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Investigators' Guide to Sources of Information



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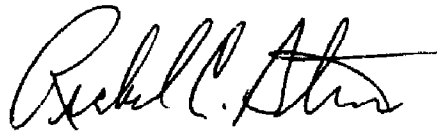
Office of Special Investigations

The Office of Special Investigations' 1988 Investigators' Guide to Sources of Information, GAO/OSI-88-1, was well received by the investigative community. When the guide was first published, we promised to update it periodically and requested your assistance. Your responses have helped us make this 1992 version, we hope, an even more useful locator of new, imaginative, and often overlooked sources of information for investigators.

This guide again 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. However, the guide should be used in conjunction with a full knowledge of federal and state privacy laws and access requirements.

We once more request your assistance in providing periodic updates. 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, U.S. General Accounting Office, 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.



Richard C. Stiener
Director

How to Use the 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 is a chapter on electronic data bases. This chapter provides information about the four general categories.

Generally, the Privacy Act, 5 U.S.C. section 552a (1988), prohibits federal agencies from disclosing a record from a "systems of records" from which information may be retrieved by name of an individual or by a number, symbol, or other individual identifier.

However, federal agencies may disclose a record to another agency or governmental instrumentality for a lawful civil or criminal law enforcement activity. To receive a record, the head of the requesting agency must request the record in writing from the agency that maintains the record, specifying the portion of the record desired and the law enforcement activity for which the record is sought. The head of an agency may delegate this "authority to request records" to appropriate agency officials. The Privacy Act imposes criminal penalties on agency employees who wrongfully disclose protected information and on any person who wrongfully requests or obtains protected information under false pretenses. (5 U.S.C. section 552a(i) (1988)).

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Abbreviations

Amtrak	National Railroad Passenger Corporation
ATF	Bureau of Alcohol, Tobacco and Firearms
CID	Criminal Investigation Division (IRS)
CIS	Central Index System
CLASS	Consular Lookout and Support System
CPA	certified public accountant
DBA	doing business as
DCII	Defense Clearance and Investigations Index
DEA	Drug Enforcement Administration
DOD	U.S. Department of Defense
EPIC	El Paso Intelligence Center
FAA	Federal Aviation Administration
FAR	Federal Acquisition Regulations
FBI	Federal Bureau of Investigation
FCC	Federal Communications Commission
FDA	Food and Drug Administration
FDIC	Federal Deposit Insurance Corporation
FHA	Federal Housing Administration
FinCEN	Financial Crimes Enforcement Network
FTS	Federal Telecommunications System
GAO	U.S. General Accounting Office
GAODOCS	U.S. General Accounting Office Documents Retrieval System
GSA	General Services Administration
HHS	U.S. Department of Health and Human Services
HUD	U.S. Department of Housing and Urban Development
IBIS	Interagency Border Inspection System
ICC	Interstate Commerce Commission

Contents

ICTS	International Criminal Police Organization Case Tracking System
III	Interstate Identification Index
INS	Immigration and Naturalization Service
INTERPOL	International Criminal Police Organization
IRS	Internal Revenue Service
JMIE	Joint Maritime Information Element
JURIS	Justice Retrieval and Inquiry System
MAGLOCLEN	Middle Atlantic-Great Lakes Organized Crime Law Enforcement Network
MIN	House Member Information Network
MOCIC	Mid-States Organized Crime Information Center
NADDIS	Narcotics and Dangerous Drugs Information System
NAILS	National Alien Information Lookout System
NASA	National Aeronautics and Space Administration
NCIC	National Crime Information Center
NESPIN	New England State Police Information Network
NIS	Nonimmigrant Information System
NLETS	National Law Enforcement Telecommunications System
NRC	Nuclear Regulatory Commission
NTP	National Texts and Periodicals Data Base
OASIS	Operational Activities Special Information System
ORBIT	On-line Retrieval of Bibliographic Information, Time-shared
OSI	Office of Special Investigations, GAO
RISS	Regional Information Sharing System
RMIN	Rocky Mountain Information Network
ROCIC	Regional Organized Crime Information Center
RTC	Resolution Trust Corporation
SBA	Small Business Administration
SEC	Securities and Exchange Commission
SIC	Securities Information Center
TECS	Treasury Enforcement Communications System
USDA	U.S. Department of Agriculture
USNCB	U.S. National Central Bureau of the International Criminal Police Organization (INTERPOL)
VA	U.S. Department of Veterans Affairs
WALES	Washington Area Law Enforcement System
WSIN	Western States Information Network

Business

Table 1.1: Business Information

Source of information	Ownership	Financial data	Corporate officers	Biographical	Subsidiaries	Credit report
City government						
Building inspector	X					
Regulatory agencies	X	X	X		X	
Tax assessor	X					
Tax collector	X					
County government						
Recorder	X	X				
Regulatory agencies	X	X	X		X	
Tax assessor	X	X				
Tax collector	X					
State government						
Regulatory agencies	X	X	X		X	
Federal government						
Inspectors general	X				X	X
Commodity Futures Trading Commission	X	X	X			
Department of Agriculture					X	X
Department of Commerce						
Dept. of Health & Human Services		X				X
Dept. of Housing & Urban Development		X				
Dept. of Justice/USNCB - INTERPOL	X					
Department of Labor						
Department of State						
Department of the Treasury						
Bur. of Alcohol, Tobacco & Firearms						
Internal Revenue Service - CID		X				
U.S. Customs Service						
U.S. Secret Service						
Treasurer of the United States		X				
Federal Aviation Administration	X	X				
Federal Communications Commission	X					
Federal Energy Regulatory Commission		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	
National RR Passenger Corp. (Amtrak)				X		
Nuclear Regulatory Commission						

Chapter 1
Business

Type of information

Contractor, sub	Contractor, general	Government contracts	Previous investigations	Taxes	Location	Labor issues	Licensing/regulatory
			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)

**Chapter 1
Business**

Source of information	Ownership	Financial data	Corporate officers	Biographical	Subsidiaries	Credit report
Resolution Trust Corporation			X			
Securities and Exchange Commission	X	X	X	X	X	
Small Business Administration	X	X	X	X	X	X
Federal courts	X	X	X			
Commercial sources						
Better Business Bureau	X					
Chamber of Commerce						
Directories						
America's Corporate Families	X				X	
Am.'s Corp. Fam. & Internl. Affiliates	X				X	
Dir. of Companies Filing With SEC	X					
Dir. of Corp. Affilia.—Who Owns Whom	X				X	
D & B's Million Dollar Directory	X	X	X	X		
Moody's	X	X			X	X
National Trade and Prof. Asso.—U.S.						
Predicasts Funk and Scott Index, U.S.	X					
S & P's Corporation Records		X		X		
S & P's Register of Corporations	X	X			X	X

Legend:

INTERPOL = International Criminal Police Organization
 USNCB = U.S. National Central Bureau of INTERPOL
 CID = Criminal Investigation Division
 SEC = Securities and Exchange Commission
 D & B = Dun and Bradstreet
 S & P = Standard and Poor's

Chapter 1
Business

Type of information							
Contractor, sub	Contractor, general	Government contracts	Previous investigations	Taxes	Location	Labor issues	Licensing/ regulatory
X	X	X	X				
			X				
X	X	X	X	X	X		
					X		
			X				
			X				

City Government

Building Inspector

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

- building permits, which generally show name of 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

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:

- businesses seeking liquor licenses;
- professionals, including certified public accountants, dentists, doctors, plumbers, electricians, and optometrists;
- restaurants, bars, and night clubs (which 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).

Tax Assessor

A city tax assessor's office maintains 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 maintains the following information:

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

- delinquency status of taxes; and
 - names of former owners of property.
-

County Government

Recorder

A county recorder's office maintains 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 the Department of Defense's DD 214 forms, recorded by some veterans as evidence of veteran status, particularly in those states where veterans are granted reduced property tax rates.

Regulatory Agencies

County regulatory agencies maintain information similar to that maintained by city regulatory agencies.

Tax Assessor

A county tax assessor's office maintains information similar to that maintained by a city tax assessor's office.

Tax Collector

A county tax collector's office maintains information similar to that maintained by a city tax collector's office.

State Government

Regulatory Agencies

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

- Bureau of Professional and Vocational Standards or Department of Licensing (especially when dealing with professional associations, partnerships, and corporations);
- Controller/Treasurer;
- Department of Agriculture;
- Department of Industrial Relations;
- Department of Motor Vehicles—maintains information on driver's licenses, vehicle registrations, titling, car dealers, car salespersons, wrecking yards, tow companies, smog inspection facilities, and (in some states) auto repair businesses;
- Department of Natural Resources;
- Horse Racing Board/Gambling Commission;
- Office of the Attorney General;
- Secretary of State (Corporations Division);
- State Board of Equalization;
- State Police or Highway Patrol;
- 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 Governmental Affairs;
- Congressional Staff Directory and Federal Staff Directory, prepared annually by Congressional Staff Directory, Ltd., Mount Vernon, Virginia;
- 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 established inspectors general to combat government fraud, waste, and abuse in federal departments, agencies, and designated entities. See table 1.2.

