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FILED

OCT 19 2016

SUSAN Y. SOUNG
CLERK, U.S. DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA
OAKLAND

12 UNITED STATES DISTRICT COURT
13 NORTHERN DISTRICT OF CALIFORNIA
14 OAKLAND DIVISION

15 UNITED STATES OF AMERICA)
16 v.)
17 WESLEY BARTA,)
18 Defendant.)

) No. CR 13-00413 PJH
) **PLEA AGREEMENT**

19 The United States of America and WESLEY BARTA (“defendant”) hereby enter into the
20 following Plea Agreement pursuant to Rule 11(c)(1)(B) of the Federal Rules of Criminal
21 Procedure (“Fed. R. Crim. P.”):

22 RIGHTS OF DEFENDANT

- 23 1. The defendant understands his rights:
- 24 (a) to be represented by an attorney;
 - 25 (b) to be charged by Indictment;
 - 26 (c) to plead not guilty to any criminal charge brought against him;

1 (d) to have a trial by jury, at which he would be presumed not guilty of the
2 charge and the United States would have to prove every essential element of the charged offense
3 beyond a reasonable doubt for him to be found guilty;

4 (e) to confront and cross-examine witnesses against him and to subpoena
5 witnesses in his defense at trial;

6 (f) not to be compelled to incriminate himself;

7 (g) to appeal his conviction, if he is found guilty; and

8 (h) to appeal the imposition of sentence against him.

9 AGREEMENT TO PLEAD GUILTY AND WAIVE CERTAIN RIGHTS

10 2. The defendant knowingly and voluntarily waives the rights set out in Paragraph
11 1(b)-(g) above. The defendant also knowingly and voluntarily waives the right to file any
12 appeal, any collateral attack, or any other writ or motion, including but not limited to an appeal
13 under 18 U.S.C. § 3742 or a motion under 28 U.S.C. § 2241 or § 2255, that challenges the
14 sentence imposed by the Court if that sentence is consistent with or below the United States
15 Sentencing Guidelines range stipulated by the parties in Paragraph 8 of this Plea Agreement,
16 regardless of how the sentence is determined by the Court. This Agreement does not affect the
17 rights or obligations of the United States as set forth in 18 U.S.C. § 3742(b). Nothing in this
18 paragraph, however, will act as a bar to the defendant perfecting any legal remedies he may
19 otherwise have on appeal or collateral attack respecting claims of ineffective assistance of
20 counsel or prosecutorial misconduct. Pursuant to Fed. R. Crim. P. 7(b), the defendant will waive
21 indictment and plead guilty to Count One of the Information filed in this case. Count One of the
22 Information charges the defendant with participating in a conspiracy to suppress and restrain
23 competition by rigging bids to obtain selected properties offered at public real estate foreclosure
24 auctions in Contra Costa County in the Northern District of California (“the selected
25 properties”), in unreasonable restraint of interstate trade and commerce, in violation of the
26 Sherman Antitrust Act, 15 U.S.C. § 1, beginning as early as June 2008 and continuing until in or
27 about January 2011 (the “relevant period”).
28

1 loss caused to the victims of the crime by the conspirators (15 § 1; 18 U.S.C. § 3571(b)
2 and (d)); and

3 (c) a term of supervised release of three (3) years following any term of
4 imprisonment. If the defendant violates any condition of supervised release, the defendant could
5 be required to serve up to an additional two (2) years in prison (18 U.S.C. § 3559(a)(3); 18
6 U.S.C. § 3583(b)(2) and (e)(3); and United States Sentencing Guidelines (“U.S.S.G.,”
7 “Sentencing Guidelines,” or “Guidelines”) §5D1.2(a)(2)).

8 6. In addition, the defendant understands that:

9 (a) pursuant to U.S.S.G. §5E1.1 or 18 U.S.C. § 3663(a)(3), the Court may
10 order him to pay restitution to the victims of the offense; and

11 (b) pursuant to 18 U.S.C. § 3013(a)(2)(A), the Court is required to order the
12 defendant to pay a \$100 special assessment upon conviction for the charged crime.

