideration.

If you would like to further discuss any aspect of this matter, I would be happy to meet with you at your convenience.

RICHARD C. HOLBROOKE Special Government Employee New York, New York FAILURE TO DISCLOSE FINANCIAL DISCLOSURE INFORMATION OIG CASE NO. 98-116

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_____ Title: Richard C. Holbrooke Special Government Employee New York, New York Failure to Disclose Financial Disclosure Information 98-116 b7C Per DOS Date of Report: Type of Report: Administrative Report Report Agents: Approved by: ASAC -----TABLE OF CONTENTS EXECUTIVE SUMMARY page 1 DETAILS pages 2-3 LIST OF ATTACHMENTS page 4

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#### EXECUTIVE SUMMARY

This investigation was predicated upon information that then-Assistant Secretary for European and Canadian Affairs (EUR) Ambassador RICHARD HOLBROOKE lived in the Georgetown (Washington D.C.) townhouse of then-Ambassador to Switzerland M. Larry Lawrence rent free and did not report the "gift" on his Financial Disclosure Reports filed with the Department of State (DOS) as required. Additional information indicated that Ambassador HOLBROOKE may have had a conflict of interest by subsequently providing DOS with a memorandum describing Ambassador Lawrence's Merchant Marine service during World War II. This information was used in part as justification for a waiver allowing Ambassador Lawrence's burial in Arlington National Cemetery. It has been established that Ambassador Lawrence fabricated his military service record.

An interview with the Household Manager for Ambassador Lawrence's Georgetown townhouse revealed that Ambassador HOLBROOKE lived in the residence from September 20, 1994, until February 1996. __________stated that Ambassador HOLBROOKE did not pay rent or utilities during his stay, but did pay for his telephone usage as well as for food and cleaning.

Ambassador HOLBROOKE's Financial Disclosure Reports, filed on May 16, 1995, and June 4, 1996, contain no entries for "Gifts, Reimbursements and Travel Expenses." The Financial Disclosure Reports contain no reference to Ambassador HOLBROOKE living in Ambassador Lawrence's townhouse.

When interviewed about this matter, Ambassador HOLBROOKE confirmed that he lived in the townhouse but stated that he occupied only one small room during his stay. Ambassador HOLBROOKE stated that his Financial Disclosure Reports were prepared for him by his accountant and that he (Ambassador HOLBROOKE) was not aware that he was required to report his stay as a gift and that he was unaware that the gift had not been listed on the report. Regarding the burial memorandum, Ambassador HOLBROOKE stated that the detail in the memorandum was supplied by Ambassador Lawrence's official biography, which Ambassador HOLBROOKE had no reason to believe was inaccurate.

Subsequent to his interview with OIG, Ambassador HOLBROOKE submitted an amendment to his May 16, 1995, and June 4, 1996, Financial Disclosure Reports in which he estimated the value of the gift from Ambassador Lawrence to be \$800-\$1000 a month for the seventeen months of his stay.

This matter was reviewed by the Department of Justice, Public Integrity Section, and determined not to warrant criminal prosecution of Ambassador HOLBROOKE.

#### **DETAILS**

On June 22, 1998, the Office of Inspector General (OIG) initiated an investigation based upon information developed during a separate OIG investigation indicating that then-Assistant Secretary for European and Canadian Affairs (EUR) Ambassador RICHARD HOLBROOKE resided in the Georgetown (Washington D.C.) townhouse of then-Ambassador to Switzerland M. Larry Lawrence rent free. Ambassador HOLBROOKE failed to report this "gift" on his Financial Disclosure Reports filed with the Department of State (DOS) as required.

Ambassador HOLBROOKE initialed a memorandum to Assistant Secretary for Administration Patrick Kennedy on January 10, 1996, describing Ambassador Lawrence's Merchant Marine service during World War II (Tab 1). This memorandum describes Ambassador Lawrence's service aboard the U.S. Merchant Marine vessel *Horace Bushnell*, which was torpedoed and sank in 1945. This memorandum was used in part as justification for a waiver authorizing Ambassador Lawrence's burial in Arlington National Cemetery. Ambassador Lawrence was subsequently determined to have fabricated his service record.

On August 14, 1998, OIG interviewed	household manager at 1527 35th Street,
Washington, D.C., the residence owned	d by confirmed that the residence
is currently owned by	stated
that Ambassador HOLBROOKE move	d into the residence on September 20, 1994, and lived
there until February 1996. state	d that Ambassador HOLBROOKE had the whole house
available for his use, but he kept mostl	y to the kitchen and his bedroom (Tab 2).

On August 26, 1998, OIG interviewed Shelia Lawrence, who confirmed that Ambassador Lawrence invited Ambassador HOLBROOKE to stay in the Georgetown townhouse during his tenure as Assistant Secretary. _________stated that Ambassador HOLBROOKE did not pay rent for his use of the townhouse, nor did he pay the utilities. _______stated that Ambassador HOLBROOKE paid for his use of the telephone as well as for food and cleaning (Tab 3).

OIG reviewed Ambassador HOLBROOKE's Executive Branch Public Financial Disclosure Reports dated May 16, 1995 (Tab 4), and June 4, 1995 (Tab 5). Both reports are signed by Ambassador HOLBROOKE. Under "Schedule B, Part II: Gifts, Reimbursements, and Travel Expenses," both forms are marked "none." Language is contained in that section of each form as follows:

Report the source, a brief description (including travel, dates, and the nature of the expenses provided), and the value of: (1) transportation, lodging, food, or entertainment received from one source totaling \$250 or more (unless received as personal as hospitality at the donor's personal or family residence); (2) other gifts from one source totaling \$100 or more in value; and (3) cash reimbursements of \$250 or more from source.

On July 14, 1998, Ambassador HOLBROOKE was interviewed by OIG. Ambassador HOLBROOKE confirmed that he lived in Ambassador Lawrence's Georgetown townhouse for seventeen months during his tenure as Assistant Secretary (**Tab 6, pp. 5-6, 8**). Ambassador HOLBROOKE stated that he accepted the offer to live in the townhouse because his own Georgetown townhouse needed extensive rehabilitation. Ambassador HOLBROOKE stated that he stayed in one small room which had its own bathroom (**Tab 6, pp. 7-8**). Ambassador HOLBROOKE confirmed that he lived in Ambassador Lawrence's townhouse for seventeen months, but stated he was out of Washington an enormous percentage of the time during that period (**Tab 6, pp. 8-9**). Ambassador HOLBROOKE confirmed that he did not pay rent, but added that he offered to do so but declined (**Tab 6, pp. 9**).

Ambassador HOLBROOKE stated that prior to accepting Ambassador Lawrence's invitation to live in the house, he contacted and informed of his intentions. Ambassador HOLBROOKE stated that told him that he did not see an ethics problem concerning his living in the house (Tab 6, pp. 7, 11).

Regarding his Financial Disclosure Report for June 4, 1996, Ambassador HOLBROOKE stated that the report was filled out by who was the assistant to his accountant. Ambassador HOLBROOKE stated he skimmed the report before he signed it, but he did not carefully review it. Ambassador HOLBROOKE stated he was unaware that his living in the townhouse had not been listed on the report (**Tab 6, pp. 15**). Ambassador HOLBROOKE added that it did not occur to him that living in the townhouse was a gift that was required to be listed on the report (**Tab 6, pp. 15, 18-19**). Ambassador HOLBROOKE was not questioned in detail about his May 16, 1995, report.

Regarding the memorandum to Assistant Secretary Patrick Kennedy Ambassador HOLBROOKE initialed for Ambassador Lawrence's burial at Arlington National Cemetery, Ambassador HOLBROOKE stated that the memorandum was prepared for him by the Executive Office of EUR. Ambassador HOLBROOKE stated that the information in the memorandum was based upon Ambassador Lawrence's official biography, which was vetted by DOS, the White House and the Senate Foreign Relations Committee (Tab 6, pp. 24). Ambassador HOLBROOKE stated he had no reason to believe that Ambassador Lawrence had fabricated his service record (Tab 6, pp. 25).

On July 23, 1998, OIG interviewed who stated that had no recollection of the telephone conversation in which Ambassador HOLBROOKE supposedly informed that he was going to be living in Ambassador Lawrence's house. added that this did not mean that the conversation never took place. stated that was no longer in possession of the journals containing notes of conversation from 1994 (Tab 7).

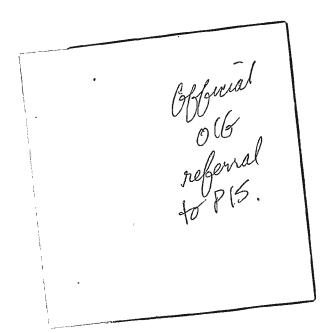
Frial Attorney, Department of Justice, Public Integrity Section, informed OIG that the issue regarding Ambassador HOLBROOKE's failing to disclose his living in Ambassador Lawrence's townhouse does not merit prosecutive consideration.

#### **ATTACHMENTS**

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- 1. Memorandum from Ambassador HOLBROOKE to Assistant Secretary Patrick Kennedy, dated January 10, 1996 regarding Ambassador Lawrence's burial.
- Information of Record Form for dated August 14, 1998.
   Information of Record Form for dated August 26, 1998

- 4. Ambassador HOLBROOKE's Public Financial Disclosure Report, dated May 16, 1995.
- 5. Ambassador HOLBROOKE's Public Financial Disclosure Report, dated June 4, 1996.
- 6. Transcript of Ambassador Holbrooke's July 14, 1998, interview with OIG.
- 7. Information of Record Form for dated July 23, 1998.





United States Department of State U.S. Arms Control and Disarmament Agency United States Information Agency, including the Broadcasting Board of Governors

#### The Inspector General

December 17, 1998

b7C Per DOS

Chief, Public Integrity Section Department of Justice P.O. Box 27518, Central Station Washington D.C. 20038

Attention:

### SUBJECT: Ambassador RICHARD C. HOLBROOKE - U.S. Department of State

The attached prosecutive referral regarding U.S. Ambassador Richard C. Holbrooke, details our investigation into allegations that Ambassador Holbrooke intervened in a matter on behalf of his future employer, Credit Suisse First Boston (CSFB); made several requests for official action, within one year of leaving the Department, to U.S. Ambassadors in order to further business for his employer; claimed reimbursement from his employer for meals purchased for Department of State officials; and received classified information which he used in part to publish his memoirs.

Based on our investigation, we have reasonable grounds to believe there may have been violations of federal criminal law in Ambassador Holbrooke's requests for official action and refer this matter to you. We also refer, the matter of meals paid for by Ambassador Holbrooke's employer for Department of State officials, for a determination of whether there has been either a violation of federal criminal law or a violation of the tax code on the part of Ambassador Holbrooke and/or his employer, CSFB.

We appreciate your attention to this matter. If you or members of your staff have any questions, please contact Special Agent in Charge, at (703) 284

Sincerely

Jacquelyn L. Williams-Bridgers

Address correspondence to: U.S. Department of State, Office of the Inspector General, Washington, D.C. 20520-6817

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Title:	RICHARD C. HOLBROOKE U.S. Ambassador U.S. Department of State Washington D.C.
	and
	Vice Chairman Credit Suisse First Boston Corporation 11 Madison Avenue New York, N.Y.
	OIG Case No. 98-116
Date of Report:	
Type of Report:	Prosecutive Referral
Reporting Agents:	Special Agent Special Agent
Approved by:	Special Agent in Charge

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#### EXECUTIVE SUMMARY

On July 8, 1998, the Office of Inspector General (OIG), U.S. Department of State, received a letter from an anonymous source alleging that activities by Ambassador Richard HOLBROOKE violated Federal conflict of interest statues. The first allegation was that Ambassador HOLBROOKE, while serving as Assistant Secretary for European and Canadian Affairs (EUR), intervened with the U.S. Ambassador to Hungary on behalf of Credit Suisse First Boston (CSFB), a Swiss owned firm. Upon resigning his EUR position on February 21, 1996, Ambassador HOLBROOKE went to work for CSFB. The second allegation was that during his employment with CSFB, Ambassador HOLBROOKE asked U.S. Ambassadors to accompany him to meetings with top level foreign government officials in violation of his one year post government "cooling off" period.

Regarding the first allegation, the OIG investigation determined that in May 1995, while Assistant Secretary, Ambassador HOLBROOKE intervened with Ambassador to Hungary Donald Blinken on behalf of CSFB. However, the investigation determined that Ambassador HOLBROOKE did not begin discussions with CSFB regarding possible employment until July 30, 1995. Interviews with CSFB officials and reviews of subpoenaed documents from CSFB failed to disclose any indication that Ambassador HOLBROOKE was negotiating for employment with CSFB at the time of his intervention on behalf of the firm.

Regarding the second allegation, the OIG investigation determined that during the first year after he resigned as Assistant Secretary, Ambassador HOLBROOKE made three trips (to The Czech Republic, Sweden and South Korea) on behalf of CSFB in which he requested U.S. Ambassadors take some kind of official action. In addition, the OIG investigation found one other instance in which HOLBROOKE contacted a Department official asking for official action within his one year "cooling off" period. This contact took the form of a handwritten letter to a then-Deputy Assistant Secretary.

During the investigation, OIG determined that on six occasions during the first year after he resigned as Assistant Secretary, Ambassador HOLBROOKE was reimbursed by CSFB for dinners and luncheons he bought for senior Department of State officials. When interviewed, all of these officials stated that CSFB business was not discussed with Ambassador HOLBROOKE and, that they were not asked to take any action that would have benefited CSFB.

During the investigation, OIG was contacted by a confidential source (CS-1) who alleged that Ambassador HOLBROOKE's was present during the Dayton Peace accords and took notes on a laptop computer though did not possess a security clearance. Although did attend at least one meeting on the Dayton Accords, no evidence was developed that corded the event in any way or misused any information obtained from such a meeting. OIG was unable to develop sufficient information substantiating this allegation. During the investigation, OIG also received a separate anonymous complaint that a former Deputy Chief of Mission of the U.S. Embassy, Athens, Greece, provided classified material to Ambassador HOLBROOKE for use in the publication of his memoirs. Although there was some evidence of the DCM's efforts to provide Ambassador HOLBROOKE with certain classified information, OIG was unable to substantiate that Ambassador HOLBROOKE received such classified information, or that it was the source for material which was published in Ambassador HOLBROOKE's memoirs, which were reviewed and approved for publication by the Department of State.

#### APPLICABLE STATUTES

18 U.S.C. 201(c):

Bribery of public officials.

(1) Whoever, otherwise than as provided by law for the proper discharge of official duty --

(A) directly or indirectly gives, offers, or promises anything of value to any public official, former public official, or person selected to be a public official, for or because of any official act performed or to be performed by such public official, former public official, or person selected to be a public official; or

#### 18 U.S.C. 207(c):

One-year restrictions on certain senior personnel of the executive branch and independent agencies.

(1) Restrictions.--In addition to the restrictions set forth in subsections (a) and (b), any person who is an officer or employee (including any special Government employee) of the executive branch of the United States (including an independent agency), who is referred to in paragraph (2), and who, within 1 year after the termination of his or her service or employment as such officer or employee, knowingly makes, with the intent to influence, any communication to or appearance before any officer or employee of the department or agency in which such person served within 1 year before such termination, on behalf of any other person (except the United States), in connection with any matter on which such person seeks official action by any officer or employee of such department or agency, shall be punished as provided in section 216 of this title.

18 U.S.C. 208 (a): Acts affecting a personal financial interest

Except as permitted by subsection (b) hereof, whoever, being an officer or employee of the executive branch of the United States Government, or of any independent agency of the United States, a Federal Reserve bank director, officer, or employee, or an officer or employee of the District of Columbia, including a special Government employee, participates personally and substantially as a Government officer or employee, through decision, approval, disapproval, recommendation, the rendering of advice, investigation, or otherwise, in a judicial or other prodding, application, request for a ruling or other determination, contract, claim, controversy, charge, accusation, arrest, or other particular matter in which, to his knowledge, he, his spouse, minor child, general partner, organization in which he is serving as officer, director, trustee, general partner or employee, or any person or organization with whom he is negotiating or has any arrangement concerning prospective employment, has a financial interest, shall be subject to the penalties set forth in section 216 of this title.

#### **DETAILS**

#### I. <u>Background</u>

On July 8, 1998, the Office of Inspector General (OIG), U.S. Department of State (DOS), received a letter from an anonymous source which questioned Ambassador Richard HOLBROOKE's suitability for his nomination as U.S. Permanent Representative to the United Nations. The source claimed that the day after Ambassador HOLBROOKE resigned from the DOS, February 21, 1996, he became a Vice Chairman of CS First Boston, which is majority owned/controlled by Credit Suisse, a Swiss financial services conglomerate. The source wrote that the investment banking operation is now CSFB, owned/controlled by the Credit Suisse Group in Zurich. Source believed that the fact that Ambassador HOLBROOKE chose to work for a foreign company, one from the region over which he presided as the Assistant Secretary of State for European and Canadian Affairs (EUR), and that he was named Special Presidential Emissary to Cyprus while working for CSFB, showed questionable character. Source mentioned that U.S. Embassy Budapest became involved in a commercial advocacy on behalf of an American investment bank competing for a Hungarian Government privatization deal. The American firm competing was Merrill Lynch. Source also stated that CSFB was bidding for the privatization deal, but CSFB was not supported by the embassy or the Department of Commerce Advocacy center. Source claimed that Ambassador HOLBROOKE received a phone call from someone at CSFB because CSFB believed the embassy was leaning toward Merrill Lynch. Source states that Ambassador HOLBROOKE was asked to intervene, which he did by contacting Ambassador Blinken and ordering him to back CSFB's bid as well as Merrill Lynch. Source alleged that Ambassador Blinken met with or sent a letter to the Hungarian Government clarifying the U.S. did not "back any horse" in the privatization deal. Source stated that the country team in Budapest believed it to be unusual for Ambassador HOLBROOKE to become involved in a Hungarian privatization deal. The source further alleged that shortly after leaving the Department and becoming a Vice Chairman of CSFB, Ambassador HOLBROOKE made at least two sales development trips to central and eastern Europe on behalf of CSFB. During these trips, Ambassador HOLBROOKE allegedly asked U.S. Ambassadors to accompany him to meetings with Prime Ministers and Foreign Ministers, which according to the source, "almost certainly created the impression that Mr. Holbrooke still enjoyed a quasi-official status." (Tab 1)

#### Ambassador HOLBROOKE's Official Employment Status

Ambassador HOLBROOKE was appointed as Assistant Secretary for EUR on August 28, 1994. On February 20, 1996, Ambassador HOLBROOKE signed a CSFB letter agreeing to terms of his employment with CSFB (**Tab 2**). According to a Standard Form (SF) 50-B, Notification of Personnel Action, on file in Ambassador HOLBROOKE's Official Personnel Folder (OPF), he resigned from that position on February 21, 1996 (**Tab 3**). Ambassador HOLBROOKE's lawyers provided OIG with a chronology which reflects that Ambassador HOLBROOKE began employment at CSFB on February 22, 1996 (**Tab 4**). Ambassador HOLBROOKE's OPF also contained a letter addressed to him, dated February 21, 1996, from

Personnel Operations Division, Office of Civil Service Personnel Management. The letter indicated that Ambassador HOLBROOKE was appointed as a Foreign Affairs Officer (Expert), Grade ED-130-15, in Special Government Employee (SGE) status. The letter goes on to state the following (Tab 5):

"This appointment will become effective once a conflict of interest determination is made by the Office of Ethics and Personnel (L/EP/FD) based upon your submission of a Confidential Financial Disclosure Report (SF-450)."

In a letter addressed to Ambassador HOLBROOKE on April 17, 1996, by Agency Ethics Official, Financial Disclosure Division, Office of the Legal Adviser. This letter confirms that Ambassador HOLBROOKE was granted a 45 day extension to file his Financial Disclosure Report. On May 31, 1996 sent another letter to Ambassador HOLBROOKE informing him that his Financial Disclosure Report had not yet been received and notifying him that the report needed to be received by office before June 5, 1996, to avoid a \$200 late filing fee. (Tab 6)

Ambassador HOLBROOKE's Financial Disclosure Report was received by the Department of State on June 4, 1996 (Tab 7). Ambassador HOLBROOKE's OPF also contained a Notification of Personnel Action form dated July 15, 1996, which indicated that Ambassador HOLBROOKE was appointed on that date as a Foreign Affairs Officer - Expert (Tab 8). This document states the following:

"Conditions of temporary employment explained in statement dated 02-21-96. Reason for temporary appointment: to serve as an expert advisor to the Secr and Asst. Secretary for EUR. on issues pertaining to the Dayton Peace Accords and Bosnia and others."

In addition, Ambassador HOLBROOKE's OPF contained an Appointment Affidavit dated July 15, 1996 (**Tab 9**), indicating that Ambassador HOLBROOKE took the oath of office as a Foreign Affairs Officer on that date. Ambassador HOLBROOKE's OPF contained no further documentation concerning his employment status with the Department of State between February 21, 1996, and July 15, 1996. In addition, no further documentation was provided by Ambassador HOLBROOKE concerning his employment status between those dates.

Former Secretary of State Warren Christopher was interviewed in an attempt to verify Ambassador HOLBROOKE's employment status with the Department of State between February 21, 1996, and July 15, 1996. Secretary Christopher recalled that on February 21, 1996, he attended an awards presentation for Ambassador HOLBROOKE. The following day, Secretary Christopher indicated that Ambassador HOLBROOKE called him to say good-bye. Secretary Christopher recalled that on July 15, 1996, he held a luncheon for Ambassador HOLBROOKE to welcome him back on board with the Department in his new capacity as an SGE. Secretary Christopher recalled having spoken to Ambassador HOLBROOKE on only two occasions between those two events and could not recall what those conversations entailed. (Tab 10)

was interviewed regarding Ambassador HOLBROOKE's employment status. stated that understanding was that Ambassador HOLBROOKE was appointed as a "consultant to the Secretary of State" after February 21, 1996, and that his role was as an unpaid informal advisor on Bosnian and Eastern European affairs. stated that spoke "frequently" to Ambassador HOLBROOKE during the time period immediately following his departure, usually to ask for advice regarding the Dayton Peace Accords. A copy of Information of Record form is included in (Tab 11)

On November 20, 1998, Ambassador HOLBROOKE was interviewed and stated that he took the oath of office for his appointment as a SGE at 5:01 P.M. on February 21, 1996. However, Ambassador HOLBROOKE stated that he did not have a document confirming that he took the oath at that time. Ambassador HOLBROOKE was unable to recall who swore him in on that date. Ambassador HOLBROOKE claimed that he was in "continuous" contact with Department officials, including Secretary Christopher from February 21, 1996, until the present. (Tab 12, pp 10-36)

### II. Intervention On Behalf Of Credit Suisse First Boston - 18 U.S.C. 208(a)

On July 17, 1998, OIG interviewed former U.S. Ambassador to Hungary Donald Blinken regarding Ambassador HOLBROOKE's alleged intervention on behalf of CSFB in May 1995. Ambassador Blinken stated that the embassy was backing a U.S. firm competing for a telephone privatization contract with the Hungarian government. According to research conducted by the embassy, there was only one U.S. firm bidding for the contract. Ambassador Blinken stated that it was the determination by the Department of Commerce that CSFB was not considered to be a U.S. firm. Ambassador Blinken confirmed that then-Assistant Secretary HOLBROOKE contacted him at the behest of Ambassador HOLBROOKE advised him that he (HOLBROOKE) was convinced that CSFB should be treated as a U.S. firm for the purpose of receiving embassy backing on an equal basis as the other U.S. firm bidding on the contract. Ambassador HOLBROOKE came to this decision after speaking with and the Department of

Commerce. Ambassador Blinken stated that Ambassador HOLBROOKE did not order him to back CSFB, but only advised him to do so. (Tab 13)

On July 24, 1998, OIG interviewe who confirmed that he met with then-Assistant Secretary HOLBROOKE and asked for his assistance in dealing with Ambassador Blinken. recalled that as far as he knew, Ambassador HOLBROOKE's employment discussions with CSFB did not begin until August 1995. advised that was not involved in the employment negotiations with Ambassador HOLBROOKE and added that the decision to hire Ambassador HOLBROOKE had nothing to do with Ambassador HOLBROOKE's intervention on behalf of CSFB. (Tab 14)

On July 28, 1998, OIG interviewed
Regarding Ambassador HOLBROOKE's intercession on
behalf of CSFB, stated that the action saved the U.S. Embassy in Hungary as well as the
U.S. Government a lot of embarrassment because had threatened to go to the White
House and have Ambassador Blinken's job over the issue. (Tab 15)
On August 12, 1998, OIG interviewed who stated that employment negotiations with Ambassador HOLBROOKE did not begin until July 30, 1995. advised that Ambassador HOLBROOKE's intervention on behalf of CSFB had
nothing to do with his being offered a position with the firm. (Tab 16)
On August 13, 1998, OIG interviewed
stated that Ambassador HOLBROOKE was not
considered for employment with CSFB until the summer of 1995. (Tab 17)
On August 18, 1998, OIG interviewed recalled that Ambassador HOLBROOKE came to for assistance regarding his employment search during the summer of 1995 stated that recommended that Ambassador HOLBROOKE consider CSFB added that then called to recommend Ambassador HOLBROOKE. (Tab 18)
On August 20, 1998, OIG interviewed stated that Ambassador HOLBROOKE was hired by CSFB because of his background as an investment banker with Lehman Brothers also recalled that CSFB first considered hiring Ambassador HOLBROOKE on the recommendation of (Tab 19)

On August 13, 1998, OIG issued an Inspector General Subpoena to CSFB requesting that the company produce any and all documentation regarding Ambassador HOLBROOKE's employment with the firm. OIG reviewed the records furnished by CSFB in response to the subpoena and found no indication that Ambassador HOLBROOKE began employment negotiations with CSFB prior to July 30, 1995. (Tab 20)

Based on the foregoing (Section II, above), OIG found no evidence that Ambassador HOLBROOKE had entered into negotiations for a position with CSFB prior to intervening in this matter. Also, there was no evidence found that Ambassador HOLBROOKE was offered a position with CSFB because of his intervention in this matter.

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# III. <u>Request For Official Action Within One Year Of Leaving The Department</u> - 18 U.S.C. 207(c)

#### 1. Ambassador Thomas Siebert, U.S. Embassy Stockholm, Sweden

On August 26, 1998, Simpson Thacher and Bartlett, the law firm representing Ambassador HOLBROOKE, turned over documents to the OIG pursuant to OIG's letter of request for documents, dated August 6, 1998 (Tab 21). These documents included the following:

- Itineraries for Ambassador HOLBROOKE's visits to Stockholm, Sweden during September 2-11 and December 17-18, 1996 (Tab 22)
- A letter from Ambassador Thomas Siebert, U.S. Embassy Stockholm, to "The Honorable Richard C. Holbrooke, CS First Boston Corporation," dated April 16, 1996, in which Ambassador Siebert writes, in part: "Thanks very much for the lovely luncheon at Four Seasons this past week. And I are looking forward to your visit during the week of May 27th...This leaves the daylight hours of May 28-29 to schedule you in Stockholm. The attached memorandum provides you "multiple choice" on your activities, beginning with new PM Goran Persson. Once we hear from you, we'll proceed with scheduling." (Tab 23)
- A letter from Vice Chairman Richard Holbrooke, to Ambassador Siebert, dated May 15, 1996, on CS First Boston letterhead, in which HOLBROOKE writes, in part: "On the calls for Wednesday, May 29, can we see Prime Minister Person (sic).
   and the ______ These would be largely courtesy calls, and would not take more than 30 minutes each. From our previous discussion, I assume you would not want to set these up, but if you prefer, I can do it." Attached to this letter was the following handwritten note: "From our previous discussion, I assume you would want to set these up, but if you prefer, I can do it." (Tab 24)

On September 3, 1998		at the U.S. Embassy
Stockholm, was interviewed	d (Tab 25). stated t	tha was Ambassador
HOLBROOKE's	Ambass	ador HOLBROOKE made to the U.S.
Embassy in Stockholm duri	ng 1996. knew <u>tha</u>	t Ambassador HOLBROOKE was
employed by CSFB at the ti	me of his visits; however,	thought that Ambassador
HOLBROOKE was also "or	n retainer" with t <u>he U.S.</u> Gove	rnment. confirmed that
for Ambassador I		ding Ambassador HOLBROOKE's
visit to Ericcson, as reflected	d on Ambassador HOLBROO	KE's schedule for December 18, 1996,
(Tab 22)	could not recall the pur	pose Ambassador HOLBROOKE's

proposed visit with Ericcson, a telephone hardware manufacturer, but confirmed that Ambassador HOLBROOKE used the U.S. government car to attend this appointment and that accompanied Ambassador HOLBROOKE to the

meeting.

On September 17, 1998, OIG received all documentation on hand at the U.S. Embassy, Stockholm, related to contacts and/or visits to that embassy by Ambassador HOLBROOKE. The following pertinent documents were received:

A letter from Ambassador HOLBROOKE'
 dated May 20, 1996, in which
 writes, in part: "2. The rest of the schedule looks great. Would there be any

 objection if Holbrooke brings

 to the 4:30 meeting with

 (Tab 26)

 Itinerary for Ambassador HOLBROOKE's May 27-30 trip to Stockholm. (Tab 27)

On October 5, 1998, OIG interviewed Ambassador Siebert, former U.S. Ambassador to Sweden **(Tab 28)**. Ambassador Siebert was shown a copy of the April 16, 1998 letter **(Tab 23)**, from himself to Ambassador HOLBROOKE, in which Ambassador Siebert thanked Ambassador HOLBROOKE for a luncheon at the Four Seasons and also wrote, in part: "This leaves the daylight hours of May 28 - 29 to schedule you in Stockholm. The attached memorandum provides you "multiple choice" on your activities, beginning with new PM Goran Persson. Once we hear from you, we'll proceed with scheduling." Ambassador Siebert stated that he attended a lunch at the Four Seasons hosted by Ambassador HOLBROOKE. Some Swedish friends of Ambassador HOLBROOKE were also at the lunch. Ambassador Siebert stated that he did not know who paid for the lunch; although, he stated that he did not. Ambassador Siebert also stated that he did not recall having set-up any meetings for or having attended any meetings with Ambassador HOLBROOKE. Ambassador Siebert was also shown a copy of the May 15, 1996 letter **(Tab 24)**, to him from Ambassador HOLBROOKE, which reads, in part: "On the calls for Wednesday, May 29, can we see Prime Minister Persson

Ambassador Siebert stated that he had no specific recollection of having set-up those meetings. Ambassador Siebert stated that at Ambassador HOLBROOKE's prompting, he (Siebert), after having left Sweden, spoke to a CSFB official about potential employment with CSFB.

On October 9, 1998, OIG received Ambassador Siebert's archived correspondence files and official schedules for 1996 and 1997. A review of these files reflected the following pertinent entries (Tab 29):

May 29, 1996, 1530 entry: "Accompany Amb Holbrooke to meet with

- May 29, 1996, 1630 entry: "Accompany Amb Holbrooke to meet with oined by
- May 29, 1996, 1730 entry: "Accompany Amb Holbrooke to meet
- May 30, 1996, 0930 entry: "Accompany Amb Holbrooke to meet

Note: A review of the files also disclosed Ambassador Siebert's official schedule for September 3-4, 1996, and December 16-18, 1996, which included visits by then-Special Government Employee Ambassador HOLBROOKE as well as miscellaneous correspondence related to Ambassador HOLBROOKE. (Tab 30).

On November 4, 1998. was re-interviewed. was shown copie<u>s of</u> Ambassador Siebert's official schedule for May 29, 1996 (Tab 29). stated that had a vague recollection that the CSFB representative, did not go to the meeting; could not recall whether the 1630 meeting actually took however also stated that place did not know why CSFB had requested presence at the meeting. could not recall whether attended any of the three meetings Further. was scheduled to attend as notetaker. (Tab 31)

On November 15, 1998, Ambassador Siebert was re-interviewed and stated that after February 1996, he had set-up many meetings for Ambassador HOLBROOKE to meet with hostgovernment officials and that he (Siebert) would accompany Ambassador HOLBROOKE to those meetings. The meetings included Swedish Foreign Minister Hjelm-Wallen and other officials of the foreign ministry. Ambassador HOLBROOKE also had CSFB business meetings while in Sweden. According to Ambassador Siebert, for those meetings, Ambassador HOLBROOKE "would get out of the car and go." Ambassador Siebert stated that he never assisted Ambassador HOLBROOKE in the advancement of CSFB business. Ambassador Siebert stated that he was not sure what Ambassador HOLBROOKE's official status was at the time of his visits to Sweden, but he assumed Ambassador HOLBROOKE was still involved in Bosnian issues. Ambassador Siebert was shown a copy of his official schedule for May 28-30, 1996 (Tab 29), and asked whether he recalled having attended the following meetings as indicated on the schedule: May 29th meeting at 1530 hrs "Accompany Amb Holbrooke to meet with and 1630 hrs "Accompany Amb Holbrooke to meet with Joined by of CS First Boston/Sweden ' Regarding the Ambassador Siebert stated that meeting with is a key foreign affairs player and that he (Siebert) probably went to that meeting with Ambassador HOLBROOKE. Regarding the meeting with Ambassador HOLBROOKE, and Ambassador Siebert stated that he had no specific recollection of the meeting. Regarding the May 30th meeting at 09:30 hrs "Accompany Amb Holbrooke to meet (Brunkebergstorg 11, 9th floor -

will meet at bank/notetaker)" Ambassador Siebert stated that he recalled being together with Ambassador HOLBROOKE, and _______at some point in time. Ambassador Siebert stated tha _______could have requested the meeting with Ambassador HOLBROOKE. OIG reminded Ambassador Siebert that in his October 5, 1998, interview he stated that he had spoken with CSFB officials about the possibility of working for CSFB. Regarding the status of negotiations for a position with CSFB, Ambassador Siebert stated that there was a "zero likelihood" of his being employed by CSFB. Ambassador Siebert further stated that any discussions of such employment was just "coffee talk" between he and Ambassador HOLBROOKE. Ambassador Siebert stated he had gone to London recently to have dinner with and his wife; however, potential employment was not a topic of

discussion (Tab 32).