Table 1.2: Federal Inspectors General

Federal entity	Telephone number
ACTION	(202) 606-4804
Agency for International Development	(202) 647-7844
Agriculture, Department of	(202) 720-8001
Amtrak	(202) 906-4600
Appalachian Regional Commission	(202) 673-7822
Board for International Broadcasting (in Germany)	011-4989-2888-644
Central Intelligence Agency	(703) 874-2555
Commerce, Department of	(202) 377-4661
Commodity Futures Trading Commission	(202) 254-3154
Consumer Product Safety Commission	(301) 492-6573
Corporation for Public Broadcasting	(202) 879-9660
Defense, Department of	(703) 695-4249
Education, Department of	(202) 453-4039
Energy, Department of	(202) 586-4393
Environmental Protection Agency	(202) 260-3137
Equal Employment Opportunity Commission	(202) 663-4379
Farm Credit Administration	(703) 883-4030
Federal Communications Commission	(202) 632-0471
Federal Deposit Insurance Corporation	(202) 898-6557
Federal Election Commission	(202) 219-4267
Federal Emergency Management Agency	(202) 646-3910
Federal Housing Finance Board	(202) 408-2960
Federal Labor Relations Authority	(202) 382-6002
Federal Maritime Commission	(202) 523-5863
Federal Reserve Board	(202) 872-7501
Federal Trade Commission	(202) 326-2800
General Services Administration	(202) 501-0450
Government Printing Office	(202) 512-0039
Health and Human Services, Department of	(202) 619-3148
Housing and Urban Development, Department of	(202) 708-0430
Information Agency, U.S.	(202) 401-7931
Interior, Department of the	(202) 205-2210
International Trade Commission, U.S.	(202) 205-2210
Interstate Commerce Commission	(202) 927-6100
Justice, Department of	(202) 514-3435
Labor, Department of	(202) 523-7296

(continued)

Chapter 1
Business

Federal entity	Telephone number
Legal Services Corporation	(202) 863-1821
Merit Systems Protection Board ^a	(202) 653-2514
National Aeronautics and Space Administration	(202) 453-1220
National Archives and Records Administration	(202) 724-0067
National Credit Union Administration	(202) 682-9730
National Endowment for the Arts	(202) 682-5402
National Endowment for the Humanities	(202) 786-0350
National Labor Relations Board	(202) 254-4880
National Science Foundation	(202) 357-9457
Nuclear Regulatory Commission	(301) 492-9093
Office of Personnel Management	(202) 606-1200
Panama Canal Commission (in Panama)	011-507-523142
Peace Corps	(202) 606-3320
Pension Benefit Guaranty Corporation	(202) 778-8855
Postal Service, U.S.	(202) 268-4267
Railroad Retirement Board	(312) 751-4690 FTS 386-4690
Resolution Trust Corporation	(202) 416-7428
Securities and Exchange Commission	(202) 272-3152
Small Business Administration	(202) 205-6581
Smithsonian Institution	(202) 287-3326
State, Department of	(202) 647-9450
Tennessee Valley Authority	(615) 632-4765
Transportation, Department of	(202) 366-1959
Treasury, Department of the	(202) 566-6900
Veterans Affairs, Department of	(202) 233-2636

^aThe Chairman, Merit Systems Protection Board, established the Inspector General in 1987.

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 offices of inspector general maintain centralized index and case file systems.

**Commodity Futures
Trading Commission**

The Commission maintains the following information:

- registration information concerning firms and individuals,
- administrative and injunctive actions filed by the Commission against firms and individuals,
- financial reports filed by Commission registrants, and
- customer complaints filed against Commission registrants.

The National Futures Association is a self-regulatory organization authorized by the Commodity Exchange Act; it operates under the supervision of the Commission. The Association is a one-stop information source for all types of registration and disciplinary information regarding firms and individuals in the futures industry. This information includes registration status and employment history; disciplinary actions filed by the Association, the Commission, and the commodity exchanges; and customer complaints filed under the Commission's Repairs Program. The Association's Information Center can be contacted at (800) 621-3570 or, within Illinois, at (312) 781-1410.

Department of Agriculture
(USDA)

Various USDA agencies maintain information about gaining access to records concerning the following:

- meat or poultry companies;
 - feedlot owners or operators, livestock brokers, or meat packers or canners;
 - ownership, management, or operations of—or certain financial data concerning—farms or ranches participating in USDA programs;
 - retail grocery stores authorized to accept food stamps;
 - rural electric or telephone cooperatives;
 - application for and receipt of loans, loan guarantees, grants, or contracts with or from USDA agencies;
 - applications for and indemnities paid by federal crop insurance;
 - logging (tree harvesting) companies that remove timber from National Forests;
 - certain improvements to farmland;
 - the import or export of agricultural commodities, animals, or plants; and
 - personnel data on current or former USDA employees.
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Department of Commerce

The Department of Commerce 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)

The Food and Drug Administration (FDA) is an enforcement agency of HHS. FDA investigators in the field conduct investigations of drug firms covered under their jurisdiction.

Department of Housing
and Urban Development
(HUD)

HUD's Compliance Division conducts investigations of alleged HUD violations. This division handles investigations of false statements on credit applications for Federal Housing Administration (FHA) loans, mortgagors' certification of no outstanding obligations, cost certificates, and other areas of fraud.

HUD, in Washington, D.C., maintains central index files containing information regarding HUD programs and participants, including such individuals and businesses as mortgage companies, developers, and borrowers.

Department of Justice

The Department of Justice's U.S. National Central Bureau of the International Criminal Police Organization (USNCB-INTERPOL) has direct contact with law enforcement authorities in over 155 INTERPOL member countries. The USNCB, therefore, can request information regarding ownership, previous investigations, and any other information legally releasable. The degree of information available is determined by the laws of the countries from which the information is requested.

Department of Labor

The Department of Labor has information about the Federal Employees Compensation Act, the Job Partnership Training Act, the Occupational Safety Health Act, and the Mine Safety Health Act. Labor also conducts programs under these acts.

The Department retains substantial data on businesses that have special work programs with it.

The Department also maintains 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; and contributions, gifts, and grants.

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

Department of State

The Department of State maintains data on import and export licenses. The State Department's Bureau of Diplomatic Security has information relating to previous investigations conducted by that office.

Department of the Treasury

The Department of the Treasury includes a statutory inspector general and the following four law enforcement agencies:

- The Bureau of Alcohol, Tobacco and Firearms (ATF) retains (1) data on distilleries, wineries, breweries, manufacturers of tobacco products, wholesale and retail dealers of alcoholic beverages, and certain other manufacturers, dealers, and users of alcohol; (2) investigative reports of alleged violations under its jurisdiction; (3) a list of federally licensed firearms manufacturers, importers, and dealers; and (4) a complete list of all federally licensed 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. The release of taxpayer information to other than IRS personnel requires special procedures. 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 retains data on businesses that are involved in the import and export area, including lists/records of importers and exporters and lists/records of custom house brokers and truckers. The Office of Investigations investigates alleged violations of import and export practices. The Customs Service is also involved in the National Narcotics Border Interdiction System, 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.
- The U.S. Secret Service maintains records on forgers, counterfeiters, and businesses that have contacted the Service concerning forged or counterfeit obligations of the United States, such as Treasury notes.

In addition, 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 the manufacture, sale, transfer, inspection, and modification of an aircraft, including the bill of sale, sales contract, mortgage, and liens.

The FAA also maintains records on pilots, aircraft mechanics, flight engineers, and other individuals that it certifies in flight safety positions. These records include information on certificates held, airmen medicals, and airmen law enforcement history.

**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 change existing stations must also file with the FCC. Information contained in the filings includes details on programming, technical aspects of the proposed facilities, and ownership and financial status.

**Federal Energy Regulatory
Commission**

Electric utility and natural gas companies are required to file annual reports with the Federal Energy Regulatory Commission. The reports provide excellent financial pictures of the companies as well as other information, e.g., officers, directors, and stockholders who own more than 10 percent of the company.

**Federal Maritime
Commission**

The Federal Maritime Commission investigates applicants for licenses to engage in oceangoing freight-forwarding activities. Applicants provide information to the Commission covering most aspects of their history, including name, residence, date and place of birth, citizenship of all corporate officers and directors; names of partnership members or individual proprietors; and names of direct holders of 5 percent or more of company stock.

**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. The GSA also maintains the "GSA Consolidated List," a computerized list of suspended and debarred bidders.

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)

Over 85 percent of NASA's multibillion dollar budget goes to NASA's contractors. Procurement files maintained by its Office of Procurement contain information about a firm and its employees.

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

National Railroad
Passenger Corporation
(Amtrak)

Amtrak maintains information on passengers, including reservation histories, method of payment, and dates of travel; the railroad industry; railroad contractors; subcontractors; vendors; and train routes and schedules.

Nuclear Regulatory
Commission (NRC)

The NRC maintains applications and licenses of persons and companies that export nuclear material and equipment from the United States. The NRC determines whether proposed exports would be inimical to the common defense and security and, for certain exports, whether they would be under the terms of an agreement for cooperation, which establishes the ground rules for nuclear cooperation and trade between the United States and the country of destination.

Resolution Trust
Corporation (RTC)

The RTC is a federally chartered corporation created to contain, manage, and resolve failed savings institutions and recover funds through the management and ultimate sale of the institutions' assets.

The RTC maintains information on failed savings institutions, including their ownership and officers, identities of loan borrowers, contracts, and previous investigations.

Securities and Exchange
Commission (SEC)

The SEC maintains public records of corporations with stocks and securities sold to the public. These records include the following:

-
- financial statements,
 - identification of officers and directors,
 - identification of owners of more than 10 percent of a business's stock,
 - a description of the 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
 - a history of the business.

The SEC maintains files on individuals and firms that have been reported to it 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, and cease and desist orders; and arrests, indictments, convictions, sentences, and other official actions.

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

Copies of the documents maintained by the SEC are available at SEC's regional or branch offices in the following cities: Atlanta, Georgia; Miami, Florida; Boston, Massachusetts; Chicago, Illinois; Cleveland, Ohio; Detroit, Michigan; St. Louis, Missouri; Denver, Colorado; Salt Lake City, Utah; Fort Worth, Texas; Los Angeles, California; San Francisco, California; New York, New York; Seattle, Washington; Washington, D.C.; and Philadelphia, Pennsylvania.

Corporate filings include the following:

- Annual Report of Publicly Traded Company (Form 10-K)—excerpts or complete report via LEXIS or Dialog data bases, i.e., Disclosure (see ch. 5 for a discussion of data bases);
- 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 the security is registered under other 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 constituting 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 relationship of parties.

Small Business Administration (SBA)

The SBA guarantees loans made by private lenders 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, providing information about the business and its principals (owners, officers, and directors).

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 and other information about the businesses, their principals, their assets, and other data because their limited net worth does not subject these firms to public disclosure laws.

The SBA also connects small firms owned by socially and economically disadvantaged Americans with contracts set aside by other federal agencies and seeks to increase federal contract opportunities for small business generally. See also chapter 2, "Other Federal Organizations - Small Business Administration."

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 found 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 the filings in the case and often rulings from the bench.