13 SENTENCING GUIDELINES

14 7. The defendant understands that the Sentencing Guidelines are advisory, not
15 mandatory, but that the Court must consider, in determining and imposing sentence, the
16 Guidelines Manual in effect on the date of sentencing unless that Manual provides for greater
17 punishment than the Manual in effect on the last date that the offense of conviction was
18 committed, in which case the Court must consider the Guidelines Manual in effect on the last
19 date that the offense of conviction was committed. The Court must also consider the other
20 factors set forth in 18 U.S.C. § 3553(a) in determining and imposing sentence. The defendant
21 understands that the Guidelines determinations will be made by the Court by a preponderance of
22 the evidence standard. The defendant understands that although the Court is not ultimately
23 bound to impose a sentence within the applicable Guidelines range, its sentence must be
24 reasonable, based upon consideration of all relevant sentencing factors set forth in 18 U.S.C.
25 § 3553(a). Pursuant to U.S.S.G. §1B1.8, the United States agrees that self-incriminating
26 information that the defendant provides to the United States pursuant to this Plea Agreement will
27 not be used to increase the volume of affected commerce attributable to the defendant or in
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1 determining the defendant's applicable Guidelines range, except to the extent provided in
 2 U.S.S.G. §1B1.8(b).

3 SENTENCING AGREEMENT

4 8. The United States and the defendant agree that the following Sentencing
 5 Guidelines apply for Count One (15 U.S.C. § 1):

6	(a)	Base Offense Level, U.S.S.G. §2R1.1(a):	12
7			
8	(b)	Conduct involved agreement to submit noncompetitive bids, U.S.S.G. §2R1.1(b)(1):	+1
9			
10	(c)	Volume of commerce (stipulated to be \$5,756,772), U.S.S.G. §2R1.1(b)(2)(A):	+2
11			
12		Total:	15

13 Fine calculated as one to five percent of the
 14 volume of commerce (stipulated to be \$5,756,772),
 but not less than \$20,000, U.S.S.G. §2R1.1(c)(1): \$57,567 to \$287,839

15 9. The United States agrees that it will make a motion, pursuant to U.S.S.G. §3E1.1,
 16 for a downward adjustment of two levels for acceptance of responsibility due to the defendant's
 17 timely notification of his intention to enter a guilty plea. Therefore, the total Guidelines
 18 calculations result in an adjusted offense level of 13, for a jail term of 12 to 18 months and a fine
 19 of \$57,567 to \$287,839.

20 10. The defendant understands that the Court will order him to pay a special
 21 assessment of \$100 pursuant to 18 U.S.C. § 3013(a)(2)(A), in addition to any fine imposed. The
 22 parties agree that there exists no aggravating or mitigating circumstance of a kind, or to a degree,
 23 not adequately taken into consideration by the U.S. Sentencing Commission in formulating the
 24 Guidelines justifying a departure pursuant to U.S.S.G. §5K2.0.

25 11. The government and the defendant agree to recommend that the Court order the
 26 defendant to pay no restitution pursuant to U.S.S.G. §5E1.1(a). However, if the Court orders the
 27 defendant to pay restitution, the defendant understands that this Plea Agreement is voidable by
 28

1 the government if he fails to pay the restitution as ordered by the Court. The defendant further
2 agrees that he will not seek to discharge any restitution obligation or any part of such obligation
3 in any bankruptcy proceeding.

4 12. The United States and the defendant are not aware of any information that would
5 affect the defendant's Criminal History Category. If no other information were discovered, the
6 defendant's Criminal History Category would be I. The parties understand that the defendant's
7 Criminal History Category is determined by the Court.

8 13. The defendant understands that the sentence to be imposed on him is within the
9 sole discretion of the sentencing judge. The United States cannot and does not make any
10 promises or representations as to what sentence the defendant will receive. The United States
11 will inform the Probation Office and the Court of (a) this Agreement, (b) the nature and extent of
12 the defendant's activities in this case and all other activities of the defendant that the United
13 States deems relevant to sentencing, and (c) the nature and extent of the defendant's cooperation
14 with the United States. In so doing, the United States may use any information it deems relevant,
15 including information provided by the defendant both prior and subsequent to the signing of this
16 Agreement. The United States reserves the right to make any statement to the Court or the
17 Probation Office concerning the nature of the criminal violation charged in the Information, the
18 participation of the defendant therein, and any other facts or circumstances that it deems relevant.
19 The United States also reserves the right to comment on or to correct any representation made by
20 or on behalf of the defendant and to supply any other information that the Court may require.