On November 20, 1998, Ambassador HOLBROOKE was interviewed. Regarding his May 27 -30, 1996, trip to Sweden, Ambassador HOLBROOKE stated that the primary purpose for the trip , but Ambassador Siebert was also "insistent" on taking was him (HOLBROOKE) to see Swedish government officials to update them on the crisis in Bosnia. Regarding the letter from Ambassador HOLBROOKE's to presence in a meeting with the U.S. Embassy Stockholm, requesting Ambassadors HOLBROOKE and Siebert, along with (Tab 26) Ambassador HOLBROOKE stated that he had never seen the letter before and did not request the wrote this request "on meeting. Ambassador HOLBROOKE further stated that his own initiative for unexplained reasons." Regarding the May 30th meeting on Ambassador Siebert's schedule to "Accompany Amb Holbrooke to mee

Ambassador HOLBROOKE stated that he could not remember whether he met with **Fab 12, pp 159-182)** 

#### 2. Ambassador James Laney, U.S. Embassy, Seoul, Korea

On August 26, 1998, Simpson Thacher and Bartlett, the law firm representing Ambassador HOLBROOKE, provided documents pursuant to OIG's letter of request, dated August 6, 1998 (Tab 21). These documents included the following:

- March 21, 1996, letter from Vice Chairman Richard HOLBROOKE, to Ambassador James Laney, U.S. Embassy Korea, on CS First Boston letterhead, in which Ambassador HOLBROOKE writes, in part: "In addition, I would like to make a courtesy call on President Kim, whom I have not seen since my last meeting with him, the week he became President of Korea. He and I have known each other since 1978, and I believe it would be appropriate to call on him. I would be honored if you would be willing to set this meeting up, and if appropriate, join me at it. The best date would be May 10 or 11" (Tab 33)
- March 22, 1996, letter from Ambassador Laney, to "Mr. Richard Holbrooke, Vice Chairman, CS First Boston," in which Ambassador Laney writes, in part: "I am

delighted that you are coming to Korea and would be pleased to join you in a courtesy call on President Kim. I will work with the Blue House to set that up" (Tab 34).

- March 22, 1996, letter from Vice Chairman Richard Holbrooke, on CS First Boston letterhead, to Ambassador Laney. (Tab 35).
- April 19, 1996, letter from Ambassador Laney, to "Mr. Richard Holbrooke, Vice Chairman, CS First Boston," in which Ambassador Laney writes, in part: "I have talked to the Blue House, the and s confident that President Kim will want to see you. They haven't yet set a time but I informed of the days of your being in Seoul." (Tab 36)
- April 26, 1996, letter from Ambassador Laney, to "Mr. Richard Holbrooke, Vice Chairman, CS First Boston," regarding the guest list for a lunch Ambassador Laney would be hosting during Ambassador HOLBROOKE's visit. (Tab 37)
- April 30, 1996, letter from Vice Chairman Richard Holbrooke, on CS First Boston letterhead, to Ambassador Laney, in which HOL BROOKE writes in part: "May I suggest, as a courtesy, that we invite the lunch." (Tab 38)
- "Mr. Richard Holbrooke's" itinerary for his May 9 12, 1996, visit to Seoul, Korea. (Tab 39)

On September 14, 1998, OIG received all documentation on hand at the U.S. Embassy, Seoul, related to contacts and/or visits to that embassy by Ambassador HOLBROOKE. The following pertinent documents were received:

• Copy of Form OF-206, Purchase Order, Receiving Report and Voucher; for representational event: "Luncheon hosted by AMB in honor of The Honorable Richard C. Holbrooke at the residence." A guest list was also attached, which included two other CSFB executives. (Tab 40)

On October 19, 1998, OIG interviewed James Laney, former U.S. Ambassador to South Korea. Ambassador Laney recalled that Ambassador HOLBROOKE visited South Korea in the late Spring of 1996 to attend a meeting of the Asia Society. Ambassador Laney also recalled attending a ribbon cutting ceremony, with, and at the invitation of Ambassador HOLBROOKE at the new CSFB office in Seoul. Regarding the meeting with President Kim, Ambassador Laney stated that given the documents indicating there was a meeting, one must have taken place. However, Ambassador Laney could not recall the meeting or what was discussed. Ambassador Laney could not recall whether Ambassador HOLBROOKE brought any other CSFB representatives to the meeting with him, but doubted that he did. Ambassador Laney stated that he saw President Kim about every other week during his tenure as Ambassador. Regarding the luncheon that Ambassador Laney held in honor of Ambassador HOLBROOKE, Ambassador Laney stated that he had in mind that the luncheon would be used to discuss foreign affairs topics. Ambassador Laney stated he did not know the CSFB representatives who were present for the luncheon, and that he did not recall ever having seen them again. Ambassador Laney stated that if the luncheon had any value to CSFB, it would have been the opportunity for

Ambassador HOLBROOKE and the CSFB representatives to meet the South Korean representatives. Ambassador Laney could not recall whether CSFB business was discussed during the lunch. (Tab 41)

On November 20, 1998, Ambassador HOLBROOKE was interviewed and stated in a letter, dated March 21, 1996, that he requested Ambassador Laney set-up a meeting to include himself, Ambassador HOLBROOKE and President Kim, because it would have been inappropriate for him (HOLBROOKE) to make a courtesy call on President Kim, in which he would not discuss business, and "cut the ambassador out." Ambassador HOLBROOKE went on to say that it was an opportunity to help Ambassador Laney, since "ambassadorial access to people like President Kim Young Sam are very difficult." Ambassador HOLBROOKE also stated that the meeting never actually took place. (Tab 12, pp 182-184, 195-197)

#### 3. Ambassador Jenonne Walker, U.S. Embassy Prague, Czech Republic

On August 26, 1998, Simpson Thacher and Bartlett, the law firm representing Ambassador HOLBROOKE, turned over documents pursuant to OIG's letter, dated August 6, 1998 (**Tab 21**). These documents included the following:

April 17, 1996, letter from Vice Chairman Richard HOLBROOKE, to Ambassador Jenonne Walker, U.S. Embassy Prague, on CS First Boston letterhead, in which Ambassador HOLBROOKE writes, in part: "I will be visiting Prague on Tuesday, April 30 on behalf of my new firm, CS First Boston. Our representative in Budapest, will be arranging some meetings on the business side. I also hope to call on Prime Minister Klaus, per his personal invitation to me when he was in Washington. If that meeting is arranged, I would be delighted if you wish to join me. It would not involve business, but rather consist of a discussion of general issues, particularly Bosnia and NATO" (Tab 42). April 18, 1996, fax from U.S. Embassy Prague, to "Mr. Richard Holbrooke, Vice Chairman, CS First Boston, in which Hering writes, in part: "Ambassador Walker asked me to respond to your fax of April 17 concerning your visit to Prague April 30. If your call on the Prime Minister is arranged, she would be delighted to join you." (Tab 43)

On September 8, 1998, OIG received all documentation on hand at the U.S. Embassy, Prague, related to contacts and/or visits to that embassy by Ambassador HOLBROOKE. These documents included the following:

- The scheduling form for a reception in honor of Ambassador HOLBROOKE, hosted by Ambassador Walker, dated April 11, 1996. On the form, the purpose of the event is listed as "To Welcome CS First Boston Vice Chairman Richard Holbrooke to Prague." (Tab 44)
- The guest list for the reception, which indicated that the reception was held on April 30, 1996. (Tab 45)

- An itemized cost of the reception. (Tab 46)
- Notes regarding CSFB's payment for the reception. (Tab 47)

On October 6, 1998, OIG interviewed Jenonne Walker, former U.S. Ambassador to the Czech Republic. Ambassador Walker stated that during his visit to Prague Ambassador HOLBROOKE used the CSFB representative in Prague to set up all of his appointments. Ambassador Walker added that neither she nor anyone from the embassy accompanied Ambassador HOLBROOKE to any meetings. Despite the text of the letters, Ambassador Walker stated that she did not attend the meeting with the Prime Minister.

Regarding the reception held at the embassy for Ambassador HOLBROOKE, Ambassador Walker stated that a local representative of CSFB asked the embassy if CSFB could use the Ambassador's residence to host a reception for Ambassador HOLBROOKE. Ambassador Walker indicated that she granted permission as she would for any U.S. firm. Ambassador Walker stated that CSFB reimbursed the embassy for the cost of the reception. Ambassador Walker recalled that she made some opening remarks at the reception and that Ambassador HOLBROOKE talked about the Dayton Peace Accords. (Tab 48)

On November 20, 1998, Ambassador HOLBROOKE was interviewed. Ambassador HOLBROOKE stated that CSFB set-up the meeting with Prime Minister Klaus and that he (HOLBROOKE) invited Ambassador Walker to attend the meeting. Ambassador HOLBROOKE further stated that the meeting never actually took place. (Tab 12, pp 183-188)

# 4. Ambassador Rudolf Perina, Deputy Assistant Secretary of State for European and Canadian Affairs

On Septemb <u>er 16, 1998</u>	L,	Ambassador HO	LBROOKI	3 <b>'</b> s	was	
interviewed	Ambassador H	OLBROOKE's				
A review of the file reve	aled a handwritte	n letter, on Richa	rd HOLBR	COKE's C	S First Boston	
letterhead, dated June 20	<u>5, 1</u> 996 (Tab 49).	The letter reads	: "Dear Ru	dy, Can you	have someone	3
look into this?	has been a big	g supporter, and i	t would be	additionally	nice to assist	
him. Please let me know	w asap <u>what is go</u>	ing on. All the be	est, Dick."	Attached to	the letter are	_
two additional letters, or	ne from		Haverford	College, to	_	
Pincus Brothers-Max	well; and the othe	er from Pincus to			Both letters	-
detail the general difficu	lty Bosnian stude	ents experience in	trying to o	btain studer	nt visas and the	;
specific problem of a Br	yn Mawr student	named				
On September 22, 1998,	was teler	honically intervi	ewed and a	sked who A	<u>mbass</u> ador	
HOLBROOKE knew by	the name of "Ru	idy.' stat	ed that the	only "Rudy'	ould	
think of was Rudolf Per	ina. thou	ght that Perina wa	as a Departi	ment of Stat	e employee.	
A review of Department of State files disclosed that Rudolf Perina was currently the U.S.						
Ambassador to Moldova	a.			·		
					b7C Per DC	OS

On September 22, 1998, Ambassador Perina was interviewed via telephone (**Tab 50**). Ambassador Perina stated that he could not specifically recall being contacted by Ambassador HOLBROOKE about a Bosnian student visa issue in 1996. After having the June 26, 1996, handwritten letter (**Tab 49**) read to him, Ambassador Perina stated he could vaguely recall the issue, but he could not recall what he did in response to the request. Ambassador Perina indicated that most likely he would have passed the request on to the Bosnia desk and asked for a response; however, Ambassador Perina stated he had no recollection regarding the outcome of the issue.

On October 2, 1998, Professor was interviewed (**Tab 51**). stated that recalled discussing with in general terms visa problems in Bosnia recalled that he referre to the International Rescue Committee, of which believed Ambassador HOLBROOKE was on the Board of Directors. stated that did not discuss visa problems with Ambassador HOLBROOKE and that he did not recall contacting anyone else at the Department of State about Bosnian student visa problems.

On November 20, 1998, Ambassador HOLBROOKE was interviewed and stated that at some point after leaving the government, he received a letter from which enclosed another letter concerning visa problems with some Bosnian students. Ambassador HOLBROOKE stated he simply forwarded the letter to then-EUR Senior Deputy Perina and asked Perina to take whatever action was appropriate. Ambassador HOLBROOKE further stated that he asked Perina to expedite the request because "that's what the Government's supposed to do" and also because was a very strong supporter of the administration's policies on Bosnia as well as

and deserved special consideration, not on the outcome, but simply on the expedition of the request. And I did this as a special senior adviser on Bosnia and European security affairs to the bureau which I had once headed and which Perina was now senior deputy of." Ambassador HOLBROOKE provided OIG with a copy of a letter, dated July 12, 1996 (Tab 52), he received from Perina in which Perina detailed having looked into the request and the outcome. (Tab 12, pp 4-9).

Based on the foregoing (section III, above), OIG has reasonable grounds to believe there may have been violations of federal criminal law and is referring this matter to Department of Justice.

## IV. <u>Meals Purchased for Department Officials by Credit Suisse First Boston</u> -18 U.S.C. 201(c)

On August 28, 1998, OIG received the following document from

CSFB, pursuant to the Inspector General Subpoena (Tab 20): CS First Boston Policies and Procedures, Section 04, Expenses, marked "CONFIDENTIAL CSFBC 000864 -000871, 000885 - 000890, and 000898." (Tab 53). Section 04.01, Purpose, reads, in part: "The Expenses section of the Policy Manual is provided to set forth company-wide guidelines for incurring and reporting travel, entertainment and other business related expenses. Business

related expense policy defined in this section is deemed to include all costs incurred by an employee while conducting business for the Firm." Section 04.01, General Policy, reads, in part: "Business related expenses must exclude expenditures for employees' direct or indirect personal benefit and for non-employees (e.g., relatives and friends of employees)."

On September 16, 1998, OIG interviewed

was told that was being interviewed regarding allegations of conflict of interest by
Ambassador HOLBROOKE. Regarding CSFB's Travel and Expense (T&E) policy, stated
there are limitations on what expenses an employee can claim for business purposes. As one
example of a proper reimbursable expense, stated that an employee could claim his wife's
expenses at an event if he were entertaining clients. stated that all expenses claimed have
to be related to CSFB business. (Tab 54)

On November 20, 1998, Ambassador HOLBROOKE was interviewed. Regarding travel and entertainment expenses, HOLBROOKE stated that CSFB agreed that he could be reimbursed for "purely social expenses" as well as business expenses. HOLBROOKE stated that

negotiated this verbal agreement with CSFB. HOLBROOKE also stated that CSFB's published policies and procedures for travel and entertainment expenses did not apply to him. (Tab 12, pp 37 - 66)

On December 15, 1998	was re-i	nterviewed	. stat	ed that	hegotia	ted the tern	as of
HOLBROOKE's emplo	*					Regarding	travel
and entertainment exper	nses, <u>stat</u>	ed that the i	intention wa	as to reim	burse for	r business	
expenses which benefit	the firm.	also stated	l that as a V	ice Chair	man, HO	OLBRO <u>OK</u>	<u>E ha</u> s a
great deal of latitude; he							did
not know specifically w	/hat CSFB's py	<u>blished</u> rule	es for travel	and enter	rtainmen	it expenses	were,
they do apply to all CSI	FB employees.	tate	d that the n	otion was	that HC	DLBROOK	E could
	L	17					

be reimbursed for those things that were business related. went on to state that if an expense is not business related then the employee should pay for the expense himself. HOLBROOKE could use his own judgment as to what is or is not a business expense. stated an example that HOLBROOKE could be reimbursed for hosting a dinner at his home for potential clients and talk about art over dinner. However, it's clear that he works for CSFB and there would be an expectation that he would follow-up possibly the next week with the attendees of the dinner to talk about the bond market or some other CSFB related business. stated that did not enter into a verbal agreement that HOLBROOKE could be reimbursed for expenses which were solely personal with no CSFB business interest. (Tab 56)

1. April 14, 1996 Dinner at Nora Restaurant for Several Department Officials

On August 28, 1998, OIG received the following document from CSFB, pursuant to the Inspector General Subpoena (**Tab 20**): CS First Boston Travel and Entertainment Voucher, marked "CONFIDENTIAL CSFBC 000255-000261." The voucher included an entry: "4/14/96; Dinner-Nora's, D.C.; See attached guest list; \$2,765.00; European cont'd relations." (**Tab 57**). The voucher includes a "Guests Detail Report" which list the following individuals as having attended the dinner:

From September 21 to Octobe	<u>er 6 1998 a</u> l	I of the above listed guests	to the April 14, 1996,
dinner, with the exception of		were interviewed (Tab 58).	All interviewees stated

that they were not aware of who paid for the dinner, but most assumed that Ambassador HOLBROOKE did. All of the interviewees stated that CSFB business was not discussed at the dinner and that Ambassador HOLBROOKE never asked them to take any action which could have benefited CSFB.

On September 16, 1998, OIG interviewed

	CSFB.	wa <u>s shown the</u> I	&E voucher for the	<u>April 14, 19</u> 96,
dinner at Nora Restaurant,	, identif	fied	as an executive of	which is
a CSFB client. state	ed did not:	recognize any of	the other names on the	he list and said that
they were "irrelevant."	surmised	that because	was present, the	en the dinner was
organized around him for	CSFB busine	ss. advised	that did not know	v the specific
purpose of the dinner. When shown that the purpose listed on the voucher was "European				
continued relations,"	was unable	to answer what the	hat meant. (Tab 54)	

On November 20, 1998, Ambassador HOLBROOKE was interviewed. Ambassador HOLBROOKE stated that the April 14, 1996, dinner at Nora Restaurant was a social dinner for the purpose of "gathering some old friends, cherished friends, some of whom were in the Government, some of whom were not." Ambassador HOLBROOKE stated that no business was discussed at the dinner. Ambassador HOLBROOKE indicated that one person in attendance was a client of CSFB. Ambassador HOLBROOKE stated that he did not ask any of the government officials in attendance at the dinner to take any actions which would have benefited himself or CSFB. Ambassador HOLBROOKE also stated that he was not aware of any prior actions taken by the government officials in attendance at the dinner which would have benefited himself or CSFB. Ambassador HOLBROOKE stated that the term "European continued relations" listed on the voucher to describe the purpose was not accurate. Ambassador HOLBROOKE stated the voucher should have reflected the purpose as "social event or dinner with -- dinner with guest list." (Tab 12, pp 66-67, 75, 79-84, 95-111)

#### 2. April 16, 1996 Lunch at I Ricchi Restaurant for Several Department Officials

On August 28, 1998, OIG received the following document from CSFB, pursuant to the Inspector General Subpoena (**Tab 20**): CS First Boston Travel and Entertainment Voucher, marked "CONFIDENTIAL CSFBC 000821 - 000832." The voucher includes an entry: "4/16/96; Lunch, I Ricchi, D.C.; See attached; \$423.72; unch." The voucher includes a "Guests Detail Report" which lists the following individuals as having attended the lunch (**Tab 59**):

Amb. Collins - State Department, D.C. Amb. Larkin - State Department, D.C.

From September 22 to October 16, 1998, all of the above listed guests to the April 16, 1996, lunch were interviewed, with the exception of All interviewees stated that they were not aware of who paid for the lunch, but most assumed that Ambassador HOLBROOKE did. All of the interviewees stated that CSFB business was not discussed at the dinner and that Ambassador HOLBROOKE did not request any action from them which could have benefited CSFB. (Tab 60)

On November 20, 1998, Ambassador HOLBROOKE was interviewed and stated that the purpose for the April 16, 1996, lunch at I Ricchi Restaurant was "to gather together friends, in this case at a lower level, and mainly Assistant Secretaries, and one Under Secretary, just to get caught up on old times, to reminisce, and because I was wearing a Government hat, specifically in the case of some of them, probably to discuss ongoing issues related to the crisis in Bosnia." Ambassador HOLBROOKE stated that he did not ask any of the government officials in attendance at the lunch to take any actions which would have benefited himself or CSFB. (Tab 12, pp 111-118)

3. October 18, 1996 Lunch at Four Seasons Restaurant for Ambassador Frank Wisner

On August 28, 1998, OIG received the following document from CSFB, pursuant to the Inspector General Subpoena (Tab 20): CS First Boston Travel and Entertainment Voucher, marked "CONFIDENTIAL CSFBC 000376 - 000383." The voucher includes an entry: "10/18/96; Lunch; Four Seasons Rest.; US Amb. Frank Wisner (India), O.Sarkozy, CS; \$343.72; India branch office." The voucher includes a receipt and handwritten note: "10/18/96 - US Amb Frank Wisner (India) MD21." (Tab 61)

On November 20, 1998, Ambassador HOLBROOKE was interviewed Ambassador HOLBROOKE stated that the purpose for the October 18, 1996, lunch at Four Seasons Restaurant with Ambassador Wisner and who also happens to be a CSFB colleague, was: "Frank Wisner is my oldest friend in the Government and one of my closest. s one of my colleagues at CS First Boston. He was in town. We just

wanted to get together, and and I just wanted to take him out to a really nice lunch and talk about family matters." Ambassador HOLBROOKE stated that he did not ask Ambassador Wisner to take any actions which would have benefited himself or CSFB. (Tab 12, pp 119-129)

# 4. October 28, 1996, Dinner at Ambassador HOLBROOKE's Residence for Deputy Secretary Talbott

On August 28, 1998, OIG received the following document from CSFB, pursuant to the Inspector General Subpoena (Tab 20): CS First Boston Travel and Entertainment Voucher, marked "CONFIDENTIAL CSFBC 000473 - 000485." The voucher includes an entry: "10/28/96; Dinner hosted at residence; See attached list; \$1,235.02; Harriman Institute Speech." The voucher includes a guest list, titled: "Dinner in honor of Deputy Secretary of State Strobe Talbott October 28, 1996," which list the following individuals as having attended the dinner (Tab 62):

On September 16, 1998, OIG interviewe

CSFB. was provided with the T&E voucher for the dinner held for Deputy Secretary of State Talbott and asked why CSFB paid for the dinner. stated did not know why the dinner was held and did not know what the topic of discussions were. identified signature on the T&E voucher as having approved the voucher for payment. (1ab 54)

On November 20, 1998, Ambassador HOLBROOKE was interviewed and stated that the purpose for the October 28, 1996, dinner at Ambassador HOLBROOKE's home was: "Just a dinner with a very dear friend and some of his friends." Ambassador HOLBROOKE stated that the dinner

was a social event and had no business purpose. Ambassador HOLBROOKE also stated that the guest list was not correct. He stated that was not present, he had no recollection of the being present, and stated that other people may have been present who did not appear on the list. (Tab 12, pp 129-134)

## 5. January 17, 1997 Lunch at Epomeo Restaurant for DCM

On August 28, 1998, OIG received the following document from CSFB, pursuant to the Inspector General Subpoena (**Tab 20**): CS First Boston Travel and Entertainment Voucher, marked "CONFIDENTIAL CSFBC 000402 - 000411." The voucher includes an entry: "1/17/97; Lunch, Berlin \$60.09; German new business." The voucher includes a receipt from "Ristorante EPOMEO" with a handwritten note: "USD 60.09 Lunch MG95)." (**Tab 64**)

On October 5.	1998,			U.S. Em	bassy Bonn, and	currently
				ÞOS,	was interviewed	and stated
that although	could not reca	all the date	id recal	l having a m	eal with Ambassa	ldor
HOLBROOK	E at a Greek-styl	e restaurant in	Berlin.		could not recall w	hether this
meal took place	<u>e w</u> hile Ambass	ador HOLBR	OOKE w	as still amba	ssador to German	y or at a later
time.	could not re	call what the to	pics of c	liscussion w	ere during the me	<u>al bu</u> t stated
•					CSFB business to	was
when Ambass					sidering setting up	
fund.					any meetings for,	
any meetings	with Ambassado				r HOLBROOKE	
Germany on C	SEB business.				at Ambassador HO	OLBROOKE
never asked	to take any ac	tions which co	ould have	benefited C	SFB. <b>(Tab 65)</b>	

On November 20, 1998, Ambassador HOLBROOKE was interviewed and stated that the purpose for the January 17, 1997, lunch with was: "Same reasons as for the I Ricchi lunch was a friend, good Foreign Service officer. We were getting together to discuss policy issues and get caught up on social things, and I picked up the tab." Ambassador HOLBROOKE stated that he did not ask to take any actions on behalf of CSFB. (Tab 12, pp 138-144)

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# 6. February 20, 1997 Dinner at Capriani's Restaurant for UnderSecretary Tarnoff

On August 28, 1998, OIG received the following document from CSFB, pursuant to the Inspector General Subpoena (Tab 20): CS First Boston Travel and Entertainment Voucher, marked "CONFIDENTIAL CSFBC 000371 - 000375." The voucher included an entry: "02/20/97; Dinner - Capriani's-NYC \$255.04; Diplomatic Relations." The voucher included a receipt with a handwritten note: "Dinner [I234] General." (Tab 66)
On September 16, 1998, OIG interviewed CSFB. was shown the T&E voucher for this dinner with
and asked about the CSFB purpose of the dinner. stated
that he had no idea who was and stated did not know the purpose of the dinner. (Tab 54)
On November 2, 1998 was interviewed and stated that could not specifically recall having dinner with Ambassador HOLBROOKE at Caprianis restaurant on February 20, 1997 stated that was not denying the dinner occurred just could not recall the event. When asked why CSFB paid for the dinner, stated that did not know what CSFB's rules are regarding entertainment. stated that assume and Ambassador HOLBROOKE would have discussed world affairs during the dinner. added that Ambassador HOLBROOKE has never asked to take any action on behalf of CSFB, nor have they ever discussed specific CSFB projects. (Tab 67)

On November 20, 1998, Ambassador HOLBROOKE was interviewed and stated that the purpose for the February 20, 1997, dinner with vas: was another one of my oldest friends was one of the key people I interacted with during the wearing of my special government employee hat. I hadn't seer n a long time. They were in New York. I took them out to dinner. Business was never discussed." (Tab 12, pp 149-151)

Based on the foregoing (section IV, above), OIG is referring this matter to Department of Justice for a determination of whether there has been a violation of federal criminal law or other ramifications of this conduct.

## V. <u>Ambassador HOLBROOKE's Book</u>

b7C Per DOS

# 1. Ambassador HOLBROOKE's Present During Dayton Accords

On October 13, 1998, OIG interviewed a confidential source (CS-1), who stated that during the Dayton Peace Accords, Ambassador HOLBROOKE had

during the negotiations. CS-1 alleged that Marton took notes using a laptop computer and there was a problem because did not have a security clearance. CS-1 believed that was contacted regarding the issue at the time. CS-1 told

OIG that this information came to second hand and was concerned because Ambassador HOLBROOKE authored a book, *To End a War*, about the Accords after he left the Department. (Tab 68)

On October 15, 1998, OIG interviewed who stated that after the Dayton Accords were completed was called into a meeting in the office of Deputy Secretary of State Strobe Talbott to discuss the issue. The primary concern of the DOS, as discussed in the meeting, was that would write an unauthorized book or article about the Accords. Thessin stated that it was ultimately decided that DOS would ask to sign a non-disclosure agreement, which greed to do. (Tab 69)

When interviewed by OIG regarding this issue, Ambassador HOLBROOKE emphatically denied that used a laptop computer to take notes during the Dayton Accords and added that did not take notes of any kind during the negotiations. Ambassador HOLBROOKE stated that was present for one meeting with and

that she had a notepad on which made some doodles, but did not take any notes.

Although did attend at least one meeting on the Dayton Accords, no evidence was developed that ecorded the event in any way or misused any information obtained from such a meeting.

# 2. Ambassador HOLBROOKE's Receipt Of Classified Information

During the investigation. OIG received an anonymous complaint alleging that forme	
	sed classified
material to Ambassador HOLBROOKE for use in Ambassador HOLBROOKE's "m	nemoirs."
The complainant further alleged that prepared the material in question	for
publication by Ambassador HOLBROOKE by photocopying it and cutting off the c	lassification
markings.	
-	

On September 4, 1995, Ambassador HOLBROOKE and met in Athens with then-Prime Minister of Greece Andreas Papandreou to discuss an issue involving the former

Yugoslavian Republic of Macedonia (FYROM). The events surrounding this meeting were discussed in Ambassador HOLBROOKE's book, *To End a War* on pages 121-127. The OIG further determined that after the September 4, 1995, meeting, sent an "official informal" reporting telegram, classified SECRET, to in

On October 20, 1998, OIG interviewed and obtained a sworn written statement from Ambassador to Greece Thomas M.T. Niles.

stated that on February 26, 1997, observed use a paper cutter to snip the top and bottom classification markings off a classified telegram and deposit the clippings in the wastebasket. further stated that overheard portion of a telephone conversation in which indicated that had the information in question and that vould meet Ambassador HOLBROOKE in the courtyard in front of the embassy. During interview, stated that reported this incident to Ambassador Niles shortly after it occurred. (Tab 70)

On October 22, 1998, OIG interviewed Ambassador Niles, who confirmed that brought the matter of passing the classified telegram to Ambassador HOLBROOKE to his attention shortly after the incident occurred in February 1997. Ambassador Niles stated that he neither raised the issue to nor to anyone else, even though he was aware that had turned over the cable to Ambassador HOLBROOKE as stated by this was a technical violation of the rules concerning disclosure of classified information. Ambassador Niles indicated that was not disclosing to Ambassador HOLBROOKE any information of which he was not already aware. (Tab 71)

On October 22, 1998, OIG interviewed stated that recalled that had retrieved a telegram from the embassy files with the intention of giving it or sending it to Ambassador HOLBROOKE. did not know the classification level of the telegram, nor did see remove the classification markings from the telegram. (Tab 72)

On October 29, 1998, OIG interviewed who denied that cut the classification markings from the telegram in question for the purpose of giving it to Ambassador HOLBROOKE remembered discussing the September 4, 1995, meeting with Ambassador HOLBROOKE during Ambassador HOLBROOKE's February 1997 trip to Athens. (Tab 73)

When interviewed by OIG, Ambassador HOLBROOKE stated that he was unaware of the existence of the official informal telegram sent to by Ambassador HOLBROOKE stated that he had instructed that he did not want an official reporting of the negotiations on Ambassador HOLBROOKE denied that the information on pages 121-127 of his book, *To End a War*, came from the classified telegram. Ambassador HOLBROOKE stated that the information in his book was based upon his own personal memory of the events in question. Ambassador HOLBROOKE added that September

4, 1995, "is the kind of day you remember forev	ver in great detail."
Although there was some evidence of HOLBROOKE with certain classified informati Ambassador HOLBROOKE received such class material which was published in Ambassador H	sified information, or that it was the source for

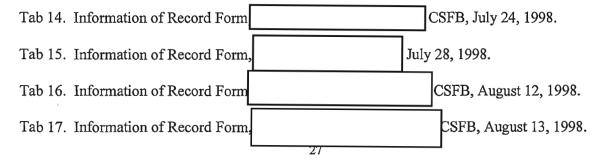
and approved for publication by the Department of State. Based on the foregoing (section V,

above), there does not appear to be a violation of federal criminal law.

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#### ATTACHMENTS

- Tab 1. Anonymous letter of complaint received by the Office of Inspector General on July 8, 1998.
- Tab 2. CSFB letter dated February 14, 1996, signed by Ambassador HOLBROOKE, February 20, 1996
- Tab 3. Standard Form 50-B, Notification of Personnel Action, Resignation, 02-21-96.
- Tab 4. Chronology provided by Ambassador HOLBROOKE's lawyers,
- Tab 5. February 21, 1996, letter from Chief, Personnel Operations Division, to Ambassador HOLBROOKE.
- Tab 6. April 17, 1996, letter from Deputy Agency Ethics Official, to Ambassador HOLBROOKE; and 5/31/96 letter from Financial Disclosure Division to Ambassador HOLBROOKE.
- Tab 7. Cover page of Ambassador HOLBROOKE's Financial Disclosure Report, signed June 4, 1996.
- Tab 8. Standard Form 50-B, Notification of Personnel Action, Excepted Appointment, 07-15-96.
- Tab 9. Ambassador HOLBROOKE's Appointment Affidavit, signed and dated July 15, 1996.
- Tab 10. Information of Record Form, Interview of Secretary Warren Christopher, September 21 & 22, 1998.
- Tab 11. Information of Record Form, Interview of Ambassador John Kornblum, December 1, 1998.
- Tab 12. Transcript of Ambassador HOLBROOKE's interview, November 20, 1998.
- Tab 13. Information of Record Form, Interview of Ambassador Donald Blinken, July 17, 1998.



Tab 18. Information of Record Form, Interview of    August 18, 1998.
Tab 19. Information of Record Form, Interview o    CSFB, August 20, 1998.
Tab 20. Inspector General Subpoena to CSFB, August 13, 1998.
Tab 21. August 6, 1998, OIG letter to Ambassador HOLBROOKE's
Tab 22. Itineraries for Ambassador HOLBROOKE's visits to Sweden, September 2-11 and December 17-18, 1996.
Tab 23. April 16, 1996 letter from Ambassador Siebert to Ambassador HOLBROOKE, with attachment.
Tab 24. May 15, 1996 letter from Ambassador HOLBROOKE to Ambassador Siebert, with attachment.
Tab 25. Information of Record Form, Interview of   September 3, 1998.
Tab 26. May 20, 1998 letter from
Tab 27. Itinerary for Ambassador HOLBROOKE's May 27-30, 1996 visit to Stockholm, with attachment.
Tab 28. Information of Record Form, Interview of Ambassador Siebert, October 5, 1998.
Tab 29. Ambassador Siebert's official schedule for May 28 - 30, 1996.
Tab 30. Ambassador Siebert's official schedule for September 3 - 4, 1996; December 16 - 18, 1996; and miscellaneous correspondence.
Tab 31. Information of Record Form, Interview of    November 4, 1998.
Tab 32. Information of Record Form, Interview of Ambassador Siebert, November 15, 1998.
Tab 33. March 21, 1996 letter from Ambassador HOLBROOKE to Ambassador Laney.
Tab 34. March 22, 1996 letter from Ambassador Laney to Ambassador HOLBROOKE.
Tab 35. March 22, 1996 letter from Ambassador HOLBROOKE to Ambassador Laney.
Tab 36. April 19, 1996 letter from Ambassador Laney to Ambassador HOLBROOKE.28

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Tab 37. April 26, 1996 letter from Ambassador Laney to Ambassador HOLBROOKE. Tab 38. April 30, 1996 letter from Ambassador HOLBROOKE to Ambassador Laney. Tab 39. Ambassador HOLBROOKE's itinerary for May 9-12, 1996 visit to Seoul, Korea. Tab 40. Form OF-206, Purchase Order, Receiving Report and Voucher. Tab 41. Information of Record Form, Interview of Ambassador Laney, October 19, 1998. Tab 42. April 17, 1996 letter from Ambassador HOLBROOKE to Ambassador Walker. to Ambassador HOLBROOKE. Tab 43. April 18, 1996 letter from Tab 44. April 11, 1996 scheduling form for a reception in honor of Ambassador HOLBROOKE. Tab 45. Guest list for April 30, 1996 reception. Tab 46. At-Home Representational Itemized List of Costs. Tab 47. Handwritten notes on stationary. Tab 48. Information of Record Form, Interview of Ambassador Walker, October 6, 1998. Tab 49. June 26, 1996 handwritten note from Ambassador HOLBROOKE to May 30. 1996 letter from and May 29, 1996 letter from Tab 50. Information of Record Form, Interview of Ambassador Perina, September 22, 1998. Tab 51. Information of Record Form, Interview of October 2, 1998. Tab 52. July 12, 1996 letter from Ambassador Perina to Ambassador HOLBROOKE. Tab 53. CSFB Policies and Procedures, Section 04, Expenses. Tab 54. Information of Record Form, Interview of CSFB, September 16, 1998. Tab 55. Information of Record Form, Interview of CSFB, September 16, 1998. Tab 56. Information of Record Form, Interview of SFB, December 15, 1998. 29

#### Tab 57. CSFB Travel and Entertainment Voucher, CSFB 000255 - 000261.

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 Tab 58. Information of Records Form, Interviews of Ambassador John Kornblum, October 6, 1998;

 September 28, 1998;

 and

 September 22, 1998.

