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Investigators' Guide to Sources of Information



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Office of Special Investigations

Soon after the establishment of the Office of Special Investigations in October 1986, I asked our Research and Analysis Team (R&A) to begin a collection of information sources to assist our investigators in locating data. In a short time, R&A had gathered an impressive array of sources from libraries, law enforcement agencies, and personal files of investigators, which culminated in the Investigators' Guide to Sources of Information. Our investigators find this guide to be useful as both a locator of new and imaginative sources of information and as a reminder of sources that can be overlooked.

This guide contains sources of information, such as various offices within federal, state, and local governments, and lists the types of information these sources provide. Licensing and regulatory agencies at all levels of government are excellent sources for investigators.

We plan to update this guide periodically, and we request your assistance in this effort. If you discover new sources that you believe other investigators may find useful, please write to me at the following address: Office of Special Investigations, 600 E. Street, N.W., Suite 1000, Washington, D. C. 20548.

Our common goal is to carry out thorough, useful investigations. I hope that you find this guide beneficial in pursuit of this goal.

David C. Williams

David C. Williams
Director

How to Use Investigators' Guide to Sources of Information

This guide is divided into four general categories: business, finance, people, and property. Under each category appear various sources, such as "city tax collector" and "county court clerk." Because a source may provide more than one type of information, it may appear under more than one category heading.

In addition to the four general categories are a section on electronic data bases and a bibliography. The data-base section can provide information about any of the four general categories. The bibliography can be used as a starting place for research as well as an additional source of ideas.

Some of the information listed in this guide may only be obtained through the legal process, such as with a subpoena.

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Abbreviations

AFL-CIO	American Federation of Labor and Congress of Industrial Organizations
ATF	Bureau of Alcohol, Tobacco and Firearms
BBB	Better Business Bureau
BIBL	Bibliographic Citation File
BPD	Bureau of the Public Debt
CCH	Computerized criminal history
CFDA	Catalog of Federal Domestic Assistance
CG	Congressional Status Files
CID	Criminal Investigation Division
CMIR	Currency or Monetary Instruments Report
CPA	Certified Public Accountant
CTR	Currency Transaction Report
D&B	Dun & Bradstreet
DBA	Doing business as
DD	U.S. Department of Defense
DEA	Drug Enforcement Administration
DOC	U.S. Department of Commerce
DOD	U.S. Department of Defense
DOE	U.S. Department of Education
DOJ	U.S. Department of Justice
DOL	U.S. Department of Labor
DOS	U.S. Department of State
EPIC	El Paso Intelligence Center
FAA	Federal Aviation Administration
FBI	Federal Bureau of Investigation
FCA	Farm Credit Administration
FCC	Federal Communications Commission
FDA	Food and Drug Administration
FDIC	Federal Deposit Insurance Corporation
FERC	Federal Energy Regulatory Commission
FHA	Federal Housing Administration
FHLBB	Federal Home Loan Bank Board
FMC	Federal Maritime Commission
FRS	Federal Reserve System
F&S	Funk & Scott
FSLIC	Federal Savings and Loan Insurance Corporation
FTS	Federal Telecommunications System
GAO	U.S. General Accounting Office

Contents

GAODOCS	U.S. General Accounting Office, Documents Retrieval System
GPO	Government Printing Office
GSA	General Services Administration
HHS	U.S. Department of Health and Human Services
HUD	U.S. Department of Housing and Urban Development
ICC	Interstate Commerce Commission
INS	Immigration and Naturalization Service
INSINC	Immigration and Naturalization Service Integrated Network Communications System
INTERPOL	International Criminal Police Organization
IRS	Internal Revenue Service
JURIS	Justice Retrieval and Inquiry System
LOCC	Library of Congress Computerized Catalog
MIN	House Member Information Network
NADDIS	Narcotics and Dangerous Drugs Information System
NASA	National Aeronautics and Space Administration
NCB	National Central Bureau
NCIC	National Crime Information Center
NCRM	National Referral Center Master File
NCUA	National Credit Union Administration
NLETS	National Law Enforcement Telecommunications System
NNBIS	National Narcotics Border Interdiction System
NTP	National Texts and Periodicals Data Base
OCC	Office of the Comptroller of the Currency
ORBIT	Online Retrieval of Bibliographic Information, Timeshared
OSI	Office of Special Investigations, U.S. General Accounting Office
PAIS	Public Affairs Information Service
R&A	Research & Analysis, Office of Special Investigations, U.S. General Accounting Office
SBA	Small Business Administration
SEC	Securities and Exchange Commission
SIC	Securities Information Center
S&P	Standard & Poor
SSA	Social Security Administration
SSN	Social security number
TECS	Treasury Enforcement Communications System
TFLEC	Treasury Financial Law Enforcement Center
USCG	U.S. Coast Guard
USCS	U.S. Customs Service
USDA	U.S. Department of Agriculture

Contents

USNCB	U.S. National Central Bureau
USPS	U.S. Postal Service
USSS	U.S. Secret Service
VA	Veterans Administration
WALES	Washington Area Law Enforcement System

Business

Sources of Information	Ownership	Financial Data	Corporate Officers	Biographical	Product or Type
City Government:					
Tax Assessor	X				
Tax Collector	X				
Building Inspector	X				X
Regulatory Agencies	X	X	X		X
County Government:					
Recorder	X	X			X
Tax Assessor	X	X			
Tax Collector	X				
Regulatory Agencies	X	X	X		X
State Government:					
Regulatory Agencies	X	X	X		X
Federal Government:					
Inspectors General	X				
Department of Agriculture					
Department of Commerce					
Dept. of Health & Human Services		X			
Dept. of Housing & Urban Development		X			
Department of Labor					
Department of State					
Department of the Treasury					
Bureau of Alcohol, Tobacco & Firearms					
Internal Revenue Service - CID		X			
U.S. Customs Service					
U.S. Secret Service					
Federal Aviation Administration	X	X			
Federal Communications Commission	X				
Federal Energy Regulatory Commission		X			X
Federal Maritime Commission	X	X		X	
General Services Administration	X	X	X	X	X
Interstate Commerce Commission		X			
National Aeronautics and Space Admin.	X	X	X	X	X
Securities & Exchange Commission	X	X	X	X	X
Small Business Administration	X	X	X	X	X
Federal Courts	X	X	X		
Commercial Sources:					
Better Business Bureau	X				
Chamber of Commerce					

Business

(continued)

Business

Sources of Information	Ownership	Financial Data	Corporate Officers	Biographical	Product or Type
Directories:					
America's Corporate Families	X				X
" & International Affiliates	X				X
Directory of Companies Filing w/SEC	X				
Dir. of Corp. Aff. - Who Owns Whom	X				
D&B's Middle Market Directory	X	X	X		X
D&B's Million Dollar Directory	X	X	X	X	X
Funk & Scott's Index	X				
Moody's	X	X			
S&P's Corporation Records		X		X	X
S&P's Register of Corporations	X	X			

Business

Types of Information									
Subsidiaries	Credit Report	Contractor Sub	Contractor General	Govt Contracts	Previous Investigations	Taxes	Location	Labor Issues	Licensing/ Regulatory
X									
X									
X									
X	X								
X	X								

Business

City Government

Tax Assessor	<p>A city tax assessor's office provides maps of real property in the city, including a property's dimensions, address, owner, taxable value, and improvements.</p>
Tax Collector	<p>A city tax collector's office provides the following information:</p> <ul style="list-style-type: none">• names and addresses of payers of property taxes, even if the taxes were paid by individuals other than the owners;• legal descriptions of property;• amounts of taxes paid on real and personal property;• delinquency status of taxes; and• former owners of property.
Building Inspector	<p>The following information is available through a city building inspector's office:</p> <ul style="list-style-type: none">• building permits, which generally show applicant, address of construction, estimated cost of construction, and the name of builder or contractor;• blueprints and plans, which show construction details and are often submitted with applications for building permits; and• building inspectors' reports, which contain information regarding compliance with construction specifications.
Regulatory Agencies	<p>Applications for business licenses, which are contained in the files of city regulatory agencies, often have valuable information on certain types of businesses. For example, in many cities the following businesses would be regulated and would have to apply for licenses to operate:</p> <ul style="list-style-type: none">• businesses seeking liquor licenses;• professionals, including CPAs, dentists, doctors, plumbers, electricians, and optometrists;

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- restaurants, bars, and night clubs (these businesses are frequently inspected by health and fire departments); and
 - businesses operating under names other than the owners' names (such businesses must register under assumed names and are included in the city's DBA [doing business as] files).
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County Government

Recorder

A county recorder's office provides the following information:

- documents pertaining to real estate transactions, including deeds, grants, transfers and mortgages of real estate, releases of mortgages, powers of attorney, and leases that have been acknowledged or approved;
- mortgages on personal property;
- wills admitted to probate;
- official bonds;
- notices of mechanics' liens;
- transcripts of judgments that are made liens on real estate;
- notices of attachment on real estate;
- papers in connection with bankruptcy;
- certified copies of decrees and judgments of courts of record; and
- other documents permitted by law to be recorded, such as DD 214 forms, recorded by some veterans as evidence of veteran status, particularly in those states where veterans are granted reduced property tax rates.

Tax Assessor

A county tax assessor's office provides information similar to that provided by a city tax assessor's office.

Tax Collector

A county tax collector's office provides information similar to that provided by a city tax collector's office.

Regulatory Agencies

County regulatory agencies provide information similar to that provided by city regulatory agencies.

State Government

The following departments and agencies may also provide valuable information to investigators:

- Bureau of Professional and Vocational Standards/Department of Licensing (especially when dealing with professional associations, partnerships, and corporations);
- Controller/Treasurer;
- Department of Agriculture;
- Department of Industrial Relations;
- Department of Natural Resources;
- Horse Racing Board/Gambling Commission;
- Office of the Attorney General;
- Secretary of State (Corporations Division);
- State Board of Equalization;
- State Securities Commission; and
- State Utility Commission.

Federal Government

Some handy reference guides for contacts in the various federal agencies follow:

- Chart of the Organizations of the Federal Executive Departments and Agencies, prepared by the U.S. Senate Committee on Government Affairs;
- Congressional Staff Directory and Federal Staff Directory, prepared annually by Congressional Staff Directory, Ltd., Mount Vernon, Va.;
- Congressional Directory, prepared by the U. S. Government Printing Office; and
- The United States Government Manual, prepared by the Office of the Federal Register, National Archives and Records Administration.

Inspectors General

The Congress passed the Inspector General Act of 1978 and other similar legislation to establish statutory inspectors general to combat government waste, fraud, and abuse in 18 federal departments and agencies. (The Departments of Treasury and Justice are the only cabinet-level departments without statutory inspectors general.)

Inspectors general are good sources of information about businesses they have investigated or audited, and are good guides to other information sources in their departments or agencies. Most inspector general offices maintain centralized index and case file systems.