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

A number of Better Business Bureaus 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. The bureaus generally keep information about criminal rackets, cons, and their operators and can provide information about the business reputations of local businesses.

Chamber of Commerce

Chambers of Commerce 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 11,000 parent companies and over 55,000 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 55,000 companies. Corporate family listings are presented in three useful classifications: alphabetical, geographical, and industrial.

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, 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 Million
Dollar Directory

This directory contains information on industries, 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.

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.

National Trade and
Professional Associations
of the United States

This directory lists about 6,500 active national trade and professional associations and labor unions.

Predicasts Funk and Scott
Index, United States

Updated monthly, this directory indexes most periodicals, such as newspapers. Funk and Scott also publishes quarterly the Index of Corporate Change, which lists recent business activities, such as mergers and acquisitions.

Standard & Poor's
Corporation Records

This is a service provided by Standard and Poor 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 three-volume directory lists about 55,000 public and private companies, as well as the names and titles of over 500,000 officials. Company information includes financial data, Securities Information Center (SIC) numbers, products and services, and the number of employees. The information is similar to that provided by Dun and Bradstreet and Moody's.

Finance

Table 2.1: Financial Information

Source of information	Ownership	Financial statement	Credit report	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 Housing Finance Board						
Federal Reserve System		X	X	X	X	
National Credit Union Administration					X	
Office of Comptroller of Currency						
Resolution Trust Corporation	X				X	
Other federal organizations						
Department of Agriculture	X		X		X	
Department of Defense						
Department of Education					X	
Department of Health & Human Services						
Department of Veterans Affairs				X	X	
Immigration & Naturalization Service		X				
Internal Revenue Service						
Securities and Exchange Commission	X				X	
Small Business Administration	X	X	X	X	X	
U.S. Postal Service						
Federal courts		X		X		
International organizations						
INTERPOL						
Commercial sources						
Abstract and title companies	X					
Bonding companies	X	X			X	
Consumer's Loan Exchange		X	X		X	
Corporations	X	X				
Credit-reporting agencies			X		X	
National charge plan records						
Stockbrokers	X					X
Western Union						
Directories						
Best Insurance Reports				X		
Moody's Bank & Finance Manual	X					
Moody's Bank & Finance News Reports	X					
Rand McNally Bankers Directory						
Standard & Poor's Register						

Chapter 2
Finance

Type of information						
Transfer/ transaction	Payment/ salary	U.S. obligation	Foreign asset	Financial institution	Currency filing	Previous investigation
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		

Banks

The relationship between banks and their customers is confidential and privileged; generally, information from banks may be obtained only by subpoena. The release of information may be subject to the Right to Financial Privacy Act (12 U.S.C. secs. 3401-3422). Requested records, and the information they provide, could include the following:

- Central master files of customers (depositors, debtors, and safe deposit box holders) are maintained by the bank. The bank usually requires the customer's consent, a search warrant, or a court order before an authorized bank official can open a safe deposit box.
- 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 specimens 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 may also identify the account holder's financial associates.

Federal Regulatory Agencies

Export-Import Bank of the United States

The Export-Import 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

The Farm Credit Administration 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)

Federal or state banks or savings associations that apply to be insured by the FDIC must submit an application that covers financial history, financial condition, capital structure, management, future earning prospects, convenience to and needs of the community, and consistency of corporate powers.

FDIC-insured banks are examined annually by FDIC-insured examiners; FDIC savings associations are examined periodically by FDIC examiners. Each examination includes an appraisal of management, directors, officers, and staff. The reports of examination contain white and pink sheets. The white sheets contain examination findings, and a copy is given to the bank's Board of Directors. The examiner retains the pink sheets, which contain confidential information including an alphabetical list of all directors, officers, and principal employees; their titles; and comments on each individual to the extent possible. The examiner also comments on the capabilities of each individual, gives his/her approximate age, and cites other business affiliations. Additionally, the examiner completes a form on each individual, setting forth his/her estimated net worth, par value of stock owned, and salary.

Inquiries regarding types of records available to the public (including records available under the Freedom of Information Act) should be directed to the appropriate FDIC regional office or to the Office of the Executive Secretary, which can be contacted at (202) 898-3811.

Federal Housing Finance
Board

The Federal Housing Finance Board is an independent regulatory agency in the executive branch. The Finance Board succeeded the Federal Home Loan Bank Board and is responsible for administering and enforcing the Federal Home Loan Bank Act (Act).

The Finance Board acts in the following ways:

- It supervises the Federal Home Loan Banks created by the Act and issues regulations and orders for carrying out the purposes of the Act. Savings associations that make long-term home mortgage loans are eligible to become members of a Federal Home Loan Bank.

- It implements community-oriented mortgage lending and affordable housing advance programs; prescribes rules and conditions under which banks are authorized to borrow; and issues consolidated Federal Home Loan Bank bonds, notes, or debentures, which are the joint and several obligation of all Federal Home Loan Banks.
- It requires annual financial audits of each bank, appoints six directors to the board of directors of each bank, conducts the election of the remaining directors, and approves dividends paid by each bank.
- It ensures that the Federal Home Loan Banks remain adequately capitalized and operate in a safe and sound manner.

The Federal Home Loan Bank System provides a flexible credit reserve for member savings institutions engaged in home mortgage lending. The system includes 12 regional Federal Home Loan Banks that are mixed-ownership government corporations. Each member institution is required to purchase stock and own the capital stock of Federal Home Loan Banks. The banks obtain other lendable funds by issuing consolidated obligations in money and capital markets, through time and demand deposits accepted from member institutions, and from other Federal Home Loan Banks. These banks provide loans to their members.

Federal Reserve System

The Federal Reserve System is a valuable source of information on banks that it has chartered. On an annual basis, Reserve System examiners visit and report on chartered banks. Their examination reports contain two parts: the open part, a copy of which is given to the bank, and the confidential part, which is kept by the Reserve System 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 10 percent of any class of the bank's securities. The Reserve System also maintains these statements.

National Credit Union Administration

The National Credit Union Administration regulates, insures, and supervises all federal credit unions, as well as state-chartered credit unions that apply for its insurance.

**Office of the Comptroller
of the Currency**

The Office of the Comptroller of the Currency, 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 banks' 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 considered confidential. Requests for these documents should include the subject's name and address, the information desired, the reason it is needed, and the intended use.

**Resolution Trust
Corporation**

The RTC maintains information on failed financial institutions, including their ownership and officers, identities of loan borrowers, contracts, and previous investigations.

**Other Federal
Organizations**

Department of Agriculture

Some USDA agencies maintain or have access to financial records concerning contracts with the agency; recipients of various benefits, such as food stamps; free or reduced-price school lunch meals; farmland improvements; and federal crop insurance coverage.

**Department of Defense
(DOD)**

To obtain information concerning military pay, dependents, allotments, deposits, and other financial information, contact the following:

ARMY:
Defense Finance and Accounting Service
Indianapolis Center
Indianapolis, Indiana 46249-0001

AIR FORCE:
Defense Finance and Accounting Service
Denver Center
Lowry Air Force Base
Denver, Colorado 80279-5000

NAVY:
Defense Finance and Accounting Service
Cleveland Center
1240 East Ninth Street
Cleveland, Ohio 44199-2055

MARINE CORPS:
Defense Finance and Accounting Service
Kansas City Center
Kansas City, Missouri 64197-0001

See also chapter 3, "Federal Government - Department of Defense."

Department of Education

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

Department of Health and Human Services

Records of Medicare and Medicaid payments made to physicians and institutions may be tracked through HHS. See also chapter 1, "Federal Government - Department of Health and Human Services."

Department of Veterans Affairs (VA)

Records of loans, tuition payments, insurance payments, and nonrestrictive medical data related to disability pensions are available at VA regional offices located in several metropolitan areas throughout the country. This information, including photocopies, may be requested by mail from 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:

- VA claim number,
- date of birth,

- branch of service, and
 - dates of enlistment and discharge.
-

Immigration and
Naturalization Service
(INS)

The INS retains financial statements of aliens and persons sponsoring their entry.

Internal Revenue Service

The IRS requires financial institutions to prepare and submit IRS form 4789, Currency Transaction Report, for each deposit or withdrawal of more than \$10,000 in cash to any financial institution in the United States.

Securities and Exchange
Commission

The SEC maintains records of corporations with stocks and securities sold to the public. See also chapter 1, "Federal Government - Securities and Exchange Commission."

Small Business
Administration

The SBA helps people get into 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: financial assistance, management counseling, and training.

The SBA offers two basic types of business loans: guaranteed and direct. Guaranteed loans are made by private lenders, with the SBA promising to reimburse a specified percentage of any amount lost by the lender. By law, the amount of the SBA guaranty is limited to \$750,000 and the loan maturity to 25 years. The SBA makes a few direct business loans itself. These direct loans are aimed at particular categories of businesses. By law, the SBA cannot consider a direct loan unless a private lender (usually a bank) refuses to make the loan itself or take part in an SBA-guaranteed loan.

Records on firms and individuals that have received loan assistance are maintained by the division that administers the program involved. The local SBA district office maintains most records. Contact the local field office of the SBA Office of Inspector General, Investigations Division, for assistance in obtaining records and other information. See also chapter 1, "Federal Government - Small Business Administration."

U.S. Postal Service

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

Federal Courts

The federal court system, especially the district court level, maintains information about bankrupts and financial statements from individuals who claim indigence or request free legal representation. See also chapter 1, "Federal Government - Federal Courts."

**International
Organizations**

International Criminal
Police Organization

The International Criminal Police Organization, better known by its radio designation as INTERPOL, is a network of National Central Bureaus in more than 155 member countries that share information with each other to assist law enforcement agencies in the detection and deterrence of international crime and criminals. Each Bureau 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 (USNCB) is under the direction and control of the Department of Justice.

To support ongoing investigations that require international assistance, INTERPOL can provide information on the following:

- location of suspects/fugitives/witnesses,
- international wanted circulars,
- criminal history check,
- terrorism prevention,
- stolen art,
- tracing of weapons/motor vehicles abroad, and
- license plate/driver license check and vehicle registration.

Requests may be made directly to the U.S. National Central Bureau, Washington, D.C., by calling (202) 272-8383, or by mail to: INTERPOL - USNCB, U.S. Department of Justice, Washington, D.C. 20530.