Tab 59. CSFB Travel and Entertainment Voucher, CSFB 000821 - 000832.

- Tab 60. Information of Records Form, Interviews of Ambassador John Kornblum, October 6,1998September 22, 1998; Ambassador James Collins, October 15,1998; andDctober 16, 1998.
- Tab 61. CSFB Travel and Entertainment Voucher, CSFB 000376 000383.
- Tab 62. CSFB Travel and Entertainment Voucher, CSFB 000473 000485.
- Tab 63. Information of Records Form, Interviews of
   October 7, 1998; and

   , October 6, 1998.
- Tab 64. CSFB Travel and Entertainment Voucher, CSFB 000402 000411.
- Tab 65. Information of Record Form, Interview ofOctober 5, 1998.
- Tab 66. CSFB Travel and Entertainment Voucher, CSFB 000371 000375.
- Tab 67. Information of Record Form, Interview of November 2, 1998.
- Tab 68. Information of Record Form, CS-1, October 13, 1998.
- Tab 69. Information of Record FormOctober 15, 1998.
- Tab 70. Information of Record Formctober 20, 1998, 1998.
- Tab 71. Information of Record Form, Ambassador Thomas M.T. Niles, October 22, 1998.
- Tab 72. Information of Record Form
   , October 22, 1998.
- Tab 73. Information of Record FormDetober 29, 1998.

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UNITED STATES DEPARTMENT OF STATE

INSPECTOR GENERAL INVESTIGATION

IN THE

MATTER OF

AMBASSADOR RICHARD HOLBROOKE

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CASE NO. 98-116

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9:00 a.m.

Friday, November 20, 1998

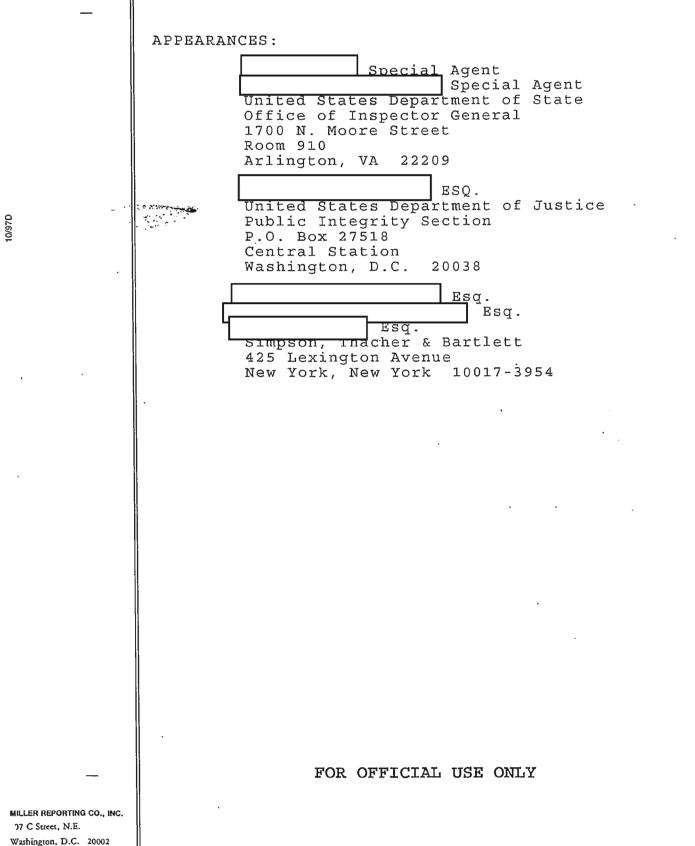
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b7C Per DOS 3 FOR OFFICIAL USE ONLY PROCEEDINGS 1 Today is November 20, 1998, 2 approximately 0905 hours. Present is Ambassador 3 Richard Holbrooke. We're at the State Department's 4 Office of Inspector General conference room at Main 5 State, and let me see, I guess we'll just go around 6 7 the room and kind of just state names and who we're 8 with. I'm Special Agen with the Office of Inspector General. 9 10 Special Agent with the Office of Inspector General. 11 with Simpson, 12 13 Thacher & Bartlett. with 14 I'm 15 Simpson, Thacher & Bartlett. Richard Holbrooke. 16 AMBASSADOR HOLBROOKE: 17 Simpson, Thacher, for Richard Holbrooke. 18 with the 19 20 Department of Justice. -have I said that 21 And right? -- is doing the recording for us. 22 FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 07 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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l	First of all, your status as of today,
2	sir, you are still a special Government employee?
3	AMBASSADOR HOLBROOKE: Yes.
4	Okay. So we will then proceed
. 5	at the Garrity (ph) advisement. I'm going to hand
6	Mr. Holbrooke an Employee Advisement of Rights,
7	Non-custodial. If you could just read that form?
.` 8	And if you understand it, go ahead and sign and
.9	date it.
10	AMBASSADOR HOLBROOKE: What's the date
. 11	today? The 20th?
12	The 20th, yes.
13	· [Form signed by parties.]
14	Thank you.
· 15	And I'll sign it as a
· 16	witness,
· 17	You understood the form and
18	have no questions; I presume?
, 19	AMBASSADOR HOLBROOKE: I don't know if I
20	understood it, but I have no questions.
21	Okay. We'll start. Ambassador
22	Holbrooke, tell me about the circumstances
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surrounding your having asked Ambassador Perina,
 Rudolph Perina, to look into a visa problem related
 to Bosnian students.

AMBASSADOR HOLBROOKE: I have almost no recollection of this except that--I actually had no recollection of it until I refreshed my memory by looking at the documents we turned over to you.

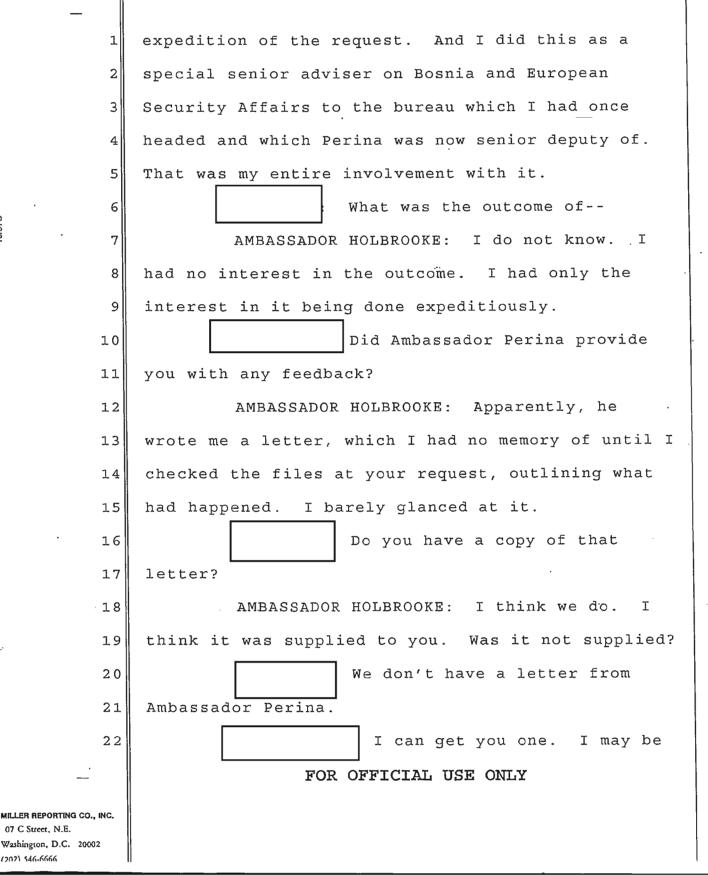
Sometime after I left the Government, I 8 9 received a letter from a personal friend, 10 enclosing another letter concerning a visa problem of some Bosnian students. I knew nothing 11 12 about it. I simply forwarded it to Rudy Perina, 13 the senior deputy in the European Bureau, asked him to take whatever action was appropriate. 14 Ι 15 suggested he expedite it because, first of all, that's what the Government's supposed to do, which 16 is to serve the interests of people, and these are 17 problems have a tendency to get hung up and because 18 Elie Wiesel was a very strong supporter of the 19 20 administration's policies on Bosnia as well as 21 and deserved special 22 consideration, not on the outcome but simply on the FOR OFFICIAL USE ONLY

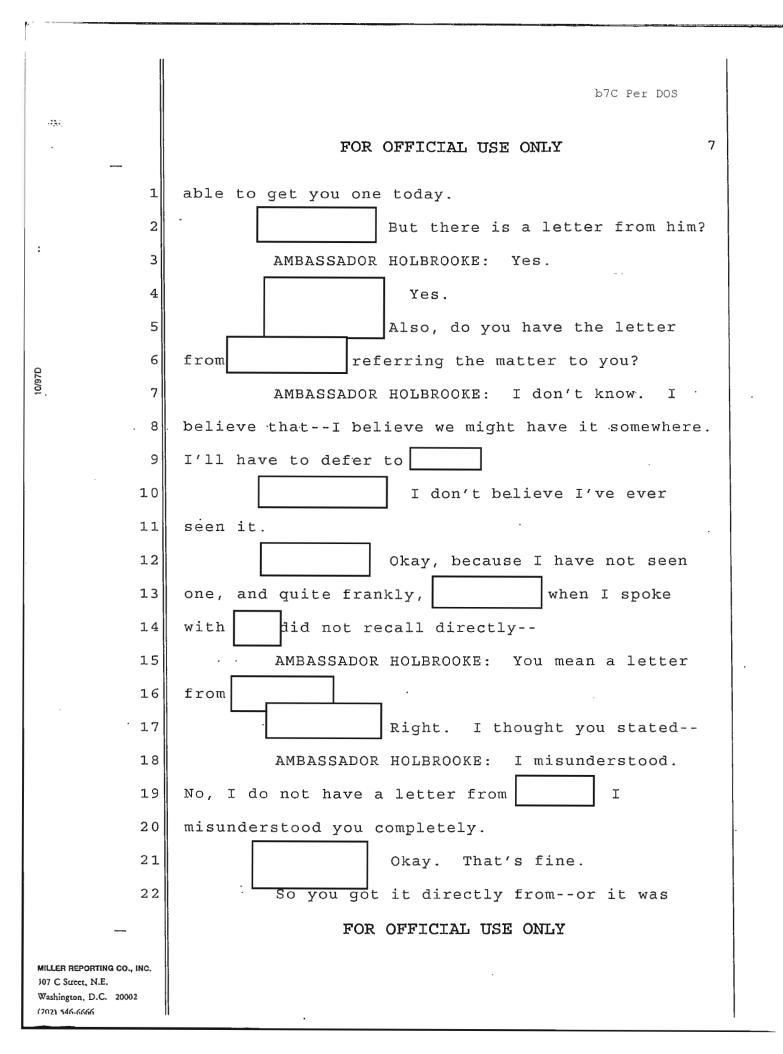
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8 FOR OFFICIAL USE ONLY referred to you directly from 1 versus through the IRC, International Rescue Committee? 2 AMBASSADOR HOLBROOKE: I'm on the board of 3 the IRC, but I don't believe I had any contact with 4 I have no memory of it. 5 in this matter. Right. I hand you what 6 7 appears to be a Bates stamped document from Perina to Holbrooke. Unless somehow it didn't make it 8 down to you, it's part of our production. 9 10 We produced that document to you. It was part of our original production. 11 12 Okay. 13 [Pause.] When was the last time you 14 spoke with Ambassador Perina? 15 AMBASSADOR HOLBROOKE: I have no idea. 16 17 Have you spoken with him about the investigation and this aspect of the 18 19 investigation? 20 AMBASSADOR HOLBROOKE: I haven't spoken--I 21 don't even know what -- I think he's -- I don't even 22 remember where he's gone. I think he's overseas as FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. Washington, D.C. 20002

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Ambassador somewhere. I haven't spoken to him 1 since a year and a half. 2 You have to speak up just a 3 4 little. AMBASSADOR HOLBROOKE: I don't think I've 5 spoken to him in a year and a half. 6 7 Okay. AMBASSADOR HOLBROOKE: I don't even 8 remember where he went. I know he got an overseas 9 10 posting. And your letter to Ambassador 11 Perina--actually, you wrote, "Dear Rudy"--is dated 12 13 June 26th of 1996. What was your status with the State Department at that time? 14 AMBASSADOR HOLBROOKE: Special Government 15 16 employee, senior adviser to the Secretary of State and the Assistant Secretary for European Affairs 17 for Bosnia and General European Security Matters. 18 19 Okay. This would be a good 20time to transition into--I'd just kind of like to 21 cover your employee time line, if you will, and 22 kind of give you an opportunity to offer any FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. Washington, D.C. 20002

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b7C Per DOS 10 FOR OFFICIAL USE ONLY 1 information that may be different than what we 2 found in your personnel file. 3 According to your personnel file, you were Assistant Secretary for European and Canadian 4 5 Affairs from September of '94 until February 21st 6 of 1996. Is that correct? 7 AMBASSADOR HOLBROOKE: Mm-hmm. Okay. And then, again, 8 according to your official personnel file, you then 9 10 swore in as a special Government employee on July 15, 1996. 11 12 AMBASSADOR HOLBROOKE: No. I took the 13 oath at 5:01 p.m. on February 21, 1996, in office, the small office next to mine. 14 15 Do you have a document--do you 16 have the oath? 17 AMBASSADOR HOLBROOKE: I don't have the 18 oath. I have a letter stating--dated that day 19 stating that I am--that I have become a senior 20 adviser, whatever the title -- excuse me -- and that I 21 then have to go ahead and do the backfill of 22 documents, fill out the financial disclosure and so FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC.

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This was at the specific request of many 1 on. 2 people at the department. I might just comment at this point on the 3 circumstances of my departure from the Government, 4 5 and I left rapidly for personal reasons Bosnia was 6 7 at a moment of extreme crisis. The Secretary of State, the President, and my ultimate successor as 8 Assistant Secretary, John Kornblum, who was not 9 confirmed for a while, all asked me to undertake 10 this, as well as many other people. And they--so 11 12 on the day I resigned as Assistant Secretary, I immediately began to work with them on a continual 13 and, as it turned out, intense basis because an 14 15 enormous crisis hit Bosnia within days after I left on things related to Bosnia and security issues in .16 17 Europe. 18 In your personnel file, there is a letter dated February 21, 1996, your last day 19 of Government service as Assistant Secretary for 20 21 EUR. It states, "We are pleased to confirm your 22 accepted service/temporary employment to the FOR OFFICIAL USE ONLY

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Department of State as a foreign affairs . 1 2 officer/expert in special Government employee 3 status. You will serve without compensation for the duration of the appointment. This appointment 4 will become effective once a conflict-of-interest 5 6 determination is made by the Office of Ethics and 7 Personnel based on your submission of a 8 confidential financial disclosure report. When 9 your appointment becomes effective, it will be for 10 a period not to exceed one year, but may be 11 terminated at any time." And then it goes on some 12 other -- "As you will be working on a full-time 13 basis, you may only be reappointed for one additional year for a maximum of two years." 14 15 So that document indicates that the .. . . 16 appointment would only become effective after your 17 financial disclosure document is reviewed, 18 submitted and reviewed, and then the other .19 documents in your personnel folder having to do 20 with the appointment and the financial disclosure 21 were--on April 17th of 1996 you were granted a 45-22 day extension within which to file your termination FOR OFFICIAL USE ONLY

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1 public financial disclosure report, which was due 2 on February 21st. And then on May 31st, again, you 3 were faxed a note from the Department's Legal Office, Financial Disclosure Division, that this is 4 a reminder to you that your '95-'96 executive 5 6 branch public financial disclosure termination 7 report has not yet been received, and the 8 extensions provided to you will expire close of business June 5, 1996. No additional extensions 9 10 can be granted by our office, and in order to avoid 11 the late filing fee, you must file by June 5th.

12 And then I have a copy of your financial 13 disclosure report, the cover page which was 14 actually signed by you on June 4th, and then 15 reviewed July 29, '96, by the Legal Office. And 16 then the next document would be the actual 17 appointment affidavit, which includes the oath of 18 office, signed by you, subscribed and sworn on the 19 15th of July of 1996, which seems to indicate that 20 you actually had not sworn in, and there seems to 21 be a lack of any other documentation stating 22 otherwise, or any documentation showing that you

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did, in fact, swear in as a special Government
 employee on January 21st.

And, again, I bring this up now--do you have anything to offer--

February.

6 February 21st. I'm sorry. I 7 misspoke. And I offer it now, if you have anything 8 to offer to show otherwise other than what was in 9 your official personnel file indicating July 15th.

We don't have any paperwork, if that's what you're asking. There's no paperwork--you have documents from his personnel file that we have not seen, we don't have access to, obviously, but we certainly don't have any other paperwork that relates to this issue.

AMBASSADOR HOLBROOKE: I'm mystified by this because I responded to a request by the President of the United States or the Secretary of State to continue to work on their behalf for no compensation at a moment of extraordinary danger to American national interests.

Sure.

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FOR OFFICIAL USE ONLY 15 AMBASSADOR HOLBROOKE: The war had 1 2 threatened to break out again, and you can check 3 the newspapers if you don't believe me. I was the-4 -my successor was months from being sworn in and 5 didn't have the ability to do this. Throughout the region, people didn't know 6 7 what to do. The President --8 Who swore you in? I'm sorry, . 9 sir. Who swore you in on January 21st? 10 AMBASSADOR HOLBROOKE: February 21st? 11 February 21st. AMBASSADOR HOLBROOKE: I have no idea. It 12 13 was a kind of a jokey thing. We were having a party, and we had gone to office, and I 14 take the oath, and everybody says: You retired but 15 16 you're still with us. 17 Who gave you that oath? AMBASSADOR HOLBROOKE: I have no idea. 18. Ι don't know who did it. 19 20 Did you sign a document at that 21 time? 22 AMBASSADOR HOLBROOKE: I don't remember. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 107 C Street, N.E.

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1 I thought I did, but since it isn't there, I can't 2 say whether I did or not. We were dealing with a 3 national emergency, and I was trying to respond because I'd been in and out of the Government for 4 5 36 years to do what I could to help them at their 6 insistence and request, and they--everybody who's ·7 ever worked in this building knows that the paper 8 flow has to be back -- has to fill up and back up to 9 the event, and we'd all been through this many 10 times and had--and I was responding to a crisis 11 with a clearance and at their request, and I was 12 making trips at their request and giving them 13 advice at their request. And I was doing them a favor. 14

Who are "them"?

AMBASSADOR HOLBROOKE: "They"? The United States Government, the President, the Secretary of State. I was still being called to testify before Origress on occasion. It was a period of intense activity and very unusual because--

21I'll show you a copy of22actually which was provided by--

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b7C Per DOS FOR OFFICIAL USE ONLY 17 1 AMBASSADOR HOLBROOKE: We've seen that. By you and your lawyers. 2 3 AMBASSADOR HOLBROOKE: This letter is addressed to an address I--4 This letter is a letter of 5 February 21, '96. 6 7 AMBASSADOR HOLBROOKE: This February 21st .8 letter is addressed to a house which I had not 9 lived in for three years, so I have no idea when it 10 reached me or how it reached me. 11 But it did come --12 AMBASSADOR HOLBROOKE: You'll notice the 13 address is crossed out here. 14 Sure. But this did come from your file, files. 15 16 AMBASSADOR HOLBROOKE: It reached--it 17 reached me, but I could not state when it reached 18 me since it's addressed to a house that I no longer 19 occupied and which did not have a forwarding 20 address. Sure, please. 21 22 Who specifically asked you FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. -07 C Street, N.E. Washington, D.C. 20002

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b7C Per DOS 18 FOR OFFICIAL USE ONLY 1 to take on this? AMBASSADOR HOLBROOKE: The President. 2 Personally. 3 AMBASSADOR HOLBROOKE: Mm-hmm, and the Secretary of State. 5 How did that request get 6 7. communicated? By telephone? AMBASSADOR HOLBROOKE: When I--8 Meetings? 9 AMBASSADOR HOLBROOKE: Not meeting. 10 Meetings. I had told them when I returned from 11 Germany that I could only serve for about a year 12 13 and had to leave for New York because I was just married. That year extended to 17 months because 14 of the crisis and because of the date of 15 16 negotiations. I left 90 days to the day after the date. I left much earlier than I wish I had left 17 18 given the circumstances that then occurred, which 19 are that the situation in Bosnia got increasingly 20 precarious. I don't want to sound self-serving, but I had been the central figure in the most 21 22 critical and difficult foreign policy action since FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. '07 C Street, N.E. Washington, D.C. 20002

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1	the end of the Cold War and the one that endangered
2	American national security. I was the only person
3	with credibility with Milosevic, with Izetbegovic
4	and Tudjman, the three key leaders, as well as most
5	of the leaders of Europe. I wasn't the only person
6	with the leaders of Europe. There were other
0/6/0! 7	people. But in some cases, I had the best
. 8	relationships. In the Balkans I had the only one.
9	When I told them I had to leave, they
10	asked me not to and asked me to delay, and I did
11	delay twice at their request. And finally
12	And "they" being?
. 13	AMBASSADOR HOLBROOKE: The President, the
. 14	Secretary of State, the Assistant Secretary who
. 15	succeeded me, Kornblum, and the chief of staff, Tom
16	Donilon, and the Deputy Secretary of State, Strobe
17	Talbott. All discussed my departure. Many people
18	did,
1,9	. What time frame are we
20	talking about?
21	AMBASSADOR HOLBROOKE: Starting in
22	starting even before Dayton and running right up to
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the last week. Right up to the last week. 1 Two 2 days before I left the Government, I was in Rome 3 with the Secretary of State running a summit conference of the Dayton participants. 4 The 5 Secretary of State had called me from Damascus to б ask me to change my schedule and go to Rome and pull this conference together, and then he joined 7 · 8 me there. The situation could not have been more 9 .10 dangerous. Less than 30 days after I left the 11 Government, the entire Serb suburbs of Sarajevo 12 were put to the torch by the Serbs. The situation

I would not have left the Government when I did had I know that was going to happen because my only responsibility here, all I cared about what making this peace work. And that still is my major and sole concern. Witness Kosovo.

They asked me to remain available. As it turned out, the availability became far more intense than any of us anticipated because none of us anticipated how rapidly the situation would

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hung by a thread.

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reach a crisis. 1 So I left the Government February 21st. 2 Ι was probably in touch with them for the first time-3 -I don't know. I can't--but probably almost 4 immediately. And the interaction was intensive and 5 6 continuous. 7 And I'm proud of it because -- but it was -it was essential for the national interest and the 8 9 eyes of people who I had worked for and who held 10 jobs that I revered and which, if I could help them, through them help the United States, I was 11 12 ready to do so. Can you think of a specific-13 -can you recall a specific conversation with either 14 15 the President or Secretary of State or any other 16 people--AMBASSADOR HOLBROOKE: I talked to the 17 18 President on Air Force One on December 14, 1995, on 19 the way back from Paris after we signed the Dayton agreements, in the front cabin of Air Force One 20 21 alone, told him I had to leave. He said, "I 22 understand why you have to leave. I appreciate the FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC.

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1 personal commitments you" -- he said some nice words. 2 about my service and said, "I hope I can continue to call on you." I said, "Of course. The Secretary of State and I have already talked about this." 5

My conversations with Warren Christopher, 6 7 Tom Donilon, and others, I cannot date so 8 precisely. One tends to remember conversations 9 with the President. But the conversations with 10 Christopher and Donilon, Talbott and Kornblum, were 11 continuous, and they were--you know, they were in 12 passing. you're in a car, they say--you know, and by the way, this wasn't a big issue. 13 They just said: "When you leave, we need to make 14 15 you a senior consultant. We need to keep using you because we don't know what's going to happen." 16

17 The point I want to stress is not this 18 thing. This was routine that I would agree to do 19 this. What we didn't anticipate was that, 20 immediately after I left, the shit would hit the 21 fan and all hell would break loose in Sarajevo, and 22 that, therefore, it wasn't sort of checking in

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every few months. It was like, What do we do next? 1 2 And within a few weeks, I'm on the road again on a 3 presidential mission, and a mission which ended up 4 with the number one war criminal in the world 5 voluntarily stepping down and signing a peace of 6 paper after 15 hours of continuous negotiations. Ι 7 was doing this under these documents. 8 What mission was that that 9 you're referring to? 10 AMBASSADOR HOLBROOKE: The July--the 11 mission to Belgrade in July, which was the 12 culmination of a whole series of discussions that 13 took place. 14Let's focus on February 21st to 15 July 15th. What specific taskings or missions were 16 you given by any senior Government officials? 17 AMBASSADOR HOLBROOKE: I can't--18 I'd just interject for one 19 second. The parts of the letter that you read, you 20 read accurately, but I do think that the last line 21 of the letter says, "I congratulate you on your 22 appointment," which to some extent suggests that FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. Washington, D.C. 20002

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b7C Per DOS 24 FOR OFFICIAL USE ONLY 1 obviously these others things --"I congratulate you on your 2 3 appointment and wish you great success "-- you're right, that is the final sentence of the letter. 4 However, again, earlier on in the letter, it 5 6 qualifies that it becomes effective under these 7 conditions. I understand. I just wanted 8 9 to--Yes. 10 The letter as a whole--11 12 Quite frankly--yes, I imagine that if someone submits a financial disclosure 13 report and it's reviewed or adjudicated, if you 14 will, with negative results, then clearly that 15 16 person would probably not be able to serve. So it does have the qualification. · 17 1.8 If I can interject, I don't . think there's any mystery about this. As a 19 20 practical matter, the President of the United 21 States and the Secretary of State asked him to 22 continue continuously after February 21. I don't FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 97 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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question that the letter indicates that the State 1 Department has certain technical requirements to 2 deal with to make that official. But as a factual 3 matter, they asked him just to continue, and he did 4 5 continue. And nobody said to him you can't do anything because there's some paperwork that has to 6 7 be done at the State Department. 8 Right. And that's my question, which brings me to my question now. Between 9 10 February 21st of '96 and July 15th, if you could just kind of cover what specific taskings or 11 12missions were you asked to accomplish by any senior 13 Government officials. 14 AMBASSADOR HOLBROOKE: It's really tough, because you're talking about a period of 15 16 unexpected intensity, and I cannot reconstruct 17 every conversation and every tasking. Sometimes it 18 was advice. We've got a problem with so-and-so; what do you think we should do? Sometimes it was: 19 Could you come to Washington and participate in a 20 21 meeting with the Secretary of State? Sometimes it 22 was: Could you carry a message for us on such-and-FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. Washington, D.C. 20002

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1 such a trip that you're making, anyway? 2 John Kornblum, who was my senior deputy and then replaced me after he was confirmed as 3 Assistant Secretary, and I had an understanding 4 5 that whenever I made a trip overseas, I would tell him about it; and if I was making a trip for my--on 6 7 behalf of CS First Boston, that I would let him know, and sometimes he would say, well, that's very 8 9 useful, let us--could you do so-and-so? 10 On Bosnia, the unexpected crisis that hit 11 immediately after I left pulled us into most 12 intense discussions, discussions that I should add 13 cut so significantly into my time commitment to

14 First Boston that it had an adverse effect on my 15 business career. But that's another issue.

16 But the interaction was extraordinary. 17 You all have done this many times, but I will say I've been--I started in the Government 36 years 18 19 I've seen a variety of senior outside people aqo. 20 do special assignments. I never saw--I don't 21 believe you've had many situations quite like this 22 They--I resigned from the grade of Government one.

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precipitously, from their point of view and from 1 mine, and then they called on me continually. 2 And 3 I was honored to do that because we weren't just talking bureaucratic stuff. We were talking war 4 5 and peace, life and death. There were 20,000 6 American men and women being deployed into a 7 country. There was extreme concern people might get killed. Thank God to this day not one American 8 has been killed or wounded in Bosnia. But that's a 9 10 result of what we were doing, and this was the moment of maximum danger. And so the interaction 11 12 was continuous. Between February and July 15th 13 of '96, what instances can you recall, what 1415 specific instances can you recall where the President or Secretary of State or someone asked 16 17 you to hand-carry a note.or do some type of tasking on another trip that you were taking for another 18 purpose? · ·19 20 Do you want him to do this 21 from memory now rather than--22 From memory or documents or FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. Washington, D.C. 20002

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1	calendars or whatever you have available.
2	I don't want to slow this
3	down.
· 4	Let me just jump in. Are
5	there documents? I mean, given the significance of
6	this, are there documents that you're aware of that
2 7	would memorialize any meetings, conversations,
8	reports, messages? And if you don't have them, can
9	you
10	AMBASSADOR HOLBROOKE: I don't have no
· 11	classified documents.
· 12	I'm not asking for
. 13	classified.
14	AMBASSADOR HOLBROOKE: They would be
15	classified, right? We're talking about highly
. 16	confidential matters.
···17	I don't know whether they'd
18	be classified or not, but
19	AMBASSADOR HOLBROOKE: I take your point.
20	I don't have any documents on this stuff because I
21	don't keep that kind ofI don't keep records of my
22	Government activities.
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1 If you looked at your 2 calendar about meetings you did, refresh your 3 recollection--

AMBASSADOR HOLBROOKE: You have my
calendar. It isn't always 100 percent accurate,
but you have the forward calendar.

Some of the meetings I remember very 7 8 vividly, Some of the trips I remember Others are very hazy. We're talking 9 vividly. 10 about an intense period two and a half years ago. I have two ways I can proceed, depending on your 11 12 preference. I can kind of ruminate, as we did last 13 time I saw you. When I reread the transcript, I saw it was kind of a free association. Some of the 14 things I said were factually -- I had dates mixed up 15 on everything because I didn't know what to prepare 16 for. Or we can work through it specific by 17 18 specific. I'll go whichever way you want. 19 Do you have the calendars that we produced available? Because we could have it 20

faxed from our office right now if that would be useful.

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1	AMBASSADOR HOLBROOKE: How can I help you
2	in this? Do you wanthow can I help?
3	Well, the immediate question
4	is if there are documents other than the calendar,
5	which I guess we can haveif there are documents
6	that would in some way reflect the meetings and the
560- 7	discussions.
. 8	AMBASSADOR HOLBROOKE: I have my schedule.
9	Here is one, for example, that shows that on
. 10	Saturday, April 13th, I met with Secretary
.11	Christopher at 9:30 in the morning. That was a
12	Bosnia meeting in his office, and that evening I
13	had a dinner at, a member of our
14	negotiating team, which the Secretary of State was
15	at. That's just an example.
16	This is, just for the record,
17	RCH 11, Bates number.
18	AMBASSADOR HOLBROOKE: if thatif
19	you don't mind my calling you '
20	I've been called worse.
21	AMBASSADOR HOLBROOKE: Well, tell me what
22	you want. I have definitely been called worse.
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Look, I really--it was extraordinary. 1 It 2 was a continuous interaction because the crisis was 3 so much greater than expected and because--I don't want to self-serving--because they really needed my 4 5 advice. And, secondly, asked about messages. 6 Yes, of course, I carried messages. I called 7 people -- I called Milosevic on the phone at their 8 request. But I can't date those calls. And based 9 on our last conversation and the fact that memory 10 plays tricks, particularly chronological sequencing 11 memory, I may have things out of sequence. But one thing is clear. Sarajevo was set to the torch 12 three weeks after I left the Government, and the 13 entire policy hung by a thread, and we saw it 14coming and we didn't know what to do. 15 And if I 16 could do it all over again, I never would have left 17 on February 21st. I would have stayed at least. 18 another 60 days. I intensely regret that, and 19 everyone knows that. 20 I felt like--and they needed me, and I was 21 honored to continue to help them. I think the 22 highest obligation of a person in a situation like FOR OFFICIAL USE ONLY

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b7C Per DOS 32 FOR OFFICIAL USE ONLY 1 that is to do what is asked of him by his Government. 2 They'd ask me to call members of Congress. They'd ask me to call foreign ministers 3 or Milosevic or Silajdzic, any one of a number of 4 5 people. They'd ask my advice. Sometimes the calls would be two minutes, and sometimes they'd be an 6 7 hour. We produced certain phone 8 9 records. If you'd like, we can try to go back and 10 identify specific calls if that helps. I don't think it makes sense 11 12 to try to do that now. 1.3 No, I don't mean now. Ιf you'd like me to do it, let me know. I'll do it 14 15 and have it for you on Monday. We're just trying to make 16 sure we have the universe of any documentation 17 18 about all these issues. I'm not referring to any new 19 documents because it's a big pain but I could do 20 We'll look through and identify specific phone 21 it. 22 calls if you'd like. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 97 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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Well, certainly anything that --1 2 what I'm interested in is between February 21st and 3 July 15th of 1996, any phone calls or documents or any taskings that Ambassador Holbrooke was given by 4 5 any Government officials. Because, guite frankly, 6 from the people that we interviewed who one would 7 think taskings might come from, no one could think Ś of anything specific that they had asked Ambassador 9 Holbrooke to do during that time frame. So anything that you can provide --10 11 We can provide newspapers 12 clippings, too, and that will show --13 AMBASSADOR HOLBROOKE: I don't understand. I think--I don't understand this about the word 1415 tasking. Surely nobody disputes the fact that we 16 were in continual contact and exchange of ideas and

17 advice and that they sought out my advice 18 continually.

19 . Who would you suggest would 20 be the best people for us to talk to to ask that 21 question? Other than Kornblum, obviously.

AMBASSADOR HOLBROOKE: John Kornblum,

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	b7C Per DOS FOR OFFICIAL USE ONLY 34
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1	Strobe Talbott, Tom Donilon.
2	Warren Christopher?
) з	AMBASSADOR HOLBROOKE: Warren Christopher,
4	if you wish, although usually one didn't deal
5	directly with Chris. He was busy, but did it
6	through Donilon.
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. 8	Any number ofpeople in the field.
. 9	John Kornblum
10	AMBASSADOR HOLBROOKE: Yes, Kornblum's the
. 11	primary guy because he's taken over my job, and I
. 12	believe in the chain of command.
. 13	[Pause.]
14	AMBASSADOR HOLBROOKE: The fact that they
15	can't recall specific taskings is that the word
16	does not in any way change a perception that I'm
. 17	. sure you all share that they kept using me
18	intensively after I left.
19	[Pause.]
20	Again, no one could recall any
21	specific taskings. You mentioned that there were
22	letters or what-not you were asked to deliver. I'm
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b7C Per DOS FOR OFFICIAL USE ONLY 35 1 trying to determine --2 AMBASSADOR HOLBROOKE: It is not so I was 3 asked to deliver letters. 4 Messages. 5 I'm sorry, messages. AMBASSADOR HOLBROOKE: I don't need to 6 7 deliver letters. 8 Messages. Can you recall any 9 specifics during that time period? 10 AMBASSADOR HOLBROOKE: Certainly. When I 11 went to Budapest and Bratislava in April, I 12 specifically discussed with both the Ambassadors 13 and John Kornblum the trip in advance, told them I 14 was going there, and they said that it would be 15 important and useful to continue to push both 16 countries towards signing the state treaty between 17 Hungary and Slovakia governing the treatment of the Hungarian minorities, number one; to stress that 18 19 that was linked to NATO enlargement, which both 20 countries wanted to join NATO; and this was 21 discussed with John Kornblum and with both 22 Ambassadors. And that's the first example that FOR OFFICIAL USE ONLY

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would come to mind, but plenty of others, but that's the one you and I discussed last time, I believe, although I was a little hazy on the details.