Department of Agriculture (USDA)	The Meat Inspection and the Packer and Stockyard Divisions are responsible for ensuring compliance with specified USDA standards in these areas.
Department of Commerce (DOC)	The DOC has information on international trade, social and economic statistics, patents, trademarks, ocean studies, domestic economic development, and some information on minority businesses.
Department of Health and Human Services (HHS)	A strong enforcement agency of HHS is the Food and Drug Administration (FDA). FDA investigators in the field conduct investigations of drug firms covered under their jurisdiction.
Department of Housing and Urban Development (HUD)	<p>HUD's Compliance Division conducts investigations of alleged HUD violations. This division handles investigations of false statements on credit applications for FHA loans, mortgagors certification of no outstanding obligations, cost certificates, and other areas of fraud.</p> <p>HUD's headquarters, which is located in Washington, D.C., has a central index file on people in the building industry, lending institutions, appraisers, real estate brokers, salesmen, and most components of the building industry.</p>
Department of Labor (DOL)	<p>The DOL has information about the Federal Employees Compensation Act, the Job Partnership Training Act, the Occupational Safety Health Act, and the Mine Safety Health Act. The DOL also conducts programs under these acts.</p> <p>The DOL can provide substantial data on businesses that have special work programs with the DOL.</p> <p>The DOL can also provide substantial information on labor organizations. Labor organizations must submit annual financial reports, which include statements of assets and liabilities, and statements of receipts and disbursements. They must also complete 12 supporting schedules: loans receivable, other investments, other assets, other liabilities, fixed assets, loans payable, sales of investments and fixed assets, disbursement to officers, disbursement to employees, purchase of investments and fixed assets, benefits, contributions, gifts, and grants.</p>

The Office of Labor Pensions Reports Division conducts inquiries into irregularities and complaints on transgressions of the laws administered by the DOL.

Department of State (DOS)

The DOS can provide data on firms that apply for import and export licenses.

Department of the Treasury

The Treasury does not have a statutory inspector general; however, it does have a non-statutory inspector general and the following four law enforcement agencies:

- The Bureau of Alcohol, Tobacco and Firearms (ATF) can provide data on records of distillers, breweries, and persons or firms that manufacture or handle alcohol as a sideline or main product; records of inventories of retail liquor dealers, names of suppliers, and amounts of liquor purchased by brands; investigative reports of alleged violations under its jurisdiction; a complete list of federal firearms manufacturers, importers, and dealers; and a complete list of all federal explosive manufacturers, importers, and dealers.
- Within the Internal Revenue Service (IRS), the Criminal Investigation Division (CID) conducts investigations of tax fraud relating to income tax, excise tax, currency transaction report violations, and occupational tax violations. CID has also been participating in the fight against organized crime by participating in the Organized Crime Drug Enforcement Task Force and the Strike Force. The release of taxpayer information to other than IRS personnel is normally forbidden. However, such information can be obtained if the case is being worked under the grand jury umbrella. The IRS Inspection Service maintains information on subjects of investigation and their relationships to IRS employees, i.e. threats made against, collusion with, and bribery of IRS employees.
- The U.S. Customs Service can provide data on businesses that are involved in the import and export area, including lists and records of importers and exporters, and lists and records of custom house brokers and truckers. The Office of Investigations conducts investigations of alleged violations of import and export practices. The Customs Service is also involved in the National Narcotics Border Interdiction System (NNBIS) and special agents from the Office of Investigations have been participating in the Organized Crime Drug Enforcement Task Force. Customs may provide information relative to businesses that violate this jurisdiction.

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- The U.S. Secret Service maintains records on forgers, counterfeiters, and businesses that have contacted the Service concerning forged or counterfeit obligations of the U.S. The Treasurer of the United States can provide copies of cancelled checks paid by the U.S. Treasury.

**Federal Aviation Administration
(FAA)**

The FAA maintains records reflecting chain of ownership of all civil aircraft in the United States. These records include documents relative to their manufacture, sale, bill of sale, sales contract, mortgage, liens, transfers, inspection, and modifications.

**Federal Communications
Commission (FCC)**

The FCC licenses all radio operators in the United States. Individuals or corporate bodies applying for authority to construct new broadcast stations or to make changes to existing stations must also file with the FCC. Information contained in the filings includes programming, technical aspects of the proposed facilities, and full details on ownership and financial status.

**Federal Energy Regulatory
Commission (FERC)**

Electric utility and natural gas companies are required to file annual reports with the FERC, which provide excellent financial pictures of the companies as well as other information, e.g. officers of the company, and directors and stockholders who own more than ten percent of the company.

**Federal Maritime Commission
(FMC)**

The FMC investigates freight forwarders who apply to the Commission for licenses to engage in oceangoing freight-forwarding activities. Applicants provide information covering most aspects of an applicant's history, including name, residence, date and place of birth, citizenship of all corporate officers and directors, partnership members or individual proprietors, as well as direct stockholders of five percent or more.

**General Services Administration
(GSA)**

The GSA has considerable information on architects, engineers, personal property auctioneers, real estate appraisers, construction contractors, sales brokers, and businesses that contract with the GSA.

**Interstate Commerce Commission
(ICC)**

The ICC requires interstate trucklines and other shippers to file annual reports on their financial activities.

**National Aeronautics and Space
Administration (NASA)**

Eighty-five percent of NASA's multi-billion dollar budget goes to NASA's contractors. Procurement files maintained by its Office of Acquisition Management are usually very complete in providing information about a firm and its employees.

NASA requires that contractors submit the following data with their proposals: name and qualifications of contractor, and resumes of the personnel who will be directly assigned to this project. The resumes should include educational background, work experience, length of service with firm, and projects on which these individuals have worked.

**Securities and Exchange
Commission (SEC)**

The SEC maintains records of corporations with stocks and securities sold to the public. These are probably the most extensive public source of information on such businesses. These records include the following:

- financial statements,
- identification of officers and directors,
- identification of owners of more than ten percent of the stock,
- a description of registrant's properties and businesses,
- a description of the significant provisions of the security to be offered for sale and its relationship to the registrant's other capital securities,
- identification of events of interest to investors,
- identification of accountants and attorneys, and
- history of the business.

The SEC maintains comprehensive files on individuals and firms that have been reported to the Commission as having violated federal or state securities laws. The information contained in these files pertains to official actions taken against such persons and firms, including denials, refusals, suspensions, and revocations of registrations; injunctions, fraud orders, stop orders, cease and desist orders; and arrests, indictments, convictions, sentences, and other official actions.

The SEC also lists the changes in beneficial ownership by officers, directors, and principal stockholders of securities listed and registered on a national securities exchange, or securities relating to public utility companies and certain closed-end investment companies.

**Small Business Administration
(SBA)**

The SBA participates in loans or makes direct loans for business construction, expansion, or conversion; for purchase of machinery, equipment, facilities, supplies, or materials; and for working capital.

A loan applicant (sole owner, partnership, corporation or other) must complete SBA forms that provide information about the applicant and the small business.

The SBA arranges contracts and guarantees loans for qualified small minority-owned businesses. For some of these businesses, the SBA may be the only source for financial statements and information about officers, assets, and other information on small businesses because their limited net worth does not subject these firms to public disclosure laws.

Federal Courts

The federal court system has three basic levels: the U.S. District Court, the U.S. Court of Appeals, and the U.S. Supreme Court. Most of the data that an investigator would need may be obtained at the district court level, which has case records, minutes, and dockets. A case record consists of pleadings, processes, written orders and judgments of the court, and other papers that pertain directly to the case. Minutes are the record, in summary form, of what happened during the proceedings before the judge in open court or in chambers. Each case has a docket sheet, which is a chronological summary of what takes place in the courtroom and which lists the papers in the file.

Commercial Sources

Associations and lobby groups have information about their member firms. Two of the best of these sources are the following:

Better Business Bureau (BBB)

A number of BBBs are located throughout the country. They are sponsored by local businesses and offer a variety of services, including background information on local businesses and organizations. BBBs generally keep information about criminal rackets, cons, and their operators, and can provide information about the business reputations of local businesses.

Chamber of Commerce

These organizations generally have city directories and often keep back issues of the directories. They also have information regarding reputations of businesses and operators in the area.

Directories

Directories provide data on national, trade, business, and commercial associations. Some of the more frequently used directories are the following:

America's Corporate Families

This directory lists approximately 9,100 parent companies and over 45,000 subsidiary companies and divisions owned by these parent companies.

America's Corporate Families and International Affiliates

This directory provides complete demographic marketing data on more than 22,000 companies. Corporate family listings are presented in three immediately useful forms: alphabetical, geographical, and industry classification.

Directory of Companies Filing Annual Reports With the Securities and Exchange Commission Under the Securities Exchange Act of 1934

Published by the SEC and available from the Government Printing Office (GPO), this directory helps to determine whether a parent company is public or private.

Directory of Corporate Affiliations — Who Owns Whom

This directory provides information on subsidiaries and associate companies, and how they fit into their parent companies. It is published by the National Register Publishing Company.

Dun & Bradstreet's Middle Market Directory

This is a directory of businesses in the United States whose net worth falls between \$500,000 and \$1 million. It includes the same information as the Million Dollar Directory.

Dun & Bradstreet's Million Dollar Directory

This directory contains information on industrial concerns, utilities, transportation companies, banks, trust companies, mutual and stock insurance companies, as well as wholesalers and retailers whose net worth exceeds \$500,000. The type of information available includes annual sales, corporate officers, locations, phone numbers, type of business, and number of employees.

**Funk and Scott's Index of
Corporations and Industries**

Updated monthly, this directory indexes most periodicals, newspapers, etc. F&S also publishes quarterly the Index of Corporate Change, which lists recent mergers, acquisitions, etc.

Moody's

Moody's publications are similar to Dun and Bradstreet's. Moody's has several publications that can provide information about firms listed on the New York and American Stock Exchanges, as well as companies listed on regional American exchanges.

**Standard & Poor's Corporation
Records**

This is a service provided by S&P to its subscribers. These reports cover companies that are publicly traded and include a company's brief history, financial statements, capital structure, lines of business, subsidiaries, and officers and directors.

**Standard & Poor's Register of
Corporations, Directors and
Executives**

This two-volume directory lists about 37,000 public and private companies, and names and titles of over 400,000 officials. Company information includes financial data, SIC numbers, products and services, and number of employees. The information is similar to that provided by Dun and Bradstreet and Moody's.