21 14. If the United States determines that the defendant has provided substantial
22 assistance in any Federal Proceeding, as defined in Paragraph 17 of this Plea Agreement, and has
23 otherwise fully complied with all of the terms of this Plea Agreement, it will file a motion,
24 pursuant to U.S.S.G. §5K1.1, advising the sentencing judge of all relevant facts pertaining to that
25 determination and requesting the Court to sentence the defendant in light of the factors set forth
26 in U.S.S.G. §5K1.1(a)(1)-(5). The defendant acknowledges that the decision whether he has
27 provided substantial assistance in any Federal Proceeding and has otherwise complied with the
28 terms of this Plea Agreement is within the sole discretion of the United States. It is understood

1 (a) producing all documents, including claimed personal documents, and
2 other materials, wherever located, not protected under the attorney-client privilege or the work-
3 product doctrine in the possession, custody, or control of the defendant, that are requested by
4 attorneys and agents of the United States in connection with any Federal Proceeding;

5 (b) making himself available for interviews, not at the expense of the United
6 States, upon the request of attorneys and agents of the United States in connection with any
7 Federal Proceeding;

8 (c) responding fully and truthfully to all inquiries of the United States in
9 connection with any Federal Proceeding, without falsely implicating any person or intentionally
10 withholding any information, subject to the penalties of making a false statement or declaration
11 (18 U.S.C. §§ 1001, 1623), obstruction of justice (18 U.S.C. § 1503, *et seq.*), or conspiracy to
12 commit such offenses;

13 (d) otherwise voluntarily providing the United States with any material or
14 information not requested in (a) - (c) of this paragraph and not protected under the attorney-client
15 privilege or work-product doctrine that he may have that is related to any Federal Proceeding;
16 and

17 (e) when called upon to do so by the United States in connection with any
18 Federal Proceeding, testifying in grand jury, trial, and other judicial proceedings fully, truthfully,
19 and under oath, subject to the penalties of perjury (18 U.S.C. § 1621), making a false statement
20 or declaration in grand jury or court proceedings (18 U.S.C. § 1623), contempt (18 U.S.C.
21 §§ 401-402), and obstruction of justice (18 U.S.C. § 1503, *et seq.*).

22 GOVERNMENT'S AGREEMENT

23 18. Subject to the full, truthful, and continuing cooperation of the defendant, as
24 defined in Paragraph 17 of this Plea Agreement, and upon the Court's acceptance of the guilty
25 plea called for by this Plea Agreement and the imposition of sentence, the United States agrees
26 that it will not bring further criminal charges against the defendant for any act or offense
27 committed before the date of signature of this Plea Agreement that was undertaken in furtherance
28 of an antitrust conspiracy or in violation of any related criminal law involving the purchase of

1 properties at public real estate foreclosure auctions in the Northern District of California
2 (“Relevant Offenses”). The nonprosecution terms of this paragraph do not apply to (a) any acts
3 of perjury or subornation of perjury (18 U.S.C. §§ 1621-22), making a false statement or
4 declaration (18 U.S.C. §§ 1001, 1623), obstruction of justice (18 U.S.C. § 1503, *et seq.*),
5 contempt (18 U.S.C. §§ 401-402), or conspiracy to commit such offenses; (b) civil matters of
6 any kind; (c) any violation of the federal tax or securities laws or conspiracy to commit such
7 offenses; or (d) any crime of violence.

8 19. The defendant understands that he may be subject to administrative action by
9 federal or state agencies other than the United States Department of Justice, Antitrust Division,
10 based upon the conviction resulting from this Plea Agreement, and that this Plea Agreement in
11 no way controls whatever action, if any, other agencies may take. However, the United States
12 agrees that, if requested, it will advise the appropriate officials of any governmental agency
13 considering such administrative action of the fact, manner, and extent of the cooperation of the
14 defendant as a matter for that agency to consider before determining what administrative action,
15 if any, to take.