And you even said to me that that was what the complaint was based on, if my memory is correct. In any case, that's a very specific example.

9 But there were many others. I mean, this 10 was so continuous, And it wasn't--and I 11 want to stress, you're focusing on my messages and 12 actions on their behalf, but that misconstrues how 13 we interacted. Most of these discussions were 14 advisory: What do you think we should do next?

Sometimes I initiated the call. Sometimes 15 16 Why would I initiate it? Because I was they did. 17 asked for so doing it at the advice of the 18 Secretary of State. Why would they initiate it? 19 Because they wanted to know my views. Did you see 20 today's New York Times? What are we going to do 21 about this story or that story? Or we have an 22 intelligence report in today about problems in

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b7C Per DOS 37 FOR OFFICIAL USE ONLY Sarajevo, what do you think we should do about 1 2 that? What is your understanding of 3 Credit Suisse First Boston's policy on 4 5 reimbursement for entertainment expenses? 6 AMBASSADOR HOLBROOKE: I'm not sure I 7 understand the question. 8 When you --AMBASSADOR HOLBROOKE: I don't know what 9 10 their policies are in a general rule. I have no idea. 11 Well, for you personally then, 1.2 13 in your mind, under what circumstances would you 14 voucher an entertainment expense? 15 AMBASSADOR HOLBROOKE: When I joined First Boston--and its name at the time was CS First 16 Boston. When I joined CS First Boston, my 17 arrangements were negotiated by There 18 19 was a number of very generous, if you'll pardon the They 20 expression, perks that came with the job. would agree to a certain number of trips 21 22 per year--I believe it was four--and they would FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 07 C Street, N.E. Washington, D.C. 20002 2021 SAC CCCC

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b7C Per DOS 38 FOR OFFICIAL USE ONLY support by paying for social events and they were 1 very supportive of this. 2 This wascan 3 comment more on this. was the who had the discussions with the firm about it. But they were 4 5 very supportive and very generous. 6 Again, in your mind, though, 7 what types of things would you voucher or did you 8 feel you could voucher? 9 AMBASSADOR HOLBROOKE: Because I left all 10 the expenses to I never saw an expense 11 account form until those were brought to this meeting. I never actually signed one or saw one. 12 I would just turn over chits to bills, and 13 would fill them out. 14 15 So it was up to what 16 was vouchered, what got on a Credit Suisse First Boston voucher? 17 AMBASSADOR HOLBROOKE: No, no, because I 18 19 had a corporate credit card, and I used that. Your 20 question is what? I'm not sure I understand. 21 My question is: Under what 22 circumstances would you request reimbursement from FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 307 C Stteet, N.E. Washington, D.C. 20002

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b7C Per DOS FOR OFFICIAL USE ONLY 39 Credit Suisse First Boston? 1 2 AMBASSADOR HOLBROOKE: On occasion, if I held a dinner with people, if I was down here on 3 business and I wanted to take out some friends, and 4 5 I was here anyway, I might invite them out to 6 dinner and turn the chits over to and but 7 them on the T&E forms. So it's your understanding--so 8 basically any dinner could be vouchered, or did it 9 10 have to be related to Credit Suisse First Boston 11 business, or what's your understanding? AMBASSADOR HOLBROOKE: I wouldn't voucher 12 a personal dinner at the neighborhood 13 restaurant, if that's what you're trying to --14 So you would not voucher a 15 personal dinner? 16 17 AMBASSADOR HOLBROOKE: No, no, that --Personal dinner 18 19 AMBASSADOR HOLBROOKE: 20 21 Okay. 22. AMBASSADOR HOLBROOKE: I mean, I have--no, FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. J07 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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b7C Per DOS FOR OFFICIAL USE ONLY 40 I wouldn't do that. 1 2 I'm just trying to gain an understanding of what your understanding of the --3 It was a little--it AMBASSADOR HOLBROOKE: 4 5 was a gray area. It was a little vague because--I 6 can't give you an absolutely precise line, but I 7 came down here and invite on a trip--I came down here on a trip, and I'd invite once in a while, not 9 often, I'd invite, oh, friends--some of whom happened to be in the Government, some of them 10 didn't--to dinner, and I was here anyway, and I put 11 12 it on the First Boston corporate card and pass it and that was the last I 13 through to--give it to 14 ever saw of it. They approved it. It was 15 absolutely -- I would defer, however, to 1.6 on the generic because was the one who 17 negotiated the deal. can give youcan add 18 if ishes, but it's very--it's... I think what's important is 19 your understanding of it at the time. 20 21 AMBASSADOR HOLBROOKE: At the time? 22 I'm not trying to be difficult. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. j07 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

b7C Per DOS FOR OFFICIAL USE ONLY 41 1 Sure. 2 AMBASSADOR HOLBROOKE: I'm just trying to 3 understand what the question's about. No business was ever discussed at these issues if that's what 4 5 you're talking about. 6 The reason for the question --7 AMBASSADOR HOLBROOKE: Can I get some more 8 water? 9 You had to make a call before 10 10:00. Do you want to do that now while we get 11 water? 12 We'll break. 13 [Recess.] 14 AMBASSADOR HOLBROOKE: Two points I wanted 15 to raise. One is, there's one thing you said which 16 flabbergasts me, and I believe it's--I don't know 17 who said what to you, but you keep talking about 18 July 15th as a significant date. Before July 15th, 19 the Secretary of State, the President, the National 20 Security Adviser been discussing with me for a 21 considerable period of time an emergency trip to 22 Belgrade to deal with the Karadzic crisis, fully FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 507 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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documented in the newspapers at the time. And that 1 is in addition to these lesser issues I talked 2 3 about earlier about the Hungarian-Slovak state 4 treaty and other things that I suspect you're going 5 to want to cover. 6 That trip didn't come out of nowhere. Ι 7 can't tell you the exact date I left, but I think 8 it was before the 15th of July or on the 15th. 9 has your calendar. 10 I'm just going through it, Richard, and jotting down certain things as I go. 11 AMBASSADOR HOLBROOKE: You might go to 12 13 July. Go to July. 14 Again, the reason we weren't concerned with anything on July 15th or after was 15 because of the signed oath of office on that date. 16 17 AMBASSADOR HOLBROOKE: This didn't take 18 place -- this was not --The Ambassador's point is 19 20 that trip didn't start--or, you know--this is 21 You've got Donilon, you've got Strobe. March. 22 These things are going on all through. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC.

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b7C Per DOS FOR OFFICIAL USE ONLY AMBASSADOR HOLBROOKE: Here, for example, March 6th, meeting with Tom Donilon; March 7th, 5:30 in the afternoon, call Strobe Talbott. You know, it's very unusual to schedule a phone call. You normally just call. These things were continuous. And this July schedule is not correct. You have to check the newspaper accounts. Actually, do you have -- may I check the copy of the book? Sure. [Provides copy of . book.] [Pause.] AMBASSADOR HOLBROOKE: See, I wrote the President in early June. He had requested me to send his views from time to time. I wrote the President, copies to Christopher, and Talbott in early June about the crisis. On the evening of Friday, July 12th, the administration, facing growing international criticism, asked if I would return to the region immediately on a special mission. With the FOR OFFICIAL USE ONLY

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understanding and support of my new colleagues at
 CSFB, I left three days later after a day in
 Washington.

Right, and you swore in on July

6 AMBASSADOR HOLBROOKE: That is--that's 7 either coincidental or some kind of backfilling paperwork. The fact is that the lead-up to that 8 9 July 12th phone call--you don't just get a call out of the blue. That call, as you all know--you're 10 11 experienced Government officials -- is a major 12 presidential mission, is the culmination of weeks 13 of discussions internally. And so at the last 14 minute, maybe some bureaucrat says, wait a second, 15 this guy filed his papers a long time ago, and now 16 suddenly--and this is the way this building works; 17 it isn't the world's more efficient. It isn't 18 called the Fudge Factory for nothing. They say, 19 Holy shit, this guy is going out to Andrews and 20 getting on a U.S. Air Force jet -- I'm making this 21 up, right? I don't have any memory of this, 22 I'm trying to illustrate something all of us in

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this room know. They say, shit, we better give him 1 2 an oath. 3 I have no memory of that paper--Let me ask you --4 5 AMBASSADOR HOLBROOKE: It was a non-event-6 I don't mean to be emotional, but it was -please. 7 a non-event, on a day when we were facing an 8 international crisis, when Bob Dole was putting resolutions in, when we had a war criminal on the 9 10 loose threatening the lives of American and NATO 11 soldiers :- And for you to suggest that I have no 12 right to do this --13 I am not suggesting --14 AMBASSADOR HOLBROOKE: Well, of course. 15 You're saying to me that people say to me that they. 16 didn't--that I had no right to talk to people until 17 I took that oath 18 is just asking questions. 19 20 We are gatherers of fact. I am 21 not suggesting that anyone had or had not the right 22 to do what you were doing as far as that goes. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 07 C Street, N.E. Washington, D.C. 20002

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1	AMBASSADOR HOLBROOKE: The Secretary of
2	State asked me to come to his office, for example,
3	on several occasions that are specified, and many
4	others that are not recorded, and I stress again,
5	because Warren Christopher was a methodical man who
6	worked through staff, most of the interaction was
7	through his senior advisers.
. 8	Sure.
9	AMBASSADOR HOLBROOKE: And that's
10	appropriate.
. 11	So, in your mindand I don't
12	want to put words in your mouth. I'll just phrase
13	this and you correct it as needed. From what I'm
14	hearing, in your mind there was a seamless
15	transition from Assistant Secretary for European
16	Affairs to special Government employee?
17	AMBASSADOR HOLBROOKE: That is correct.
18	: I'm just curious
19	AMBASSADOR HOLBROOKE: But I would like to
20	edit out three words: "in my mind." Just say
21	there was a seamless transition.
22	Okay. Then let me ask you
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1	this
2	AMBASSADOR HOLBROOKE: It's interesting
. 3	you use the word seamless, because that's the word
4	that Kornblum and I always used to describe our
5	relationship, the way we handed off. We were very
6	proud of the transition.
7	In your book, "To End a War,"
8	it's writtenwell, it's written, "February 20th"
9	this is a caption above one of the photographs on
. 10	the sixth page of photographs, the caption reads:
11	"February 20, 1996, reporting to the principals
12	committee in the White House Situation Room one day
. 13	after the Rome compliance summit and one day before
14	I left the Government."
. 15	AMBASSADOR HOLBROOKE: Mm-hmm. Can I see
1.6	the picture?
17	Sure.
18	AMBASSADOR HOLBROOKE: Yeah, absolutely.
19	Well, it doesn't say that. It
20	says one day
21	AMBASSADOR HOLBROOKE: First of all, let
22	me just start by stating that that's a photo
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b7C Per DOS 48 FOR OFFICIAL USE ONLY I don't write the photo captions. caption. 1 2 Secondly, photo captions are compressed. Elsewhere 3 in the book, I believe -- my memory's not exact, but 4 elsewhere in the book I refer to the special--to 5 the continuing responsibility. So I don't see what 6 that has to do with ... 7 Okay. AMBASSADOR HOLBROOKE: - You were talking 8 9 about the expense issue. 10 The expense--okay. Credit 11 Suisse--CS First Boston Corporation policies and 12 procedures for expenses states that for entertainment, it is CS First Boston Corporation's 13 14 policy to reimburse employees for expenses incurred 15 in entertaining persons other than employees for 16 reasons connected to the firm's business. 17 AMBASSADOR HOLBROOKE: Mm-hmm. 18 And then it goes into the 19 procedure. 20 AMBASSADOR HOLBROOKE: I'm not familiar 21 with that document. But what's the question? 22 The question is: Are all the FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 07 C Street, N E

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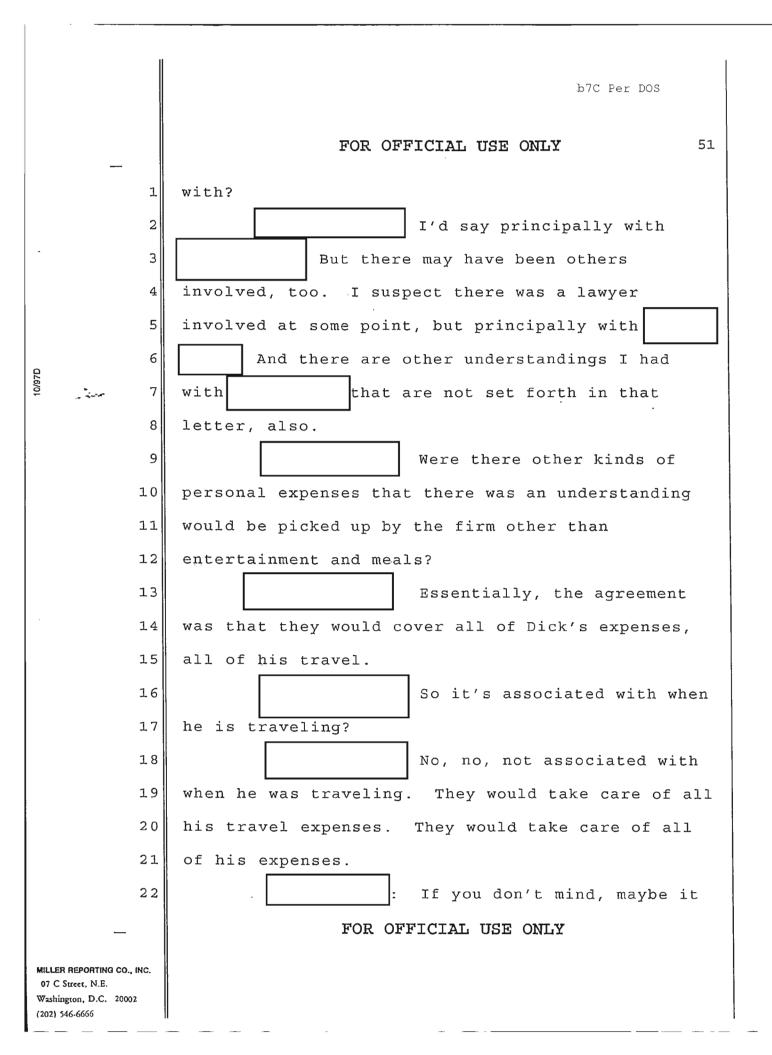
b7C Per DOS 49 FOR OFFICIAL USE ONLY 1 expenses that you vouchered for entertainment 2 related or connected to the firm's business? 3 AMBASSADOR HOLBROOKE: No. 4 Okay. 5 AMBASSADOR HOLBROOKE: And I've never seen 6 that document you're reading, and I was not -- this 7 is a document that governs 6,000 people in New 8 York, or whatever. It didn't apply to me. 9 The policy doesn't apply if you 10 haven't seen it? 11 AMBASSADOR HOLBROOKE: No, I didn't say 12 What I said was that negotiated that. 13 an arrangement with them for a Vice Chairman which 14involved their supporting purely social events. 15 Do you have the document that 16 states that? 17 The document itself does not 18 state that. The document doesn't state several 19 things for --20 But there's a contract. 21 --obvious reasons. But the 22 document does state some of the things which are FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. j07 C Succe, N.E. Washington, D.C. 20002 (202) 546-6666

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50 quite unusual. I don't know for sure, but I doubt 1 2 there's many people that were permitted to travel 3 with their spouses at CS First Boston's expense. 4 But the clear understanding of the discussion that 5 I had when I negotiated Dick's contract is that 6 they would cover all of his travel and business 7 expenses and entertainment expenses and sometimes 8 social expenses. 9 Okay. Another --10 There's no limitation 11 whatsoever. That was one of the perks of the job, 12 if you will. That was one of the things that they 13 were using to attract Dick to CS First Boston. 14 AMBASSADOR HOLBROOKE: Another example is 15 travel. They would allow me to travel first class 16 when they wouldn't allow most people to travel 17 first class. They were--those were the perks. 18. This was an oral 19 understanding that you had --20 When I negotiated Dick's 21 contract with CS First Boston. 22 And who did you negotiate that FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 17 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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1	would make more sensewe could have this
2	conversation at another time, and we could focus on
[,] 3	what your understanding was at that time.
4	Sure.
5	But let me just ask you the
6	same question so we have a record here. Your
7	understanding of the sort of special perks that
8	came along with this job, you said included
9	bringing your wife on a certain number of trips,
10	fly first class
11	: And that I actually put in
12	the agreement.
13	Okay. Were thesewas the
14	category of perks that you were entitled to limited
15	to things that you incurred while traveling for
16	First Boston?
17	AMBASSADOR HOLBROOKE: No. No, that was
18	not my understanding.
19	But it was your
20	understanding
21	AMBASSADOR HOLBROOKE: There was another
22	point, by the way which did not
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? .

b7C Per DOS FOR OFFICIAL USE ONLY 53 1 mention that I know came up, and that was we 2 informed them that I would also be writing a book, 3 if possible, and if I were to write a book--you discussed that. And they said they absolutely 4 5 understood that, and they would make allowances for 6 that, too. And that was very important because 7 when I finally got around to the book, it took a 8 lot of time. 9 You had said earlier that if 10 to dinner on Friday night--11 AMBASSADOR HOLBROOKE: To the 12 neighborhood, yeah--13 Right, a neighborhood restaurant. First of all, CSFB is not going to 14 15 pick that up. 16 AMBASSADOR HOLBROOKE: Right. And in your mind that wasn't 17 18 part of the perk package. 19 Now, wait a second. He 20 gets - -21 Well, I'm not sure what 22 wording was mine. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 07 C Succt, N.E. Washington, D.C. 20002 (202) 546-6666

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b7C Per DOS FOR OFFICIAL USE ONLY 54 I understand that. I just 1 wanted to make it clear that they probably would 2 3 have picked that up. AMBASSADOR HOLBROOKE: I wish I had known 4 5 that at the time. 6 They probably would. I know 7 you want to know what's in his mind. 8 AMBASSADOR HOLBROOKE: I know this sounds-9 -they were generous, and they wanted me to work for 10 them. 11 I've seen the contract. I 12 know they were generous. Or maybe you were 13 underpaid. AMBASSADOR HOLBROOKE: If you're referring 14 to -- if you're referring to the size of the 15 16 compensation, I'd like to make a statement for the record. 17 18 No, I don't think--you're welcome to make a statement. 19 20 got a question. Go ahead. 21 If you have 22 something you want to say about the size of the FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 17 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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1 compensation, I think that's reflected in the 2 documents. That's not our focus here. That is 3 what it is, and a lot of people get well 4 compensated to work for a Wall Street firm, so I 5 don't think there's anything wrong with that. 6 But I think it is significant to us to 7 understand what category of expenditures you 8 regarded as legitimate to seek reimbursement for 9 and what categories you didn't view as legitimate. And--10 11 AMBASSADOR HOLBROOKE: May I just ask why? 12 I will, of course, answer any question you put to 13 me, but I'm just curious as to why it's relevant to 14 my confirmation or to this inquiry. There's no business connection -- there was no business 15 16 connection. I never ever discussed a business 17 matter with a Government official in this city. 18 Never. 19 Well, putting aside why it may be relevant to someone -- and it may be people 20 21 that aren't even in this room, but it is an area--22 it is a matter of concern that we'd like to at FOR OFFICIAL USE ONLY

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b7C Per DOS 56 FOR OFFICIAL USE ONLY least be clear on, and if you can't be clear on it, 1 2 fine; if you can, I'd be happy to hear what you 3 have to say on it. AMBASSADOR HOLBROOKE: I want to -- what is 4 5 the question? 6 Well, in your mind, what is the line between what you would be able to be 7 8 reimbursed for by CSFB and what you would not be 9 reimbursed for in terms of business/personal? What category of expenses --10 11 AMBASSADOR HOLBROOKE: You know it when 12 you see it, Okay. You didn't have a 13 principle that you would apply? 14AMBASSADOR HOLBROOKE: I didn't have a 15-15 16 point set of parameters that I tested each expense 17 The firm had indicated clearly that as one of on. 18 the perks of the job and their desire to have me join them -- this is through -they would pick up 19 20 purely social expenses. 21 Okay. Would that include 22 things that you did by yourself or --FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 507 C Street, N.E. Washington, D.C. 20002

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	b7C Per DOS
	FOR OFFICIAL USE ONLY 57
1	AMBASSADOR HOLBROOKE: What do you mean?
2	Well,
3	
4	AMBASSADOR HOLBROOKE: No, I wouldn't
5	expense that. As said, they might have paid
6	for it, but I wouldn't have done that. I didn't
7	ask them.
8	In your mind, what was the
9	distinction between that sort of expense
. 10	and the kind of
· · 11	expenses that, you know, when you went to
12	Washington and you would entertain somebody at a
13	restaurant or on a business trip?
14	AMBASSADOR HOLBROOKE: I think the
15	distinction is self-evident. I'm a little
16	confused.
17	I'm trying to
18	AMBASSADOR HOLBROOKE: What's the
19	difference between
20	and coming to Washington and expensing a dinner
21	with old friends while I'm here and putting it on
22	part of the First Boston expense accounts for the
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b7C Per DOS 58 FOR OFFICIAL USE ONLY I think the difference is self-evident. 1 trip? Well, indulge me in terms of 2 3 what the self-evident distinction is. Dr even having a social 4 event in New York City. 5 AMBASSADOR HOLBROOKE: Or in New York 6 0/97D I might be very dense. It just seems to me 7 also. 8 that it's very clear: 9 Well, if you had a party at 10 your house, say a birthday party for yourself, and you invited friends that come to the house, is that . 11. 12 the kind of event that you would seek reimbursement 13 for from Credit Suisse? 14 AMBASSADOR HOLBROOKE: I might. 15 Okay. Under what 16 circumstances? 17 AMBASSADOR HOLBROOKE: If I thought it was appropriate or justified. 18 19 What would make it 20 appropriate? 21 AMBASSADOR HOLBROOKE: I can't say. Ιt 22 just would depend on the circumstances. It's a FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. J07 C Street, N.E. Washington, D.C. 20002 (202) 146-6666

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b7C Per DOS 59 FOR OFFICIAL USE ONLY I don't understand 1 hypothetical question, 2 it. A birthday party could be expensed. I'm sure 3 many people expense birthday parties. Because they have some firm 4 connection? 5 AMBASSADOR HOLBROOKE: I don't know. I'm-6 7 -this is a hypothetical question. I don't 8 understand it. 9 Well, we can get to the 10 specifics --AMBASSADOR HOLBROOKE: No, I really--since 11 12 you're quite interested in this issue, I want to 13 help you because I really want to move this thing 14 along. So I'd like to clear it up. 15 Well, I'm trying to 16 understand what--the fact that you voucher 17 something, in your mind did that mean it's a 18 business expense? . 19 AMBASSADOR HOLBROOKE: If I voucher it, it 20 means the firm is paying for it. 21 Obviously. AMBASSADOR HOLBROOKE: Yeah, that's all it 22 FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 507 C Street, N.E. Washington, D.C. 20002

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b7C Per DOS FOR OFFICIAL USE ONLY 60 1 means. 2 And the fact that --3 AMBASSADOR HOLBROOKE: Does it mean it's a business expense? No. It means the firm is paying 4 5 for it. It means what it is. That's all it means. 6 It's not a business event. The business is paying 7 for it. It's not a business event. It's not--no 8 business is being conducted. You can't find anyone 9 who can ever tell you that I discussed business 10 with a Government official on these issues you're. 11 . talking about. But the firm paid for it. 12 So that leads to the question: 13 What non-business expenses would you voucher or 14 would the firm pay for? 15 AMBASSADOR HOLBROOKE: I thought we covered that already. 16 We did, but we didn't make the 17 18 distinction between a personal expense 19 versus a personal expense 20 of having dinner with one's friends. We're trying 21 to understand the line of distinction, what 22 distinguishes what personal event in your mind the FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 07 C Street, N.E. Washington, D.C. 20002

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b7C Per DOS 61 FOR OFFICIAL USE ONLY 1 firm would pay for versus a personal event that 2 they would not pay for? 3 AMBASSADOR HOLBROOKE: It's a case-by-case There's so many different variables here. 4 issue. 5 But if I 6 7 was in Washington 8 and I chose to business expense that, I 9 would choose to -- if I chose to do so -- and I'm not 10 saying I did or didn't because I have no memory on 11 it--and I chose to expense it, I might do it. 1'2 If you take out a friend and choose to 13 expense it and never discuss business, that's between me and my firm. But no business is 14 15 discussed. I'm making--I'm trying to establish what I assume is a valid distinction between an 16 · 17 expense that is paid by the business, by the firm, 18 and an expense that is related to advancing the 19 business interests of the firm. It seems to me a 20 very clear distinction. 21 I don't understand, I think, 22 why some expenses which you say had nothing to do FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. ,07 C Street, N.E. Washington, D.C. 20002

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with the business of the firm were nonetheless 1 2 submitted by you to the firm for reimbursement. AMBASSADOR HOLBROOKE: 3 Because that was 4 the understanding that had reached with the firm beforehand as part of the perks of the 5 6 job. They wanted me to join the firm, and other 7 people did, too, and this was part of the 8 discussion. 9 Was it your understanding 10 that this was a common practice among the senior . people within CSFB? 11 AMBASSADOR HOLBROOKE: I have no idea. 12 13 Did you have any conversations with anybody at CSFB in terms of how 14 15 to interpret the outer boundaries of this perk--AMBASSADOR HOLBROOKE: I can't--16 17 --or any other discussions? AMBASSADOR HOLBROOKE: I can't recall. 18 19 Did you ever talk to 20 about it of whether any particular expenses could be reimbursed? 21 22 AMBASSADOR HOLBROOKE: I have no memory of FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 07 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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it because it was understood, 1 This may sound odd to people who work in 2 the Government. It's not to people who work on 3 Wall Street. I've spent half my life in each, and 4 5 I'm quite aware of the difference of attitudes. 6 I hope I'm being responsive because I recognize that you're concerned about this, and you 7 8 recognize that I don't believe there is a reason 9 for the concern. So, please, don't let me off the 10 hook until you're satisfied because I want you to 11 be satisfied. 12 By the way, I just would point out the obvious: that these expense forms, even though I 13 14 never saw them, are approved formally by the firm 15 case by case, and so they have the option. 16 Did you ever have any 17 conversations with anybody about the approval of ÷. any forms? 18 19 AMBASSADOR HOLBROOKE: Not that I can 20 recall. 21 The approval would be based 22 on what's reflect on the form and what's attached FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. "07 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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	b7C Per DOS
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1	to the form, as far as you know?
2	AMBASSADOR HOLBROOKE: But I never saw
) 3	these forms. The first time I ever saw this form
4	was in preparing for these meetings. I've never
5	seen one, my signaturethat's not my signature on
e 6	this form.
70/01 70	Whose signature is it?
8	· AMBASSADOR HOLBROOKE:
9	
11	AMBASSADOR HOLBROOKE: Yeah.
12	
13	
14	
15	
16	
17	
18	
. 19	And then it's approved
20	routinely.
21	And you've never signed any
22	Credit Suisse First Boston voucher?
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b7C Per DOS FOR OFFICIAL USE ONLY 65 1 AMBASSADOR HOLBROOKE: Excuse me? 2 You've never signed any Credit 3 Suisse First Boston voucher? AMBASSADOR HOLBROOKE: You mean those 4 5 forms in front of you? Those--6 These are the type of forms, 7 Credit Suisse First Boston Travel and Entertainment 8 Vouchers. You've never signed any? 9 AMBASSADOR HOLBROOKE: I have no memory of 10 signing any. That doesn't mean I didn't sign any. 11 To my knowledge, I never saw those forms until 12 preparing for this. But, you know, it's been a 13 very busy two and a half years, and it's possible I 14actually signed one myself. But the difference 15 between that signature you have in front of you and 16 my actual signature are quite marked. 17 Right. 18 AMBASSADOR HOLBROOKE: 19 20 I noticed the difference. 21 22 know what to place in the purpose block FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 107 C Succet, N.E. Washington, D.C. 20002

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b7C Per DOS 66 FOR OFFICIAL USE ONLY on the voucher? 1 2 AMBASSADOR HOLBROOKE: I don't know 3 never discussed it with me. kind of wrote in whatever was--I think 4 was 5 probably guessing most of the time. Since I never saw these blocks, I can't answer that question. 6 7 [Pause.] 8 Let's go to--do you recall a 9 dinner at Nora's Restaurant on April 14, 1996? 10 AMBASSADOR HOLBROOKE: Vaguely. 11 What was the purpose of the dinner? 12 13 AMBASSADOR HOLBROOKE: To gather some old friends, cherished friends, some of whom were in 14 15 the Government, some of whom were not. 16 Was that a personal dinner? 17 AMBASSADOR HOLBROOKE: .. It was a social 1.8 dinner. 19 Social dinner? AMBASSADOR HOLBROOKE: 20 Mm-hmm. No 21 business was discussed. 22 What was the purpose for Credit FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. '07 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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1	Suisse First Boston paying for the dinner?
2	AMBASSADOR HOLBROOKE: I believe I already
;	answered that.
4	The problem I'm hp1/736gawith the
5	explanation on when and why things were vouchered
6.	is Credit Suisse First Boston officials basically
7	said that all the expenses were to be related to CS [.]
8	First Boston business. And that's why I'm having
9	this problem with
10	: I guess he got away with
· 11	some things with CS First Boston.
12	AMBASSADOR HOLBROOKE: I'm sorry. I'm
13	still having trouble here. That was a social
· 14	dinner and no business was discussed. I did not
15	know until you inquiredyou started inquiring
16	about the dinner thatwho had paid for it, because
17	that particular restaurant, which I know very well,
18	does not take American Express, and my corporate
. 19	card is an American Express card. And, therefore,
20	theyI believe they sent a bill. But that's a
21	technicality. No business was discussed.
22	What was your job at Credit
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b7C Per DOS FOR OFFICIAL USE ONLY 68 Suisse First Boston during this period of time? 1 2 What were you trying to do for them? 3 AMBASSADOR HOLBROOKE: I was Vice Chairman 4 and the Managing Director. 5 And what were your responsibilities, your duties? 6 7 AMBASSADOR HOLBROOKE: The normal and the 8 highly varied range of things that an investment 9 banker in corporate finance does. 10 Okay. What are those? 11. · • AMBASSADOR HOLBROOKE: I really--how much time do you want? I'm not a -- I do everything that 12 13 you can in the client area. 14 Categorize for me the major 15 things that you were doing in that job during this 16 time frame. 17 AMBASSADOR HOLBROOKE: Client acquisition, . 18 domestic. 19 Client acquisition for what sorts of work? 20 21 AMBASSADOR HOLBROOKE: There's a target 22 company. They ask you to try to develop a FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 197 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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relationship with them. And you go out and try to 1 2 do that. Or they have an existing client, and they 3 want you to meet with the Chairman and just 4 increase the coverage, as they call it. 5 Part of what you were doing 6 was trying to develop relationships with potential 7 clients or future clients? 8 AMBASSADOR HOLBROOKE: Or existing--or 9 strengthen with existing clients. A great deal of 10 my work would be somebody would come by and say. 11 we've got a client who's heard you're now in the 12 firm and would like to meet you or we'd like you to 13 meet him. Did you get involved with 1415 specific transactions? 16 AMBASSADOR HOLBROOKE: Yes. 17 What would your role be on 18 specific transactions? 19 AMBASSADOR HOLBROOKE: It depended on the transaction. It might be -- I might start it and 20 21 carry it to fruition, or I might come in along the 22 way to give strategic advice, or I might start it FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. Washington, D.C. 20002

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and hand it off to other people.

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I was continually inhibited here by the amount of time I was spending in the Government. I was going to just remind Dick, because you did ask in that period of time. My sense is, with all due respect, you were not doing very much work.

AMBASSADOR HOLBROOKE: Well, I way--I think another period of time would be more reflective of--

11 AMBASSADOR HOLBROOKE: I mean, the big 12 problem here, was that the Government activities cut so heavily into my ability to work 13 14 that their dissatisfaction with me was clear. Ι 15 was severely disadvantaged at the firm by my Government activities. This is not responsive to 16 your question, which is what I did, but it's 17 18 relevant because when you ask about carrying a deal 19 through, I often cancelled important meetings with 20 CEOs, one, for example, last month, a hugely 21 important CEO whom no one else in the investment 22 banking community has any access to in any of the FOR OFFICIAL USE ONLY

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other firms. And I have this big meeting set up, 1 2 and I had to cancel it because I was in Kosovo. 3 I know that's outside the area of your 4 inquiry, but since it's recent, I use it 5 illustratively. That happened all the time. 6 That's why so much of my schedule never happened. 7 It will say business meeting. It never happened. 8 This hurt me in the firm in many ways. 9 They were annoyed at the amount of time I spent on 10 this stuff. They were annoyed that I would--that I 11 always put the Government first. Always. Even 12 though and I had both told them that if it 13 happened we would do that, they didn't expect it to 14 take up this much time, nor, frankly, did I. 15 It hurt me because it reduced my learning 16 curve. I had spent 12 years on Wall Street in the '80s at Lehman Brothers, so I knew something about 17 18 banking. But the banking industry evolves and 19 changes, and I never got my learning curve up. Ι didn't learn enough about the new products. 20 21 It hurt me because it annoyed some of my 22 colleagues. And it actually led to some -- you know, FOR OFFICIAL USE ONLY

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to some specific complaints. And then, so that's how it happened.

3 But I think everybody understands that 4 investment bankers are like general practitioners. 5 They're not focused, narrow specialists on a 6 specific derivative product or a mortgage bank 7 guarantee or an interest rate swap. They do the 8 broad--it could be M&A one day. It could be a 9 divestiture the next. It could be an IPO the 10 third. And you go where the flow is.  $\cdot 11$ I have a number of clients, and I service 12 them. 13 Did you focus on international opportunities that would sort of fit 14 15 with your experience? 16 AMBASSADOR HOLBROOKE: It was both. Ιt 17 was both. 18 Fifty/fifty domestic/foreign 19 or--20 I honestly can't AMBASSADOR HOLBROOKE: 21 say. I just don't know. It's almost impossible to 22 tell because sometimes the client is an American FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC.