Finance

Sources of Information	Ownership	Financial Statements	Credit Reports	Bankruptcy	Loan	Securities
Banks		X	X	X	X	
Federal Regulatory Agencies:						
Export-Import Bank of the U.S.					X	
Farm Credit Administration					X	
Federal Deposit Insurance Corp.		X		X	X	
Federal Home Loan Bank Board						
Federal Reserve System		X	X	X	X	
Federal Savings & Loan Ins. Corp.						
National Credit Union Administration					X	
Office of Comptroller of Currency						
Other Federal Agencies:						
Department of Defense						
Department of Education					X	
Dept. of Health & Human Services						
Immigration & Naturalization Service		X				
Internal Revenue Service						
Securities & Exchange Commission	X				X	
Small Business Administration	X	X	X	X	X	
U.S. Postal Service						
Veterans Administration				X	X	
Federal Courts		X		X		
International Organizations:						
INTERPOL						
Commercial Sources:						
Abstract & Title Companies	X					
Bonding Companies	X	X			X	
Corporations	X	X				
Credit Reporting Agencies			X		X	
Consumer's Loan/Lender's Exchange		X	X		X	
National Charge Plans Records						
Stockbrokers	X					
Western Union						
Directories:						
Best Insurance Reports				X		
Moody's Bank & Finance Manual	X					
Moody's News Reports	X					
Rand McNally Banker's Directory						
Standard & Poor's Register						

Types of Information							
Transfers/ Transactions	Payments/ Salaries	U.S. Obligations	Foreign Assets	Legislation	Financial Institutions	Currency Filings	Previous Investigations
X		X				X	
			X				
					X		
X					X		X
					X		
X			X		X		
					X		
					X		
					X		
	X						
	X						
					X	X	
X			X				X
	X						
		X			X		
			X				X
X	X						
X	X						
X							
X							
					X		
X					X		
					X		
					X		
					X		

Finance

Banks

The relationship between banks and their customers is confidential and privileged; generally, information from banks may only be obtained by subpoena. (This policy usually applies to savings and loan associations and credit unions.) However, personal sources among bank officials may provide limited information (generally enough to decide whether a subpoena would be worthwhile). If a subpoena is warranted, the type of information to request could include the following:

- Central master files of customers (depositors, debtors, and safe deposit box holders) are maintained by the bank. Before any authorized bank official may open a safe deposit box, the bank requires the customer's consent, a search warrant, or court order.
- Savings account applications can provide handwriting samples and certain personal information about the customer, varying from one bank to another. Savings account deposit records reflect date of deposit, amounts of currency and checks, drawee banks of checks, and dates and amounts of withdrawals. In cases of large withdrawals, some banks request a reason for the withdrawal from the customer. The customer is not required to give the information, nor can the bank refuse to honor the withdrawal. Some building and loan associations may demand notice on large withdrawals.
- Applications for checking accounts also provide handwriting exemplars and certain personal information, varying from one bank to another. Checking account deposit slips reflect date of deposit, amounts of currency and checks, and drawee banks of checks. These slips also identify a subject's financial associates.

Federal Regulatory Agencies

Export-Import Bank of the United States

This bank loans funds to foreign countries and businesses to buy goods from U.S. companies. The borrower can obtain up to 50 percent of the purchase price of the goods being acquired. The selling company must complete and submit to the bank a supplier certificate. Included in this certificate is a required statement as to commissions paid, especially in a foreign country, to foreign sales "representatives" or "agents."

**Farm Credit Administration
(FCA)**

The FCA oversees and regulates the entities within the farm credit system: the Production Credit Association, which provides farm operating loans, and the Federal Land Bank, which grants loans to farmers to buy land.

**Federal Deposit Insurance
Corporation (FDIC)**

A bank that applies to be insured by the FDIC must submit an application that covers financial history, financial condition, capital structure, management, future-earning prospects, convenience and needs of the community, and consistency of corporate powers.

FDIC banks are examined annually by FDIC examiners. Each examination includes an appraisal of management, directors, officers, and staff. White and pink sheets are contained in the report of examination. The white sheets are open and a copy is given to the bank. The pink sheets contain confidential information and are retained by the examiner. The pink sheets include an alphabetical list of all directors, officers, principal employees, their titles, and comments on each individual to the extent possible. The examiner also comments on the capabilities of each individual, approximate age, and other business affiliations. Additionally, the examiner completes a form on each individual setting forth his estimated net worth, par value of stock owned, and salary.

The examiner must also answer questions regarding his opinion of the management and control of the bank. Questions include the following: Do loan and investment accounts reflect excessive or ill-advised grants of credit to directors, officers, employees, or bank affiliates? Do loan and investment accounts reflect undue use of bank's credit for speculative trading in securities, real estate, or commodities? Do loan and investment accounts reflect the use of bank funds for any purpose inconsistent with maintenance of sound credit conditions?

**Federal Home Loan Bank Board
(FHLBB)**

The Home Owners Loan Act (12 USC 1461) charters federal savings and loans.

The FHLBB supervises the savings and loan industry and has the following three major responsibilities:

- under the Federal Home Loan Bank Act, to provide a credit reservoir for thrift and home-financing institutions through the Federal Home Loan Banks;

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- under the Home Owner's Loan Act, to charter and supervise Federal savings and loan associations; and
 - under the National Housing Act, to direct the Federal Savings and Loan Insurance Corporation, which provides insurance protection for each investor in insured institutions.

Under the Home Owner's Loan Act, applicants to be chartered as savings and loan associations submit their applications to the president of the local Home Loan Bank. In the application for a charter each of the organizers and proposed directors must submit a biographical sketch in narrative form. It contains age and employment background, and it sometimes includes data such as place of birth and educational background. In addition, the application contains extensive information on affiliations with businesses closely related to the savings and loan business; financial responsibility, including net worth and annual income; and any criminal record or involvement in closings, mergers, or reorganizations as a result of federal or state supervision.

Each savings and loan institution must file a semiannual report that includes the mailing addresses and occupations of officers and attorneys.

Savings and loan associations are examined once a year. The examination is somewhat similar to those conducted by the other regulatory agencies but does not contain a biographical rundown of the officers and employees. Any confidential matters are forwarded separately from the examination report.

The Federal Reserve System (FRS)

The FRS is a valuable source of information on banks that are chartered by the FRS. On an annual basis, FRS examiners visit banks that they have chartered and then prepare an examination report on each of them. The examination report is in two parts: the open part, a copy of which is given to the bank, and the confidential part, which is kept by the FRS and contains qualifications of management, lists of officers and directors, and background data on the officers.

A bank must file a registration statement for the bank's securities. The registration statement must be followed by an annual report, which gives considerable data on the securities issued by the bank as well as employment information on all directors and those who own more than ten percent of any class of the bank's securities. These statements are also maintained by the FRS.

**Federal Savings and Loan
Insurance Corporation (FSLIC)**

The FSLIC retains information similar to that retained by the FDIC.

**National Credit Union
Administration (NCUA)**

The NCUA regulates and supervises member credit unions.

**Office of the Comptroller of the
Currency (OCC)**

The OCC, which is within the U.S. Department of the Treasury, regulates national banks and maintains information concerning them.

National bank examinations are made to determine bank financial positions and to evaluate bank assets. Bank examiners' reports contain information about bank records, loans, and operations.

In view of their purpose and the basis on which they are obtained, reports of national bank examinations as well as related correspondence and papers are deemed to be of a confidential nature. Requests for these documents should include the subject's name and address, the information desired, the reason it is needed, and the intended use.

Other Federal Agencies

Department of Defense (DOD)

To obtain information concerning military pay, dependents, allotment, depositions, and other financial information, contact the following: ARMY — U.S. Army Finance Center, Indianapolis, Indiana, 46249; AIR FORCE — Air Force Finance Center, 3800 York Street, Denver, Colorado, 80205; and NAVY — Director, Bureau of Supplies and Accounts, Department of the Navy, 13th & Euclid Streets, Cleveland, Ohio, 44115.

Department of Education (DOE)

Financial and earnings statements from parents of students applying for Pell Grants (formerly called Basic Educational Opportunity Grants) may be obtained from the DOE's Inspector General.

**Department of Health and
Human Services (HHS)**

Records of Medicare and Medicaid payments made to physicians and institutions may be tracked through the HHS.

Immigration and Naturalization Service (INS)	The INS retains financial statements of aliens and persons sponsoring their entry.
Internal Revenue Service (IRS)	IRS form 4789, Currency Transaction Report (CTR), is required to be prepared and submitted with each deposit of \$10,000 or more to any financial institution in the U.S. (See section on law enforcement databases for information about obtaining IRS form 4789.)
Securities and Exchange Commission (SEC)	<p>The SEC maintains records of corporations with stocks and securities sold to the public. These are probably the most extensive public source of information on such businesses. These records include the following:</p> <ul style="list-style-type: none">• financial statements,• identification of officers and directors,• identification of owners of more than ten percent of the stock,• a description of registrant's properties and businesses,• a description of the significant provisions of the security to be offered for sale and its relationship to the registrant's other capital securities,• identification of events of interest to investors,• identification of accountants and attorneys, and• history of the business. <p>The SEC maintains comprehensive files on individuals and firms that have been reported to the Commission as having violated federal or state securities laws. The information pertains to official actions taken against such persons and firms, including denials, refusals, suspensions, and revocations of registrations; injunctions, fraud orders, stop orders, cease and desist orders; and arrests, indictments, convictions, sentences, and other official actions.</p> <p>The SEC also lists the changes in beneficial ownership by officers, directors, and principal stockholders of securities listed and registered on a national securities exchange, or securities relating to public utility companies and certain closed-end investment companies.</p> <p>Copies of the documents maintained by the SEC are available at any of the SEC's regional or branch offices in the following cities: Atlanta, GA; Miami, FL; Boston, MA; Chicago, IL; Cleveland, OH; Detroit, MI; St. Louis, MO; Denver, CO; Salt Lake City, UT; Fort Worth, TX; Los Angeles,</p>

CA; San Francisco, CA; New York, NY; Seattle, WA; Washington, DC; and Philadelphia, PA.

Corporate filings include the following:

- Annual Report of Publicly Traded Company (Form 10-K) —excerpts or complete report via LEXIS or DIALOG databases (i.e. Disclosure);
- Quarterly Report of Publicly Traded Company (Form 10-Q) —same as 10-K;
- Special Events In Re Publicly Traded Company (Form 8-K) —transactions resulting in change of controlling interest;
- Registration of Security (Form 8-A) — prospectus, data relative to the issuer;
- Registration of Security by Successor to (Form 8-B) — name of issuer, relationship to primary registrant/issuer;
- Special Events In Re Foreign Security (Form 6-K) —information similar to 10-K and 8-K, except security registered under other than U.S. law; and
- Report of Acquisition of Beneficial Ownership of 5% or More of Capital Stock of Public Company (Form 13-D) — identity of each person or firm acquiring beneficial ownership of 5 percent or more of capital stock, or identity of each person or firm comprising a group that acquires such beneficial ownership; description of security; agreements or other undertakings by reporting entity; if acquisition results in change of control, background on each person reporting; and sources of funds for acquisition, purpose of acquisition, and relationships of parties.

Small Business Administration (SBA)

The SBA helps people get into business and stay in business by acting as an advocate for small businesses. The SBA defines a small business as one that is independently owned and operated and does not dominate its field. Most small, independent businesses are eligible for SBA assistance. The SBA provides financial assistance, management counseling, and training.