Commercial Sources

Abstract and Title Companies

In addition to records of individual transactions, abstract and title companies often publish and distribute papers to attorneys, real estate brokers, insurance companies, and financial institutions. These papers contain information about transfers of property, locations, mortgage amounts, and release of mortgages.

Bonding Companies

An application for a 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.

Consumer's Loan Exchange

This source contains information on open and closed loans with member companies.

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 businesses, 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 Services and TRW. Generally, a subscription is required to obtain information from these sources.

National Charge Plan Records

Information on expenditures and trips may be obtained from such firms as Master Charge, American Express, Diners Club, and Visa.

Stockbrokers

Stockbrokers maintain information similar to that of 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. Western Union retains orders under \$1,000 for 2 years and orders of \$1,000 or more for 6 years.

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 compilations.

Moody's Bank and Finance Manual

This three-volume manual 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. The reports include—among other information—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, and call notices.

The Rand McNally Bankers Directory

This three-volume directory provides substantial data on the savings and loan industry. The directory is a collaborative effort on the part of Rand McNally and the U.S. 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 a holding company exists, and other miscellaneous data.

Standard & Poor's Register This source provides substantial information on financial institutions, such as the names of corporate officers and directors, mailing addresses, total deposits, primary banks, and primary law firms.

People

Table 3.1: Information on People

Source of information	Vital statistics	Criminal history	Taxes	Permits/licenses	Public assistance	Employment
City government						
Health department	X			X	X	
Personnel department						X
Public schools						X
Regulatory agencies				X		
Tax collector			X			
County government						
Coroner	X					
Court clerk	X	X				
Personnel department						X
Public schools						X
Recorder	X					
Registrar of voters	X					
Regulatory agencies				X		
Tax collector			X			
Welfare commission	X			X		X
State government						
Regulatory agencies	X	X	X	X	X	X
Federal government						
Inspectors general		X				X
Department of Agriculture				X		X
Department of Defense						X
Department of Justice						
Drug Enforcement Administration		X		X		
Federal Bureau of Investigation		X				
Immigration & Naturalization Serv.	X					
INTERPOL		X		X		X
Department of State	X	X				
Department of the Treasury						
Bur. of Alcohol, Tobacco & Firearms		X		X		
U.S. Customs Service		X				
U.S. Secret Service		X				
Dept. of Veterans Affairs	X					
Interstate Commerce Commission						X
National Archives & Records Admin.					X	X
National RR Passenger Corp. (Amtrack)					X	
Securities & Exchange Commission						

Chapter 3
People

Type of information

School	Address	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

(continued)

**Chapter 3
People**

Source of information	Vital statistics	Criminal history	Taxes	Permits/licenses	Public assistance	Employment
Social Security Administration (HHS)						X
U.S. Coast Guard (Dept. of Transpor.)					X	X
U.S. Postal Service		X			X	X
Federal courts		X				
Directories						
American Medical Directory						
Ayer Directory of Newspapers, Magazines, & Trade Publications						
Biological and Agricultural Index						
Congressional Directory						
Gale's Encyclopedia of Associations						
Guide to American Directories						
Index Medicus						
Index to Legal Periodicals						
Martindale-Hubbell Law Directory						X
Nat. Dir. of Law Enforcement Admin.					X	
New York Times Index						
Public Affairs Information Service						
Reader's Guide to Periodical Lit.						
Who's Who series						

Chapter 3
People

Type of information							
School	Address	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

City Government

Health Department

Death certificates may usually be found at city, county, or state health departments. A death certificate provides the name of the 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.

Personnel Department

This department maintains 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/systems maintain the following information:

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

Regulatory Agencies

Applications for licenses often have valuable information about certain groups of people. For example, in many cities, professionals—including certified public accountants, dentists, doctors, plumbers, electricians, and optometrists—must be licensed to conduct business. See chapter 1, "City Government - Regulatory Agencies" for more information.

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.

See chapter 1, "City Government - Tax Collector" for more information.

County Government

Coroner

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

Court Clerk

A county court clerk often maintains court files that contain papers in such civil actions as liens, name changes, and divorces. These papers generally include the complaint (identifying the plaintiffs, the defendants, and the cause of action); the answer to the complaint; and the judgment rendered. In some instances, depositions are introduced as exhibits and become part of the court records. Whether a transcript of the proceedings was taken may be indicated in the court clerk's minutes or in the file jacket.

In divorce case files, the complaint should identify the plaintiff and defendant; place and date of marriage (which indicates the appropriate county recorder's records); date of separation, if applicable; children's names, ages, and birth dates; community property; and grounds or charges, if any. The complaint also identifies the attorneys in the action and contains the plaintiff's signature. A cross complaint or answer should contain 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 docket number. The case file often lists causes of action and rulings regarding the estate, status of potential beneficiaries, status as a minor, adoption, incompetence, or insanity.

The court clerk also maintains criminal court files, which may contain information 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 the complainant, defendant, witnesses, and arresting officer); the names of the prosecuting and defense attorneys; the probation officer's report, with complete background investigation of the defendant; and subpoenas issued in the case.

Personnel Department	A county personnel department maintains information similar to that maintained by a city personnel department.
Public Schools	County public schools/systems maintain information similar to that found in city public schools/systems.
Recorder	A county recorder's office maintains, among other documents, marriage licenses and certificates, which can provide such information as the names of the bride and groom; maiden name of the bride; ages; cities of residence; places of birth; date and place of marriage; names of witnesses to the marriage and their cities of residence; and names of the cleric, judge, or justice of the peace who performed the ceremony. See chapter 1, "County Government - Recorder" for additional information.
Registrar of Voters	A registrar of voters may maintain the following: <ul style="list-style-type: none">• Affidavit of Registration, which includes the name and age of the 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).
Regulatory Agencies	County regulatory agencies retain information similar to that retained by the city regulatory agencies.
Tax Collector	A county tax collector's office retains information similar to that retained in a city tax collector's office.
Welfare Commission	Files of a county welfare commission are gathered by social workers, psychologists, and physicians. Frequently, the recipient of benefits provides the information, which is generally not verified. Files contain such information as the recipient's address, previous employment, how much the recipient earned, property the recipient or the recipient's relatives may have, the family's attitudes, the state of their health, and criminal records.

State Government

Regulatory Agencies

A state's Bureau of Vital Statistics, where birth certificates are generally filed, is an excellent source of information about people. Birth certificates can provide a child's name, sex, date of birth, and address of place of birth, as well as the names of the attending physician, midwife, and/or other assistants; the parents' names, ages, address, race, place of birth, and occupations; the mother's maiden name; and the number of siblings. (In some states, birth certificates may be found at the city or county level.) See chapter 1, "State Government - Regulatory Agencies" for a list of other appropriate state departments and agencies.

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

- auto licenses, auto transfers, and sales of vehicles;
- civil service applications;
- court records of civil and criminal cases;
- driver's licenses;
- fictitious names index;
- health department records;
- inheritance and gift tax returns;
- name changes;
- occupancy and business privilege licenses;
- parole officer's and probation department's files;
- personal property tax returns;
- professional registrations;
- school and voter registrations;
- state income tax returns;
- state unemployment compensation records;
- welfare agency records;
- wills; and
- worker's compensation files.

Federal Government

Inspectors General

Offices of inspector general are sources of information about businesses and related individuals they have investigated or audited and serve as guides to other information sources in their department or agency. Most

offices of inspector general maintain centralized index and case file systems. See chapter 1, "Federal Government - Inspectors General" for a listing of inspectors general and their telephone numbers.

Department of Agriculture The USDA maintains information on the following:

- licensed meat packers and food canners,
- transactions with individuals and businesses,
- wholesalers and retailers approved to accept and redeem U.S. Food Coupons,
- USDA loan applicants and recipients, and
- personnel data on current or former USDA employees.

See chapter 1, "Federal Government - Department of Agriculture" for additional information.

Department of Defense Records, which survived a July 1973 fire, concerning the personnel and medical history of former military personnel are located at Military Personnel Records Center, GSA, 9700 Page Boulevard, St. Louis, Missouri 63132. To obtain information, contact the Army at (314) 538-4261; the Air Force at (314) 538-4243; and the Navy, Marine Corps, and Coast Guard at (314) 538-4141. For a list of DOD offices to contact for financial information on military personnel and their dependents, see chapter 2, "Federal Government - Department of Defense."

Department of Justice Information may be obtained from the following agencies within Justice:

- The Drug Enforcement Administration (DEA) maintains information on licensed handlers of narcotics and the criminal records of users, pushers, and suppliers of narcotics.
- The Federal Bureau of Investigation (FBI) provides information on criminal records and fingerprints, as well as nonrestricted information pertaining to criminal offenses and subversive activities. It also provides information about wanted, missing, and unidentified persons and foreign fugitives. The FBI maintains the Index to State Criminal History Records and Criminal History Records of Federal Offenders.
- The Immigration and Naturalization Service (INS) retains the following information: alien registration records, in effect since August 27, 1940 (from July 1, 1920, to August 27, 1940), 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); naturalization records (names of witnesses to naturalization proceedings and acquaintances of the individual); deportation proceedings; and financial statements of aliens and persons sponsoring their entry.

- INTERPOL-USNCB serves as the United States' point of contact with the police of more than 155 countries around the world. See chapter 1, "Federal Government - Department of Justice" for more information.

Department of State

The State Department maintains the following information:

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

See chapter 1, "Federal Government - Department of State" for more information.

Department of the Treasury

Information may be obtained from the following agencies within the Treasury Department:

- The Bureau of Alcohol, Tobacco and Firearms (ATF) can trace any firearm—that has a serial number and was manufactured or imported after 1968—from manufacturer or importer to retailer; trace explosives and explosive materials from the manufacturer to the distributor and/or user; and provide lists of distilleries, wineries, breweries, manufacturers of tobacco products, wholesale and retail dealers of alcoholic beverages, and certain other manufacturers, dealers, and users of alcohol. ATF may also provide names and records of known bootleggers and organized crime figures; details of previous investigations and suspects; lists of all federal firearm 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 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 maintains records pertaining to counterfeit, forgery, and U.S. security violations cases. The Secret Service's central files

in Washington, D.C., contain an estimated 100,000 handwriting specimens from known forgers. (An electronic information retrieval system facilitates comparison of questioned handwriting, with the specimens on file, for identification purposes.)