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b7C Per DOS FOR OFFICIAL USE ONLY 73 client, but he wants to talk about international. 1 2 I flew out to Chicago one day to see the an important client of the firm, but we 3 talked about international affairs. So what do you 4 5 call that? I mean, the line is very vague. And it gets vaguer as American business 6 7 It's Daimler-Benz-Chrysler. goes global. 8 Are you still doing the same 9 work today? 10 AMBASSADOR HOLBROOKE: In theory I am, but 11 I'm spending much more time on Kosovo plus 12 preparing for confirmation, another source of intense annoyance to my firm. I've been--for 13. example, in the last week, I've been able to do--14 this is Friday. This week I've been able to do 15 16 exactly two client-related events all week long. ·17 That is not making them happy. 18 But they support it. Last month--earlier this month, 400 Albanian Americans came down and 19 blockaded our offices and the 19th Precinct of New 20 21 York blockaded them. Do you know how my firm 22 feels? FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. '07 C Street, N.E. Washington, D.C. 20002

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	b7C Per DOS
	FOR OFFICIAL USE ONLY 74
1	They were very happy about
2	that.
<i>.</i> 3	AMBASSADOR HOLBROOKE: Do you know how
4	they feel when they can't get into their offices
5	because one of their people who they've hired as a
6	Vice Chairman isI don't have a police guard, but
<b>Q</b> 6/9 7	I probably ought to at this point. People carrying
. 8	signs around the street saying Holbrooke and
9	are mass murderers. These are the people
10	I've just been helping to save. That's my current
11	situation,
12	It's notit's not fun.
13	Is your current
14	AMBASSADOR HOLBROOKE: But the firm is
15	supporting me. But it's not fun.
16	: Is your current compensation
. 17	package and sort of understanding with them the
18	same as it was when you started?
19	AMBASSADOR HOLBROOKE: It was a three-year
20	contract, and the three years are still running.
21	They run out on February 21st of22nd of next.
22	year.
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b7C Per DOS 75 FOR OFFICIAL USE ONLY Who do you recall being at the 1 2 dinner? 3 AMBASSADOR HOLBROOKE: My memory is 4 extremely vague on that. Extremely vague. The 5 vaguest recollection, may have been 6 there, that Strobe Talbott might have been there, that 7 were there, and I'm and not sure if Tom Donilon was there, Sandy Berger. 8 9 I just--I kind of gave a list and told these are friends of mine and see if they're 10 available to have a nice relaxed dinner. 11 Were these all people who had 12 13 worked on Dayton with you? AMBASSADOR HOLBROOKE: No. Some had, some 14 15 hadn't. I did other things besides Dayton. Was this kind of a dinner to 16 17 get people together who had -- as kind of a thank-you for having worked together in the past and now 18 you're leaving Government and just taking the time 19 to have a dinner with friends who had worked with 20 you in the past? 21 22 That's too specific AMBASSADOR HOLBROOKE: FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 107 C Street, N.E. Washington, D.C. 20002

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b7C Per DOS FOR OFFICIAL USE ONLY 76 because some of the people at the dinner had not 1 2 been in the Government, in the recent--everyone at 3 the dinner had had a -- had at one time or another worked for the Government. But some of those 4 5 people hadn't worked for it for a long time, and 6 we're just good friends. 7 Were any of them clients of 8 CSFB? 9 AMBASSADOR HOLBROOKE: Yes. One of them, 10 was 11 Was one of your personal clients, somebody that you worked with? 12 13 AMBASSADOR HOLBROOKE: and I 14 have been friends since 1969. 15 16 17 18 We've been friends now 19 for 29 years. is also an important client of 20 the firm, and was, of course, prior to my joining 21 the firm. 22 Sorry. Just kick me if I'm FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC.

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b7C Per DOS FOR OFFICIAL USE ONLY 77 interrupting. 1 2 No, not at all. 3 This is his interview. 4 When we came up to --5 M&M's? 6 AMBASSADOR HOLBROOKE: Keep those away 7 Come on, that's really -from me. 8 They're for me. • 9 AMBASSADOR HOLBROOKE: No, but just keep .10 them out of my reach. That's an unfriendly act. 11 [Laughter.] On one of our trips to Credit 12 13 Suisse First Boston in New York, we did have 14 opportunity to speak with 15 and also to review a number of travel and 16 entertainment vouchers, and there were some 17 vouchers identified as having your signature on 18 them. AMBASSADOR HOLBROOKE: T&E vouchers? 19 . 20 Not any of the ones Yes. 21 specifically that we'll be talking of, but on 22 other--it's the same form. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 507 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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AMBASSADOR HOLBROOKE: What you're saying 1 is that although I think I've never seen these 2 forms before, in fact, they passed through my hands 3 4 and I initialed them. And I--or signed them. If you so state, I so accept. But I would like to 5 6 say--We're stating that it was 7 identified to us as being your signature. 1 - 1 - - -8 9 AMBASSADOR HOLBROOKE: Fine. I mean, you can show them to me, but I have no memory of them. 10 11 Okay. AMBASSADOR HOLBROOKE: 12But a person who processes an enormous amount of paper can forget 13 14 something rather rapidly. 15 - I am astonished. You know, going through I'm astonished at how 16 this process with you many things I don't remember, because I thought I 17 had a good memory. But I said things to you in the 18 last interview based on my memory which I misstated 19 20 and things that, you know--it just happens. Well, I hope you'll--we'll 21 22 have a chance to get to that. I hope that you'll FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. Washington, D.C. 20002

b7C Per DOS 79 FOR OFFICIAL USE ONLY on the record today correct any misstatements that 1 2 you noticed in the original transcript. 3 AMBASSADOR HOLBROOKE: Sure. We'll give you full 4 opportunity to do that. We don't want to do that 5 6 right now. 7 During the Nora's dinner and on 8 your travel and entertainment voucher, which was 9 done on your behalf --10 AMBASSADOR HOLBROOKE: I'm sorry. This 11 was Nora's, 12 Nora's. April 14th on the 13 voucher, with your name and which Credit Suisse reimbursed you for, \$2,765. It lists--and I'll go 14 over the names of the people who are on the guest 15 16 list as reflected on the voucher: 17 18 19 AMBASSADOR HOLBROOKE: 20 I'm sorry, 21 22 FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 507 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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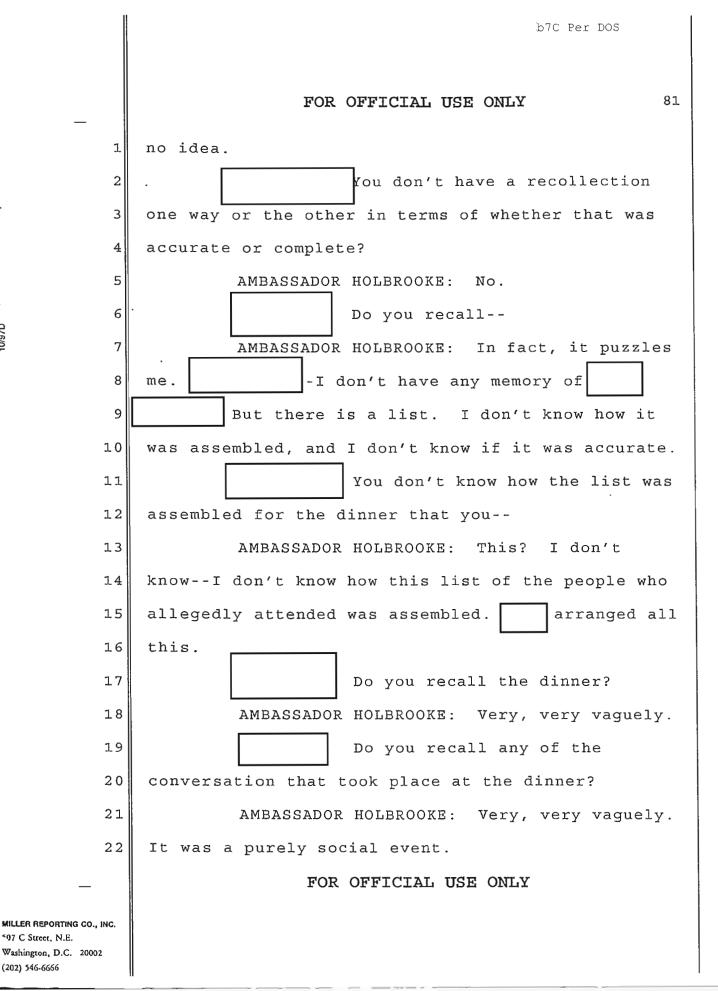
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2 3 4 AMBASSADOR HOLBROOKE: So I misstated. 5 Ι 6 mentioned Strobe, but he appears not to be on this 7 list. Well, what I found, at least 8 from the interviews of the people on this and some 9 of the other dinners, is that these lists are -- if 10 what the people told me and their recollections are 11 correct, then the vouchers, the guest lists, are 12 not always accurate, whereas someone may have been 13 there that's not listed or someone may be listed 14 15 who wasn't there, again, according to what they told us. 16 AMBASSADOR HOLBROOKE: That's very likely. 17 Just so we're clear, is it your 18 recollection that Strobe Talbott was at this event? 19 AMBASSADOR HOLBROOKE: I have no--I have 20 21 no--you were asking me to guess who was there, and 22 I guessed him, but I guess he wasn't there. I have FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC.

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	1	What makes you so sure that
	2	it was purely social if you don't remember it?
5	3	AMBASSADOR HOLBROOKE: Because I never
	4	discuss business with any people in the U.S.
	5	Government, and because the only person on here who
	6	was a businessman at the time, and still is,
10/97D	7	I would never discuss business
	8	with him at a social event. It would be totally
	9	improper, and a 29-year friend, as I said
	10	earlier. would never forgive me. It would be
-	11	inappropriate, and it would beand it would not be
	12	something that we wouldyou're welcome to ask
	13	Well, let me ask you the
	14	question, then. Did you ask anyone at this dinner
	15	to take any actions which would have benefited
	16	yourself or Credit Suisse First Boston?
	17	AMBASSADOR HOLBROOKE: No.
	18	And you can beyou're certain
	19	of that.
-	20	AMBASSADOR HOLBROOKE: My memory of the
	21	dinner is vague. I'm certain that I don't do that.
	22	And just so we're clear,
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1 when you talk about action here, break it out in 2 terms of the people that were working for the 3 Government at the time of the event. Was there any official action that you either asked for from 4 5 those people or that you discussed the possibility 6 of having executed on behalf of Credit Suisse on 7 behalf of any personal interest that you have? Can 8 we get the "no"? 9 AMBASSADOR HOLBROOKE: No. 10 Was anyone who was at the ... 11 dinner--had anyone at the dinner ever taken an 12 action prior to the dinner which could have 13 benefited Credit Suisse First Boston? 14 I think you need to refine that question. 15 Dick has no idea --AMBASSADOR HOLBROOKE: I don't understand. .16 As far as you know. 17 18 AMBASSADOR HOLBROOKE: I don't understand . the question. 19 20 Had anyone at the dinner ever . 21 taken an action that you're aware of that could 22 have benefited Credit Suisse First Boston that you FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. Washington, D.C. 20002

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b7C Per DOS 84 FOR OFFICIAL USE ONLY are aware of that you had discussed with him? 1 2 AMBASSADOR HOLBROOKE: You're talking about the Government officials? 3 Yes. 4 5 AMBASSADOR HOLBROOKE: No. 6 When you were Assistant 7 Secretary for European and Canadian Affairs -- is 8 that the correct title? When you were in that position, did you routinely have to handle issues 9 10 that involved the promotion of American business interests in foreign countries? 11 12 AMBASSADOR HOLBROOKE: Both in my job 13 before that, Ambassador to Germany, and as Assistant Secretary, that was one of the mandated 14 15 priorities of this administration. 16 And that would mean --17 AMBASSADOR HOLBROOKE: Mandated by the President and the Secretaries of State and 18 19 Commerce. 20 That was an important part of the job? 21 22 AMBASSADOR HOLBROOKE: Very important. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 07 C Street, N.E. Washington, D.C. 20002

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b7C Per DOS 85 FOR OFFICIAL USE ONLY And it was something that 1 2 would routinely be a matter that would be of 3 concern to somebody at the Assistant Secretary level? 4 5 AMBASSADOR HOLBROOKE: Mm-hmm, and I 6 repeatedly made speeches to my staff and to others 7 and to visitors, saying this was an important part 8 of what we do to serve the national interest. 9 What would actually be done 10 by the U.S. Government to help, let's say, an . 11 American company that wants to invest in a foreign 12 country? 13 AMBASSADOR HOLBROOKE: You want me to put back on my EUR hat? 14 15 Right. 16 Or your Ambassador of Germany --17 18 AMBASSADOR HOLBROOKE: Three or four things, Are you familiar with the --19 20 Assume I'm not. 21 AMBASSADOR HOLBROOKE: I'm assuming you 22 are. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 07 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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1	Explain it to me as if I'm a
2	four-year-old.
3	AMBASSADOR HOLBROOKE: Okay. Well
4	Eight-year-old.
5	AMBASSADOR HOLBROOKE: Okay. Well, I
6	don't need to explain to you why it's important to
- 7	the United States to support American business,
. 8	right? The President and the Secretary of State
.9	have spoken to that repeatedly, and the current
10	Secretary of State has made it one of her
· 11	priorities as well. So what were the nature of the
12	things?
13	As a Government official, you brief
14	businessmenand, by the way, a lot of what I'm
15	saying is not me. It's peopleI delegate.
16 [.]	Sure.
.17	AMBASSADOR HOLBROOKE: I have a deputy who
18	is supposed to be dedicated to that particular
. 19	issue. That's part of his job. And I have
20	there's an economic office within each bureau, and
. 21	then there's separate economic offices. So I might
22	not do this myself, but you brief businessmen on
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1	political stability and economic conditions,
2	whether you're the Ambassador, in which case you
` 3	give a country briefing, or here you dowhatever.
4	Secondly, you offer to put them in contact
5	with the commercial officers of the embassies who
· 6	is supposed to support them.
0/6/0	Third, you attend functions that they may
8	host, if it works out and if it's appropriate. A
9	businessman might invite you to a dinner with a
10	foreign leader or a foreign businessman, and you
. 11	might go.
12	You might meet with delegations that wish
. 13	to complain about American law and how it's
14	restricting us and how we're being outmaneuvered by
15	the French or the British or the Japanese because
1.6	they have less restrictive laws. And I, of course,
17	always defended our laws because I believed in them
18	deeply, but that has been a recurring 20-year
19	theme.
20	You represent the interests of American
21	business to foreign governments if they have
22	bureaucratic red tape, double taxation, unfair
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biases towards somebody other than the American 1 2 firms involved -- a whole panoply of issues. 3 And that's something that the Assistant Secretary would get involved in as an 4 administration priority? 5 AMBASSADOR HOLBROOKE: We were under 6 7 orders to do so by the President and the Secretary of State. That's what he wanted us to do. 8 Т 9 believe that Warren Christopher was the first 10 Secretary to have a personal adviser just for business affairs, but I may be wrong on that. 11 12 And some of the issues that 13 would come up from the perspective of an Assistant Secretary for EUR, would they include, for 14instance, whether a particular business would be, 15 16 you know, qualified for this kind of support, whether it was going to be sufficiently American? 17 Would that be the kind of issue that might come up 18 19 at the Assistant Secretary level? 20 AMBASSADOR HOLBROOKE: It might. I don't 21 That's a hypothetical issue. know. 22 Well, in fact, it did come FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. Washington, D.C. 20002

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b7C Per DOS FOR OFFICIAL USE ONLY 89 up when you were there in connection with Credit 1 2 Suisse in Hungary; right? 3 AMBASSADOR HOLBROOKE: It wasn't credit 4 Suisse. It was--5 I'm sorry. It was--AMBASSADOR HOLBROOKE: CS First Boston. 6 7 That's a very important distinction. 8 Okay. But that was--have I 9 fairly characterized the issue that came up in connection with that? 10 11 AMBASSADOR HOLBROOKE: Yes, absolutely. It was 1.2 that 13 brought the issue to your attention? 14 AMBASSADOR HOLBROOKE: Yes. 15 And the concern was that CS First Boston, as it was known at the time, was not 16 17 getting treated as an American company ought to be 18 treated by the Embassy in Hungary? 19 AMBASSADOR HOLBROOKE: That's correct. 20 And--but there were three firms competing for a 21 single mandate, and the embassy had inadvertently 22 supported one of them, which violated the general FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. '07 C Street, N.E. Washington, D.C. 20002

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b7C Per DOS 90 FOR OFFICIAL USE ONLY 1 rule against the letting--the use of--if there's 2 only one U.S. firm involved, you support them. But 3 if there's more than one, you establish a level 4 playing field. We were--and complaints were coming 5 in, not just 6 And you personally resolved 7 that issue when you were Assistant Secretary? 8 AMBASSADOR HOLBROOKE: No. Ambassador 9 Blinken resolved the issue. 10 But you communicated to 11 Ambassador Blinken how it ought to be resolved or clarified? 12 13 AMBASSADOR HOLBROOKE: I told him that it 14 was my view that he and his embassy were at risk for counteractions by two firms because he had sent 15 16 a letter on bad advice to the Hungarian Government 17 supporting one firm over the others. It was a very 18 clear-cut case. It was not just CS First Boston. 19 It was also Goldman Sachs. 20 Were there ever issues --21 putting aside this specific example, were there 22 ever issues that you were familiar with in the EUR FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. '07 C Street, N.E. Washington, D.C. 20002

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job where an American company would want other Departments of the U.S. Government other than the State Department to assist? Agriculture? I don't know who else might--

AMBASSADOR HOLBROOKE: I assume there were, but I don't have any specific memories.

7 But it would be consistent 8 with the overall policy to promote U.S. interests, 9 not just the Ambassador reach out, but have people 10 - from other Departments that might have some 11 expertise?

AMBASSADOR HOLBROOKE: Well, remember, the Commerce people overseas worked for their Ambassador. They're part of his embassy.

Okay.

AMBASSADOR HOLBROOKE: I had 25 different agencies working for me in Germany, including Agriculture, Commerce, Treasury, Customs, Center for Disease Control. They all work for the Ambassador. So if you're talking about Ambassador, it's different.

> If you're talking about an Assistant FOR OFFICIAL USE ONLY

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Secretary of State, people wouldn't come to me as 1 2 an EUR Assistant Secretary and say, Help me at the 3 Commerce Department, or Agriculture or Treasury, 4 because that's a waste of time. 5 They would go directly to--6 AMBASSADOR HOLBROOKE: I wouldn't do it. 7 It's not my job. I don't have the time to do it. . 8 Despite my priority I put on business affairs, I was dealing with crises in Europe which were big 9 10 time, not just Bosnia, and that would be a waste of their time and mine. 11 12 And as far you knew, or 13. know, did this priority in terms of promoting 14 business continue after you left the EUR job? 15 AMBASSADOR HOLBROOKE: You'd have to ask 16 the people who succeeded me, but I stress it is a 17 presidential priority. President Clinton has 18 talked about it repeatedly in public, and both 19 Christopher and Albright have repeatedly reaffirmed 20 it. But how my successor--there's two of them now-21 -have performed, you have to address to other 22 people.

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But did you understand 1 2 Kornblum as having the same responsibilities you 3 did to promote American business?

AMBASSADOR HOLBROOKE: He had the same 4 5 mandate from his leaders. How he executed it under 6 the pressures of the day-to-day job is not 7 something I have any knowledge of.

8 Would you have anticipated 9 at that time that he would routinely be confronted 10 with the same sorts of issues that you dealt with 11 when you were in the same job?

12 AMBASSADOR HOLBROOKE: I have no idea. ٠T 13 don't understand the question. Routine--I don't 14 know what that's about. I mean, John did the job 15 his way. I think that one of the first rules of 16 Government is don't second-quess your successor. He might not have spent as much time on it as I did 17 18 because he didn't have prior experience in 19 business. He was a pure, clear Foreign Service 20 officer with a pure, clear--I had a mixed career. 21 He might have delegated more. 22

But I'm just speculating,

I have

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b7C Per DOS FOR OFFICIAL USE ONLY 94 1 no idea. You don't know whether he, 2 in fact, got involved in any business promotion 3 activities? 4 AMBASSADOR HOLBROOKE: No. I never would-5 6 -I never discussed business with him. 7 Well, this would be not necessarily your business, but his business. 8 AMBASSADOR HOLBROOKE: No. I would have 9 10 been--I didn't discuss it with him. I have no idea how he carried out his job in this area. We talked 11 12 about the political and strategic issues. 13 Do you need to break? AMBASSADOR HOLBROOKE: Yes. Do you want 14 to continue this for five minutes? 15 16 This is a fine place to break. 17 AMBASSADOR HOLBROOKE: Are you comfortable 18 19 with this? Because if you want to continue on this 20 line, we can do it now. 21 If you have anything more to 22 add? FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 507 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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b7C Per DOS 95 FOR OFFICIAL USE ONLY 1 AMBASSADOR HOLBROOKE: No. 2 [Recess.] 3 Just briefly, on the Nora dinner, and then we'll move on. Do you have a copy 4 5 of the voucher? 6 I do. 7 You'll note that on the entry 8 for April 14th for the Nora's dinner--9 AMBASSADOR HOLBROOKE: Yes, I see it. 10 To the right of the amount, 11 \$2,765--12 AMBASSADOR HOLBROOKE: I see it. 13 --under business 14purpose/transaction type, it is reflected European 15 continued relations. Is that accurate? 16 AMBASSADOR HOLBROOKE: No. 17 What should it be? 18 AMBASSADOR HOLBROOKE: Social event or 19 dinner with--dinner with guest list. Or whatever. 20 I've already described it. 21 Have you taken any actions to 22 correct the voucher? FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 97 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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1	AMBASSADOR HOLBROOKE: No. This is
2	This was approved. wrote that in. didn't
3	ask me what its purpose was. did that a lot.
4	If the firm wishes me to correct it, I
5	will. If you wish me to correct it, I will.
· 6	If it had the correct
 70/01	description, would it still be something that, had
. 8	you known about it, you would have submitted for .
9	reimbursement?
10	AMBASSADOR HOLBROOKE: Yes.
11	Why is that?
12	AMBASSADOR HOLBROOKE: For the reasons we
13	already discussed.
14	But what was it about this
15	particular event that made it
16	AMBASSADOR HOLBROOKE: This isn't a
17	particular event.
18	You said it was a case-by-case
. 19	basis. What in this case made it voucherable, in
20	your mind?
21	AMBASSADOR HOLBROOKE: It was a social
22	event, which was the kind of thing that was
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b7C Per DOS 97 FOR OFFICIAL USE ONLY 1 understood that they would support as one of the 2 perks of the job. That's all that needed to be 3 said for me to expense it. 4 Okay. And the kind of things --5 what were the things that this meal had that made 6 it within the zone of things that you understood as 7 being reimbursable? 8 AMBASSADOR HOLBROOKE: It fit within the 9 previous description of social events they would 10 cover. 11 Was it significant that 12 was present? 13 AMBASSADOR HOLBROOKE: If you're asking whether it would have been expensed without 14 15 presence, the answer is yes, if that's your 16 question. Do I understand that to be the import of 17 the question? 18 Well, we can make that the 19 question. If he weren't there, would that make a 20 difference in your mind--21 AMBASSADOR HOLBROOKE: No. 22 --as to whether it's FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. '07 C Succt, N.E. Washington, D.C. 20002 (202) 546-6666

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1	reimbursable?
2	AMBASSADOR HOLBROOKE: No.
<u>٦</u> 3	If the personsthe other
4	people that were at the meal who were working for
5	the Federal Government at the time, if they had not
. 6	been Government employees at the time, would that
7	have made a difference in terms of whether you
8	sought reimbursement for the dinner?
9	AMBASSADOR HOLBROOKE: No. There were
10	people at the meal, if this list is correct, that
	were former Government employees, at least one, · · ·
12	
13	Right, and there were
14	several who were current Government employees.
15	AMBASSADOR HOLBROOKE: Apparently.
16	According to the documents.
17	AMBASSADOR HOLBROOKE: Yes, but we've all
18	agreed that this isn't necessarily the exact people
19	who were in the room.
20	. Well, we didn't go over it
21	specifically. You stated that they were there
22	well, just in termsyou don't recall who was
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b7C Per DOS 99 FOR OFFICIAL USE ONLY there. 1 AMBASSADOR HOLBROOKE: I don't even 2 remember who was there. When you first asked--when 3 4 I first was asked about this dinner, I couldn't 5 even remember it. Okay. Did the meal, in 6 fact, have anything to do with any European 7 8 business that you were planning on conducting? 9 AMBASSADOR HOLBROOKE: No. 10 What was the European travel ·related to Credit Suisse that you were planning at 11 that point? Do you recall? 12 AMBASSADOR HOLBROOKE: What's the date? 13 April of '96. 14 I can't recall 15 AMBASSADOR HOLBROOKE: 16 specifically what I was planning on that specific 17 date, but there were general plans in the works for trips to both Asia and Europe in the coming six to 18 eight months. Some of these plans occurred. 19 Some 20 did not. And it would be absolutely impossible to 21 reconstruct it, except insofar as trips that 22 actually took place or whatever else you've got FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 97 C Street, N.E. Washington, D.C. 20002

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b7C Per DOS FOR OFFICIAL USE ONLY 100 from our files based on your subpoena. 1 2 Well, you, in fact, did take 3 a trip to Europe, more than one trip to Europe, within a couple of months of this meal? 4 5 AMBASSADOR HOLBROOKE: Yes, that's right. And that was a Credit Suisse 6 7 business trip. 8 AMBASSADOR HOLBROOKE: Some of the trips 9 were purely Credit Suisse paid. At least one was 10 purely Government. And some were Credit Suisse 11 where in the course of it I did things on behalf of 12 the U.S. Government because I was a special Government employee carrying the flag, explaining .13 14 our policy in an area of great vacuum and great confusion, and in the specific case I mentioned 15 16 earlier, actually carrying messages. Did Credit Suisse pay for 17 the trip that was purely Government-related? 18 19 AMBASSADOR HOLBROOKE: No. I'm referring to the July trip to Belgrade. That was a military 20 21 jet all the way, if my memory is--well, I--if my 22 memory is correct. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC.

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Did you ever submit any 1 2 Government vouchers for any expenses? AMBASSADOR HOLBROOKE: Never--correction. 3 Never for per diem. There are some GT--there are 4 some Government vouchers for specific trips, which 5 6 I'm sure you have, and for specific hotel expenses 7 I never asked for per diem, and I kept overseas. to an absolute minimum what I asked for Government . 8 reimbursement. You have all those files, or you 9 can get them from EUREX. I assume you have them. 10 11 Was part of what you hoped to accomplish in connection with the business trips 12 13 to Europe that occurred within several months of this April lunch--or dinner, was part of what you 1415 were hoping to accomplish on those trips enlisting 16 the support of the United States Government for . some of the business ventures that Credit Suisse 17 18 was pursuing in Europe? AMBASSADOR HOLBROOKE: Never. It would 19 have been of no help, anyway. The U.S. Government 20 21 is not a benefit to an investment bank. 22 Are you saying the FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. Washington, D.C. 20002

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b7C Per DOS 102 FOR OFFICIAL USE ONLY President's policy is ineffectual? 1 AMBASSADOR HOLBROOKE: No. No, I'm not 2 saying that at all. 3 As applied to investment 4 banks? 5 6 I would have thought you 7 were saying --AMBASSADOR HOLBROOKE: No. What I'm 8 saying--no. The President's policy is a generic 9 policy which -- whose primary target is export-driven 10 11 businesses like Boeing versus Airbus or whatever. But I did not need the U.S. Government to help me 12 see foreign government officials. I had better 13. access than Ambassadors. They could benefit by my 14 presence for their own work. I couldn't benefit by · 15 16 theirs. In fact, quite the contrary. My dual hat often hurt me badly and hurt our firm. 17 Would it have been 18 beneficial to Credit Suisse in pursuing a 19 privatization of --20 AMBASSADOR HOLBROOKE: CS First Boston. 21 22 I'm sorry. CS First Boston. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. '07 C Street, N.E. Washington, D.C. 20002

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b7C Per DOS 103 FOR OFFICIAL USE ONLY The name is changed. 1 AMBASSADOR HOLBROOKE: No, now it's Credit 2 Suisse First Boston. It was then CS First Boston 3. and generically referred to always as First Boston 4 5 in those days. 6 Okay. In the first half of 7 1996, what would be the proper way to refer to it? AMBASSADOR HOLBROOKE: First Boston was 8 . 9 the standard usage in the business. Would you agree with that? 10 11 I would. I'm not sure why · you--·12 . . 13 AMBASSADOR HOLBROOKE: Because--I'm only 14 raising it because of the issue --Credit Suisse, a different . 15 16 entity--17 AMBASSADOR HOLBROOKE: Of course, because 18 I just think it -- I don't --19 I'd like you to be as 20 precise as possible. . 21 AMBASSADOR HOLBROOKE: Since you all are 22 into precision, and I--FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 507 C Street, N.E. Washington, D.C. 20002

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b7C Per DOS 104 FOR OFFICIAL USE ONLY In those first six months it was referred to as First Boston. 2 3 What was its status in terms 4 of American ownership versus U.S. ownership during 5 the first half of 1996? 6 AMBASSADOR HOLBROOKE: I can't answer you 7 in precise detail, but it was majority owned by a 8 Swiss bank called, then and now, Credit Suisse. 9 Did you regard it as being a 10 company that was worthy of being supported by the 11 U.S. Government in pursuing overseas opportunities? 12 AMBASSADOR HOLBROOKE: You're talking 13 about--During this period --14 AMBASSADOR HOLBROOKE: --when I was 15 16 Assistant Secretary of State? 17 No, during this period, the first half of 1996. 18 19 AMBASSADOR HOLBROOKE: I never thought about it. Once I left the Government, I did not 20 21 consider the issue of whether it was an American 22 firm or not. That was not--because I didn't want FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. '07 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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b7C Per DOS 105 FOR OFFICIAL USE ONLY 1 Government support or help for me. 2 Putting aside whether you 3 considered it at the time, knowing what you know about the company, was it, in fact, a company that 4 5 would be categorized appropriately as an American 6 company during that time frame? AMBASSADOR HOLBROOKE: Which time frame? 7 8 The first half of 1996. 9 AMBASSADOR HOLBROOKE: When I'm with them, 10 not when I'm at EUR. 11 Right, in February to July -- . 12 AMBASSADOR HOLBROOKE: You'd have to ask 13 somebody else. 14 You were working at the company during this period; right? You didn't know 15 16. whether it was an American company or a foreign 17 company? 18 AMBASSADOR HOLBROOKE: Is Chrysler-Daimler 19 an American company or a German company? It was 20 owned, majority owned by the Swiss. It employed 21 6,000 or more Americans. In my prior incarnation 22 in EUR, it had been stated that this was FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. '07 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

b7C Per DOS 106 FOR OFFICIAL USE ONLY 1 legitimately considered an American company. In 2 the modern world of hybrids, which is increasingly 3 common, this was considered an American company. It's an enormous benefit to our national balance of 4 5 budget bottom line. 6 When you dealt with the 7 issue in 1995, your information was that it was an 8 American company. AMBASSADOR HOLBROOKE: Correct. 9 10 And were you aware of any change in circumstance between May of 1995 and 11 12 April of 1996? AMBASSADOR HOLBROOKE: There was no change 13 14 in circumstance. 15 Any reason why your understanding of its pedigree would have been 16 different later? 17 18 AMBASSADOR HOLBROOKE: No. I understand 19 your question. I apologize for being obtuse. The 20 answer is no. 21 I don't think obtuse is the 22 right word for it, but --FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. '07 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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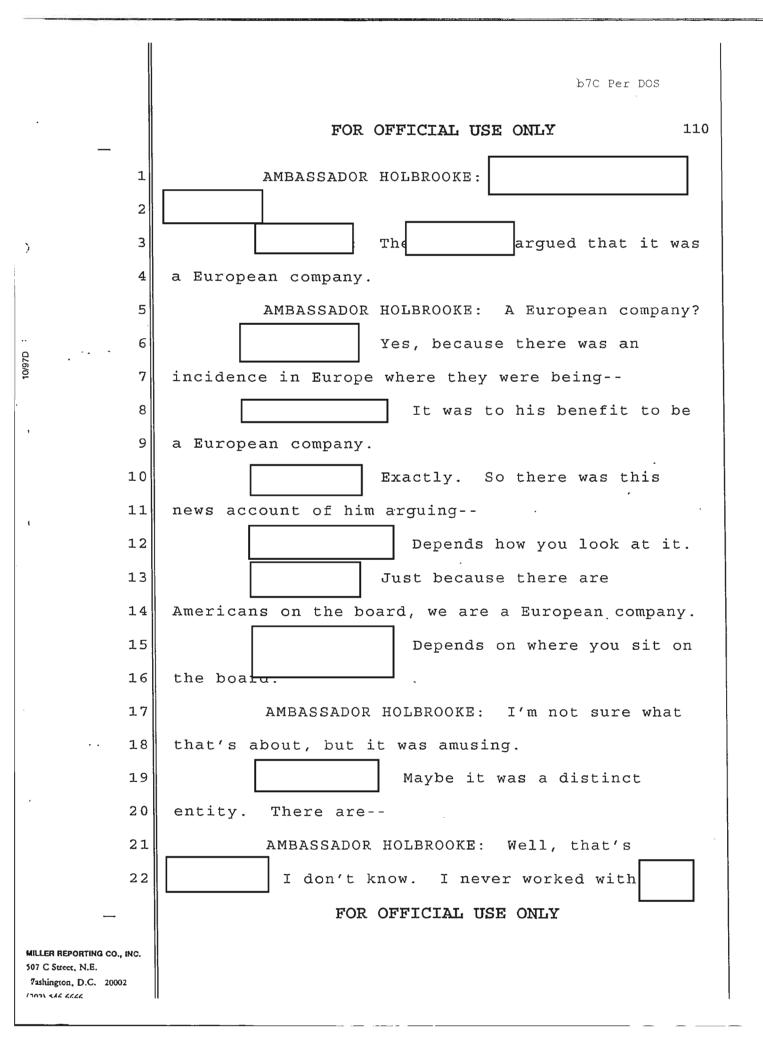
AMBASSADOR HOLBROOKE: No, no, no. 1 Ι 2 misunder--I didn't understand the question because 3 I--because once I joined the firm, this became a non-issue to me. But now that I understand the 4 5 question, the answer is no. So during this period of 6 7 time, the first half of 1996, early February of 8 1996 on, in your mind, it would not have been 9 inappropriate if the American Government had 10 leveled the playing field for Credit Suisse, say, in connection with a business opportunity that 11 12 other American companies were pursuing in, say, a 13 European country? Well, it's a 14 AMBASSADOR HOLBROOKE: 15 hypothetical from my point of view, since I never was involved in such an event. But I think the 16 17 correct answer to the question is what was done in 18 1995 would have been equally valid in 1996 as an 19 abstract proposition. 20 Okay. 21 AMBASSADOR HOLBROOKE: Whether such an 22 event took place or not, I do not know. But it FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. Washington, D.C. 20002