The SBA offers a variety of loan programs that fall into two categories: regular business and special loan programs. Regular business loans are made by private lenders and then guaranteed by the SBA. Guaranteed loans carry a maximum of \$500,000, and the SBA's guarantee of the loans can run as high as 90 percent. Maturity may be up to 25 years. A few business loans are made directly by the SBA, up to an administrative maximum of \$150,000. The SBA, under law, cannot consider making a

direct loan unless a private lender (usually a bank) refuses to make a loan itself or take part in an SBA-guaranteed loan.

The SBA's records on individuals and firms that have received loan assistance may be obtained from local SBA offices. The legal department in the local SBA office will make such files available to special agents for review in SBA offices upon presentation of their credentials. You may wish to contact the SBA OIG for assistance in obtaining records and other background information.

U.S. Postal Service (USPS)

Photostats of postal money orders and requests for copies of postal money orders may be made through the local U.S. Postal Inspection Service office.

Veterans Administration (VA)

Records of loans, tuition payments, insurance payments, and nonrestrictive medical data related to disability pensions are available at Veterans Administration regional offices located in a number of large metropolitan areas throughout the country. This information, including photostats, may be obtained by direct mail request to the appropriate regional office or, if necessary, by collateral request.

All requests should include a statement covering the need and intended use of the information. The veteran should be clearly identified and, if available, the following information should be furnished about him:

- VA claim number,
- date of birth,
- branch of service, and
- dates of enlistment and discharge.

Federal Courts

The federal court system has three basic levels — the U.S. District Court; the U.S. Court of Appeals; and the U.S. Supreme Court. Most of the data that an investigator would need may be obtained at the district court level, which has case records, minutes, and dockets. A case record consists of pleadings, processes, written orders, and judgments of the court, and other papers that pertain directly to the case. Minutes are the record, in summary form, of what happens during the proceedings before the judge in open court or in chambers. Each case has a docket sheet, which is a chronological summary of what takes place in the courtroom and which lists the papers in the file. Information is also

maintained about bankruptcy cases, such as financial statements from subjects claiming indigence and requesting free legal representation, and financial statements from subjects in civil proceedings.

International Organizations

INTERPOL

The International Criminal Police Organization, better known by its radio designation as INTERPOL, is a network of National Central Bureaus (NCB) in 142 member countries that share information with each other to assist law enforcement agencies in the detection and deterrence of international crime and criminals. Each NCB is an agency of the member country's government and serves as the liaison between that country's law enforcement agencies and the INTERPOL network. In the United States, the National Central Bureau is under the direction and control of the Department of Justice.

INTERPOL assistance includes, but is not limited to, the following:

- criminal history check,
- license plate/drivers license check,
- location of suspects/fugitives/witnesses,
- international wanted circulars, and
- trace weapons/motor vehicles abroad.

Requests may be made directly to the U.S. National Central Bureau, Washington, D.C., by calling FTS 272-8367 or FTS 272-8383, or by mail to: Department of Justice, USNCB - INTERPOL, Shoreham Building, Room 800, Washington, D.C., 20530.

Commercial Sources

Abstract & Title Companies

In addition to records of individual transactions, these companies often publish papers that are distributed to attorneys, real estate brokers, insurance companies, and financial institutions. These papers contain information about transfers of property, locations, amounts of mortgages, and release of mortgages.

Bonding Companies	An application for bond contains the applicant's (person or firm) financial statement and data. This is essentially the same information as required in loan applications, but in greater detail.
Corporations	Corporations maintain information on holders of stocks and bonds.
Credit Reporting Agencies	Practically all lines of business have specialized credit-reporting associations that can provide credit information on individuals and businesses, including trade information, designation of lenders and creditors, type of business, date accounts were opened, terms of payment agreed upon, highest credit, balance owing, and paying habits. Some credit reports also give the name of the bank the subject deals with and the size of the subject's accounts. The two most frequently mentioned sources are Equifax and TRW. Generally, a subscription is required to obtain information from these sources.
Consumer's Loan Exchange or Lenders Exchange	This source contains information on open and closed loans with member companies, and background information generally not listed in city directories.
National Charge Plans Records	Information on expenditures and trips may be obtained from firms such as Master Charge, American Express, and Diners Club.
Stockbrokers	Stockbrokers maintain information similar to banks on many of their clients, especially those who have margin accounts. Stockbrokers maintain records of transactions for all clients.
Western Union	Records for paid money orders are stored in Minneapolis, Minnesota, and contain the original telegram by purchaser or sender, and bank draft by Western Union. Retention is two years for orders under \$1000 and six years for orders of \$1000 or more.

Directories

Best Insurance Reports

The annual edition of the Best Insurance Reports presents comprehensive statistical reports of the financial position, history, and operating results of legal reserve life insurance companies, fraternal benefit societies, and assessment associations operating in the United States and Canada. The individual report on each institution in this volume includes a review of its history, management and operations, investments, operating results, and other statistical exhibits.

Moody's Bank and Finance Manual

This manual, which is published in three volumes, covers the field of finance represented by banks, insurance companies, investment companies, unit investment trusts, and miscellaneous financial enterprises. Also included in the manual are real estate companies and real estate investment trusts.

Moody's Bank and Finance News Reports

These reports are published on Tuesday and Friday of each week and contain data subsequent to the publication of Moody's Bank and Finance Manual. Information in the reports includes news items, interim financial statements, personnel changes, new company descriptions, merger proposals, descriptions of new debts and stock issues, security offerings, announcements of new financing, call notices, etc.

The Rand McNally Bankers Directory

This source provides substantial data on the savings and loan industry. The directory is a collaborative effort on the part of Rand McNally and the United States League of Savings Institutions to provide a single, comprehensive source of information on all savings and loan institutions nationwide. The directory can provide the following data on an institution: names of officers, where chartered, type of ownership, association listing, presentment point (point where the transfer of paper for funds is made), financial data, branches, whether or not a holding company exists, and other miscellaneous data.

Standard and Poor's Register

This source provides substantial information on financial institutions. Some of the information that can be provided are the names of corporate officers and directors, mailing addresses, total deposits, primary banks, and primary law firms.

People

Sources of Information	Vital Statistics	Criminal History	Taxes	Permits/ Licenses	Public Assistance
City Government:					
Tax Collector			X		
Health Department	X			X	
Regulatory Agencies					
Personnel Department					
Public Schools					
County Government:					
Recorder	X				
Tax Collector			X		
Regulatory Agencies				X	
Public Schools					
Court Clerk	X	X			
Personnel Department					
Registrar of Voters	X				
Coroner	X				
Welfare Commission	X			X	
State Government:					
Regulatory Agencies	X	X	X	X	X
Federal Government:					
Inspectors General		X			
Department of Agriculture				X	
Department of Defense					
Department of Justice					
Drug Enforcement Administration		X		X	
Federal Bureau of Investigation		X			
Immigration & Naturalization Services	X				
Department of State	X	X			
Department of the Treasury					
Bureau of Alcohol, Tobacco & Firearms		X		X	
U.S. Customs Service		X			
U.S. Secret Service		X			
Interstate Commerce Commission					
Securities & Exchange Commission					
Social Security Administration					
U.S. Coast Guard					
U.S. Postal Service		X			
Veterans Administration	X				

People

Types of Information								
Employment	School	Addresses	Biographical	Background/ Other	Medical	Occupational	Financial Data	Public Information
		X						
						X		
X				X				
X	X	X						
				X			X	
		X						
X	X	X						
				X				
X		X	X					
				X				
X		X		X	X		X	
X	X	X		X	X		X	X
X				X				
X						X	X	X
X				X	X	X	X	X
			X					
				X			X	
		X	X					
						X	X	
						X		
						X		X
X							X	
				X	X		X	
X								
X		X						
X		X						
					X		X	

(continued)

People

Sources of Information	Vital Statistics	Criminal History	Taxes	Permits/ Licenses	Public Assistance
Federal Courts		X			
Directories:					
Agricultural Index					
American Medical Directory, Foreign					
American Medical Directory, Domestic					
Congressional Directory					
Gale's Encyclopedia of Associations					
Guide to American Directories					
Index Medicus					
Index to Legal Periodicals					
Martindale-Hubbell					
N.W. Ayer & Sons Directory of News-papers and Periodicals					
New York Times Index					
Public Affairs Information Service					
Reader's Guide to Periodical Literature					
Who's Who Series					

People

Types of Information								
Employment	School	Addresses	Biographical	Background/ Other	Medical	Occupational	Financial Data	Public Information
				X			X	X
						X		
					X	X		X
					X	X		X
		X		X				X
		X		X				
						X		X
					X	X		X
				X		X		
X		X	X			X		
								X
				X		X		
				X				
			X	X				X
		X			X	X	X	X

People

City Government

Tax Collector

A city tax collector's office retains the following information:

- names and addresses of payers of property taxes, even if the taxes were paid by individuals other than the apparent owners, and
- names of former owners of property.

Health Department

Death certificates may be found at city, county, or state health departments. A death certificate provides name of decedent, address, sex, age, race, birthplace, birth date, death place, date and time of death, social security number, medical certificate, and coroner's certificate. Additionally, a death certificate generally provides information about the decedent's parents and their occupations.

Regulatory Agencies

Applications for licenses often have valuable information about certain groups of persons. For example, in many cities professionals, including CPAs, dentists, doctors, plumbers, electricians, and optometrists, must apply for licenses to operate.

Personnel Department

This department provides the following information:

- personal history statements on city employees and political leaders and
- employment records, efficiency reports, and records of salary liens on city employees.

Public Schools

City public schools maintain the following information:

- teachers' biographies, showing personal background, education, and former employment and
- students' records showing biographies, in some school districts, as well as grades and disciplinary actions.

County Government

Recorder

A county recorder's office maintains the following information:

- papers pertaining to real estate transactions, including deeds, grants, transfers and mortgages of real estate, releases of mortgages, powers of attorney, and leases that have been acknowledged or approved;
- mortgages on personal property;
- wills admitted to probate;
- official bonds;
- notices of mechanics' liens;
- transcripts of judgments that are made liens on real estate;
- notices of attachment on real estate;
- papers in connection with bankruptcy;
- certified copies of decrees and judgments of courts of record; and
- marriage licenses and certificates, which can provide information such as names of bride and groom, maiden name of bride, ages, cities of residence, places of birth, date and place of marriage, names of two witnesses and their cities of residence, and clergyman, judge, or justice of the peace who performed the ceremony.

Tax Collector

A county tax collector's office retains information similar to that retained in a city tax collector's office.

Regulatory Agencies

County regulatory agencies retain information similar to that retained by the city regulatory agencies.

Public Schools

County public schools maintain information similar to that found in city public schools.

Court Clerk

A county court clerk maintains civil court files that contain papers in actions concerning liens, damages, name changes, divorces, insanity, intemperance, etc. These generally include the complaint (identifying the complainant and co-complainant, the defendant and co-defendant, and the cause of action); the answer to the complaint; and the judgment rendered. If a transcript was made of the testimony, it will be in the

possession of the court reporter for that case. (In some instances, depositions are introduced as exhibits and become part of the court records.) Whether or not a transcript was taken may be indicated in the court clerk's minutes or in the file jacket.