See chapter 1, "Federal Government - Department of the Treasury" for more information.

**Department of Veterans
Affairs**

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 specific large metropolitan areas throughout the country. This information, including photocopies, may be obtained by writing (or visiting) the appropriate regional office.

**Interstate Commerce
Commission**

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. See chapters 1 and 4, "Federal Government - Interstate Commerce Commission" for more information.

**National Archives and
Records Administration**

The National Archives and Records Administration operates federal records centers throughout the country, including the National Personnel Records Center in St. Louis, Missouri 63132-5100 and the Office of the Federal Register in Washington, D.C. It also operates regional archives and the presidential libraries.

The National Personnel Records Center in St. Louis stores the personnel records of former members of the armed forces and former federal civilian employees. Procedures for investigative inquiries into these records are available from the Center. For information, call (314) 263-7201 or FTS 263-7201.

The Federal Register is the medium for notifying the public of official agency actions; all federal regulations must be published in it. The Office of the Federal Register provides a periodic workshop on the use

of the Federal Register as an information source. A handbook on the uses of the Federal Register is also available. For information, call (202) 523-5240.

**National Railroad
Passenger Corporation
(Amtrak)**

Amtrak maintains various information on passengers. See chapter 1, "Federal Government - National Railroad Passenger Corporation."

**Securities and Exchange
Commission**

The SEC maintains records of corporate registrants of securities offered for public sale. The records usually show information as to the management of a registrant. See chapter 1, "Federal Government - Securities and Exchange Commission" for more information.

**Social Security
Administration**

The Social Security Administration, within the Department of Health and Human Services, retains original applications for social security numbers. Applications list an applicant's name (maiden and married names 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. See table 3.2. Note that some states and Puerto Rico have more than one series of numbers.

Table 3.2: Designated Geographic Areas for Social Security Number Issuance

Number(s)	Area	Number(s)	Area
001-003	New Hampshire	503-504	South Dakota
004-007	Maine	505-508	Nebraska
008-009	Vermont	509-515	Kansas
010-034	Massachusetts	516-517	Montana
035-039	Rhode Island	518-519	Idaho
040-049	Connecticut	520	Wyoming
050-134	New York	521-524	Colorado
135-158	New Jersey	525	New Mexico
159-211	Pennsylvania	526-527	Arizona
212-220	Maryland	528-529	Utah
221-222	Delaware	530	Nevada
223-231	Virginia	531-539	Washington
232 ^a -236	West Virginia	540-544	Oregon
232, ^a 237-246	North Carolina	545-573	California
247-251	South Carolina	574	Alaska
252-260	Georgia	575-576	Hawaii
261-267	Florida	577-579	District of Columbia
268-302	Ohio	580 ^b	Virgin Islands
303-317	Indiana	580 ^b -584	Puerto Rico
318-361	Illinois	585	New Mexico
362-386	Michigan	586 ^c	Guam
387-399	Wisconsin	586 ^c	American Samoa
400-407	Kentucky	586 ^c	Philippine Islands
408-415	Tennessee	586 ^c	Northern Mariana Islands
416-424	Alabama		Islands
425-428	Mississippi	587-588	Mississippi
429-432	Arkansas	589-595	Florida
433-439	Louisiana	596-599	Puerto Rico
440-448	Oklahoma	600-601	Arizona
449-467	Texas	602-626	California
468-477	Minnesota	627-645	Texas
478-485	Iowa	646-647	Utah
486-500	Missouri	648-649	New Mexico
501-502	North Dakota	700-728 ^d	Railroad Board

^aNumber 232: Number 30 (middle two digits of a social security number) has been allocated to North Carolina by transfer from West Virginia.

^bNumber 580: Numbers 01-18 (middle two digits of a social security number) have been allocated to the Virgin Islands; numbers 20 and above have been allocated to Puerto Rico.

^cNumber 586: Numbers 01-18 (middle two digits of a social security number) 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. Numbers 80 and above are not allocated. No separate middle numbers have been assigned to the Northern Mariana Islands.

^dNumbers 700-728 were reserved for railroad employees. Issuance of new numbers in the 700-series was discontinued on July 1, 1963.

U.S. Coast Guard

The Coast Guard, within the Department of Transportation, maintains the following information:

- names of merchant mariners on U.S. vessels and investigative records pertaining to them,
- records relating to maritime drug smuggling,
- records on criminal investigations, and
- records on documented U.S. vessels.

U.S. Postal Service

The Postal Service maintains the names and addresses of post office box holders. Check with the local post office to learn the identity of the inspector who can furnish the information.

Federal Courts

Federal courts maintain the following:

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

See also chapter 1, "Federal Government - Federal Courts."

Directories

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

American Medical Directory (American Medical Association)

This source lists the following information:

- the presidents and secretaries of all county medical associations listed;
- doctors—by states and cities in states, years of birth, medical schools and years of graduation, years of license, residence and office addresses, specialties, and membership in associated medical organizations; and
- a name index of all doctors.

Ayer Directory of
Newspapers, Magazines,
and Trade Publications

This directory contains information on publications printed in the United States, Canada, Bermuda, and the Philippines. The information given about each publication includes its name, frequency of publication, character or politics, date of foundation, and names of editors and publishers.

Biological and Agricultural
Index

This source is a cumulative subject index to English-language periodicals. The main body of the index, arranged alphabetically, consists of biological and agricultural subject entries referring to periodical articles. A separate listing of book review citations follows the subject entries.

Indexed subjects include agricultural chemicals, agricultural economics, agricultural engineering, agriculture and agricultural research, animal husbandry, biochemistry, biology, biotechnology, botany, ecology, entomology, environmental science, fishery sciences, food science, forestry, genetics and cytology, horticulture, marine biology and limnology, microbiology, nutrition, physiology, plant pathology, soil science, veterinary medicine, and zoology.

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

This source contains the following information:

- biographical sketches of senators, representatives, and federal judges;
- names, office addresses, and office telephone numbers of judicial and executive department personnel, such as members of boards, commissions, bureaus, and committees;
- names of foreign diplomatic and consular officers in the United States, with locations of offices and names of personnel assigned;
- names of U.S. diplomatic and consular officers overseas, with addresses of locations;
- names—and frequently office addresses and telephone numbers—of congressional, judicial, and executive department staff;
- names of officials, addresses, and telephone numbers of District of Columbia agencies/committees and of many international organizations;
- names of members of the press entitled to use the press galleries of the House and/or Senate; and
- members of the White House News Photographers' Association and the Radio, Television, and Periodical Press Galleries (in the U.S. Capitol), listed by name and news organization represented, including business address and telephone number.

Gale's Encyclopedia of Associations

This source lists each chartered public and private association in the United States (and some foreign countries) 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 the Reader's Guide to Periodical Literature; but it covers only legal periodicals, bar association reports, and judicial council reports.

Martindale-Hubbell Law Directory

This directory, published annually, contains biographical information on most lawyers in private practice in the United States and Canada.

The National Directory of Law Enforcement Administrators

This source lists the following information: names, addresses, telephone numbers, and FAX numbers of highway patrols; prosecuting attorneys; and municipal, county, campus, state correctional, federal, military, airport, harbor, and many other related law enforcement agencies.

New York Times Index

This source is published semimonthly. It includes an exact reference to date, page, and column of the New York Times edition in which articles will be found. It contains cross references to names and related topics. The brief synopses of articles are often sufficient to answer questions.

Public Affairs Information Service

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

Reader's Guide to
Periodical Literature

The Reader's Guide refers to articles in over 250 popular magazines. It is published semimonthly; its cumulative index is published every 2 years. The Guide contains a full dictionary cataloging of all articles, i.e., by author, subject, and title where possible. The entries refer to the volume, number of the periodical, starting and inclusive pages of the article, date of publication, and graphic material in the article, such as portraits.

Who's Who Series

This series of sources contains information—such as schools attended, fields of study, and degrees; occupational background; and office addresses—submitted by the individual at the request of the publisher. Publications in the series cover occupations ranging from student to surgeon and psychologist.

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Table 4.1: Information on Property

Source of information	Tax record	Utilities	Ownership	Address/ location	U.S. obligation	Insurance
City government						
Building inspector			X			
Tax assessor	X		X	X		
Tax collector	X		X	X		
County government						
Court clerk						
Recorder			X			
Surveyor				X		
Tax assessor	X		X	X		
Tax collector	X		X	X		
State government						
Regulatory agencies	X	X	X			X
Federal government						
Inspectors general			X	X	X	
Department of Agriculture			X	X		
Department of Commerce			X	X		
Dept. of Housing & Urban Development		X	X	X		X
Department of Justice						
INTERPOL			X			
U.S. Marshals Service						
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 United States					X	
U.S. Customs Service			X	X		
Federal Aviation Administration			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		
Resolution Trust Corporation			X			
Securities & Exchange Commission			X	X		

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Type of information								
Value	License/ Permit	Securities	Lien	Sale/ Transfer	Legal Action	Government contract	Vessel	Previous investigation
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)

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Source of information	Tax record	Utilities	Ownership	Address/ location	U.S. obligation	Insurance
Small Business Administration			X	X	X	X
Federal courts						
Directories						
City directory			X	X		
Directories in Print						
The Guide						
Lloyd's Shipping and Yacht Registers			X			
Lloyd's Voyage Records						
Telephone directory				X		
Miscellaneous						
Insurance reporting services						X
National Auto Theft Bureau			X	X		X

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Type of information								
Value	License/ Permit	Securities	Lien	Sale/ Transfer	Legal Action	Government contract	Vessel	Previous investigation
X			X	X		X		
					X			
	X		X	X				
							X	
			X				X	
							X	
X			X					

City Government

Building Inspector

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

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

Tax Assessor

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

Tax Collector

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

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

County Government

Court Clerk

A county court clerk maintains civil court files that contain papers in civil actions, such as liens. See also chapter 3, "County Government - Court Clerk."