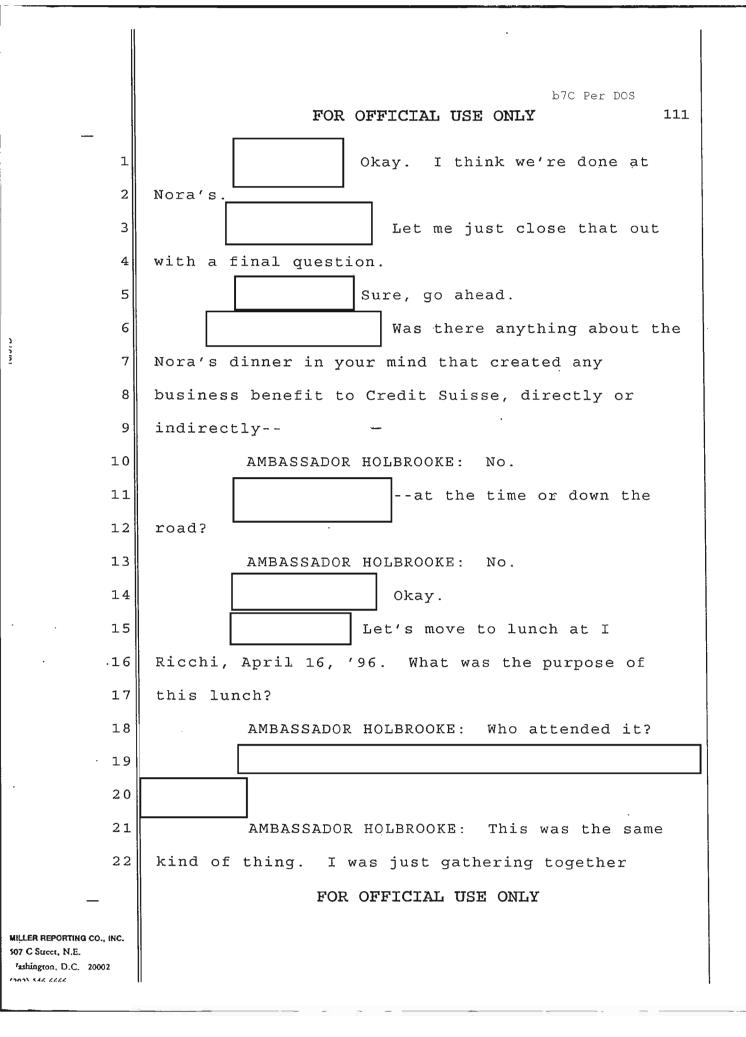
b7C Per DOS 108 FOR OFFICIAL USE ONLY would have not been inappropriate -- to use your 1 2 phrase, it would not have been inappropriate for American Government officials to treat CS First 3 4 Boston in that way. 5 Let's say during 1996, if 6 that's a useful time frame, are you aware of the . 7 issue of First Boston's American pedigree coming 8 up--9 AMBASSADOR HOLBROOKE: No. 10 --in the way it did when you 11 were--AMBASSADOR HOLBROOKE: 12 No. --in EUR? 13 14 AMBASSADOR HOLBROOKE: NO. Are you aware of it coming 15 16 up at the embassy level, an Ambassador asking 17 questions or expressing concern about whether it 18 was appropriate for --19 AMBASSADOR HOLBROOKE: No, I don't think 20 so, I can't recall any. It may have come 21 up outside my presence, but I have no memory of it 22 coming up. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 07 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

b7C Per DOS FOR OFFICIAL USE ONLY 109 Thanks It might be 2 3 helpful--I suspect that Commerce and other people in the Government, you know, have rules about these 4 5 things. I'm not familiar with them myself. But in б the general parlance of business, other than 7 somebody--in that 1995 time frame, nobody would 8 think it's not an American company. It was an 9 American company previously before it was bought by 10 Credit Suisse. It's incorporated in the United It has 10,000, 20,000 U.S. employees. 11 States. 12 Everybody thinks of it as an American company. That's not something you think of at all. 13 AMBASSADOR HOLBROOKE: I'm not saying that 14 15 the subject never was raised. It's not impossible that somebody said, you know, are you considered an 16 17 American company or not. But I have absolutely no memory of it, and I don't believe that such a 18 19 conversation took place with me. But, in any case, 20 I don't consider it, you know, relevant. 21 I believe at one point 22 FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. Washington, D.C. 20002

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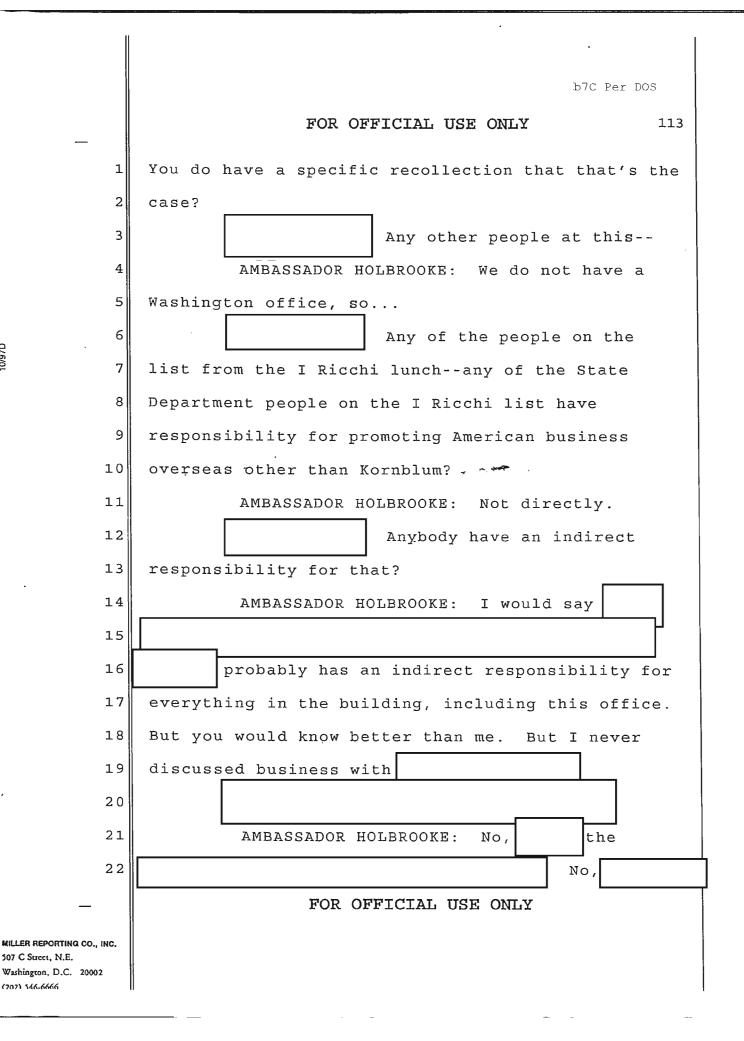




b7C Per DOS FOR OFFICIAL USE ONLY 112 friends, in this case at a lower level, and mainly 1 2 just to one get caught up on old times, to reminisce, and 3 4 because I was wearing a Government hat, 5 specifically in the case of some of them, probably 6 to discuss ongoing issues related to the crisis in 7 Bosnia, and I use the word crisis advisedly, given 8 the date. This is the low point of our policy in 9 Bosnia. But that's it. Was this lunch--were there any 10 11 other CS First Boston individuals present? 12 AMBASSADOR HOLBROOKE: No. 13 Do you recall--AMBASSADOR HOLBROOKE: And--what? 14 15 Do you recall the lunch? Do you have a specific recollection of the lunch? 16 17 AMBASSADOR HOLBROOKE: Very vague. Ι 18 remember a long table. I can't remember if we were 19 in a private room or in the back of the restaurant. 20 But you have a specific 21 recollection that Credit Suisse First Boston, no 22 other CS First Boston representative was there? FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 507 C Succt, N.E. Vashington, D.C. 20002

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	b7C Per DOS
_	FOR OFFICIAL USE ONLY 114
1	So that's pure congressional.
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. 3	
4	Just a very treasured group of very fine
5	Government officials, and we were just getting
6	together to talk about the past and current issues.
2) 2017 7	Did you tell any of them who
8	was paying for the lunch?
9	AMBASSADOR HOLBROOKE: I don't remember.
10	The corporate credit card has a different color
11	than a regular credit card, so it mightI pay in
12	front of them, and that's that.
13	Do you remember any
14	discussion about who was going to pay for the meal?
15	AMBASSADOR HOLBROOKE: I invited them.
16	I
17	think they assumed that meant I'd pay.
18	Which was your anticipation,
19	I take it?
20	AMBASSADOR HOLBROOKE: Sure. This wasn't
21	Dutch treat.
22	Right.
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b7C Per DOS 115 FOR OFFICIAL USE ONLY 1 AMBASSADOR HOLBROOKE: Particularly at 2 that restaurant, which I've never been back to. 3 As a Government employee, I don't eat very often there, either. 4 5 AMBASSADOR HOLBROOKE: Well, I'd like to 6 take you there, but it might cause a problem. 7 No, seriously, it was--it's what I said. We were going to--I invited them. It was an honor 8 9 to do so. 10 As far as you know, did Credit Suisse provide any other--pay for any other · 11 benefits, gifts, things of value, to any of the 12 13 people that are on that list? AMBASSADOR HOLBROOKE: Not that I know of. 14 15 Other than this meal, and I 16 guess with respect to Kornblum, perhaps some other entertainment? 17 18 AMBASSADOR HOLBROOKE: I don't think so, 19 20 Birthday presents, holiday 21 presents, travel? 22 AMBASSADOR HOLBROOKE: I don't think so. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 507 C Street, N.E. √ashington, D.C. 20002

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b7C Per DOS 116 FOR OFFICIAL USE ONLY I don't think so. 1 2 No one was asked to take any 3 actions on behalf of Credit Suisse First Boston -- CS First Boston? 4 5 AMBASSADOR HOLBROOKE: Categorically not. 6 I assume you've talked to all these 7 people. 8 Yes, as you have. 9 AMBASSADOR HOLBROOKE: No--10 Which is my question. AMBASSADOR HOLBROOKE: No, I have not. 11 I 12 have not talked to all the people on this list. 13 Have you talked to some of the people on the list? 14AMBASSADOR HOLBROOKE: Yeah. 15 Some called in and said they'd been interviewed, and why--just 16 17 mentioned it, but I have not talked to -- the people 18 on this list, at most I've talked to one. At most. 19 I may have talked to Kornblum in general terms 20 because he wanted to know what this was all about 21 when he read about it in the papers. I talked to 22 no one at all about it until it became public, and FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 507 C Street, N.E. ishington, D.C. 20002 (202) 546-6666

b7C Per DOS 117 FOR OFFICIAL USE ONLY then the roof fell in. And--1 2 On this list. 3 AMBASSADOR HOLBROOKE: On this list, I did not talk to anđ 4 5 to the best of my knowledge 6 What about from the Nora's 7 list? 8 AMBASSADOR HOLBROOKE: Same thing on 9 Kornblum. No on No on Berger. Donilon mentioned to me being interviewed by you, gave me 10 no details. 11 same thing, and Johnson, 12 same thing. By same thing with 13 you mean you have talked to 14 15 AMBASSADOR HOLBROOKE: called after 16 been interviewed and said one of our 17 biggest critics on Kosovo, and calling all the 18 time to complain. In the course of one of these 19 calls, said, "By the way, somebody came to see 20 me," and told me nothing more about. 21 similarly. 22 Some people that we spoke with FOR OFFICIAL USE ONLY WILLER REPORTING CO., INC. 507 C Street, N.E. 'ashington, D.C. 20002 (202) 546-6666

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1 who attended these dinners and lunches indicated 2 that you had called them before we interviewed them 3 and brought up the possibility that we would be speaking with them about their attendance at a 4 5 dinner or a meal, if you will. Do you recall 6 making any phone calls to that effect? 7 AMBASSADOR HOLBROOKE: In the course of 8 conversations about this whole thing, once it 9 became a huge public issue--and I cannot walk down 10 the street now without people coming up to me -those people who discussed it with me who I thought 11 12 might be part of your inquiry process, I sometimes 13 said, You may be asked about something, and I may 14have been specific or may not. If they said, well, 15 what are they going to ask me about, I might have 16 said, well, they've asked me a lot of questions 17 about a dinner I think we had together. One person 18 called us up and said they asked about a dinner 19 that he wasn't involved in. So you get all these 20 things. But that's the extent of it.

But your purpose of calling them was not to provide advice on how to respond FOR OFFICIAL USE ONLY

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b7C Per DOS-119 FOR OFFICIAL USE ONLY 1 or--2 AMBASSADOR HOLBROOKE: No. 3 No? AMBASSADOR HOLBROOKE: No. Of course not. 4 what is self-evident, 5 But I want to stress, that once this thing became public -- and that was 6 7 inevitable once we couldn't meet the Senate's 8 deadline--everybody called and said, What the hell's going on? And those people who called were 9 10 people that might have been involved; I might have 11 mentioned that they might get called. Okay. Moving on to lunch at 12 the Four Seasons with Ambassador Frank Wisner. Ι 13 think I said "Wisener" a few times. 14 AMBASSADOR HOLBROOKE: 15 And 16 October 18th of '96. 17 18 AMBASSADOR HOLBROOKE: Isn't 19 there, my colleague at First Boston, who's 20 also Am I mistaken in that? Yes, it's indicated on the 21 22 voucher. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. -07 C Street, N.E. Washington, D.C. 20002

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b7C Per DOS FOR OFFICIAL USE ONLY 120 AMBASSADOR HOLBROOKE: Yes. What is the 1 2 question? 3 The purpose for the lunch? AMBASSADOR HOLBROOKE: Frank Wisner is my 4 5 oldest friend in the Government and one of my 6 closest. is one of my colleagues at CS First Boston. . 7 We just wanted to He was in town. get together, and 8 and I just wanted to take 9 him out to a really nice lunch and talk about 10 family matters. 11 You get caught up. I had not seen him 12 in a long time. He's a very special friend. 13 What kind of business at that time did CS First Boston have in India? 14 15 AMBASSADOR HOLBROOKE: I really don't know. I'd never been to India at that time except 16 17 years ago as a tourist, and I don't know the answer 18 to that question. I never--I don't know what it 19 was. 20 Was there a proposed--or was 21 there some sort of branch office being created at 22 that time? FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 17 C Street, N.E. √ashington, D.C. 20002

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b7C Per DOS FOR OFFICIAL USE ONLY 121 AMBASSADOR HOLBROOKE: There were some 1 2 First Boston people in India whom I did not know. 3 Whether it was a branch office or they were just 4 there as a rep office, I have no idea. 5 What was the other person б present? 7 AMBASSADOR HOLBROOKE: who's 8 in and 9 And this was just a 10 celebration lunch. No business was discussed. Why is it that 11 -and correct me if I'm wrong, if did not fill this 12 13 in, and if you did, let me know. Someone indicated that the purpose was India branch office. 14 .15 AMBASSADOR HOLBROOKE: I have no idea. was--you have to ask 16 17 Is it reasonable to think that would know about an India branch office 18 19 that you did not know about? .20 AMBASSADOR HOLBROOKE: I have no idea. Ι really don't know. 21 22 But is that reasonable that FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. *07 C Street, N.E. Washington, D.C. 20002

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b7C Per DOS 122 FOR OFFICIAL USE ONLY would know about --1 AMBASSADOR HOLBROOKE: Yeah, sure. 2 It's quite possible. in the firm all the time. 3 I'm off in Bosnia doing all this other stuff. 4 5 sits next to people. 6 Is it an accurate statement. · 7 to say that it related to --AMBASSADOR HOLBROOKE: India branch 8 9 office? 1.0 That that was a business purpose of that lunch? 11 AMBASSADOR HOLBROOKE: That what, 12 13 I didn't--Sorry, that got kind of 14 Would it be accurate to describe your. 15 garbled. lunch with Ambassador Wisner as having a business 16 purpose related to the CSFB branch office in India? 17 AMBASSADOR HOLBROOKE: No, it would not be 18 19 accurate. You didn't provide 20 21 with the information --22 AMBASSADOR HOLBROOKE: No. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 77 C Succt, N.E. Washington, D.C. 20002 . . . . . .

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b7C Per DOS 123 FOR OFFICIAL USE ONLY --for that form? 1 AMBASSADOR HOLBROOKE: No. I did not 2 3 because we did not discuss it. Was it part of your 4 5 understanding in terms of the extra perks that you were entitled to that although you could be 6 7 reimbursed for things that didn't have a business purpose, you nonetheless had to indicate a business 8 9 purpose on the form? AMBASSADOR HOLBROOKE: I never--I didn't 10 even know about this. I didn't know about this 11 12 form. 13 I said was it part of your understanding that you nonetheless had to reflect a 14 15 business purpose on the form even though your understanding was that it would be reimbursable 16 17 even if it were personal? 18 AMBASSADOR HOLBROOKE: I just told 19 to fill out the damn forms. I never read them. So I can't answer your question, although I understand 20 I can't answer it because you're asking me 21 it. whether I was, you know, told that I would have to 22 FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 17 C Street, N.E. Washington, D.C. 20002

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b7C Per DOS 124 FOR OFFICIAL USE ONLY put down X in order to justify an expense, and I 1 2 don't--that isn't--that is not what happened. Ι filled out the forms. these things. З gave So you never instructed 4 in a general way, when you fill these forms out re-5 you have to put a business purpose down? 6 7 AMBASSADOR HOLBROOKE: No. I didn't know 8 what these forms were about or how to fill them went to some kind of training school on . 9 out. 10 filling out the forms. I think. I don't even know if that's true. I'm just assuming did. 11 went to computer classes. 1213 You did travel to India at some point to visit Ambassador Wisner; right? 1415 AMBASSADOR HOLBROOKE: Right. You 16 AMBASSADOR HOLBROOKE: Yes. 17 18 Do you recall when that was? 19 · AMBASSADOR HOLBROOKE: November of '96. 20 That was a month or so after this. 21 22 AMBASSADOR HOLBROOKE: Right. And one of FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 507 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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the main things we talked about at this lunch was 1 2 that trip. What was the nature of that 3 Was that purely personal? trip? 4 5 AMBASSADOR HOLBROOKE: He invited -he invited 6 and me to come to visit him in New Delhi and then go with him to the Kingdom of Bhutan 7 8 with a group of friends he was organizing. Did that have--was there any 9 10 aspect of that trip that related to Credit Suisse 11 business -- [tape change] -- the India part of that . travel? 12 13 AMBASSADOR HOLBROOKE: Oh, India, I 14 started in Bombay and made some business calls wt the Bombay--with one of the CS people who worked 15 16 for the firm in Bombay, and then--and I made a speech to the Indian American Chamber of Commerce, 17 18 and then I flew on to New Delhi. Would your making a speech 19 20 to the India Chamber of Commerce be in your mind 21 facilitating the business interests of CS First 22 Boston? FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. Washington, D.C. 20002

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126 FOR OFFICIAL USE ONLY AMBASSADOR HOLBROOKE: I have no idea. 1 2 I'm responding to their request. That's what -- I do 3 that all the time. But then I did not see Wisner in Bombay. I saw him when I got to New Delhi. 4 Would giving speeches to a 5 6 group of that sort, was that something that you 7 viewed as part of your job at CS First Boston? AMBASSADOR HOLBROOKE: I don't know how to 8 9 answer that, It's part of what I did. Did 1.0 I do it for First Boston or did I just do it the way we all make speeches from time to time? I just __11 12 did it. Is there currently a branch 13 office in India? 14AMBASSADOR HOLBROOKE: I don't know. 15 Do you know if there ever had 16 been? 17 AMBASSADOR HOLBROOKE: I don't know. 18 Т have not been back since, and I have never done any 19 Indian-related business. 20 21 Did you speak with Ambassador 22 Wisner after we had interviewed him? FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 507 C Street, N.E. Washington, D.C. 20002 (202) \$46-6666

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b7C Per DOS FOR OFFICIAL USE ONLY 127 AMBASSADOR HOLBROOKE: Yes. 1 2 And did you just kind of discuss - -3 AMBASSADOR HOLBROOKE: I don't know--4 5 --between the two--6 AMBASSADOR HOLBROOKE: Let me be more 7 precise. I don't know when you interviewed him, 8 but he--but I see him fairly often, and he said 9 you'd interviewed him. You'd interviewed him. 10 Did CS First Boston pay for 11 the entire India trip? . 12 AMBASSADOR HOLBROOKE: Yes--up to New 13 Delhi. I think I paid to Bhutan myself. Was there something about .14 15 the Bhutan part of it that made it not appropriate 16 in your mind to seek reimbursement for it? AMBASSADOR HOLBROOKE: No. It's just a 17 18 vacation. 19 So the perk package didn't extend to paying for vacation? 20 21 AMBASSADOR HOLBROOKE: I don't know who 22 paid for it. I said I think I paid for it myself, FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 707 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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b7C Per DOS FOR OFFICIAL USE ONLY 128 but I'm not even sure of that. 1 2 Did you have any discussions 3 with Ambassador Wisner at any time which gave him the impression that CS First Boston wanted to open 4 an office in Bombay? 5 AMBASSADOR HOLBROOKE: Not that I recall. 6 Open a what office in Bombay? 7 8-A CS First Boston office. 9 AMBASSADOR HOLBROOKE: There was an office 10 in Bombay. 11 There was in Bombay? Yeah. AMBASSADOR HOLBROOKE: 12 13 Okay. 14AMBASSADOR HOLBROOKE: There was an office 15 that existed before I got there. It exists -- I 16 don't know if it still exists now. Did you ask Ambassador Wisner 17 18 to take any actions on behalf of CS First Boston? 19 AMBASSADOR HOLBROOKE: No. 20 Okay. 21 Did he attend any meetings 22 that you had in India --FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. *07 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

b7C Per DOS 129 FOR OFFICIAL USE ONLY 1 AMBASSADOR HOLBROOKE: NO. 2 --in connection with First 3 Boston? 4 AMBASSADOR HOLBROOKE: NO. Let's move on to dinner at your 5 residence in New York on October 28, 1996. 6 7 AMBASSADOR HOLBROOKE: What dinner is that? 8 Do you have the voucher on 9 10 this? 11 AMBASSADOR HOLBROOKE: Harriman Institute 12 speech. Is that the one? 13 Yes. What is the Harriman Institute? 14AMBASSADOR HOLBROOKE: It's a division of 15 and 16 Columbia University set up by to study--for academics on the former 17 Soviet Union. Strobe Talbott--I am the--I was a 18 very close associate of the 19 and Strobe 20 Talbott was going to speak there the next day. 21 And the purpose of this dinner? 22 AMBASSADOR HOLBROOKE: Just a dinner with FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 107 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

b7C Per DOS 130 FOR OFFICIAL USE ONLY 1 a very dear friend and some of his friends. This 2 guest list is not correct. Okay. Go ahead and correct it 3 4 for us. Who can you recall being present? 5 AMBASSADOR HOLBROOKE: I can't tell you 6 exactly who was present, but I can tell you 7 categorically was not there, and 8 was not there. I don't have 9 any memory of being there, but might' 10 have been. were definitely there, 11 and there may have been other people.  $\cdot 12$ Let me ask you, the corrections 13 that you just stated, are they from your memory of 14 the dinner, or are they from phone conversations . 15 you've had with these individuals since--during the 16 investigation? 17 AMBASSADOR HOLBROOKE: I don't think 18 has ever been to my house, but I may be 19 wronq. I know wasn't there. I know that 20 because I remember -- I remember very vividly. Strobe stayed with us overnight. He didn't just · 21 22 come to dinner. He was our house guest during that FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. '07 C Street, N.E. Washington, D.C. 20002 (202) 146-6666

b7C Per DOS FOR OFFICIAL USE ONLY 131 trip. And was definitely there because 1 2 was And 3 I know wasn't there because I remember clearly that Strobe would not have stayed 4 5 with us if had been with us, unless 6 had also stayed, and we have two bedrooms, 7 and only one was occupied, and you do remember your 8 house guests. 9 Especially the ones that don't 10 leave. 11 AMBASSADOR HOLBROOKE: But I want to stress, I don't know who else was at the 12dinner. 13 I'm only telling you who on this list was 14 not at the dinner. There may have been other 15 people there. My memory fails me. And 16 sometimes would invite people at the last minute. 17 So do you recall--the front of 18 the voucher indicates the business purpose is 19 Harriman Institute speech, whereas the guest list --20 on top of the guest list, it reflects dinner in 21 honor of Deputy Secretary of State Strobe Talbott. 22 AMBASSADOR HOLBROOKE: So what? FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 507 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

b7C Per DOS 132 FOR OFFICIAL USE ONLY 1 What was the purpose? 2 AMBASSADOR HOLBROOKE: The purpose of the 3 It was just to have some of Strobe's dinner. friends over. It was a social event. 4 It had no business purpose? 5 6 AMBASSADOR HOLBROOKE: God, no. 7 And the voucher which states 8 business purpose says Harriman Institute speech. 9 Is that accurate? 10 AMBASSADOR HOLBROOKE: The next day, as I mentioned earlier, Strobe gave a major dinner at 11 12 the Harriman -- a major speech at the Harriman 13 Institute. 14 Right. Was that a business-15 -was there some business associated --· 16 AMBASSADOR HOLBROOKE: No. 17 --to Credit Suisse First Boston in connection with that? 18 19 AMBASSADOR HOLBROOKE: God, no. It's an 20 academic setting, and -- academic setting, major 21 foreign policy speech on U.S. relations with 22 Russia. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 707 C Street, N.E. Washington, D.C. 20002

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b7C Per DOS 133 FOR OFFICIAL USE ONLY 1 Is it your view, or was it 2 your view at the time that we're talking about, 3 1996--AMBASSADOR HOLBROOKE: 4 I'm sorry, 5 That's okay. Feel free to 6 take as much time as you want. 7 AMBASSADOR HOLBROOKE: No, no. That's 8 all. I missed your question. 9 Taking you back to this time 10 frame, if that helps make the question more • . 11 focused - -12 AMBASSADOR HOLBROOKE: Sure. 13 In your view, was it part of 14 your duties as Vice Chairman of CS First Boston to .15 maintain and develop contacts and relationships 16 with people who held positions of significance in the U.S. Government? 17 18 AMBASSADOR HOLBROOKE: No. 19 Having access to people like ·20 that was not of value to you in any of your 21 business work? 22 AMBASSADOR HOLBROOKE: My relations with FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. *07 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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Strobe Talbott and other Government officials all 1 2 came under my Government hat. I was at that 3 particular point just back from my second presidential mission to Bosnia as a special 4 5 Government employee. I'd been there in September 6 again, heading the presidential observer mission to 7 the Bosnian elections. This was a major foreign 8 policy speech. Strobe was coming to New York. We 9 had to talk about Bosnia, Russia, a whole slew of 10 other things. It was entirely wearing the other 11 hat.

12 I recognize that this is complicated and 13 confusing to some people. I was aware of that, and 14 I bent over backwards at every single moment to keep the two hats and the two lives separate. 15 16 Sometimes it was harder than other times, but I 17 always kept them separate. I never discussed business with Government officials or asked them 18 19 for business favors. Most of them never knew what 20 I did or would have understood it, to be quite 21 frank.

I understand your question, but there is FOR OFFICIAL USE ONLY

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1 no--that is not what First Boston expected from me. 2 I was not hired to have access to or influence with 3 Government officials. 4 I'm not suggesting there's 5. anything wrong with that. I'm just asking you the 6 question. 7 AMBASSADOR HOLBROOKE: Well, maybe there 8 wouldn't be something wrong with it, and many 9 people leaving this town and who were involved in 10 the city go directly into private business where 11 their primary or sole function is to use their prior access. I don't do that. I never have and I 12 13 never will. 14 I spent 12 years on Wall Street in the 15 '80s at Lehman Brothers, and I was hired to do 16 banking, and the U.S. Government and its officials 17 would never, never involve that. And I kept the 18 two incredibly comparentalized, but apparently not 19 to the satisfaction of an anonymous letter writer 20 or somebody else. But I am telling you that. They 21 may have misunderstood. My Government hat hurt me 22 in business, aggressively, accurately hurt me. As FOR OFFICIAL USE ONLY

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1	I said earlier, and I think I said to you when I
2	saw you last, althoughbecause that interview
3	caught me off balance, I hadn't really focused and
4	refined my thinking, as I obviously have over the
5	five months since I saw you last. But it hurt me
6	big timebig timemy Government connections.
7	And I wouldwell, I don't want to
8	speculate on how they feel about having hired me,
9	but let me be clear. I spent far more time wearing
10	that Government hat than I expected to, than they
11	expected to, than my counsel expected to when he
12	negotiated the arrangements, or than they wanted.
13	I did it because that's all I care about. And
14	lives were at stake. In addition to the normal
15	national interest of the United States, in one
16	particular area, 20,000 men and women were at
17	stake.
18	But éven beyond that, in less explicit
19	areas, like that Hungarian-Slovak state treaty I
20	talked about earlier, there was a huge national
21	interest. And nobody was going to Central Europe,
22	and I had been the primary negotiator, so I go and
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1	I carry messages, and I push it forward. And it's
2	a great triumph for the U.S., and I'm proud to have
3	done that. But it didn't help me with the goddamn
4	firm, which finally brings us to the demonstrations
_ 5	last week when my colleagues can't get into their
6	own offices. Excuse me for venting, but I'm sure
7	you understand why I feel it necessary to repeat
8	myself. Sorry,
9	So no one at the dinner at your
10	residence took any actions on behalf of Credit
. 11	Suisse First Boston to facilitate any, say, for
12	example, meetings for upcoming trips that you were
13	taking or
14	AMBASSADOR HOLBROOKE: No one
15	To Europe. Trips that you took
. 16	to Europe
17	AMBASSADOR HOLBROOKE: I know. What was
18	the first half of the question?
19	Did anyone at the dinner
20	facilitate any
21	AMBASSADOR HOLBROOKE: You're talking
22	about the Strobe Talbott dinner?
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b7C Per DOS FOR OFFICIAL USE ONLY 138 Yes. 1 2 AMBASSADOR HOLBROOKE: No. 3 Okay. CS First Boston paid for a lunch in Berlin for then Deputy Chief of Mission 4 5 at the U.S. Embassy at Bonn, J.D... 6 AMBASSADOR HOLBROOKE: Bindenagel. • 7 Bindenagel. Thank you. Do you recall that lunch? 8 9 AMBASSADOR HOLBROOKE: What, the lunch 10 with Bindenagel? 11 Yes, January 17th of '97. Do 12 you have the voucher? 13 [Pause.] AMBASSADOR HOLBROOKE: Where was this? 14 15 Berlin? What city was this in? The voucher indicates Berlin. 16 17 AMBASSADOR HOLBROOKE: I have no memory of 18 it, I have no memory of it. 19 Do you see in the voucher 20 there's an American Express bill attached, and it 21 says--oh, you don't have the attachments to it? 22 Okay. Fine. I'll show you. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. "07 C Surcet, N.E. Washington, D.C. 20002

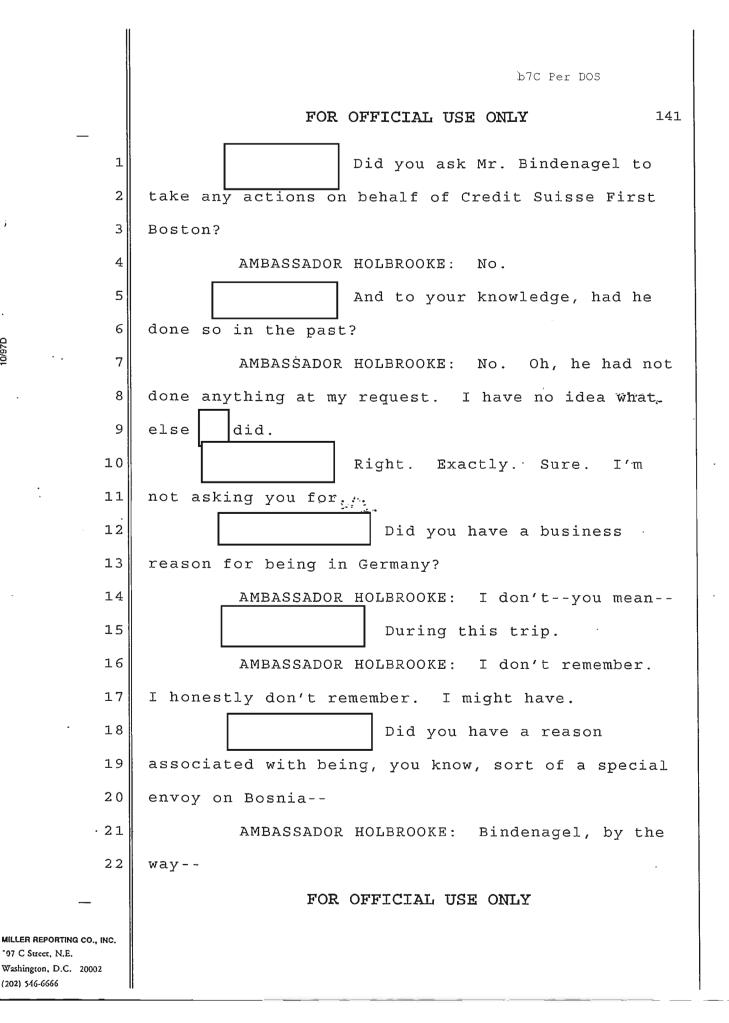
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b7C Per DOS 139 FOR OFFICIAL USE ONLY 1 It's written on there, the receipt, I 2 believe, lunch with ... 3 AMBASSADOR HOLBROOKE: Bindenagel. 4 Bindenagel. DCM. Do you see 5 that - -AMBASSADOR HOLBROOKE: Right, right. 6 7 Is that your writing? 8 AMBASSADOR HOLBROOKE: No. 9 Do you know whose writing that 10 is? 11 AMBASSADOR HOLBROOKE: 12 This is my writing. 13 Why would CS First Boston pay for a lunch for the Deputy Chief of Mission of the 14 15 Embassy--16 AMBASSADOR HOLBROOKE: Same reasons as for 17 the I Ricchi lunch. He had been my DCM. I had 18 chosen him for the job. He was a friend, good 19 Foreign Service officer. We were getting together 20 to discuss policy issues and get caught up on 21 social things, and I picked up the tab. 22 So it was a personal lunch, FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. '07 C Street, N.E. Washington, D.C. 20002