In divorce case files, the complaint may identify the plaintiff and defendant; place and date of marriage (points the way to the county recorder's records); date of separation; children's names, ages, and birth dates; community property; and grounds or charges. The complaint also identifies the attorneys in the action and contains the plaintiff's signature. If a cross complaint or answer is filed, it will also have the defendant's signature.

A probate index will list actions alphabetically, by name of the estate or petitioner, and will give the date of filing and the number of the action (which leads to the file folder containing the papers in the action). The files will contain causes of actions to establish death and estates, such as being a minor, adoption, incompetence, insanity, or termination of probate.

Criminal court files are also maintained by the court clerk and may contain the complaint describing the crime and the counts. These files may also contain the complainant's signature (exemplar); a transcript of the preliminary hearing (usually consisting of testimony of complainant, defendant, witnesses, and arresting officer); the name of the prosecuting attorney; the name of the defense attorney; the probation officer's report, with complete background investigation of defendant; and subpoenas issued in the case.

Personnel Department

A county personnel department maintains information similar to that maintained by a city personnel department.

Registrar of Voters

A registrar of voters maintains the following:

- Affidavit of Registration, which includes name and age of registrant, address at time of registration, occupation, and party affiliation and
- nomination papers of candidates for office (papers of candidates for state office are generally filed with the secretary of state; those for city office are generally filed with the city clerk).

Coroner

A county coroner's register generally contains name or description of the deceased; date of inquest, if any; property found on deceased and its disposition; and cause of death.

Welfare Commission

Files of a county welfare commission are gathered by social workers, psychologists, and physicians. Frequently, information is provided by the recipient of benefits and is generally not verified. Files contain information such as the recipient's address, previous employment, how much he or she earned, property he or his relatives may have, the family's attitudes, the state of their health, criminal records, etc.

State Government

The following departments and agencies may also provide valuable information to investigators:

- Bureau of Professional and Vocational Standards/Department of Licensing (especially when dealing with professional associations, partnerships, and corporations);
- Controller/Treasurer;
- Department of Agriculture;
- Department of Industrial Relations;
- Department of Natural Resources;
- Horse Racing Board/Gambling Commission;
- Office of the Attorney General;
- Secretary of State (Corporations Division);
- State Board of Equalization; and
- State Utility Commission.

An excellent source of information about people is a state's bureau of vital statistics, where birth certificates are generally filed. Birth certificates can provide name of child, sex, date of birth, address of where born, and name of attending physician, midwife and/or other assistants; parents names, ages, address, race, places of birth, and occupations; mother's maiden name; and number of siblings. (In some states, birth certificates may be found at the city or county level.)

At the state government level, the following records may be found:

- auto licenses, transfers, and sales of vehicles;
- civil service applications;
- court records of civil and criminal cases;
- drivers licenses;

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- fictitious names index;
 - health department records;
 - inheritance and gift tax returns;
 - name changes;
 - occupancy and business privilege licenses;
 - parole officers' and probation departments' files;
 - personal property tax returns;
 - professional registrations;
 - school and voter registrations;
 - state income tax returns;
 - state unemployment compensation records;
 - welfare agency records;
 - wills; and
 - workmen's compensation files.

Federal Government

Inspectors General

The Congress passed the Inspector General Act of 1978 and other similar legislation to establish statutory inspectors general to combat government waste, fraud, and abuse in 18 federal departments and agencies. 'The Departments of Treasury and Justice are the only cabinet-level departments without statutory inspectors general.' Inspector general offices are good sources of information about businesses they have investigated or audited, and are good guides to other information sources in their department or agency. Most inspector general offices maintain centralized index and case file systems.

Department of Agriculture (USDA)

The USDA maintains the following information:

- licensed meat packers and food canners,
- transactions with individuals and businesses,
- wholesalers and retailers approved to accept and redeem U.S. Food Coupons, and
- USDA loan applicants and recipients.

Department of Defense (DOD)

Data concerning pay, dependents, allotment accounts, deposits, and other financial information concerning military personnel is available at one of the following DOD offices:

Army:
United States Army Finance Center
Indianapolis, Indiana 46249

Air Force:
Air Force Finance and Accounting Center
3800 York Street
Denver, Colorado 80205

Navy:
Director, Bureau of Supplies and Accounts
Department of the Navy
13th & Euclid Streets
Cleveland, Ohio 44115

Data concerning the personal and medical history of former Army personnel (discharged subsequent to 1912) and former Navy and Marine personnel are located at the following address: Military Personnel Records Center, GSA, 9700 Page Boulevard, St. Louis, MO 63132.

Military Transportation Service (operation was transferred from the Army to the Navy in 1944) records on all personnel prior to 1944 are located at the following address: Civilian Personnel Branch, Records and Administration Center, AGO, 430 Goodfellow Boulevard, St. Louis, MO. Records since 1944 are kept in the office of the port where the subject signed up for military duty. However, if an individual ever received pay in another port, that port office will have an index card in its files showing the date and amount paid, and the ship to which that individual was attached.

Department of Justice (DOJ)

Information may be obtained from the following agencies within the DOJ:

- The Drug Enforcement Administration (DEA) provides information on licensed handlers of narcotics and criminal records of users, pushers, and suppliers of narcotics.
- The Federal Bureau of Investigation (FBI) provides information on criminal records and fingerprints, and nonrestricted information pertaining to criminal offenses and subversive activities.
- The Immigration and Naturalization Service (INS) provides the following information: alien registration records, in effect since August 27, 1940 (from July 1, 1920, to that date, each immigrant was given an Immigrant's Identification Card); lists of passengers and crews on vessels

from foreign ports; passenger manifests and declarations (ship, date, and point of entry required); naturalization records (names of witnesses to naturalization proceedings and people who know the suspect); deportation proceedings; and financial statements of aliens and persons sponsoring their entry.

Department of State (DOS)

The DOS maintains the following information:

- passport records (date and place of birth required; recent data may be obtained from the local district court),
- import and export licenses, and
- Foreign Agent's Registration Act information.

Department of the Treasury

Information may be obtained from the following agencies within Treasury:

- The Bureau of Alcohol, Tobacco and Firearms (ATF) has the capability of tracing any firearm from manufacturer or importer to retailer, and can provide records of distillers, brewers, and persons and firms that manufacture or handle alcohol as a sideline or main product. In addition, ATF maintains an inventory of retail liquor dealers, names of suppliers, and amounts of liquor purchased by brand. ATF may also provide names and records of known bootleggers and organized crime figures; processors, manufacturers, and wholesalers of tobacco products; details of previous investigations and suspects; lists of all federal firearms license holders, including manufacturers, importers, and dealers; and lists of all federal explosive license holders, including manufacturers, importers, and dealers.
- The U.S. Customs Service (USCS) maintains records of importers and exporters, records of custom house brokers, records of custom house truckers (cartage licenses), lists of suspects, and declaration forms.
- The U.S. Secret Service (USSS) maintains records pertaining to counterfeit, forgery, and United States security violation cases. The Secret Service's central files in Washington, D.C., contain an estimated 100,000 handwriting specimens of known forgers (an electronic information retrieval system facilitates comparison of questioned handwriting, with the specimens on file for identification purposes).

Interstate Commerce Commission (ICC)

The ICC has information concerning individuals who are or have been officers of transportation firms engaged in interstate commerce. This information includes an officer's employment and financial affiliations.

In addition to the record information available in the ICC, most ICC safety inspectors are good sources of "reference" information because they have personal knowledge of supervisory employees of the various carriers of their region.

Securities and Exchange Commission (SEC)

The SEC maintains records of corporate registrants of securities offered for public sale, which usually show information as to the management of a registrant.

The Securities and Exchange Commission Summary lists the changes in beneficial ownership by officers, directors, and principal stockholders of securities listed and registered on a national securities exchange, or securities relating to the public utility companies and certain closed-end investment companies.

Social Security Administration (SSA)

The SSA retains original applications for social security numbers (SSN), which list name (maiden and married name for women), date of birth, place of birth, sex, race, parents' names, and address at time of application.

The first three digits of a social security number indicate its assigned area of issuance.

Area 232: Number 30 (middle 2 digits of SSN) has been allocated to North Carolina by transfer from West Virginia.

Area 580: Numbers 01-18 (middle digits of SSN) have been allocated to the Virgin Islands; number 20 and above have been allocated to Puerto Rico.

Area 586: Numbers 01-18 (middle 2 digits of SSN) have been allocated to Guam. Numbers 20-28 have been allocated to American Samoa. Numbers 30-58 have been reserved for possible future allocation to other Pacific possessions of trust territories. Numbers 60-78 have been allocated during initial registration of armed service personnel for assignment to those who were natives of the Philippine Islands. Number 80 and above are not allocated.

Number(s)	Area	Number(s)	Area
001-003	New Hampshire	449-467	Texas
004-007	Maine	468-477	Minnesota
008-009	Vermont	478-485	Iowa
010-034	Massachusetts	486-500	Missouri
035-039	Rhode Island	501-502	North Dakota
040-049	Connecticut	503-504	South Dakota
050-134	New York	505-508	Nebraska
135-158	New Jersey	509-515	Kansas
159-211	Pennsylvania	516-517	Montana
212-220	Maryland	518-519	Idaho
221-222	Delaware	520	Wyoming
223-231	Virginia	521-524	Colorado
232-236	West Virginia	525, 585	New Mexico
237-246	North Carolina	526-527	Arizona
247-251	South Carolina	528-529	Utah
252-260	Georgia	530	Nevada
261-267	Florida	531-539	Washington
268-302	Ohio	540-544	Oregon
303-317	Indiana	545-573	California
318-361	Illinois	574	Alaska
362-386	Michigan	575-576	Hawaii
387-399	Wisconsin	577-579	District of Columbia
400-407	Kentucky	580	Virgin Ilds
408-415	Tennessee	580-584	Puerto Rico
416-424	Alabama	586	Guam
425-428, 587	Mississippi	586	Amer. Samoa
429-432	Arkansas	586	Philippines
433-439 440-448	Louisiana, Oklahoma	700-729	Railroad Retirement Board

U.S. Coast Guard (USCG)

The USCG maintains the following information:

- names of persons serving on U.S. ships and
- investigation records regarding the above, including various smuggling matters.

U.S. Postal Service (USPS)

The USPS maintains the names and addresses of post office box holders. These requests should only be made when efforts to obtain the information from other sources have proved unsuccessful. Check with the local

post office to learn the identity of the inspector who can furnish the information.

Veterans Administration (VA)

The VA retains records of loans, tuition payments, insurance payments, and nonrestrictive medical data related to disability pensions. These records are available at regional offices in several large metropolitan areas throughout the country. This information, including photostats, may be obtained by writing (or visiting) the appropriate regional office.

Federal Courts

Federal courts maintain the following:

- records of civil and criminal cases filed in federal courts,
- parole and probation records, and
- bankruptcy records.

Directories

One of the best sources of information on people is the local library. Listed below are some the sources that can generally be found there.