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 recorded;
 - 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 Uniform Commercial Code filings, which reflect liens on other than real property.

Surveyor

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

Tax Assessor

A county tax assessor's office maintains information similar to that maintained by a city tax assessor's office.

Tax Collector

A county tax collector's office maintains information similar to that maintained by a city tax collector's office.

State Government

Regulatory Agencies

See chapter 1, "State Government - Regulatory Agencies" for a list of appropriate state departments and agencies.

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

- auto licenses, auto 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;

- mortgages and releases;
- occupancy and business privilege licenses;
- public utility records;
- real estate tax payments;
- sales and transfers of property;
- state income and personal property tax returns; and
- wills, inheritance, and gift tax returns.

See also chapter 3, "State Government - Regulatory Agencies."

Federal Government

For a list of reference guides for contacts in the various federal agencies, see chapter 1, "Federal Government."

Inspectors General

Offices of inspector general are sources of information about matters they have investigated or audited. See chapter 1, "Federal Government - Inspectors General" for more information and a list of inspectors general and their telephone numbers.

Department of Agriculture

The USDA maintains information on agriculture loan applicants and recipients, such as the following:

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

Department of Commerce

Commerce maintains information on patents and trademarks and some information on minority businesses.

Department of Housing and Urban Development

See chapter 1, "Federal Government - Department of Housing and Urban Development" for information.

Department of Justice

Within Justice, INTERPOL maintains records of cultural property or artwork that might have been stolen, information on vessels possibly

involved in narcotics trafficking, and information on previous investigations. Additional criminal information may be obtained from any of the INTERPOL member countries around the world.

The U.S. Marshals Service maintains records on the seizing, managing, and selling of assets forfeited to the government from drug traffickers and other criminals.

Department of Labor

The Department of Labor maintains information on labor organizations, including their purchase and sale of fixed assets. See also chapter 1, "Federal Government - Department of Labor."

Department of State

The Department of State maintains data on import and export licenses. See also chapters 1 and 3, "Federal Government - Department of State."

Department of the
Treasury

Treasury maintains information in the following agencies:

- The Bureau of Alcohol, Tobacco and Firearms (ATF) has the capability to (1) trace any firearm that has a serial number and was manufactured or imported after 1968 from a manufacturer or importer to a retailer and (2) trace explosives and explosive materials from the manufacturer to the distributor and/or user. ATF may provide details of previous investigations concerning arson and explosive incidents.
- The Bureau of the Public Debt maintains 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; addresses of each person; and the series of bonds involved. Table 4.2 shows the dates when the sale of each series began and ended.

Table 4.2: Sales Dates of U.S. Savings Bond Series

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 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 photocopies of cancelled U.S. government checks. (Photocopies 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 maintains records of seized smuggled property.

Federal Aviation Administration

The FAA's records contain the chain of ownership for all U.S. civil aircraft. See chapter 1, "Federal Government - Federal Aviation Administration" for more information.

Federal Bureau of Investigation

Within the Department of Justice, the FBI maintains the following information:

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

The FBI also administers the National Crime Information Center (NCIC), which maintains information on a variety of subjects, such as stolen vehicles, license plates, and guns. See chapter 5, "Investigative and Law

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Enforcement Information Centers and Data Bases” for more information on NCIC.

Federal Communications Commission

The FCC maintains information on proposed and existing broadcast stations. See also chapter 1, “Federal Government - Federal Communications Commission.”

Federal Energy Regulatory Commission

The Commission maintains annual reports of electric utility and natural gas companies. See also chapter 1, “Federal Government - Federal Energy Regulatory Commission.”

Federal Maritime Commission

This commission investigates license applicants who propose to engage in oceangoing freight-forwarding activities. See also chapter 1, “Federal Government - Federal Maritime Commission.”

General Services Administration

The GSA maintains considerable information on, among other businesses that contract with the GSA, personal property auctioneers and real estate appraisers. See also chapter 1, “Federal Government - General Services Administration.”

Interstate Commerce Commission

The ICC maintains required annual financial reports filed by interstate trucklines and other shippers. See also chapters 1 and 3, “Federal Government - Interstate Commerce Commission.”

Resolution Trust Corporation

The RTC maintains information on the ownership of various financial institutions. See also chapter 1, “Federal Government - Resolution Trust Corporation” and chapter 2, “Federal Regulatory Agencies - Resolution Trust Corporation.”

Securities and Exchange Commission

The SEC maintains records of corporations having stocks and securities sold to the public. See also chapter 1, “Federal Government - Securities and Exchange Commission.”

**Small Business
Administration**

The SBA guarantees loans made by private lenders or makes direct loans for such activities as business construction and the purchase of equipment. See also chapter 1, "Federal Government - Small Business Administration" and chapter 2, "Other Federal Organizations - Small Business Administration."

Federal Courts

Case files, generally at the district court level, often identify property held by defendants. See also chapters 1 and 3, "Federal Government - Federal Courts" and chapter 2, "Other Federal Organizations - Federal Courts."

Directories

One of the best locations for information on property is the local public library. Some of the sources available there include the following.

City Directory

City directories usually contain name, residence, occupation, and sometimes place of employment of the city's influential people. Such directories can generally be found at public libraries, chambers of commerce, and second-hand book stores.

Directories in Print, 1991

This publication thoroughly describes and indexes about 14,000 directories of all kinds, including business and industrial directories, professional and scientific rosters, foreign directories, and other lists and guides.

The Guide (San Francisco)

The Guide is a monthly publication containing records of the arrival and departure of vessels scheduled for that month in San Francisco. It includes such information as the line, port of departure, estimated time of arrival, and pier of destination. (Each port of any size has a similar publication.)

The same information is published daily, for the day only, in the "Shipping News" section of major local newspapers.

Lloyd's Register of Shipping and B. Lloyd's Weekly Register

These registers list all seagoing 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 list each ship's registry, flag, and last and next port of call.

Lloyd's Register of Classed Yachts and Register of American Yachts

These registers list names and descriptions of yachts, their classification, names and addresses of owners, yacht clubs, and flags. (The Register of American Yachts includes only U.S. and Canadian yachts.)

Lloyd's Voyage Record and Shipping Index, Daily

The daily voyage record gives comprehensive coverage of arrivals and sailings at all ports of call on current voyages.

The daily index gives movements and latest reports at Lloyd's of all merchant vessels.

Telephone Directory

In addition to their standard directories, local telephone companies have street address directories and telephone number directories that list unpublished numbers.

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. Such information includes

- 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, and junk dealers;

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- 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 rapidly growing source of information. Data bases, generally, 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 Information Centers and Data Bases

Canadian Interface

The Canadian Interface is a semiautomated link between law enforcement information networks of the United States and Canada. It allows the 50 states, federal agencies that are members of the National Law Enforcement Telecommunications System (NLETS), and their Canadian counterparts to exchange police information through NLETS, using the INTERPOL National Central Bureaus in Washington and Ottawa as the necessary interface. See "National Law Enforcement Telecommunications System" in this chapter for information available from the Canadian Interface.

Central Index System (CIS)

The CIS is an Immigration and Naturalization Service (INS) system on the location of "A-files." The system contains information on legal immigrants, naturalized citizens, and aliens who have been formally deported or excluded. It also contains information on some aliens who have come to the attention of INS because of an investigation or an application for benefits, but files are not created on all such aliens. Available information usually includes name, date of birth, nationality, and INS files control office, as well as date of entry and immigration status. The immigration status should not be considered definitive unless confirmed by an INS officer.

Contact the local INS office or the El Paso Intelligence Center (EPIC) at (915) 564-2300. EPIC can provide directions to the appropriate state coordinator. Requests may be made by either A-file number or name and date of birth. See "El Paso Intelligence Center" in this chapter for information on the EPIC operation.

Consular Lookout and
Support System (CLASS)

The CLASS is the successor to the Department of State's Automated Visa Lookout System. The CLASS provides information on foreign nationals who may apply for visas to the United States.

Defense Clearance and
Investigations Index
(DCII)

The DCII is the single, automated central repository that identifies investigations conducted by DOD investigative agencies and personnel security determinations made by DOD adjudicative authorities.

The DCII is an unclassified system and is operated and maintained by the Defense Investigative Service. Access is limited to DOD and other federal agencies with adjudicative, investigative, and/or counterintelligence missions. Information contained in the DCII receives the protection required by the Privacy Act of 1974.

The DCII data base consists of an alphabetical index of personal names and impersonal titles that appear as subjects, cosubjects, victims, or cross-referenced incidental subjects in investigative documents maintained by DOD criminal, counterintelligence, fraud, and personnel security investigative activities. In addition, personnel security determinations are maintained, by subject, in the DCII.

El Paso Intelligence
Center

EPIC's primary mission is to provide a complete and accurate intelligence picture of worldwide drug movement to federal law enforcement entities, with an emphasis on the movement of drugs, weapons, and illegal aliens into the United States. It analyzes raw data and provides tactical and operational intelligence to agencies involved in the antidrug effort. The EPIC also provides strategic assessments of drug movement and concealment techniques. In addition, EPIC is mandated to support state and local law enforcement entities with drug intelligence; and all 50 states, Puerto Rico, and the Virgin Islands have signed agreements with it.

The EPIC member agencies include the Bureau of Alcohol, Tobacco and Firearms; U.S. Coast Guard; U.S. Customs Service; Department of Defense; Drug Enforcement Administration; Federal Aviation Administration; Federal Bureau of Investigation; Immigration and Naturalization Service; Internal Revenue Service; U.S. Marshals Service; U.S. Secret Service; and Department of State, Bureau of Diplomatic Service. Member agencies have direct access to all EPIC information, with appropriate safeguards to provide for the protection and/or secure communication

of highly sensitive or classified information. State and local law enforcement entities have access to EPIC data through a designated group within the respective organization or through a member agency.

In support of its mission, EPIC performs three basic functions that are dependent on effective reporting from all law enforcement, DOD, and intelligence field elements. The functions are to

- collect worldwide drug-smuggling-related information, including human-source intelligence and technical and seizure-activity information;
- coordinate the real-time dissemination of data base information to support field enforcement elements, 24 hours a day; and
- analyze and combine reported information on drug movement and organizations for dissemination to appropriate enforcement entities.