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	b7C Per DOS
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1	would you characterize it, versus business?
2	AMBASSADOR HOLBROOKE: Well, it was social
; ع	and I suspect, given the date ofwhat was the date
4	of it?
5	January 17th of '97.
6	AMBASSADOR HOLBROOKE: I'm sure we talked
Q26001 7	policy issues, Bosnia particularly. We probably
8	talked about U.SGerman relations, mutual friends,
9	the usual.
10	Do you know what business
. : 11	Credit Suisse First Boston had in Germany during
12	that time period?
13	AMBASSADOR HOLBROOKE: No. They had a big
14	office in Frankfurt, which at that time I had never
15	visited.
16	And you didn't go on that trip
17	to the office?
· 18	AMBASSADOR HOLBROOKE: I don't think so,
, 19	but I'm not positive.
20	Do you recall, did CS First
21	Boston pay for your trip to Germany?
22	AMBASSADOR HOLBROOKE: Yes.
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b7C Per DOS FOR OFFICIAL USE ONLY 142 --to be in Germany? 1 2 AMBASSADOR HOLBROOKE: I should point out 3 that Bindenagel--what's the date of this? January '97? 4 5 Right. 6 AMBASSADOR HOLBROOKE: Bindenagel is at 7 that point chargé, not DCM. So he's the acting 8 Ambassador. That's an important point. He's the 9 acting Ambassador, which he was for 11 months between Redman, my successor, and Kornblum, who's 10 11 there now. And so there was a lot to talk about, 12 Bosnia-related stuff, social stuff, foreign policy, 13 Foreign Service gossip. 14 But putting aside what you 15 might have talked to Bindenagel about, your presence in Germany --16 17 AMBASSADOR HOLBROOKE: Do you have my 18 schedule? Was on that trip or not? I don't 19 I have no memory, know. of that. 20 But that doesn't mean the answer is no. Ι 21 go to Berlin a lot because I am the chairman of --22 the founder of the American Academy in Berlin, FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 107 C Street, N.E. Washington, D.C. 20002

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1 which opened its doors formally last week. You 2 might have seen the articles in the New York Times 3 and Washington Post. And so I have a special 4 relationship with Berlin. 5 hands Ambassador Holbrooke a _ document.] 6 7 AMBASSADOR HOLBROOKE: Oh, this is the 8 trip. There was no business on this trip. This --9 is this the trip we're talking about, January 15th? 10 Okay: 11 This is RCH 206 and 207. 12 AMBASSADOR HOLBROOKE: There is no . 13 business on this trip. Thank you for producing this. 14 · ~ . . . . . . . 15 I go to Germany so often See, I go-16 to the American Academy and other things that I 17 just--okay. Can I walk you through this trip, 18 19 Sure, go ahead. 20 AMBASSADOR HOLBROOKE: Very quickly. 21 This was my first trip back to Germany 22 since I left the Government, I think. I went to FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 107 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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144 Bonn to receive an award from the German Government 1 2 called the Monford Werner (ph) award in honor of 3 the late Secretary-General of NATO. This was the first award ever given by the Germans of this sort. 4 5 It was a very great honor. 6 Bindenagel and I spent a lot of time 7 together. He was the acting Ambassador. It was 8 very important he participate in these--this was 9 wearing -- I was wearing my USG hat and former 10 American Government official. The schedule's very 11 clear. Bindenagel and I, we go to the awards 12 ceremony. I meet who, despite 13 friend of mine. is a We have dinner with -- I have dinner with 14 15 16 I spent the night at a hotel. The 17 next morning I go to Berlin and have a meeting with 18 a German friend of mine. I have lunch with another friend of mine, according to this. 19 20 I see. Okay. I see what happened. So 21 there's a difference between this and this. So 22 some of it changed. I met with FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 507 C Street, N.E. Washington, D.C. 20002

_	FOR OFFICIAL USE ONLY 145	
1	a German friend of mine;	
2	another friend of mine.	
` 3	The next morning, Bindenagel and I,	
4	according to this, had breakfast with	
5	and then I leave. So there's no business at all.	
; 6	Zero.	
10/9/0	There's also a dinner with Bindenagel, if	
8	I'm talking about the same trip. I may have these	Per DC
9	trips mixed up. Is this the same trip?	
. 10	This is January 17th.	
11	AMBASSADOR HOLBROOKE: Is that the same	
12	trip that J.D. gave the dinner for me?	
13	According to this, I think it	
14	is.	
15	The dinner was September 7th of	
. 16	· 96.	
17	AMBASSADOR HOLBROOKE: Okay, so that's two	
18	differentyeah, two different trips. Okay. So	
19	this wasn't my first trip to Berlin since I left	
20	the Government. It would have been my second.	
21	Okay. Yeah, that makes sense.	
22	I have the two trips completely merged	
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b7C Per DOS FOR OFFICIAL USE ONLY 146 1 into one in my mind. Sorry about that. On the first one, in September, 2 3 did you have--were you there on CS First Boston business? 4 5 AMBASSADOR HOLBROOKE: Again, I have to 6 look at my schedule, but they paid for the trip, 7 that's for sure. Do you have the September --8 9 I might. I didn't come fully 10 loaded and break everything out. But let me see if I do. 11 12 [Pause.] 13 RCH 32 might be the document. hands Ambassador Holbrooke a 14 15 document.] . AMBASSADOR HOLBROOKE: This is not it. 16 17 This is something entirely different. 18 Yes, that's the 17th. The dates changed. 19 20 AMBASSADOR HOLBROOKE: Okay. So that's 21 the September -- I see. I had two trips kind of 22 merged into one in my mind. I don't remember any FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. ⁶07 C Street, N.E. Washington, D.C. 20002 (202) 146-6666

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1	business on this trip, but I may have had some
2	business meetings. In any case, if there were
° 3	business meetings, they were set up by me or our
4	Frankfurt office.
5	Yeah, there's a clear business meeting on
۶ 6	here, if it took place, and that's with
g/6/01 7	and that was set up by my
8	office in Frankfurt, by our office in Frankfurt.
9	And
10	How do you spell last name?
· 11	AMBASSADOR HOLBROOKE:
12	: This is RCH 31.
13	AMBASSADOR HOLBROOKE: May I just ask,
14	because it's noon and I have to sort of adjust, can
15	you give me any sense of whether we're 10 percent
16	through or 75 percent through or
17	Why don't we go off the
18	record?
19	Why don't we go off the
20	record here for a second?
21	[Discussion off the record.]
22	Do you recall Mr. Bindenagel
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AMBASSADOR HOLBROOKE: Bindenagel. I apologize for butchering his 2 3 Do you recall the dinner he held in name here. your honor --5 AMBASSADOR HOLBROOKE: Yes.

6 --in September? You do? Okay. 7 I've got to ask you a question, and the only reason 8 I'm asking is because on the guest list it doesn't 9 refer to you in your current or former State 10 Department status but, rather, in honor of 11 Ambassador Richard Holbrooke and 12 Vice Chairman, Credit Suisse First Boston Bank. So 13 with that, I just want to ask--and I'll show you 14 the guest--I guess you have it there.

15 Were any people in attendance there, did 16 anyone in attendance have any business with CS 17 First Boston that you are aware of?

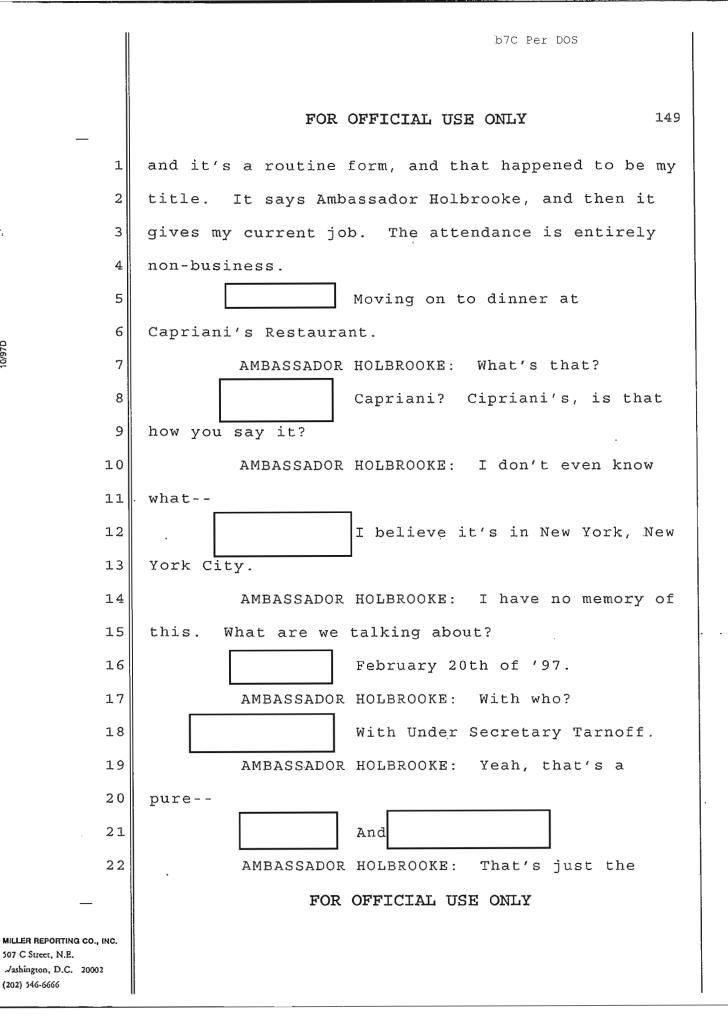
AMBASSADOR HOLBROOKE: 18 No. No. And the 19 reason--I'm very familiar with this form because I 20 was--when I was Ambassador, this form was made out 21 all the time. This is done by some -- this is done 22 by some secretary in the Protocol Office in Bonn,

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1 three of us? 2 That's all that's indicated. 3 AMBASSADOR HOLBROOKE: God, I had no 4 memory of that until you mentioned it. Now I 5 vaguely remember it. Business purpose, diplomatic 6 relations. Yeah, that's fine. Tarnoff was another 7. one of my oldest friends. He was one of the key 8 people I interacted with during the--wearing my 9 special Government employee hat. I hadn't seen him 10 in a long time. They were in New York. I took 11 them out to dinner. Business was never discussed. 12 The purpose of the voucher 13 being diplomatic relations, is that --AMBASSADOR HOLBROOKE: That's 14 15 Okay. So that's not accurate? 16 AMBASSADOR HOLBROOKE: It was -- it was a 17 social dinner, but we talked about policy issues, 18 non-business. I was wearing--it was either social 19 or the U.S. Government hat. You're talking to the 20 Under Secretary of State, the number three guy in 21 the Department. A new administration is formed up · 22 in Washington. Madeleine has just taken over as FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. Washington, D.C. 20002

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1	Secretary of State, and the number one policy issue
2	is how to make sure we regain the momentum in
`3	Bosnia. There are 300,000 people in the streets in
4	Belgrade demonstrating against Milosevic. Policy
5	is under considerable tension. I've already met
6 و	privately with Albright, and she has said, "I wish
0/6/01 7	you'd continued with Bosnia," notwithstanding
· 8	anything you've read about my relations with her.
9	They were very good and very close. And Tarnoff is
10	in New York. I don't know what he's doing in New
· · 11	York, but he calls up or and says, "I'm going to be
12	in New York," and I say, "Let's have dinner," and
13	vice versa.
14	By the way, I don't believe that
15	arrived at the dinner until the end, as I
16	reconstruct it, because there's this vivid picture
17	of us sitting in a corner at a table in a very,
18	very noisy restaurant, and was not there until
19	the end. But that's circumstantial.
20	Anyway, bottom line, once again, never
. 21	discussed business.
22	Does Credit Suissedoes CS
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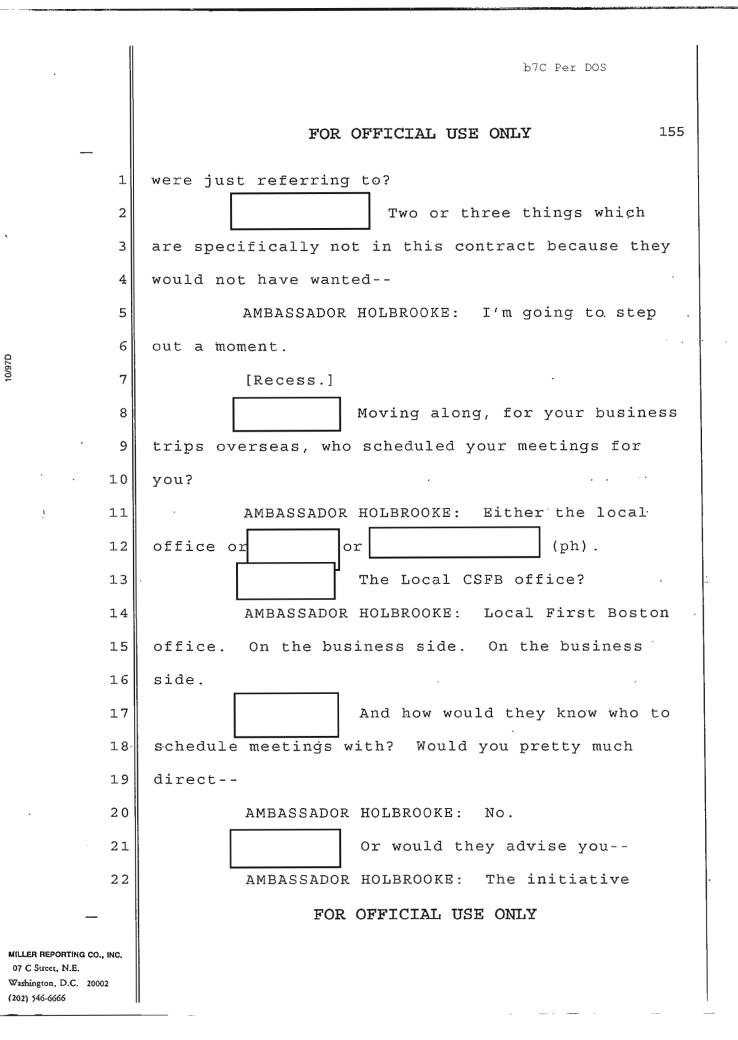
FOR OFFICIAL USE ONLY 152 First Boston have any vested interest in your 1 2 relationship with Mr. Tarnoff? AMBASSADOR HOLBROOKE: No. Oh, you mean 3 my current and present relationship? 4 Your relationship in February 5 of '97. 6 7 AMBASSADOR HOLBROOKE: Okay. None at all. 8 We're kind of through with the meals. I just would like to go back --9 10 AMBASSADOR HOLBROOKE: Except our meal, 11 which I'd like to invite you to, but ... 12 I'd like to go back the policy 13 of CS First Boston. Do you have it? 14 AMBASSADOR HOLBROOKE: The policy? 15 I'll give it to you in a 16 moment. It states on the second page, Section 4.1, 17 Sheet No. 1 of 1, under General Policy for Expenses, paragraph S states in part, "Business-18 19 related expenses must exclude expenditures for 20 employee's direct or indirect personal benefit and 21 for non-employees, relatives and friends of 22 employees. Exceptions such as expenses incurred on FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC.

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b7C Per DOS 153 FOR OFFICIAL USE ONLY behalf of spouses accompanying employees on firm 1 2 business requiring travel outside their office 3 location must be approved in advance by a member of the Operating Committee." 4 hands Ambassador Holbrooke a 5 6 document.1 7 AMBASSADOR HOLBROOKE: Yes. 8 I guess my question would be: 9 How do you square the policy up with your practice 10 of vouchering --11 AMBASSADOR HOLBROOKE: First of all, I've 12 never seen this piece of paper before. 13 Right. 14 Can I assume that you're not 15 interested in trying to establish that he may have 16 violated a CS First Boston policy? 17 What we're trying to establish 18 is why CS First Boston paid for --19 We're trying to get the 20 facts down. 21 I understand that. 22 The significance of the FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 17 C Succet, N.E. Washington, D.C. 20002 (202) 546-6666

b7C Per DOS FOR OFFICIAL USE ONLY 154 facts we can discuss later, but I don't want to get 1 2 into a debate with you here about whether this is important or unimportant. I think the question is, 3 basically, is he aware of this policy. I think 4 5 we've talked about this already. I assume you б still don't recall ever looking at this --7 AMBASSADOR HOLBROOKE: Never saw----policy and being familiar 8 with it. 9 10 AMBASSADOR HOLBROOKE: No. 11 Or having been made aware of it orally? 12 13 AMBASSADOR HOLBROOKE: No. But, in any case, the superseding document is my own contract 1.4negotiated, which specifically covers 15 whick the item about spouse expenses and travel and 16 17 implicitly covers the rest of it. 18 Is there anything in that 19 document that you believe covers the scope of 20 entertainment expenses that you can claim? 21 No. 22 Is that the contract you FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 507 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

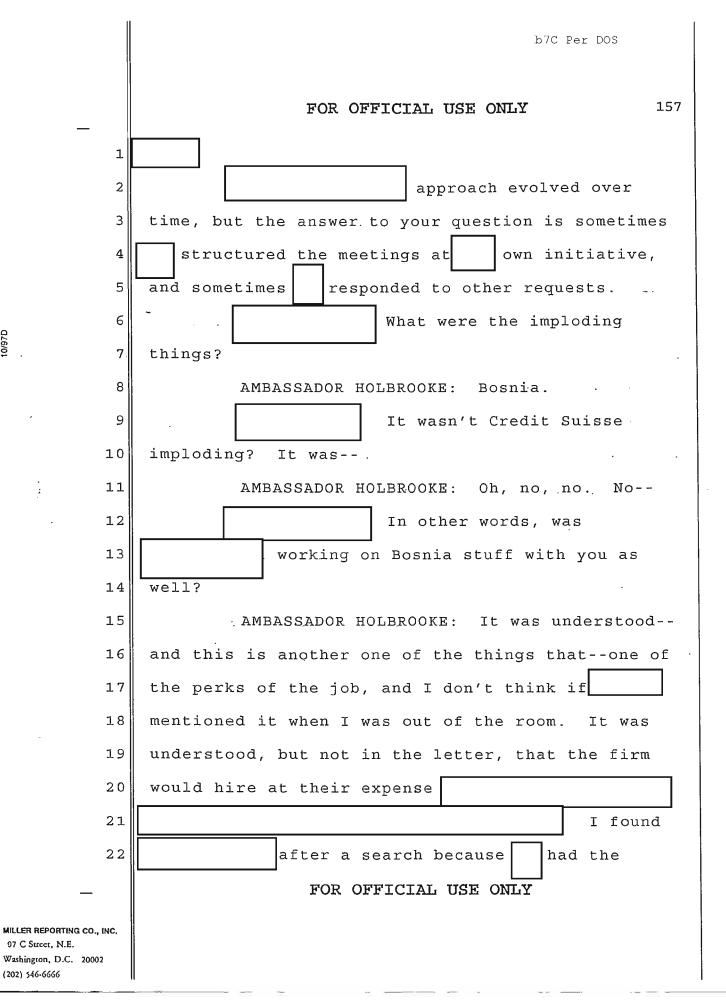


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1	comes from the local office, the Frankfurt office.
2	It asks me to make a business call or two, and I
3	try to meet theirit's the usual thing.
4	. What about the meetings that
5	scheduled for you?
6	AMBASSADOR HOLBROOKE: Usually, might
0.601 7	initiate it might work it out with the
8	local office. evolved. When started out,
· 9	was sort of confused and didn't know how to do
10	anything, and came at a very- a very good
· . 11	but had no prior business experience. And
· 12·	was hired by the firm specifically to work as
13	because of this imploding set of things
14	that were coming up from all directions. And
15	wanted to learn the business.
. 16	At first, was totally confused.
17	didn't know debt from equity. But learned.
18	learned well. But the first period was a huge
19	learning curve, and there was a lot of chaos
20	because I was totally diverted towards other
21	things, and we were trying to do too much at once,
22	and I had
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158 FOR OFFICIAL USE ONLY b7C Per DOS 1 intellectual academic background and yet wanted to 2 do business. 3 And that was another part of your negotiation with 4 that I think we've neglected to mention earlier. · 5 6 That was extremely unusual. Of all the 7 perks, that was the most--one of the most unusual. 8 been invaluable. began workid not 9 come in with me on day one, unfortunately came 10 in--by the time came in, we were headed into the 11 crisis in Bosnia that I described earlier. Or we 12 were deep in it. 13 So the meetings that scheduled for you prior to going on a trip, is it 14 15 safe to say that you knew what your schedule was 16 for these trips prior to going? I realize things 17 changed. 18 AMBASSADOR HOLBROOKE: The exact opposite, 19 I didn't know what I was doing half the 20 time. I'd get to the airport, and I'd open up a 21 folder from and there would be a schedule. And I would call 22 up and say, "Where did this FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 107 C Street, N.E. W2shington, D.C. 20002

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b7C Per DOS FOR OFFICIAL USE ONLY 159 1 come from?" And say, "Vandenhugel and I 2 worked it out." I wouldn't get upset with them 3 because I was off doing my Government stuff trying 4 to--it was high chaos, and particularly at this 5 point when--as you can see, if you check the . 6 newspapers, the U.S. Government's policy in Bosnia 7 was perceived to be falling apart, and I was 8 beginning the discussions -- we're talking now about arrived, right? 9 the period when 10 Yes. 11 AMBASSADOR HOLBROOKE: I was beginning the 12 discussions which led to the July emergency trip. 13 And yet at the same time, I was trying to satisfy First Boston. 14 15 When was the last time you 16 spoke with Ambassador Thomas Siebert? · 17 • AMBASSADOR HOLBROOKE: I don't know. I 18 talked to him a lot. It was sometime in the last week or two. 19 20 And what did he tell you as far 21 as--22 AMBASSADOR HOLBROOKE: He had lunch with FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. '07 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

FOR OFFICIAL USE ONLY  FOR OFFICIAL USE ONLY  me.  MBASSADOR HOLBROOKE: He had lunch with me in the firm recently.  MBASSADOR HOLBROOKE: I don't remember kneweks.  Meeks.  Meeks.  Mathematical Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Structure Str	160
<pre>1 me. 2 Pardon me? 3 AMBASSADOR HOLBROOKE: He had lunch with 4 me in the firm recently. 5</pre>	L60
2 Pardon me? 3 AMBASSADOR HOLBROOKE: He had lunch with 4 me in the firm recently. 5 II Right. 6 AMBASSADOR HOLBROOKE: I don't remember 7 the exact date, but it was sometime in the last t 8 weeks.	
2 Pardon me? 3 AMBASSADOR HOLBROOKE: He had lunch with 4 me in the firm recently. 5 II Right. 6 AMBASSADOR HOLBROOKE: I don't remember 7 the exact date, but it was sometime in the last t 8 weeks.	
AMBASSADOR HOLBROOKE: He had lunch with me in the firm recently. 5 6 AMBASSADOR HOLBROOKE: I don't remember 7 the exact date, but it was sometime in the last t 8 weeks.	
4 me in the firm recently. 5 Eight. 6 AMBASSADOR HOLBROOKE: I don't remember 7 the exact date, but it was sometime in the last t 8 weeks.	
5 . Right. 6 AMBASSADOR HOLBROOKE: I don't remember 7 the exact date, but it was sometime in the last t 8 weeks.	
6 AMBASSADOR HOLBROOKE: I don't remember 7 the exact date, but it was sometime in the last t 8 weeks.	
8 weeks.	
8 weeks.	wo
9 In your most recent discussio	
	1
10 with Ambassador Siebert in which the investigation	n
11 was discussed, what did he tell you was discussed	
12 in my interview with him?	
13 AMBASSADOR HOLBROOKE: I think hehe	
14 didn't give me a lot of detail. He said that you	
15 had come to see him and you discussed the trips t	0
16 Stockholm, and that he had explained the	
17 circumstances which we recalledSweden was an ap	ea
18 that was neglected by senior officials, an area	
19 that I had very strong relationships in.	
20 had even stronger ones, having just-	
21	<del>ل</del>
22	
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b7C Per DOS 161 FOR OFFICIAL USE ONLY and so we talked about this trip, and 1 2 he said he just described to you the circumstances. 3 He wasn't very specific. This lunch had been scheduled for -- again, 4 5 we see each other all the time. We're friends. 6 Did you also have a 0/97D 7 conversation after my first interview with 8 Ambassador Siebert? AMBASSADOR HOLBROOKE: Well, that's the 9 lunch we're talking about. 10 You're talking about after 11. your first interview of Ambassador Holbrooke or--12 13 No. I had two interviews with Ambassador Siebert. 14 15 AMBASSADOR HOLBROOKE: Oh, I didn't 16 realize that. I didn't realize that. I thought 17 you'd had one. I apologize. I misunderstood you. 18 So you were only aware of one 19 interview. 20 What was the purpose of your trip to 21 Sweden during May 27th through 30th of '96? 22 AMBASSADOR HOLBROOKE: Do you have the FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. '07 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

_	FOR OFFICIAL USE ONLY 162
:	schedule on that? b7C Per DOS
:	The primary purposeyeah, the primary
	purpose was the publication of
4	That was the primary purpose. But
ţ.	Siebert was very insistent, and correctly so, that
6	wearing my other hat, he'd take me around to see
10/97D	Government officials to update them on the crisis
٤	in Bosnia and the policy, and please bear in mind
2	that the former Swedish Foreign Minister, Carl
· 10	Bildt, was the high representative in Bosnia and my
• 1:	counterpart at Dayton for the Europeans. So there
12	was that.
13	And then
14	also used the occasion to
15	set up one or two business meetings, which set
16	jup.
17	Did come along on
18	any of the Government-hat meetings that you had?
19	AMBASSADOR HOLBROOKE: No.
20	Was scheduled to?
21	AMBASSADOR HOLBROOKE: Nodidn't want
22	to. I wouldn't have wanted there. It's not
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163 anything that I would have asked for. 1 2 I want to distinguish here between a meeting with a Government official that 3 and 4 I might do without the embassy and a meeting with a 5 Government official that the Ambassador and I might б do without because that's an important distinction. But the Government of Sweden 7 relations with First Boston were not handled -- they 8 9 were handled by the London office, and I was not involved in those. 10 11 Are you confident that you 12 did not attend any business meetings with Credit 13 Suisse people and Siebert? AMBASSADOR HOLBROOKE: Well, you're asking 1415 it as though you know something I don't know. 16 You've tes--you didn't 17 testify. You said earlier in the interview, or the 18 earlier interview--I forget what it was--the first 19 interview that you had, you were pretty emphatic 20 that you had never taken any Ambassadors with you 21 or--22 AMBASSADOR HOLBROOKE: To a business FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. Washington, D.C. 20002

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b7C Per DOS FOR OFFICIAL USE ONLY 164 meeting. 1 2 To a business meeting. 3 AMBASSADOR HOLBROOKE: That's correct. You still --4 5 With certain exceptions. AMBASSADOR HOLBROOKE: With the exception 6 7 that I discussed with which--that bizarre 8 thing in Romania which took place later, where the 9 Ambassador insisted on coming. And then I brought that up voluntarily. But I volunteered that. 10 It. 11 took place well outside the 12-month period. But there was -- I am aware of no meeting -- I can't 12 13 reconstruct every second of something that's two 14 and a half years old, but I am aware of no meeting 15 with a business person that the Ambassador 16 attended, and I'm aware of no--and that is my firm 17 recollection. If I'm wrong on it, tell me and show me. But this is not something I did or asked for. 18 19 Do you have contrary indications? Let's 20 clear them up. 21 We're about to get to them. 2.2 There's a letter on CS First FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. Washington, D.C. 20002

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1	Boston stationery dated May 20, 1996, to
2	who was a State Department employee at
: 3	the U.S. Embassy in Stockholm, from
4	I'll just go ahead and read it,
5	briefly.
6	Here are answers to a few of
G16601 7	the remaining questions regarding Richard
. 8	Holbrooke's visit to Stockholm.
9	"Number one, he would prefer to stay at
. 10	the Grand Hotel on Monday evening, May 27th, since
. 11	he will be there at the remaining two nights.
. 12	Please thank the Ambassador, however, for extending
13	his hospitality. Holbrooke will meet Carl Bildt at
14	the hotel and would prefer that it be a one-on-one
15	talk.
16	"Number two, the rest of the schedule
17	looks great. Would there be any objection if
18	Holbrooke brings
1.9	to the 4:30 meeting
20	with
21	"Number three, the interview with
22	should be an exclusive. Holbrooke
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b7C Per DOS 166 FOR OFFICIAL USE ONLY could do a press event if there's interest, but 1 let's schedule first. 2 I'll arrange that. We're making one last effort to see Prime Minister 3 Persson through the Swedish Ambassador in D.C. 4 5 I'll keep you posted. 6 "Best regards." 7 AMBASSADOR HOLBROOKE: So what is the 8 question? I've never seen that letter or heard of it. I'm unaware of it. 9 The question is: .10 11 send this letter with what's indicated to be your desires for a hotel and 12 one-on-one talk with Mr. Bildt and the interview 13 14 with the --AMBASSADOR HOLBROOKE: send the 15 Did letter? 16 The interview--I'll finish the 17 send this letter with these 18 question. Did specific requests and information without 19 coordinating with you? 20 21 AMBASSADOR HOLBROOKE: Yes. But let me 22 just understand this. What is the issue here? FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. J07 C Street, N.E. Washington, D.C. 20002

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b7C Per DOS FOR OFFICIAL USE ONLY 167 The potential issue or the 1 2 reason for the question is the apparent --3 Well, why don't we just-let's not get into the reason for everything. 4 5 Let's just get the facts, and we'll move through 6 this much quicker. Why don't we just--7 AMBASSADOR HOLBROOKE: Can I see the 8 letter? 9 --start with the bottom line -- show him the letter. See if it benefits his 10 11 recollection. AMBASSADOR HOLBROOKE: Well, I've never 12 13 seen it, and I'm unaware that it existed; but I would like to see it. 14 15 You want me to make some comments about 16 this letter? 17 Would you like to? 18 AMBASSADOR HOLBROOKE: I think I have to. 19 First, I state that I've never seen it before. 20 Secondly, this letter is written in the 21 first few weeks of of working 22 with me when, as I said earlier, it was chaotic and FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 107 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

b7C Per DOS 168 FOR OFFICIAL USE ONLY was not yet understanding 1 ob. 2 Third, the first point is a refusal of a 3 request by Siebert to stay at the residence. That's--I'm not asking him to do anything. We made 4 5 the arrangements ourselves, and Carl Bildt is a 6 totally official Bosnia-hat issue, totally. And 7 all I'm doing is asking Siebert not to attend 8 because Bildt and I have a very close personal 9 relationship, and it was going to be tricky. That 10 meeting is vivid in my memory because it took place 11 at 1:00 in the morning in the bar. 12 Secondly, "the rest of the schedule looks 13 great" I can't comment on because I don't know what the schedule is. 14 15 The next sentence is completely baffling 16 to me. I don't believe I met with 17 18 It's not a 19 business meeting. And would have had 20 no reason to attend, nor would I have wanted 21 to. So all I can suggest to you is that 22 on own initiative for unexplained FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. '07 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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1	reasons put this sentence in. You've got to
2	
3	I don't believe a meeting with
4	ever took place because
	and I was
G 126/01 . 7	going to leave in the middle of the trip.
š . 7	We are showing you what is
8	Ambassador Siebert's projected schedule for the
9	same trip.
10	AMBASSADOR HOLBROOKE: Well, does he think
11	the meeting with took place?
12	: Well, you'll note that 1630
13	hours the item is on the schedule.
	AMBASSADOR HOLBROOKE: I see it.
15	Does that refresh your .
16	recollection at all
17	AMBASSADOR HOLBROOKE: No.
18	about whether the meeting
19	occurred at that time or at some
20	AMBASSADOR HOLBROOKE: Not at all.
21	other time?
22	AMBASSADOR HOLBROOKE: Not at all, because
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b7C Per DOS 170 FOR OFFICIAL USE ONLY 1 what I remember is that this was 2 and that we 3 were trying to clean out the stupid schedule that 4 had been overdone by both the embassy and 5 I have no memory of meeting with 6 I have no memory of talking to a I have no reason to want to see 7 meeting. 8 And if there was a meeting with arranged, it 9 would have been at request, not at mine. 10 not somebody I would want to waste time with. 11 There's no business purpose. There's no foreign policy purpose, and my time was incredibly valuable 1213 to me that day. 14 My vague, vague memory is that we dumped 15 the meeting out, but you'll have to check with 16 other people. In any case, did not 17 attend it, and I don't believe it took place, and it was not a business meeting. If it took place, 18 19 it was not a business meeting, and you'll have to 20 ask attended it or not. whether I don't believe 21 did, and I don't believe it took place. 22 The interview with is something FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 107 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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171 FOR OFFICIAL USE ONLY 1 the Ambassador asked me to do, and I was trying to 2 respond to the Ambassador's request to be useful to 3 him and to his mission. And that falls under the 4 general hat of my advisory role as a special 5 Government employee for European Security Affairs 6 in Bosnia, in an area of the world which was 7 important but neglected. So that's that. 8 Can I ask one question? That 9 Siebert schedule at 4:30 says no 10 taker. Did he have any notes? Did anybody ever 11 uncover anything? 12 Well, we're not going to get 13 into--. 14 I'm just--15 Yeah, I mean, 16 is obviously somebody who is --17 AMBASSADOR HOLBROOKE: Well, if says the meeting took place, then --18 19 Whether it took place or not is 20 kind of --21 AMBASSADOR HOLBROOKE: let me--22 Let's just get what the FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 27 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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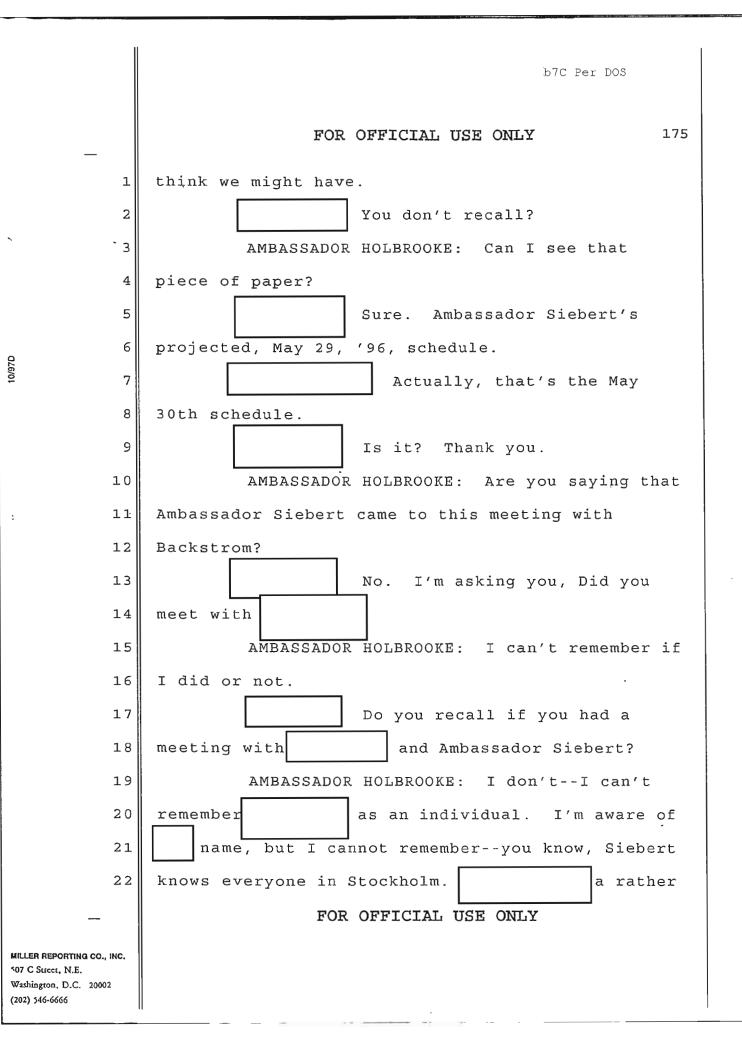
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1	facts are. We're not reaching any conclusions
2	today. We're simply trying to understand what
3	occurred.
4	AMBASSADOR HOLBROÖKE: Well, there's an
5	implied conclusion in the questions, which is I
6	sought a meeting with through the
70/970	embassy and wanted to take Every
8	that is false. I didn't want to see
9	I didn't know the . If there was a meeting
10	being talked about, it was at
11	initiative because had heard I was coming: It
12	was through the embassy. I didn't want it. I
13	believe I dumped it out.
14	If it took place, I have zero recollection
15	of it. It had no business content, and I don't
16	believe came, and I have no idea why
17	would have been in
18	letter, which I've never seen until this morning.
19	Okay.
20	AMBASSADOR HOLBROOKE: Now, this is
21	important.
22	I think you've been very
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b7C Per DOS FOR OFFICIAL USE ONLY 173 clear in terms of your recollection of this issue 1 2 and the nature of what's in the letter. 3 What was--explain briefly the 4 Baltic Advisory Council. What was its role and 5 your role on the Council? б AMBASSADOR HOLBROOKE: The Baltic Advisory 7 Council was formed by Prime Minister Goran Persson, 8 whose name, by the way, is misspelled in that 9 letter that you showed me. 10 Oh, is it? 11 AMBASSADOR HOLBROOKE: Yeah. Another indication of how sloppy things were at this moment 12 13 when was joining the firm and didn't 14 know what was doing, and I was completely 15 focused on things. 16 The Baltic Advisory Council was formed by 17 Prime Minister Persson to bring people from the 18 region, plus an American, to Stockholm on occasion in an informal, semi-formal manner to discuss the 19 20 Baltic Sea area. It was well known that the Baltic 21 Sea was an area that I had emphasized as a foreign 22 policy thing for the U.S. So Persson asked FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. '07 C Street, N.E. Washington, D.C. 20002