Agricultural Index

This source is a detailed, alphabetical subject index to agricultural and selected periodicals and to many reports, bulletins, and circulars of agricultural departments and experiment stations.

**American Medical Directory,
Foreign and Domestic (American
Medical Association)**

This source lists the following information:

- presidents and secretaries of all county medical associations listed;
- doctors, by states and cities in states; their years of birth; medical schools and years of graduation; years of license; residences and office addresses; specialties; and medical and associated organization memberships; and
- name index of all doctors.

**Congressional Directory
(Superintendent of Documents,
Washington, D.C.)**

This source contains the following information:

- biographical sketches of senators and representatives;

-
- names of clerks, assistant clerks, stenographers, and their home addresses;
 - judicial and executive department personnel, including members of boards, commissions, committees, etc., and their home addresses;
 - foreign diplomatic and consular officers in the U.S., with locations of offices and personnel assigned;
 - official duties of all departments, committees, commissions, bureaus, etc., of the government;
 - members of the press entitled to use the press galleries of the House and/or Senate; and
 - White House News Photographers Association and Radio correspondents listed by paper and home address.

Gale's Encyclopedia of Associations

This source lists each chartered public and private association in the U.S. (and some foreign) and provides valuable information about an association's officers and its purpose.

Guide to American Directories

This guide lists more than 3,000 directories of individuals, institutions, and business firms in 450 fields.

Index Medicus

This source is a classified index of the world's medical literature. It covers publications in all principal languages and includes periodical articles and other analytical material as well as books, pamphlets, and theses.

Index to Legal Periodicals

This source is similar to Readers Guide, but it only covers legal periodicals, bar association reports, and judicial council reports.

Martindale-Hubbell

These volumes contain biographical information on most lawyers in private practice in the U.S.

N.W. Ayer & Sons Directory of Newspapers and Periodicals

This is a guide to publications printed in the United States, Canada, Bermuda, and the Philippines. Information given about each publication includes its name, frequency, character or politics, date of foundation, and names of editors and publishers.

New York Times Index

This source is published semimonthly. It is a carefully made index giving exact reference to date, page, and column where articles will be found. It contains cross references to names and related topics. The brief synopses of articles often answer questions without the necessity of reading the article itself.

Public Affairs Information
Service (PAIS)

This source is a subject index to the current literature in its field — books, documents, pamphlets, articles in periodicals, and mimeographed material. The source includes selective indexing to more than 1,000 periodicals. PAIS is a particularly useful index for information about political science, government, legislation, economics, and sociology.

Readers Guide to Periodical
Literature

This source is a reference guide to articles in over 125 popular magazines. It is published semimonthly, with a cumulative index every two years. This contains a full dictionary cataloging of all articles, i.e. their entry under author, subject, and title where necessary. This reference work refers not only to volume and page where a particular article appeared, but also to exact date and inclusive paging, and indicates such items as illustrations and portraits.

Who's Who in Medicine; Surgery;
Psychology, Etc.

This source contains information submitted by the physician per request of the publisher.

Property

Sources of Information	Tax Records	Utilities	Ownership	Addresses/ Location	U.S. Obligations	Insuranc
City Government:						
Tax Assessor	X		X	X		
Tax Collector	X		X	X		
Building Inspector			X			
County Government:						
Recorder			X			
Tax Assessor	X		X	X		
Tax Collector	X		X	X		
Surveyor				X		
Court Clerk						
State Government:						
Regulatory Agencies	X	X	X			
Federal Government:						
Inspectors General			X	X	X	
Department of Agriculture			X	X		
Department of Commerce			X	X		
Department of Housing & Urban Development		X	X	X		
Department of Labor			X	X		
Department of State						
Department of the Treasury						
Bureau of Alcohol, Tobacco & Firearms			X			
Bureau of the Public Debt					X	
Treasurer of the US					X	
U.S. Customs Service			X	X		
Federal Aviation Agency			X			
Federal Bureau of Investigation						
Federal Communications Commission			X	X		
Federal Energy Regulatory Commission		X	X	X		
Federal Maritime Commission			X	X		
General Services Administration			X	X		
Interstate Commerce Commission			X	X		
Securities & Exchange Commission			X	X		
Small Business Administration			X	X	X	X
U.S. Coast Guard						
Federal Courts						
Directories:						
City Directory			X	X		
Gale's Directory of Directories						

Property

Types of Information								
Value	Licenses/ Permits	Securities	Liens	Sale/ Transfer	Legal Actions	Govt Contracts	Vessels	Previous Investigations
X								
X								
			X	X	X			
X								
X								
					X			
X	X		X	X	X	X		X
	X			X	X	X		X
				X		X		X
	X					X		
X						X		
					X	X		
	X					X		
								X
								X
X	X		X		X		X	X
						X		X
						X		
						X		
						X		
	X					X		
X		X						
X			X	X		X		
					X		X	X
					X			
	X		X	X				

(continued)

Property

Sources of Information	Tax Records	Utilities	Ownership	Addresses/ Location	U.S. Obligations	Insuranc
Hotel Red Book & Directory			X			
Lloyd's Shipping Registers			X			
Lloyd's Voyage Records						
Merchant Vessels of U.S.						
Telephone Directories				X		
The Guide						
Miscellaneous:						
Insurance Reporting Services						
National Auto Theft Bureau			X	X		

Property

Types of Information								
Value	Licenses/ Permits	Securities	Liens	Sale/ Transfer	Legal Actions	Govt Contracts	Vessels	Previous Investigations
			X				X	
							X	
							X	
							X	
X			X					

Property

City Government

Tax Assessor

A city tax assessor's office provides maps of real property in the city, including a property's dimensions, address, owner, taxable value, and improvements.

Tax Collector

A city tax collector's office provides the following information:

- names and addresses of payers of property taxes, even if the taxes were paid by individuals other than the owners;
- legal descriptions of property;
- amounts of taxes paid on real and personal property; and
- former owners of property.

Building Inspector

The following information is available through a city building inspector's office:

- building permits, which generally show applicant, address of construction, estimated cost of construction, and the builder or contractor;
- blueprints and plans, which show construction details and are often submitted with applications for building permits; and
- building inspectors reports, which contain information regarding compliance with construction specifications.

County Government

Recorder

A county recorder's office provides the following information:

- papers pertaining to real estate transactions, including deeds, grants, transfers and mortgages of real estate, releases of mortgages, powers of attorney, and leases that have been acknowledged or approved;
- mortgages on personal property;
- wills admitted to probate;
- official bonds;

- notices of mechanics' liens;
- transcripts of judgments that are made liens on real estate;
- notices of attachment on real estate;
- papers in connection with bankruptcy;
- certified copies of decrees and judgments of courts of record; and
- other documents permitted by law to be recorded, such as UCC filings, which reflect liens on other than real property.

Tax Assessor

A county tax assessor's office provides information similar to that provided by a city tax assessor's office.

Tax Collector

A county tax collector's office provides information similar to that provided by a city tax collector's office.

Surveyor

A county surveyor's office maintains maps of the county, including elevations, baselines, landmarks, important sites, all county roads, rights of way, and easements.

Court Clerk

A county court clerk maintains civil court files that contain papers in actions concerning liens, damages, name changes, divorces, insanity, intemperance, etc. These generally include the complaint (identifying the complainant and co-complainant, the defendant and co-defendant, and the cause of action); the answer to the complaint; and the judgment rendered.

In divorce case files, the complaint may identify the plaintiff and defendant; place and date of marriage (points the way to the county recorder's records); date of separation; children's names, ages, and birth dates; community property; and grounds or charges. The complaint also identifies the attorneys in the action and contains the plaintiff's signature. If a cross complaint or answer is filed, it will also have the defendant's signature.

A probate index will list actions alphabetically, by name of the estate or petitioner, and will give the date of filing and the number of the action (which leads to the file folder containing the papers in the action). The files will contain causes of actions to establish death and estates, such as being a minor, adoption, incompetence, insanity, and termination of probate.

State Government

The following departments and agencies may also provide valuable information to investigators:

- Bureau of Professional and Vocational Standards/Department of Licensing (especially when dealing with professional associations, partnerships, and corporations);
- Controller/Treasurer;
- Department of Agriculture;
- Department of Industrial Relations;
- Department of Natural Resources;
- Horse Racing Board/Gambling Commission;
- Office of the Attorney General;
- Secretary of State (Corporations Division);
- State Board of Equalization; and
- State Utility Commission.

It is also possible to find the following records at the state level:

- auto licenses, transfers, and sales of vehicles;
- bids, purchase orders, contracts, and warrants for payment;
- building and other permits;
- conditional sales contracts;
- inventories of estates;
- judgments, garnishments, chattel mortgages, and other liens;
- letters of administration;
- mortgage and releases;
- occupancy and business privilege licenses;
- public utility records;
- real estate tax payments;
- sale and transfer of property;
- state income and personal property tax returns; and
- wills, inheritance, and gift tax returns.

Federal Government

Some handy reference guides for contacts in the various federal agencies follow:

- Chart of the Organizations of the Federal Executive Department and Agencies, prepared by the U.S. Senate Committee on Government Operations;
- Congressional Staff Directory and Federal Staff Directory, prepared annually by Congressional Staff Directory, Ltd., Mount Vernon, VA.;
- Congressional Directory, prepared by the U. S. Government Printing Office; and
- The United States Government Manual, prepared by the Office of the Federal Register, National Archives and Records Administration.

Inspectors General

The Congress passed the Inspector General Act of 1978 and other similar legislation to establish statutory inspectors general to combat government waste, fraud, and abuse in 18 federal departments and agencies. (The Departments of Treasury and Justice are the only cabinet-level departments without statutory inspectors general.) Inspector general offices are good sources of information about matters they have investigated or audited and are good guides to other information sources in their departments or agencies. Most inspector general offices maintain centralized index and case file systems.

Department of Agriculture (USDA)

Information on agriculture loan applicants and recipients includes the following:

- loan applications and financial statements,
- bank accounts,
- crop yields and business profits,
- liens on chattel property and real property, and
- plat and location of property and assets.

Department of Commerce (DOC)

The DOC has information on patents and trademarks, and some information on minority businesses.

Department of Housing and
Urban Development (HUD)

The HUD headquarters, which is located in Washington, D.C., maintains a central index file on most components of the building industry, including people in the industry, lending institutions, appraisers, real estate brokers, and salespeople.

Department of Labor (DOL)

The DOL can provide substantial information on labor organizations. A labor organization must submit an annual financial report, which includes a statement of assets and liabilities, and a statement of receipts and disbursements. It must also complete 12 supporting schedules: loans receivable; other investments; other assets; other liabilities; fixed assets; loans payable; sales of investments and fixed assets; disbursement to officers; disbursement to employees; purchase of investments and fixed assets; benefits; and contributions, gifts, and grants.

Department of State (DOS)

The DOS can provide data on firms that apply for import and export licenses.