Financial Crimes Enforcement Network (FinCEN)

The FinCEN—an organization established by the U.S. Department of the Treasury—collects, analyzes, and disseminates intelligence on financial crimes. Its mission is to provide a government-wide, multisource intelligence and analytical network to support law enforcement agencies in the detection, investigation, and prosecution of financial crimes. The participating agencies are the Bureau of Alcohol, Tobacco and Firearms; U.S. Customs Service; Drug Enforcement Administration; Federal Bureau of Investigation; Internal Revenue Service; U.S. Marshals Service; Postal Inspection Service; and U.S. Secret Service. The FinCEN is located at 3833 N. Fairfax Drive, Arlington, Virginia 22203. It can be contacted at (800) SOS-BUCK (767-2825).

The FinCEN's financial data base has information from reports that are required to be filed under the Bank Secrecy Act and include the Currency Transaction Report, Report of International Transportation of Currency or Monetary Instruments, Currency Transaction Report by Casinos, and Reports of Foreign Bank and Financial Accounts. Furthermore, FinCEN has access to data from IRS Form 8300 (Reports of Cash Payments Over \$10,000 Received in a Trade or Business).

The FinCEN produces two types of products—tactical support and strategic analysis. The tactical support products either provide information and leads on criminal organizations and activities that are under investigation by law enforcement or proactively identify previously undetected criminal organizations and activities so that investigations can be initiated. The FinCEN's work product will also assist agencies in identifying

assets for seizure and forfeiture purposes and supporting ongoing investigations. Its strategic analysis looks at financial crimes and money laundering with a bent toward the future. The FinCEN collects, processes, analyzes, and develops intelligence on the emerging trends, patterns, and issues related to the proceeds of illicit activities.

Taking into consideration if an investigation is a national or agency priority, FinCEN uses the majority of its resources to assist agencies in their investigations of financial aspects of the illegal narcotics trade. FinCEN then prioritizes investigations of such nonnarcotic crimes as money laundering offenses, Bank Secrecy Act violations, and other offenses of a financial nature, e.g., tax and tariff violations, corruption, treason, bankruptcy fraud, financial institution fraud, and government contract fraud. In both the narcotic and nonnarcotic areas, FinCEN concentrates on investigations of national or international criminal organizations.

Interagency Border Inspection System (IBIS)

The IBIS was initiated in 1989 to improve border enforcement and facilitate inspection of individuals applying for admission to the United States at ports of entry and preinspection facilities. The IBIS is a presidential priority with continuing White House guidance for policy, coordination, and control. The Immigration and Naturalization Service; U.S. Customs Service; Department of State, Bureau of Consular Affairs; and Department of Agriculture have formed a joint working group to design, implement, and support IBIS. The systems of these agencies will provide integrated computer capability for verifying document authenticity; automating lookout checks by inspectors; and enhancing border security against threats of terrorism, narcotics trafficking, and other law enforcement violations.

International Criminal Police Organization Case Tracking System (ICTS)

The U.S. National Central Bureau (USNCB), International Criminal Police Organization (INTERPOL) Case Tracking System (ICTS), located at the USNCB in Washington, D. C., contains information about persons, property, and organizations involved in international criminal activity. The USNCB can determine the existence of an international connection to an investigation or the existence of any previous international criminal activity.

The USNCB operates continuously to provide international support for U.S. law enforcement.

Sixteen federal and state law enforcement agencies are represented at the USNCB, and all 50 states have established INTERPOL liaison offices. For information about the liaison offices, contact the USNCB at (202) 272-8383 or FTS 272-8383. Agencies represented at the USNCB include the following: the Bureau of Alcohol, Tobacco and Firearms; Criminal Division of the U.S. Department of Justice; Department of Agriculture, Office of the Inspector General; Diplomatic Security Service of the U.S. Department of State; Drug Enforcement Administration; Federal Bureau of Investigation; Federal Law Enforcement Training Center; Illinois State Police; Immigration and Naturalization Service; Internal Revenue Service; Naval Investigative Service; Office of the Comptroller of the Currency; U.S. Customs Service; U.S. Marshals Service; U.S. Postal Inspection Service; and U.S. Secret Service.

**Interstate Identification
Index (III)**

The III system contains information on criminal records of about 11 million people, specifically persons born in 1956 or later, with an FBI record. The system also contains information on persons born prior to 1956 whose first arrest was recorded with the FBI in 1974 or later and selected older records for certain fugitives and repeat offenders. See "National Crime Information Center" in this chapter.

**Joint Maritime
Information Element
(JMIE)**

The JMIE—a consortium of 15 U.S. government agencies from the law enforcement and intelligence communities—is developing a consolidated maritime data base. Consortium members are the Naval Intelligence Command, Military Sealift Command, Drug Enforcement Administration and its El Paso Intelligence Center, Department of State, Executive Office of the President's Office of National Drug Policy, U.S. Customs Service, Central Intelligence Agency, U.S. Coast Guard, Maritime Administration, Department of Energy, Defense Intelligence Agency, Immigration and Naturalization Service, INTERPOL, Bureau of Census, and National Security Agency.

The system provides information on maritime-related law enforcement and national foreign intelligence data to meet members' operational missions, such as narcotics interdiction, smuggling, sea and defense zone surveillance, border control, petroleum traffic monitoring, and emergency sealift management.

Fourteen sites are operational, allowing access to data sources that provide at-sea and in-port location information and characteristics on commercial and private vessels and vessel registration files for Florida, California, Delaware, Puerto Rico, and the Virgin Islands.

**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. The NADDIS is accessible through EPIC.

**National Alien Information
Lookout System (NAILS)**

The NAILS is an Immigration and Naturalization Service system. The system is an index of names of individuals who may be excludable from the United States. All names in NAILS are passed to the Treasury Enforcement Communications System (TECS). Therefore, a search of NAILS is not necessary if TECS has been searched.

**National Crime
Information Center**

The NCIC, located at the FBI headquarters in Washington, D.C., is a widely used law enforcement computer system. Most major law enforcement agencies have NCIC connections.

The NCIC is often compared to a large "file cabinet," with each file having its own label or classification. This 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;
- stolen/wanted boats;
- missing persons;
- Index to State Criminal History Records and Criminal History Records of Federal Offenders;
- unidentified persons; and
- foreign fugitives.

The NCIC, through the Interstate Identification Index (III), can provide an investigator with a record of a subject's prior major federal offenses,

arrests, and dispositions. The III also contains an index to similar information concerning state offenses occurring in states participating in the III program. Background information can also be obtained from the III record. For example, if a subject's name, date of birth, race, and sex are entered, the investigator would receive the

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

National Law Enforcement Telecommunications System

The NLETS is a sophisticated message-switching network that links all law enforcement and criminal justice agencies in the United States; Puerto Rico; and, through a computerized link to INTERPOL, Canada. Agencies include state and local law enforcement agencies, motor vehicle and licensing departments, and a wide variety of federal enforcement agencies. The latter includes U.S. Customs Service, Federal Bureau of Investigation, Department of Justice, U.S. Secret Service, U.S. Marshals Service, Naval Investigative Service, Air Force Office of Special Investigations, Department of State, Department of the Army, Department of the Interior, and others. The National Auto Theft Bureau is also linked to NLETS.

A great deal of information is available through the network. This includes the following:

- vehicle registrations by license or vehicle identification number;
- driver's license and driver history by name and date of birth, or driver's license number;
- criminal records by name and date of birth, state identification number, or FBI number;
- boat registrations by hull number, registration number, or name;
- snowmobile registrations by registration number, vehicle identification number, or owner's name and date of birth;

- hazardous material file by UN number, which is an internationally recognized code for hazardous material;
- private aircraft tracking data by registration number or date range;
- aircraft registrations by registration number, serial number, or name of registrant; and
- directory of participating agencies by originating agency identifier.

Through an interface to the Royal Canadian Mounted Police's Canadian Police Information Centre, many files are available. These include the following:

- wanted persons by name and date of birth;
- stolen vehicles by license number or vehicle identification number;
- stolen articles by serial number;
- stolen guns by serial number;
- stolen securities by serial number, corporation name, issuer, or name of owner; and
- stolen boats/motors by license number, hull number, registration number, or name of owner.

Users have the capability to send free-form messages to other users either individually or via a broadcast message.

Nonimmigrant Information System (NIIS)

The NIIS is an Immigration and Naturalization Service system. The system contains information on the arrivals and departures of nonimmigrants, or aliens coming to the United States for a temporary stay. Canadians and Mexicans who visit for pleasure are not entered into the system. The NIIS also contains entry and departure data on students except classes F1 and M1. Information can be retrieved by nationality, port of entry, admission class, and date of entry.

Operational Activities Special Information System (OASIS)

The OASIS is an Immigration and Naturalization Service (INS) system of information about the activities and associations of individuals known, or suspected, to be involved with the smuggling of aliens into the United States, as well as immigration fraud and criminal alien information. The system contains information on alien smugglers and smuggling incidents, as well as addresses, phone numbers, and vehicles involved in alien smuggling cases. Contact the local INS office or the EPIC at (915) 564-2300. EPIC can provide directions to the appropriate state coordinator.