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b7C Per DOS 174FOR OFFICIAL USE ONLY President Clinton and me if I would be the 1 2 representative on it of the United States. The 3 President said it was a fine idea with him, and I therefore accepted. 4 5 I have attended something like two 6 meetings. They have about four a year, but the schedule was just difficult. 7 8 Was there anything during 9 the May trip that related to the Baltic Sea 10 Advisory Council? 11 AMBASSADOR HOLBROOKE: I don't think so. 12 It was really a trip about 13 The purpose of your meeting 14 with Ambassador Siebert and 15 16 AMBASSADOR HOLBROOKE: Ambassador Siebert 17 did not come to a meeting with the central bank --I'm just going by this 18 19 schedule, that he was scheduled to be at a meeting 20 with you. Did you meet with 21 22 AMBASSADOR HOLBROOKE: I'm not sure. Ι FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. *07 C Surcet, N.E. Washington, D.C. 20002 (202) 546-6666



b7C Per DOS FOR OFFICIAL USE ONLY 176 well-known person. I don't know. 1 2 Is it--someone characterized 3 as our equivalent being Alan Greenspan. 4 Is that a fair kind of --5 AMBASSADOR HOLBROOKE: Well, yeah. The 6 Swedish economy--that's a misleading comparison 7 because Sweden is not the United States. 8 Alan Greenspan might not 9 appreciate the comparison. 10 [Laughter.] 11 AMBASSADOR HOLBROOKE: But the Government 12 of Sweden was a First Boston client, handled by 13 London. I had no--no business discussions with the 14 central bank of any sort. I never have, never . 15 wanted to, never was interested in it, wasn't even 16 qualified to do it. Ιf if a meeting, it 17 would have only been on foreign policy issues. 18 Was on your schedule for 19 that trip? 20 AMBASSADOR HOLBROOKE: Was on my schedule? 21 22 We don't have a detailed FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. *07 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

b7C Per DOS 177 FOR OFFICIAL USE ONLY itinerary for that day, I don't believe. 1 The one you just showed Mr. 2 Holbrooke, was that the same schedule? 3 It has no detail. 4 It says see attached schedule. 5 6 [Pause.] 7 We're referring to RCH 24 and 25, and there's no detail other than the meeting 8 9 with Carl Bildt at the hotel. What business interest did CS 10 First Boston have in Sweden? Do you know of 11 12 specific projects? AMBASSADOR HOLBROOKE: Our firm was--the 13 firm was one of the bankers to the Government. But 14 15 I never had anything to do with that. My role in Sweden was to work on industrial clients, 16 17 particularly the Wallenberg Dynasty. 18 And what about Ericsson? AMBASSADOR HOLBROOKE: Well, Ericsson was 19 20 another important business company in Sweden 21 related to the Wallenbergs by that network. 22 What type of company was FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 507 C Sucet, N.E. Washington, D.C. 20002 (202) 546-6666

b7C Per DOS 178 FOR OFFICIAL USE ONLY 1 Ericsson, is Ericsson? 2 AMBASSADOR HOLBROOKE: It's sort of a 3 radio, electronics, telecom. Is it a Swedish company? 4 AMBASSADOR HOLBROOKE: 5 Yes. Was CS First Boston involved in 6 7 a cellular development project in the Republic of Georgia with Ericsson? 8 9 AMBASSADOR HOLBROOKE: I have no idea. No idea? 10 AMBASSADOR HOLBROOKE: Never heard of it. 11 12 Did you ever ask Ambassador Siebert to speak with anyone at Ericsson about any 13 business matters? 14 15 AMBASSADOR HOLBROOKE: No. Did you ever talk to Ambassador 16 Siebert about his potentially being employed with 17 CS First Boston? 18 AMBASSADOR HOLBROOKE: No. But I did talk 19 20 to him after he left Stockholm about what he was 21 going to do next, but for a different reason. 22 Telecom, as we all know, is the hottest part of teh FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 507 C Street, N.E. Washington, D.C. 20002

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1 business, and we have a very strong telecom group. 2 And he--I said to him, "What are you going to do now that you're out?" He said, "I'm going to go 3 into telecom--back into telecom." And I said, "You 4 5 ought to get to know our guys, and I'd love to set 6 it up for you." And I did set up a meeting for him 7 personally. I never offered him a job at First Boston. 8 9 Who did he meet with? AMBASSADOR HOLBROOKE: 10 If my memory is correct--and please don't hold me to this--I think 11 12 it was a named But I don't 13 remember who it was exactly. I did say to him, you know: Have you ever 14 15 thought about investment banking? It's interesting. You'd be a great investment banker. 16 17 And he said something like, That's not my--that's 18 not what I want to do. I want to do telecom, and I 19 can't live in New York. I believe this 20 conversation followed his departure from Stockholm. 21 And, in fact, that's the reason--that's one of the .22 reasons we stay in touch, is because, you know, to FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. ⁵07 C Street, N.E. Washington, D.C. 20002

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180 see whether he wants to do anything with telecom. 1 But nothing has happened so far. There's never 2 been any business involving him. 3 4 Okay. I'm just going to show you 5 6 this. I'm going to show you RCH 0042, your 7 schedule from December '96 in reference to Sweden. 8 AMBASSADOR HOLBROOKE: Right. 9 I can't see exactly from 10 here, but let's say about the third paragraph down 11 under A10, there's a sentence that says "Ambassador Siebert's driver will be available all 12 13 day if Ambassador Holbrooke wishes," and then somebody's written, "No." . 1415 AMBASSADOR HOLBROOKE: That's my--16 Is that your handwriting? 17 AMBASSADOR HOLBROOKE: Absolutely. Any recollection why --18 19 AMBASSADOR HOLBROOKE: Baltic Advisory Council. 20 21 Do you have any recollection 22 why--or what the "No"--FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. Washington, D.C. 20002

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AMBASSADOR HOLBROOKE: That means I don't 1 2 want to use an American Government car during a day in which my trip is paid for by CSFB, even though 3 the reason for this trip is the Baltic Advisory 4 Council, as you can see by where I filed it. 5 Even 6 though you could construe it as valid, I am well 7 aware of the rules, and I wanted to be ultra 8 careful. That's why I'm giving 9 Okay. you an opportunity to explain this. .10 . I'm sure you 11 AMBASSADOR HOLBROOKE: understand why I put emphasis on this, because I'm 12 13 not unfamiliar with this issue. Can you recall, looking at 1.415 this document, recall --AMBASSADOR HOLBROOKE: Well, I saw this 16 found it in the files, and I 17 document when went over it and I saw the "No" on it. 18 'Many times you do these things orally, but 19 every once in a while, you actually record 20 21 something which shows that you really had intent, 22 and this is -- and you see here the Baltic Sea FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 107 C Street, N.E. Washington, D.C. 20002

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1 Advisory. 2 Okay. 3 I'm going to refer now to RCH It's a letter from 4 089. Do you have that? 5 Ambassador Holbrooke to Ambassador Laney, dated March 21, '96. 6 7 AMBASSADOR HOLBROOKE: Yes, I'm familiar 8 with this letter. 9 Why did you ask Ambassador Laney to set up the meeting with President Kim on 10 this occasion? 11 AMBASSADOR HOLBROOKE: Because it would 12 13 have been inappropriate for me to make a courtesy 14 call on President Kim in which I would not discuss 15 business and cut the Ambassador out. It was an 16 opportunity to help the Ambassador, if he so 17 desired. Ambassadorial access to people like 18 President Kim Young Sam are very difficult. 1.9 I had known Kim for 20 years and played a 20 critical role in saving his life and keeping him 21 out of jail under the dictatorship, and now he was 22 President of the country. And I did not wish to FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC.

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1 set this meeting up through First Boston, which would have implied it had a business contact. And 2 3 I did not intend to have any business discussion if 4 I saw him. In the actual event, as I'm sure you 5 know, this meeting did not take place. · .6 Why--I'm curious--that 7 rationale about who would set up a meeting? Why 8 did that not follow for your meeting with Prime 9 Minister Klaus of the Czech Republic in which you 10 do indicate to Ambassador Walker that it was 11 strictly a personal meeting in which you would be 12 delighted if she would join you, yet you had the CS 13 First Boston rep set that meeting up versus having 14 the Ambassador set it up? To follow your logic --15 AMBASSADOR HOLBROOKE: Partly the 16 difference between Korea and Czech Republic, the 17 nature of the extreme, austere distance of the 18 Korean President as opposed to the tennis-playing 19 accessibility of Vaclav Klaus, partly the fact that 20 I'd seen Klaus recently in the States and he'd 21 asked me to come by. But this raises a generic 22 point which I'd like to make to you, FOR OFFICIAL USE ONLY

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Sure.

2 AMBASSADOR HOLBROOKE: And that is that on 3 my first trips overseas after leaving the Government and carrying the hat as a senior adviser 4 5 and continued participant in policy, and calling on 6 people--and there's a whole range of reasons. 7 Korea's quite different from Czech Republic, of 8 course, and I can address that if you're interested. I felt strongly that it would be a 9 diminution of the American Government and our 10 11 national interest if I went in to these people and had business meetings on my first trips out, 12 13 particularly with ongoing things. 14

In Asia, we had all agreed we hadn't explained our European policy and no one was going 15 16 to get out there and do it, and I could do it and 17 Ambassador Laney should be there. In Prague, the 18 issue was Bosnia, NATO enlargement. And in all 19 cases, the First Boston people objected strongly, 20 very strongly. They didn't like this fact that I 21 was putting my Government hat ahead of my First 22 Boston hat.

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b7C Per DOS 185 FOR OFFICIAL USE ONLY Who specifically do you 1 2 recall objecting at First Boston? AMBASSADOR HOLBROOKE: Everyone. 3 There were official complaints. I believe you have at 4 5 least one in writing in the files we turned over. Is that not correct? 6 7 That's correct. 8 AMBASSADOR HOLBROOKE: You have one in 9 writing from a very powerful person in the firm, 10 and that was triggered by a series of complaints 11 because of the fact that they were expected me to 12 go in and see Prime Ministers with them and press 13 business, and I was saying I'm not going to do 14that, it's wrong, I still have a Government hat as 15 a senior adviser to the Secretary of State and the 16 Assistant Secretary, and I don't want to come in 17 there and start--I'll use this great New York word-18 -"schnoring" for business. 19 Although you did do that in 20 Slovakia with Ambassador Johnson? I believe he 21 went to the meeting with the --AMBASSADOR HOLBROOKE: Yes, because John--22 FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. '07 C Sucet, N.E. Washington, D.C. 20002

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b7C Per DOS 186 FOR OFFICIAL USE ONLY --Prime Minister in which two 1 2 Credit Suisse First Boston reps also went in the 3 meeting. AMBASSADOR HOLBROOKE: We set that meeting 4 up and invited Johnson because Johnson--I gave 5 6 Johnson the option. Johnson has no access to 7 Meciar. Meciar Central Europe. Ι 8 was the only American who had any--official who had 9 any relationship with him. The issue, as I said 10 several times earlier and in my earlier interview, 11 was the Hungarian-Slovak state treaty, which was important in and of itself to prevent an explosion 12 13 between these two neighbors and also related to NATO enlargement. 14 15 And whenset up the meeting, 16 and I--can I be blunt in the room? I screwed him 17 because I said I'm not going to do business in this meeting. I'm going to invite the Ambassador, which 18 they really didn't like. 19 But I didn't tell the Ambassador to come. 20 21 Ι'd I said I got this meeting with 22 already talked to Kornblum about it, or people in FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. "97 C Street, N.E. Washington, D.C. 20002

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b7C Per DOS 187 FOR OFFICIAL USE ONLY bffice. I don't believe it was I said, 1 We set it up. 2 I'm going to see If you 3 want to come, that's fine. wrote me back a letter saying, I do 4 5 want to come; just as Laney said, I'd like to come; just as Ambassador Walker in Prague said, I'd like 6 7 to come if it happens. They all wanted to come. I I didn't 8 didn't need them for the access, 9 need any --10 Ambassador Walker, by the way, 11 stated she did not want to go. It was--she could 12 not explain why sent that. She 13 thinks it was a mis--but stated that she would have 14 . thought it would have been inappropriate. A lot of bad 15 AMBASSADOR HOLBROOKE: 16 Well--17 [Laughter.] 18 AMBASSADOR HOLBROOKE: That's not my problem. 19 20 I know. I'm just clarifying. 21 AMBASSADOR HOLBROOKE: It never took 22 place, and I'm pretty surprised by that statement. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. '07 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

b7C Per DOS 188 FOR OFFICIAL USE ONLY 1 But I'll defer on that. But, at any rate, the meeting 2 3 with Meciar, Ambassador Johnson was present. And 4 did the Credit Suisse reps go in as well to the 5 meeting? AMBASSADOR HOLBROOKE: I remember one 6 7 coming in. You said two. I didn't remember the 8 second one, but that's quite possible. . . What was discussed? 9 AMBASSADOR HOLBROOKE: We discussed the 10 11 Hungarian-Slovak treaty. I had seen the Hungarian Prime Minister the day before in the meeting you 12 13 and I discussed last time where we actually 14excluded to intense anger. And so the first thing I did was carry a very important 15 16 message between the two Prime Ministers concerning 17 the ratification of the state treaty. The second thing was the talk about human rights, press 18 19 freedom, and democracy. Huge issues. And American 20 officials never got to Bratislava. It was a real backwater. 21 22 The third thing was to talk about NATO FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC.

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1 enlargement. He wanted to get his country into NATO. I told him it would be real tough unless he 2 did X, Y, and Z. As it turned out, he didn't do X, 3 4 Y, and Z, and that's why Slovakia didn't join when 5 Hungary, Poland, and the Czech Republic did. 6 The fourth thing was for him to describe 7 his economic liberalization program, which he 8 claimed was great and should be fabulous and should 9 please the Western democracies. I had my doubts about that. 10 11 That's my vague, vague memory. I can't 12 || _give you any of the details. I don't remember the 13 details of the message. I don't remember the 14outcome. It's the only time I ever went to Bratislava since I left the Government. 15 16 Do you recall the purpose for 17 the Credit Suisse rep being present? 18 AMBASSADOR HOLBROOKE: They set it up. The Ambassador -- I was the one with access, not 19 20 Ambassador Johnson. 21 Right. But certainly Credit 22 Suisse didn't set it up to--they set it up to FOR OFFICIAL USE ONLY

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1 discuss what?

AMBASSADOR HOLBROOKE: They set it up as a courtesy call. I told and company I would not conduct business on my first go-around in Central Europe because I was so prominent. Forgive me for saying that, but it's true. They didn't like that, but they accepted it.

8 Then I added insult to injury-or injury 9 to insult, excuse me. I added injury to insult by 10 saying I feel we should give the resident Ambassadors the option, in Bratislava, above all, 11 12 because of the extraordinary problems this 13 was giving us, who I actively disliked but had 1.4 the most engaged relationship over any American 15 official. Everyone will confirm that, I'm sure. Ι 16 assume. I don't know what anyone will confirm 17 anymore based on some of the things you said this 18 morning. But that is the fact.

19And that was the first time20that the Credit Suisse First Boston met the Prime21Minister?

AMBASSADOR HOLBROOKE: I don't know. I

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1 have no idea.

But I do know that Ralph Johnson barely knew Meciar because he made clear in the letter he sent back to me, I've met him briefly, I would have--I don't remember the exact words. Is it in this book?

Yes.

8 AMBASSADOR HOLBROOKE: The Ambassadors 9 were all pleased that I was giving them the 10 opportunity to improve their access. That's what Ambassadors live for. They don't just call up on 11 12 the phone and say, Mr. Prime Minister, Mr. 13 President, I'd like to come chat with you today. 14 They either call up and say, I have an instruction to deliver to you, in which case 90 percent of the 15 16 time they're told to deliver it to someone lower, 17 unless it's a personal message from President Clinton, or--I'm talking about Presidents and 18 19 chiefs of state now--or else they go in with visiting firemen. That's the way they do it. 20 21 Again, I don't want to sound--I don't want 22 you to misunderstand this, but I was a big, big

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fire chief at that point. And these guys, like 1 2 Meciar, who was tying Central 3 Europe into knots, who I had the engaged 4 relationship with, and this new Ambassador, this 5 nice, quiet, competent but very unassuming 6 Ambassador, Ralph Johnson, was delighted. We had a 7 good--I had my first meeting, I hope it will be 8 interesting, with sustained, informal dialogue, I'd . 9 like to sit in, the relationship you established 10 can be extremely important to our efforts to get 11 the Slovaks to make the right choices. 12 It turned out we won one, the treaty, the 13 state treaty, but we lost all the others on that agenda. Dan Freed and I agreed last night -- that's 14 15 the present Ambassador to Poland and at that time 16 the NSC. So you can see that he must have 17 coordinated this very closely with the White House. 18 And he cc'd our guy in Budapest. 19 I was wearing the Government hat. I was 20 helping the Government. I had no problem seeing 21 Meciar alone, and I didn't benefit by taking the Ambassador. I hurt the firm. 22 FOR OFFICIAL USE ONLY

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1	This goes back to a paragraph you read me
2	last time. Remember the paragraph you read me from
' З	the anonymous letter? That the appearance of the
4	Ambassador would help us with business? I say
5	again to you the opposite is true in some cases and
6	it has no effect in others, but it doesn't help.
026/01 7	And with Meciar, it really hurts because he doesn't
8	like the U.S. Government.
9	I cringe
10	thinking about it.
. 11	Let me just follow up on one
12	thing that I think may have gotten lost in some of
1.3	the questioning. You said that there was the
1.4	written complaint, which I assume you're talking
15	about the memois that
16	AMBASSADOR HOLBROOKE: (?)
17	referring to
18	Okay. And basically the
19	complaint being that you're sort of putting your
20	Government hat ahead of CSFB, and you indicated
· 21	that that was something that came up fromyou
2 2	heard that from other sources within CSFB. Can you
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b7C Per DOS FOR OFFICIAL USE ONLY 194 remember any specific people perhaps farther up the 1 2 chain? 3 AMBASSADOR HOLBROOKE: My direct boss, the number two was well aware of what 4 5 had happened. 6 Did express concern to you 7 that you weren't fulfilling your duties to Credit 8 Suisse? 9 AMBASSADOR HOLBROOKE: I can't remember 10 the exact words. has an indirect style. made clear that 11 But was totally aware of this memo, even though it isn't shown as cc'ing 1213 that knew it had happened and said, You really caused a ruckus in Central Europe for 14 15 something like that. And I understood what that 16 meant. They were pissed. 17 Did you do anything 18 differently as a result of finding out that they 19 were pissed? 20 AMBASSADOR HOLBROOKE: No. I keep telling 21 you that my loyalty here is to the United States 22 Government and to the State Department and to the FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC.

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	1	Ambassadors who serve overseas. If I can help
<b>`</b>	2	them, I'm honored to, and I have an official
	3	capacity. I am the goddamn senior adviser to the
	4	Secretary of State and the Assistant Secretary for
	5	this issue. And even in faraway Korea, where the
Q	6	issue haswe've all agreedexplained that is
10/970	7	clearly relevant at that level, as well as with a
	8	like I am certain that
	9	whom I'd never heard of and had no desire to
والمتعلقة والمتعلقة والمتعادية والمتعادية	10	see, sought me out because wanted to talk about
	11	EU affairs. Look at title.
	12	which is of no interest to an
	13	investment bank, in EU Affairs, which is of no
	14	interest to an investment bank.
	15	Did I make clear that Kim Young Sam, the
	16	President of Korea, and I had a 20-year
	17	relationship and that I had saved him from death
	18	not death but serious jail?
	19	From being Aquino'd, is that
	20	the
	21	AMBASSADOR HOLBROOKE: What?
	22	From being Aquino'd when he
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1	stepped off the plane?
2	AMBASSADOR HOLBROOKE: No, no. That was
3	Kim Dae Jung.
4	I'm sorry.
5	AMBASSADOR HOLBROOKE: No, you're quite
6	right, there are two Kims. The current President
0/0/01 7	is Kim Dae Jung. His life I literally saved. He
8	was in a jail, water up to his ankles, they were
9	going to executive him. That's been well reported.
· 10	That's in many books.
11	
12	
13	
14	
15	
16	
17	
18	It's the famous two
. 19	and Kim Dae Jung, called DJ. DJ is the
20	current President. has been asking me about
21	
22	It's the current President whose life I
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1	saved, and he invited me to the inaugural as his
2	guest the beginning of this year, which I was
) 3	unable to go to. But you and I discussed this the
4	last time I saw you, and that was a reference to
5	the current and today you're talking to me
6	about the prior
7	Are we cleared up on the
8	I don't want to worry you
9	but I'm taking over the questions concerning the
· 10	book. I understand that you were going to bring
: 11	down the contract.
12.	AMBASSADOR HOLBROOKE: Yes. May I just
13	interrupt and just ask, again, guidance on my
14	airplane situation? Because I haven't spoken to
15	since 10:00, and going to be standing by.
16	Do you think 3:30 is in the ballpark?
. 17	We'll get out of here by 3:00.
18	AMBASSADOR HOLBROOKE: Can I smile for the
19	first time today?
20	[Recess.]
21	AMBASSADOR HOLBROOKE: I just want to add
22	one point that I was going to mention earlier,
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1 which is that I never got an exit interview from 2 this Government on the law, the Government ethics 3 law. They never came to me and said this is what 4 the law says in general and this is particularly 5 relevant to you. And I feel--this is a personal 6 editorial comment. I feel in a sense that I gave 7 more than--much more than 50 percent of the last 8 two and a half years to the Government for free, 9 hurt myself with my firm, and now I'm on this 10 process because of anonymous charges that -- and that 11 the State Department really didn't give me the kind 12 of warnings and alerts and briefings that they're 13 supposed to do. And I just wanted to say that. 14 You're supposed to have an exit interview. It 15 didn't take place. 16 Excuse me? 17 AMBASSADOR HOLBROOKE: You're supposed to 18 have an exit interview on this stuff. It didn't 19 take place. 20 I think in this case it 21 would have been particularly important because of 22 the two hats. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. Washington, D.C. 20002

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Do you know why an exit 1 2 interview did not take place? Because this AMBASSADOR HOLBROOKE: No. 3 is the State Department. Can you explain the 4 5 sloppiness of some of the documents you've seen in For example, the February 21st document says 6 here? 7 I'm going to be working full-time. You just go on. You're doing something in the national interest, at 8 the Cabinet level and the President, and you do it, 9 and then you don't expect to be accused of things. 10 11 But, anyway, you learn as you go along. 12 Sorry, There is a document that I'll 13 show you which is dated December 21, 1995, which is .14 approximately 60 days prior to your leaving the 15 16 State Department as Assistant Secretary for 17 European and Canadian Affairs, which is a certification, what is apparently your signature on 18 it, confirming that you viewed the 1995 ethics 19 20 training video in order to satisfy your obligation 21 of financial disclosure and comply with annual 22 ethics training regulations. FOR OFFICIAL USE ONLY

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b7C Per DOS FOR OFFICIAL USE ONLY 200 AMBASSADOR HOLBROOKE: First of all, that 1 2 is not my signature. 3 Secondly, even if I saw this video--and I 4 state here that I did not -- it doesn't apply to my 5 point. Third, on the date in question, we were 6 7 fighting for our lives in Bosnia. And I've never seen that document before. 8 9 Do you know who signed it? AMBASSADOR HOLBROOKE: No; I don't. 10 11 That's why I said apparently 12 your signature. I have no way of interpreting --13 AMBASSADOR HOLBROOKE: Did you experts on my signature see that? That is not my signature. 14 It's also not 15 in this case. 16 I never saw this video. It doesn't apply 17 to my point, and that isn't my signature. 18 It's a different kind of 19 forgery than the other. 20 AMBASSADOR HOLBROOKE: It's clearly 21 somebody else that -- welcome to the State 22 Department. December 21, 1995. FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 27 C Street, N.E. Washington, D.C. 20002 (202) \$46-6666

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Were you not aware when you
left the Government about the restrictions on your
contact with your former agency?

AMBASSADOR HOLBROOKE: I was aware, and I 4 5 have faithfully kept my two hats separate. I had 6 two--you say when I left the Government. I would 7 say when I resigned as Assistant Secretary of State 8 and became a special Government employee, and 9 simultaneously a Vice Chairman of First Boston. - Of 10 course, I was aware. The whole point of our 11 discussion is to establish that I was going as -- i was working in every way I could to keep that 12 13 distinction clear. I was telling every Ambassador, 14 everybody I worked with on the Government side, that I wanted to keep the two separate. 15 If any 16 gray areas exist, they were wholly inadvertent and 17 a result of the incredible pressure of the 18 unexpected demands the Government was putting on me 19 and my involvement. By Government, I include Ambassadors overseas. 20 21

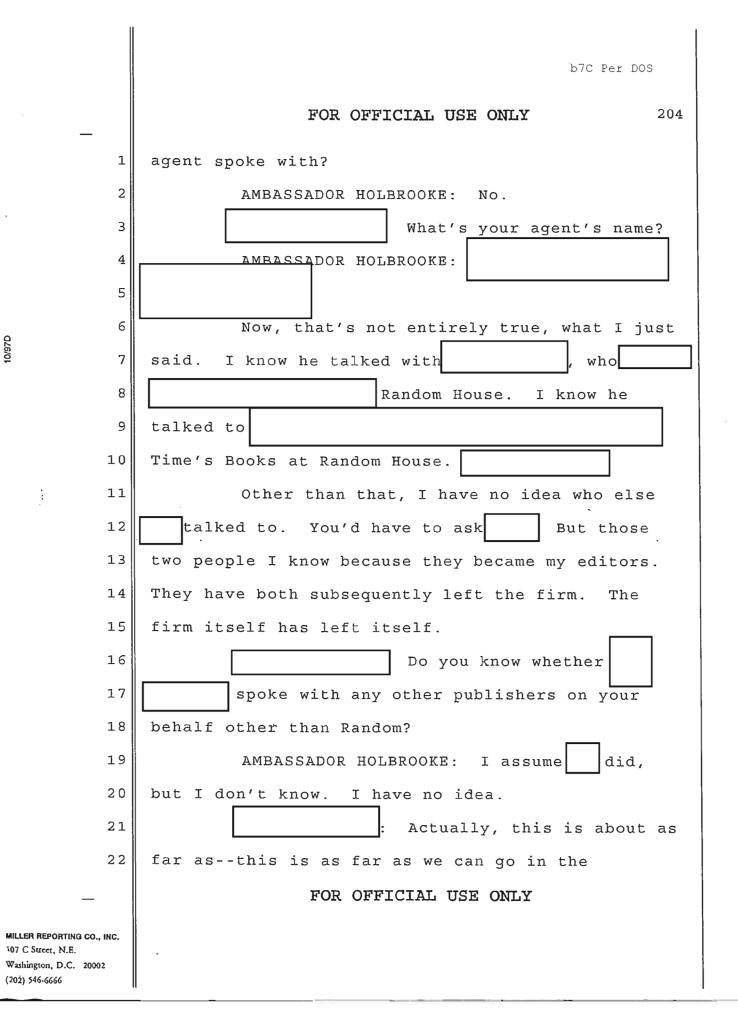
21 So I was aware, but I wasn't briefed on 22 the law.

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b7C Per DOS FOR OFFICIAL USE ONLY 202 I'm trying to understand. 1 2 You raised the issue that you didn't get an exit 3 interview, and you're saying as a result of that there was confusion in your mind as to what the 4 5 rules were? 6 AMBASSADOR HOLBROOKE: No. I was just 7 stating a fact, for your files. You need 8 all the data. It seems to me that's a relevant 9 fact. 10 It is a relevant fact. 11 AMBASSADOR HOLBROOKE: I'm just stating 12 it. I'm not presenting it as an exonerating fact or an indicting fact. I'm merely stating it. 13 When 14 this is all over, I will give you my editorial 15 views, but right now I'm simply stating what I 16 think is an important fact to add. 17 I'm sorry to divert you, and I 18 don't want to cut into the time since -- the other 19 20 I've just briefly had a 21 chance to check over the contracts here. It states that the contract --22 FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 507 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

b7C Per DOS 203 FOR OFFICIAL USE ONLY 1 AMBASSADOR HOLBROOKE: This is the book 2 contract? 3 Book contract, right. Ιt 4 states here that the contract was executed on teh 5 25th day of June 1996. Is that accurate? It says б on the top--there's no date by the signature. 7 That's why--8 AMBASSADOR HOLBROOKE: Yes. I guess so. 9 Okay. When did you first 10 speak with your publisher, Random House, about 11 doing a book? 12 AMBASSADOR HOLBROOKE: The conversations were conducted by my agent, not by me. 13 14 Okay. When did your agent 15 first go to the publisher? 16 AMBASSADOR HOLBROOKE: I have no idea when 17 started. 18 Was it prior to February 21, '96? 19 20 AMBASSADOR HOLBROOKE: I don't think so. 21 All right. Do you happen 22 to know the names of any of the people that your FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 507 C Street, N.E. Washington, D.C. 20002 (202) 546-6666



b7C Per DOS 205 FOR OFFICIAL USE ONLY 1 unclassified realm, so at this point I'll ask that 2 people who aren't cleared leave the room. 3 [Pause.] 4 That concludes -- do you have follow-up, wrap-up questions? 5 6 Well, there was some 7 reference earlier to some things that you had 8 noticed in your review of the transcript of your 9 previous interview that you thought were not 10 completely accurate. I think I sort of flagged one 11 of them for you earlier, which was you had made 12 some statements about I have never brought an 13 Ambassador to any meeting at which business was discussed, or words to that effect were in the 14 15 previous intérview. 16 But that I think was corrected within that first transcript. 17 18 Right --19 AMBASSADOR HOLBROOKE: Can I tell you what was in my head when I said that so you don't think 20 21 there's a complication here? 22 It was only after I left the interview FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. Washington, D.C. 20002

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b7C Per DOS 206 FOR OFFICIAL USE ONLY 1 with and reviewed the schedule with and 2 that I realized that I had completely misremembered the dates of certain events. Just 3 completely. That was what I was referring to, and 4 There's no 5 you've straightened all that out today. 6 longer any question. You've got the schedule. 7 I've got the schedule. We prepared for this. And while my memory is not perfect, I think it's 8 9 somewhat better than it was last time. It's fair to say, isn't it, that we 10 11 really had no idea why you were coming up to New York? 12 The first interview. 13 14 AMBASSADOR HOLBROOKE: And we came with no papers, and that was it. 15 Obviously the context is 16 17 different today and the background's different. Was there anything else? Any other specific things 18 19 that you had in mind when you made that reference to the interview? 20 21 AMBASSADOR HOLBROOKE: No. That was what I meant. It was one of these revelations about 22 FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. -07 C Street, N.E. Washington, D.C. 20002

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b7C Per DOS 207 FOR OFFICIAL USE ONLY 1 memory's tricks. And that came up again just now 2 when mentioned the reason for the February 3 '97 trip. I couldn't for the life of me have dated 4 the trip, but I have the most vivid memory But I didn't realize it 5 6 was that trip. And that's what schedules are for. 7 There was one thing that I think you had promised to provide us. Did we get 8 the Ferini --9 AMBASSADOR HOLBROOKE: 10 The 11 Thé letter back? And 12 the contract. Anything else? 13 No, I think those are the 14 only things I particularly noted. 15 All right. Anything you want 16 to add at this point on the record? 17 Not on the record. I'd like to just ask you about some going-forward questions. 18 19 Thank you very much. The interview is over at 0204 hours. 20 21 [Whereupon, at 2:04 p.m., the unclassified 22 portion of the interview was concluded.] FOR OFFICIAL USE ONLY MILLER REPORTING CO., INC. 77 C Street, N.E. Washington, D.C. 20002 (202) 546-6666

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