16 REPRESENTATION BY COUNSEL

17 20. The defendant has reviewed all legal and factual aspects of this case with his
18 attorney and is fully satisfied with his attorney’s legal representation. The defendant has
19 thoroughly reviewed this Plea Agreement with his attorney and has received satisfactory
20 explanations from his attorney concerning each paragraph of this Plea Agreement and
21 alternatives available to the defendant other than entering into this Plea Agreement. After
22 conferring with his attorney and considering all available alternatives, the defendant has made a
23 knowing and voluntary decision to enter into this Plea Agreement.

24 VOLUNTARY PLEA

25 21. The defendant’s decision to enter into this Plea Agreement and to tender a plea of
26 guilty is freely and voluntarily made and is not the result of force, threats, assurances, promises,
27 or representations other than the representations contained in this Plea Agreement. The United
28

1 States has made no promises or representations to the defendant as to whether the Court will
2 accept or reject the recommendations contained within this Plea Agreement.

3 VIOLATION OF PLEA AGREEMENT

4 22. The defendant agrees that, should the United States determine in good faith,
5 during the period that any Federal Proceeding is pending, that the defendant has failed to provide
6 full, truthful, and continuing cooperation, as defined in Paragraph 17 of this Plea Agreement, or
7 has otherwise violated any provision of this Plea Agreement, the United States will notify
8 counsel for the defendant in writing by personal or overnight delivery, email, or facsimile
9 transmission and may also notify counsel by telephone of its intention to void any of its
10 obligations under this Plea Agreement (except its obligations under this paragraph), and the
11 defendant will be subject to prosecution for any federal crime of which the United States has
12 knowledge, including, but not limited to, the substantive offenses relating to the investigation
13 resulting in this Plea Agreement. The defendant may seek Court review of any determination
14 made by the United States under this paragraph to void any of its obligations under this Plea
15 Agreement. The defendant agrees that, in the event that the United States is released from its
16 obligations under this Plea Agreement and brings criminal charges against the defendant for any
17 Relevant Offense, the statute of limitations period for such offense will be tolled for the period
18 between the date of signature of this Plea Agreement and six (6) months after the date the United
19 States gave notice of its intent to void its obligations under this Plea Agreement.

20 23. The defendant understands and agrees that in any further prosecution of him
21 resulting from the release of the United States from its obligations under this Plea Agreement
22 because of the defendant's violation of this Plea Agreement, any documents, statements,
23 information, testimony, or evidence provided by him to attorneys or agents of the United States,
24 federal grand juries, or courts, and any leads derived therefrom, may be used against him. In
25 addition, the defendant unconditionally waives his right to challenge the use of such evidence in
26 any such further prosecution, notwithstanding the protections of Fed. R. Evid. 410.

ENTIRETY OF AGREEMENT

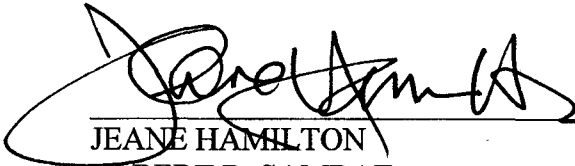
24. This Plea Agreement constitutes the entire agreement between the United States and the defendant concerning the disposition of the criminal charges in this case and supersedes and replaces in its entirety any prior plea agreement between the parties concerning the disposition of the criminal charges in this case. This Plea Agreement cannot be modified except in writing, signed by the United States and the defendant.


25. The undersigned attorneys for the United States have been authorized by the Attorney General of the United States to enter this Plea Agreement on behalf of the United States.

26. A facsimile or PDF signature will be deemed an original signature for the purpose of executing this Plea Agreement. Multiple signature pages are authorized for the purpose of executing this Plea Agreement.


WESLEY BARTA
Defendant

Dated: 10/19/16


JEANE HAMILTON
ALBERT B. SAMBAT
MICHAEL A. RABKIN
Trial Attorneys
U.S. Department of Justice
Antitrust Division


SUZANNE M. MORRIS
Counsel for Defendant Wesley Barta

Dated: 10/19/16

Dated: 10.19.16