Department of the Treasury

Through the Treasury, the following information may be obtained:

- The Bureau of Alcohol, Tobacco and Firearms (ATF) has the capability to trace any firearm from manufacturer or importer to retailer, and may provide details of previous investigations concerning arson.
- The Bureau of the Public Debt (BPD) has information on U.S. Savings Bonds (registered bonds) purchased and redeemed, including such information as surname, given name, and middle name or initial of each person in whose name bonds were purchased; current and former addresses of each person; and the series of bonds involved. The following schedule shows the dates when the sale of each series began and ended:

Series	Dates
A	March 1935 through December 1935
B	January 1936 through December 1936
C	January 1937 through December 1937
D	January 1939 through April 1941
E	May 1941 through June April 1952
EE	January 1980 to Present (ongoing)
F	May 1941 through April 1952
G	May 1941 through April 1952
H	June 1952 through December 1979
HH	January 1980 to Present (ongoing)
I	May 1952 through April 1957
J	May 1952 through April 1957

- The Office of the Treasurer of the United States, which processes all checks paid by the U.S. Treasury, may provide photostats of cancelled U.S. Government checks. (Photostats of cancelled U.S. Government checks that relate to alleged forgery violations are obtainable through the U.S. Secret Service.) When information must be obtained from the issuing disbursing office, the investigation may be expedited by asking that office to obtain the copy and the necessary certification from the Check Claims Division.
- The U.S. Customs Service can provide records of seized smuggled property.

Federal Aviation Administration (FAA)

The FAA maintains records reflecting chain of ownership of all civil aircraft in the United States. These records include documents relative to their manufacture, sale, bill of sale, sales contract, mortgage, liens, transfers, inspection, and modifications.

Federal Bureau of Investigation (FBI)

The FBI maintains the following information:

- National Stolen Property Index (stolen government property, to include military property) and
- National Fraudulent Check Index.

The FBI also administers the National Crime Information Center (NCIC), which provides information about the following:

- stolen, missing, or recovered guns;
- stolen articles;
- wanted persons;
- stolen/wanted vehicles;
- stolen license plates;
- stolen/embezzled/missing securities — stocks, bonds, currency, etc.; and
- stolen/wanted boats.

**Federal Communications
Commission (FCC)**

The FCC licenses all radio operators in the United States. An individual or corporate body applying for authority to construct a new broadcast station or to make changes to an existing station must file with the FCC. Information in the filing includes programming, technical aspects of the proposed facility, and full details on ownership and financial status.

**Federal Energy Regulatory
Commission (FERC)**

Electric utility and natural gas companies are required to file annual reports with the FERC, which provide excellent financial pictures of the companies as well as other information, e.g. officers of the company, and directors and stockholders who own more than ten percent of the company.

**Federal Maritime Commission
(FMC)**

The FMC investigates freight forwarders who apply to the Commission for licenses to engage in oceangoing freight-forwarding activities. An applicant provides information covering most aspects of his history, including name, residence, date and place of birth, citizenship of all corporate officers and directors, partnership members or individual proprietors, and direct stockholders of five percent or more.

**General Services Administration
(GSA)**

The GSA has considerable information on architects, engineers, personal property auctioneers, real estate appraisers, construction contractors, sales brokers, and businesses that contract with the GSA.

**Interstate Commerce Commission
(ICC)**

The ICC requires interstate trucklines and other shippers to file annual reports on their financial activities.

**Securities and Exchange
Commission (SEC)**

The SEC maintains records of corporations with stocks and securities sold to the public. These records are probably the most extensive public

source of information on such businesses. The records include the following:

- identification of owners of more than ten percent of the stock,
- a description of registrant's properties and businesses,
- identification of events of interest to investors,
- identification of accountants and attorneys, and
- history of the business.

The SEC also lists the changes in beneficial ownership by officers, directors, and principal stockholders of securities listed and registered on a national securities exchange, or securities relating to public utility companies and certain closed-end investment companies.

Copies of the documents maintained by the SEC are available at any of the SEC regional or branch offices in the following cities: Atlanta, GA; Miami, FL; Boston, MA; Chicago, IL; Cleveland, OH; Detroit, MI; St. Louis, MO; Denver, CO; Salt Lake City, UT; Fort Worth, TX; Los Angeles, CA; San Francisco, CA; New York, NY; Seattle, WA; Washington, DC; and Philadelphia, PA.

Corporate filings include the following:

- Annual Report of Publicly Traded Company (Form 10-K) — excerpts or complete report via LEXIS or DIALOG databases;
- Quarterly Report of Publicly Traded Company (Form 10-Q) — same as 10-K;
- Special Events In Re Publicly Traded Company (Form 8-K) — transactions resulting in change of controlling interest;
- Registration of Security (Form 8-A) — prospectus and data relative to the issuer;
- Registration of Security by Successor (Form 8-B) — the name of issuer and the relationship to primary registrant/issuer;
- Special Events In Re Foreign Security (Form 6-K) — information similar to 10-K and 8-K, except security registered under other than U.S. law; and
- Report of Acquisition of Beneficial Ownership of 5% or more of Capital Stock of Public Company (Form 13-D) — identity of each person or firm acquiring beneficial ownership of 5 percent or more of capital stock, or the identity of each person or firm comprising a group that acquires such beneficial ownership; description of security; agreements or other

undertakings by reporting entity; if acquisition results in change of control, background on each person reporting; and sources of funds for acquisition, purpose of acquisition, and relationships of parties.

Small Business Administration (SBA)

The SBA participates in loans or makes direct loans for business construction, expansion, or conversion; for purchase of machinery, equipment, facilities, supplies, or materials; and for working capital.

A loan applicant (sole owner, partnership, corporation of other) must complete SBA forms that provide information about the applicant and the small business.

The SBA arranges contracts and guarantees loans for qualified small minority-owned businesses. For some of these businesses, the SBA may be the only source for financial statements and information on officers, assets, and other information on small businesses because their limited net worth does not subject these firms to public disclosure laws.

U.S. Coast Guard (USCG)

The USCG provides records of the following:

- vessels equipped with permanent installed motors and
- vessels over 16-feet long equipped with detachable motors.

Federal Courts

The federal court system has three basic levels: the U.S. District Court, the U.S. Court of Appeals, and the U.S. Supreme Court. Most of the data that an investigator would need is obtainable at the district court level. These records include case records, minutes, and dockets. A case record consists of pleadings, processes, written orders, and judgments of the court, and other papers that pertain directly to the case. Minutes are the record, in summary form, of what happens during the proceedings before the judge in open court or in chambers. Each case has a docket sheet, which is a chronological summary of what takes place in the courtroom and which lists the papers in the file. These files often identify property held by defendants.

Directories	One of the best sources of information on property is the local public library. Some of the information available there includes the following:
City Directory	Public libraries, chambers of commerce, and second-hand book stores have city directories, which usually contain name, residence, occupation, and sometimes place of employment.
<u>Gale's Directory of Directories</u>	This directory thoroughly describes and indexes about 9,600 directories of all kinds, including business and industrial directories, professional and scientific rosters, foreign directories, and other lists and guides.
<u>Hotel Red Book and Directory</u>	This directory is published by the American Hotel Association, 221 West 57th Street, New York, New York, and lists hotels in the United States, Canada, Mexico, and some other countries.
<u>Lloyd's Register of Shipping and B. Lloyd's Weekly Register</u>	These registers list all sea-going merchant and passenger ships of the world, as well as each ship's owner, material of construction, rig, tonnage, builder, date built, dimensions, port of registry, and engines. For commercial ships sailing worldwide, the registers also lists each ship's registry, flag, and last and next port of call.
<u>Lloyd's Register of Yachts and B. Lloyd's Register of American Yachts</u>	These registers list names and descriptions of yachts, their classifications, names and addresses of owners, yacht clubs, and flags. (American register shows only U.S. and Canadian yachts.)
<u>Merchant Vessels of the United States (U.S. Coast Guard)</u>	This directory is similar to <u>Lloyd's Register of Shipping</u> , however, it only contains information on vessels of American registry.
<u>Shipping Index, Weekly and Lloyd's Voyage Record</u>	<p>The weekly index gives movements and latest reports at Lloyds of all merchant vessels.</p> <p>The voyage record gives comprehensive coverage of arrivals and sailings at all ports of call on current voyages.</p>

Telephone Directory

In addition to the standard directories, the local telephone companies have street address directories (listing non-published numbers) and telephone number directories (listing non-published numbers).

The Guide (San Francisco)

This is a monthly publication containing records of the arrival and departure of vessels scheduled for that month, such as line, port of departure, estimated time of arrival, and pier of destination. (Each port of any size has similar publication.)

The same information is published daily, for the day only, in the "Shipping News" section of the leading newspaper.

Miscellaneous

Insurance Reporting Services

These are agencies in business with or subsidized by insurance companies or underwriters. These services are designed to gather information concerning policyholders. This includes the following:

- loss histories,
- investigations of losses, and
- recovery of property.

National Auto Theft Bureau

This bureau is maintained by auto insurance companies to keep down auto-theft rates through investigation and apprehension. The bureau

- investigates abandoned vehicles, wrecked vehicles, wrecking yards, junk dealers;
- maintains files on professional auto thieves and theft rings;
- is national in scope and is connected by teletype (also to Canada);
- has an office staff in most state motor vehicle department headquarters to check ownerships and registrations; and
- has no legal or official police power.

Electronic Data Bases

Electronic data bases are a relatively new and rapidly growing source of information. Generally, data bases do not provide any more information than can be accessed from other sources. However, data bases have two distinct advantages — search speed and constant access.

Investigative and Law Enforcement Data Bases

El Paso Intelligence Center (EPIC)

EPIC, located in El Paso, Texas, is a multi-agency operation that provides information about narcotics traffickers, gun smugglers, and alien smugglers. The center is designed to collect, process, and disseminate such information, and it is capable of providing a continuous exchange of intelligence between member agencies.

EPIC, the center of a network of telefax, teletype, telephone, and computer systems serving law enforcement, is managed by the Drug Enforcement Administration. Other participating agencies are the Immigration and Naturalization Service; the U.S. Customs Service; the Federal Aviation Administration; the U.S. Coast Guard; and the Bureau of Alcohol, Tobacco and Firearms.

One of the primary functions of EPIC is to provide timely responses to queries from agents and officers in the field to support ongoing investigations and enforcement operations. Any state, county, city, or federal law enforcement agency may make an inquiry in person or by telephone, teletype, mail, or law enforcement computer.

The EPIC Watch operates on a 24-hour-a-day, seven-day-a-week basis to provide needed support for law enforcement. When queries are received, the Watch Section performs a check of hard copy and automated systems, and it responds by radio, telephone, or teletype to the inquirer. The following can be obtained from EPIC:

- input and follow-up on vehicle, aircraft, and vessel lookouts;
- information to aid in the establishment of probable cause;
- coordination with participating federal agencies;
- full-time contact with other agencies, such as state and local law enforcement, for call-back purposes;
- intelligence support for ongoing field investigations; and

- professional support for any emergency in the field, such as relay of communications or requests for assistance.