Regional Information Sharing System (RISS)

The RISS program consists of 7 multistate projects that facilitate regional criminal information exchange and provide other related support services to federal, state, and local law enforcement agencies throughout all 50 states. The seven RISS projects are the following:

- **Leviticus**—It includes 35 law enforcement and regulatory agencies. Leviticus is a specialized regional enforcement project designed to combat criminal activity within the coal, oil, natural gas, and precious metals industries. Leviticus is located at 7400 Beaufont Springs Drive, Suite 310, Richmond, Virginia 23225, and can be contacted at (800) 221-4424 or (804) 323-3563.
- **Middle Atlantic-Great Lakes Organized Crime Law Enforcement Network (MAGLOCLN)**—It includes 262 law enforcement agencies in Indiana, Michigan, Ohio, Pennsylvania, New York, New Jersey, Delaware, Maryland, and Washington, D.C. In addition, several Canadian departments are active MAGLOCLN members. The MAGLOCLN is located at Mountain View Office Park, 850 Bear Tavern Road, 2nd Floor, Suite 206, West Trenton, New Jersey 08628, and can be contacted at (800) 345-1322 or (609) 530-2801.
- **Mid-States Organized Crime Information Center (MOCIC)**—It includes 690 law enforcement agencies in North Dakota, South Dakota, Nebraska, Kansas, Minnesota, Iowa, Missouri, Wisconsin, and Illinois. The MOCIC is located at #4 Corporate Centre, #205, Springfield, Missouri 65804, and can be contacted at (800) 798-0110 or at (417) 883-4383.
- **New England State Police Information Network (NESPIN)**—It incorporates 272 law enforcement agencies in Maine, New Hampshire, Vermont, Massachusetts, Connecticut, and Rhode Island. The NESPIN is located at 21 Mazzeo Drive, Suite 201, Randolph, Massachusetts 02368, and can be contacted at (800) 343-5682 or (617) 986-6544.
- **Regional Organized Crime Information Center (ROCIC)**—It serves 503 law enforcement agencies in Texas, Oklahoma, Louisiana, Arkansas, Mississippi, Alabama, Tennessee, Kentucky, West Virginia, Virginia, North Carolina, South Carolina, Georgia, and Florida. The ROCIC is located at 545 Marriot Drive, Suite 850, Nashville, Tennessee 37210, and can be contacted at (800) 238-7985.
- **Rocky Mountain Information Network (RMIN)**—It has 620 participating agencies in Arizona, New Mexico, Colorado, Utah, Nevada, Idaho, Wyoming, and Montana. The RMIN is located at 3802 N. 53rd Avenue, Suite 301, Phoenix, Arizona 85031, and can be contacted at (800) 821-0640.
- **Western States Information Network (WSIN)**—It provides narcotics intelligence and related services to its 697 member law enforcement agencies in California, Oregon, Washington, Alaska, and Hawaii. The WSIN address is P.O. Box 903198, Sacramento, California 94203-1980, and can

be contacted at (800) 824-7902 (outside of California) and (800) 952-5258 (in California).

SENTRY

SENTRY is a Federal Bureau of Prisons on-line data base. It contains information on all federal prisoners incarcerated since 1980. The information includes physical description, inmate profile, inmate location or release location, numerical identifiers, personal history data, security designation, past and present institution assignments, custody classification, and sentencing information. To obtain information, contact the Sacramento Intelligence Unit at (916) 551-1750.

Treasury Enforcement Communications System

The TECS is a Department of the Treasury system managed by the U.S. Customs Service. It 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 Newington, Virginia.

The TECS contains lookout information on persons and property. It also has access to the National Law Enforcement Telecommunications System (NLETS) and the National Crime Information Center (NCIC).

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

The 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 number, or social security number—is available.

When TECS provides a list of similar-sounding names, the subjects' sex, race, and date of birth are also included. The inquirer can then determine which subject, if any, is the subject of interest. If a name is selected, TECS can provide additional information. This additional information may include, but is not limited to,

- 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),
- where and by whom a warrant is held,
- warrant number and date,
- date of offense,
- alias,
- Treasury I.D. number,
- case number, and
- NCIC number.

Washington Area Law Enforcement System (WALES)

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

The WALES is sponsored by Washington, D.C.'s Metropolitan Police Department and is available to state and federal investigators, when coordinated with the Metropolitan Police Department. WALES operates on a soundex system. Only the subject's name is needed for a query. The WALES gathers information only on Washington, D.C., residents. The system also interfaces with NCIC and NLETS. This system can provide investigators with various information, such as on the following:

- stolen property;
- wanted persons;
- filed complaints (lists violations by address);
- gun registrations;
- court case disposition and status;
- driver's licenses and motor vehicle registrations;
- business licenses;
- traffic accidents; and

- Lorton Reformatory inmates (prisoner location, status, disciplinary action, and type of custody).
-

Commercial Data Bases; Research and Reference Services

Dialog Information Retrieval Service

Dialog now offers more than 400 data bases. It contains over 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

Dun & Bradstreet has several data bases regarding corporations that are available through Dialog, including a listing of 4.8 million businesses. Also available from Dun & Bradstreet 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)

The GAODOCS contains excerpts from GAO reports and is searchable by subject, GAO division/office, 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)**

The MIN is a group of on-line information-retrieval systems that include the following: government statistics; the substance and present status of bills and resolutions; floor amendments; floor proceedings; preaward grants (pertaining to all federal assistance programs contained in the Catalog of Federal Domestic Assistance); postaward grants; and available contracts and awarded contracts, listing every civilian contract of \$10,000 or more and every defense contract of \$25,000 or more entered into by the federal government over the previous 4 quarters. The MIN also provides the full text of the Congressional Record since the 99th Congress.

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

The 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. The JURIS is widely used in legal offices throughout the country and is available through the Library of Congress, American Law Division. The 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 a large and 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.

METRONET System

METRONET System is an on-line system implemented by Metromail Corporation, Lombard, Illinois. METRONET provides on-line access to National Consumer and Change of Address data bases for the following purposes:

- address verification,
- telephone number lookup,
- neighbors lookup, and
- change of address.

National Texts and
Periodicals Data Base
(NTP)

The 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 and business/financial information from more than 150 newspapers, magazines, wire services, etc. Magazine data dates from January 1975; newspaper data dates from January 1977.

On-Line Retrieval of
Bibliographic Information,
Time-Shared (ORBIT)

The 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. They include abstracts of the following:

- The Library of Congress Computerized Catalog contains all books written in English or pertaining to the English language published in the United States since 1978.
- The Bibliographic Citation File is a file of selected citations to journal articles, from 1976 to the present, of interest to the Congress.
- Congressional Status Files are files that can be searched by subject (e.g., acid rain) or by bill number to determine the status of a bill, such as its resolution, ratification, and amendments, if any. This file can also be searched by Committee, Subcommittee, or Member's name.
- The National Referral Center Master File 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

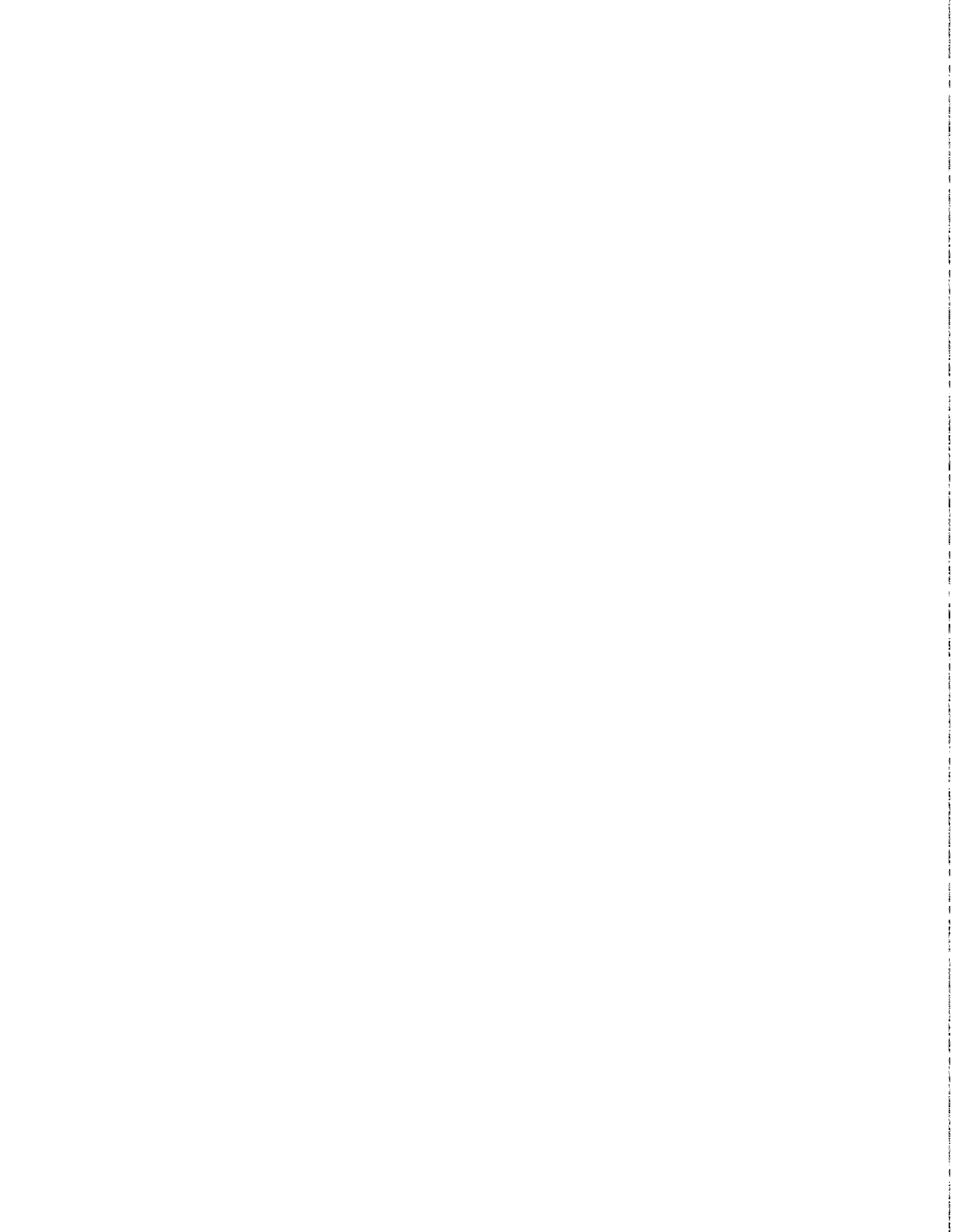
The SIC, located in Wellesley Hills, Massachusetts, is operated by IteI Corporation under contract with the Securities and Exchange Commission. All entities, such as banks and brokerage houses, that receive bad securities are required to report this information to the SIC. They are also required to run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

Standard & Poor's

Standard & Poor's has several data bases regarding corporations. These data bases are available through Dialog and include information on 36,000 corporations and 340,000 "key executives," with 74,000 profile biographies. Standard & Poor's 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 contains many of the same files.



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