The Watch is primarily concerned with inquiries and lookouts. It first attempts to fully identify the person or vehicle under investigation, and then tie it in with available information, such as methods of operation or criminal organization.

All inquiries received by EPIC are thoroughly researched and coordinated to furnish up-to-date, timely feedback. This could relate to a weapons or narcotics activity, alien, trafficker, pilot, aircraft, vehicle, or vessel.

**Immigration and Naturalization
Service Integrated Network
Communications System
(INSINC)**

INSINC contains INS Aircraft Arrival Inspection Reports (form 192A), INS index of known alien smugglers, and INS index of various schemes involving fraudulent documents and false claims to U.S. citizenship. Inquiries should be limited to narcotics-related cases or files and/or smugglers of funds, other contraband, and aliens. INSINC is accessible through EPIC.

**Narcotics and Dangerous Drugs
Information System (NADDIS)**

Inquiries should be limited to narcotics-related cases or files and/or smugglers of funds, other contraband, and aliens. NADDIS is accessible through EPIC.

**National Crime Information
Center (NCIC)**

NCIC, located at the FBI Headquarters in Washington, D.C., is the best known law enforcement computer system. Most major law enforcement agencies have NCIC connections.

NCIC is often compared to a large "file cabinet," with each file having its own label or classification. Such a cabinet of data contains information concerning the following:

- stolen, missing, or recovered guns;
- stolen articles (must have a serial number);
- wanted persons (for questioning or arrest);
- stolen/wanted vehicles (autos, aircraft, motorcycles);
- stolen license plates;
- stolen, embezzled, or missing securities, stocks, bonds, and currency; and
- stolen/wanted boats.

NCIC can also provide an investigator with computerized criminal history (CCH) files as an additional source of information. These files give specifics on a subject's prior offenses, arrests, and dispositions, in addition to background information. For example, if a subject's name, date of birth, race, and sex were entered, the investigator would receive the following:

- FBI number,
- full name,
- sex,
- race,
- date of birth,
- height,
- weight,
- eye color,
- hair color,
- fingerprint classification,
- alias,
- total arrests,
- charges,
- convictions, and
- dispositions.

**National Law Enforcement
Telecommunications System
(NLETS)**

NLETS is a sophisticated computer-switched communications network linking all the law enforcement agencies in the continental United States, Alaska, Hawaii, and Puerto Rico. NLETS communications facilities are also used by other state agencies, such as the various departments of correction, courts, and wild life management. It is available to such federal agencies as the U.S. Secret Service, the U.S. Customs Service, the U.S. Marshals Service, the U.S. Postal Inspection Service, the Internal Revenue Service, the Military Provost Marshals, and the Naval Investigative Service.

Inquiries into NLETS should include the subject's name, date of birth, sex, and race. Driver's license, motor vehicle registration, and criminal information records are available through NLETS. For example, if the required query information were provided to NLETS, the following information would be provided:

- subject's full name,
- last known address,
- race,
- sex,

- date of birth,
- height,
- weight,
- hair color,
- eye color,
- social security number,
- driver's license number,
- license expiration date,
- restrictions, and
- status.

If the investigators inquired about any vehicles registered to a subject, they could receive:

- subject's full name,
- last known address,
- race,
- sex,
- date of birth,
- auto tag number,
- description of vehicle and year, and
- vehicle identification number.

If the investigators provided descriptive information and queried a state law enforcement agency, they could receive a complete criminal history of the subject.

Treasury Enforcement Communications System (TECS)

TECS is a system of telecommunications terminals located in law enforcement facilities of the Department of the Treasury. These terminals are connected to a computer in San Diego, California.

TECS contains information on wanted persons, identifiable stolen or missing property, and computerized criminal history (OCH) files. TECS also has access to the National Law Enforcement Telecommunications System (NLETS).

Participants include the U.S. Customs Service; the Bureau of Alcohol, Tobacco and Firearms; the Drug Enforcement Administration; the Immigration and Naturalization Service; the Department of State; the U.S. Coast Guard; the Federal Bureau of Investigation (NCIC Section); the U.S. Marshals Service; the Internal Revenue Service, Intelligence Division

and Inspection Service; EPIC; NNBIS; and INTERPOL (National Central Bureau).

TECS works on a soundex-type system. If an inquiry is made regarding a certain name, then all similar sounding names on record are provided to the inquirer. Inquiries on TECS may be made by name alone, even if no identifying number, such as date of birth, FBI, or social security number, is available.

When a similar sounding list of names is provided by TECS, the various subjects' names are printed out along with sex, race, and date of birth. These factors can be reviewed by the inquirer who can determine which subject, if any, is the subject of interest. If a name is selected, then the name and date of birth are again queried and additional information is provided by TECS. This additional information may include, but is not limited to, the following:

- special instructions (such as armed and dangerous),
- full name,
- race,
- sex,
- height,
- weight,
- hair,
- eyes,
- date of birth,
- place of birth,
- fugitive (which agency),
- remarks (background information),
- address,
- citizenship,
- miscellaneous numbers (such as FBI),
- warrant held where and by whom,
- warrant number and date,
- date of offense,
- alias,
- Treasury I.D. number,
- case number, and
- NCIC number.

**Treasury Financial Law
Enforcement Center (TFLEC)**

TFLEC's Financial Information Data Base can provide the following information:

- Currency Transaction Reports (CTR), IRS Form 4789;
- Reports of International Transportation of Currency or Monetary Instruments (CMIR), Customs Form 4790; and
- Reports of Foreign Bank and Financial Accounts (BA), Treasury Form 90-22.1.

Also available from TFLEC's Financial Information Data Base are special computer runs summarizing CTR & CMIR data.

**Washington Area Law
Enforcement System (WALES)**

WALES is one of the state level law enforcement computer systems and is listed here to illustrate systems available in nearly all of the states.

WALES is sponsored by the Washington, D.C., Metropolitan Police Department and the state of Maryland, and it is available to state and federal investigators, when coordinated with the Washington, D.C., Police Department. WALES operates on a soundex system, and all that is needed for a query is the subject's name, without any identifying numbers. The system also interfaces with NCIC and NLETS. This system can provide investigators with information such as the following:

- stolen property,
- wanted persons,
- filed complaints (lists violations by address),
- gun registration information (in D.C. or Maryland),
- court case disposition and status,
- driver's license and motor vehicle registration,
- business licenses,
- traffic accidents, and
- Lorton Reformatory inmates (prison type information regarding prisoner location, status, disciplinary action, and type of custody).

Commercial Data Bases, Research & Reference Services

Dialog Information Retrieval Service (Dialog)

DIALOG now offers more than 290 data bases (soon to be 320). Dialog contains in excess of 80 million records, including references and abstracts of published literature, statistical tables, full text of selected articles, and directory, business, and financial data.

Dun & Bradstreet (D&B)

D&B has several data bases regarding corporations that are available through DIALOG, including a listing of 4.8 million businesses. Also available from D&B are 280 microfiche, sorted either geographically or alphabetically, containing listings that show assumed names (doing business as) or true names (corporate/partnership style).

Federal Procurement Data Center

The Federal Procurement Data Center maintains a computerized compendium of the Federal Acquisition Regulations (FAR), many agencies' supplements to the FAR, and information relative to all active (and some completed) government contracts. It is accessible through DIALOG.

General Accounting Office Documents Retrieval System (GAODOCS)

GAODOCS contains excerpts from GAO reports and is searchable by subject, GAO division, and report name or number.

General Services Administration Consolidated List

The GSA Consolidated List is a computerized list of suspended and debarred bidders.

House Member Information Network (MIN)

MIN is a group of on-line information-retrieval systems, which include the following: government statistics; the substance and present status of bills and resolutions; floor amendments; floor proceedings; pre-award grants (pertaining to all federal assistance programs contained in the Catalog of Federal Domestic Assistance (CFDA); post-award grants; and available contracts and awarded contracts, listing every civilian contract of \$10,000 or more and every defense contract of \$25,000 entered into by the federal government over the last four quarters. MIN also provides full text of the Congressional Record since the 99th Congress.

**Justice Retrieval and Inquiry
System (JURIS)**

JURIS is a full-text, computerized information system (similar to LEXIS) developed and operated by the Department of Justice to provide attorneys with rapid access to relevant legal documents. JURIS is widely used in legal offices throughout the country and is available through the Library of Congress, American Law Division. JURIS contains headnotes and full text for 145,000 federal decisions and headnotes for 350,000 state decisions from West's General Digests. It also contains the following:

- federal statutes and regulatory material,
- attorney work products, and
- special files of evidentiary materials in support of ongoing litigation.

LEXIS

LEXIS is the largest and most widely used full-text legal data base. Available from Mead Data Central, Inc., LEXIS contains legal cases from federal and state courts, federal statutes and regulations, and law reviews and other publications that analyze current legal trends.

**National Texts and Periodicals
Database (NTP)**

NTP consists of selected articles from over 200 law reviews and bar journals.

NEXIS

NEXIS is a full-text data base consisting of general news, business and financial information from more than 150 newspapers, magazines, wire services, etc. Magazine data dates from January 1975; newspaper data dates from January 1977.

**Online Retrieval of Bibliographic
Information, Timeshared
(ORBIT)**

ORBIT is an on-line, interactive retrieval system designed and implemented by the SDC Search Service Division Development Corporation, Santa Monica, California. The ORBIT user interacts directly with the retrieval program via a terminal and telecommunication line, i.e. the user is "on-line" with the ORBIT program at a remote terminal.

Scorpio

This research service contains several different data bases, to include abstracts of the following:

- The Library of Congress Computerized Catalog (LCCC) contains all English books published in the U.S. since 1978.
- The Bibliographic Citation File (BIBL) is a file of selected citations to journal articles of interest to Congress from 1976 to the present.
- Congressional Status Files (CG Files) are bill status files, which can be searched by subject (e.g. acid rain) or by bill number to determine bill resolution, ratification, amendment, etc. This file can also be searched by committee, subcommittee, or member's name.
- The National Referral Center Master File (NCRM) is a data base consisting of approximately 14,500 trade organizations and professional societies (also lobbies). A popular use for this data base is searching for experts in particular subject areas. Searches are by subject.

Securities Information Center (SIC)

The SIC, located in Wellesley Hills, Massachusetts, is operated by IteI Corporation under contract with the Securities and Exchange Commission. All banks and brokerage houses, etc., that receive bad securities are required to report this information to the SIC. They are also required to run a check with SIC if they receive \$10,000 or more in securities. Information is recorded as of October 1977.

Standard & Poor's (S&P)

S&P has several data bases regarding corporations. These data bases are available through DIALOG, including information on 36,000 corporations and 340,000 "key executives," with 74,000 profile biographies. S&P can also provide substantial information on financial institutions, including a list of the corporate officers and directors, mailing address, total deposits, primary bank, and primary law firm.

WESTLAW

WESTLAW is similar to LEXIS and JURIS, and contains many of the same files.

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