

UNITED STATES DISTRICT COURT
 Western District of North Carolina
 Charlotte Division
 DOCKET NO: 3:15-cr-00213-MOC-DSC

UNITED STATES OF AMERICA

v.

Stephen E. Finck
Defendant

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)

ENTRY AND
ACCEPTANCE OF GUILTY PLEA
(RULE 11 PROCEEDING)

On the date indicated below, the defendant appeared with counsel, was duly sworn, and answered the following questions on the record:

<u>Questions (asked by Magistrate Judge)</u>	<u>Defendant's Answers</u>
1. Do you understand that you are under oath, and that you are required to give truthful answers to the questions I am about to ask?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
2. Do you understand that if you give false information under oath you may be prosecuted for perjury or false statement?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
3. After consulting with your attorney, do you want this Court to accept your guilty plea to one or more counts in the Bill of Indictment (or Bill of Information)?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
4. Do you understand that you have the right to have a U.S. District Judge conduct this proceeding?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
5. Recognizing your right to proceed before a District Judge, do you expressly consent to proceed in this Court, that is, before a U.S. Magistrate Judge?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
6. Are you now under the influence of alcohol, medicines, or drugs of any sort?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
7. Is your mind clear, and do you understand that you are here to enter a guilty plea in your case?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
8. Have you received a copy of the indictment/information and have you discussed its contents with your attorney?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
[The charges, maximum penalties, and mandatory minimum sentences (if any) were explained, on the record, at this point in the proceeding.]	
9. Do you fully understand the charge(s) against you, including the maximum (and, where applicable, minimum) penalties you face if convicted?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

10. Have you been advised by your attorney that if you are not a citizen of the United States, your guilty plea may have adverse immigration consequences? Yes No
11. Have you been advised by your attorney that if you are not a citizen of the United States, your guilty plea may result in deportation or removal from the United States? Yes No
12. Do you understand that entering a plea of guilty to a felony charge may deprive you, at least for a time, of certain civil rights, such as the right to vote, hold public office, serve on a jury, and possess a firearm? Yes No
13. Have you spoken with your attorney about how the U. S. Sentencing Guidelines might apply to your case? Yes No
14. Do you understand that the District Judge will not be able to determine the applicable Sentencing Guidelines range until after your Presentence Report has been prepared, and you have had an opportunity to comment on it? Yes No
15. Do you also understand that in some circumstances you may receive a sentence that is different—that is, either higher or lower—than that called for by the Guidelines? Yes No
16. Do you understand that the Court may order restitution, where applicable? Yes No
17. Do you understand that if the sentence is more severe than you expected, or the Court does not accept the government's sentencing recommendation, you will still be bound by your plea and will have no right to withdraw it? Yes No
18. Do you understand that parole has been abolished, and that if you are sentenced to a term of imprisonment you will not be released on parole? Yes No
19. If your sentence includes imprisonment, do you understand that the District Judge may also order a term of "supervised release"? Yes No
20. Do you also understand that if you violate the terms and conditions of supervised release, which typically lasts from one to five years, you could be returned to prison for an additional period of time? Yes No
21. Do you understand that you have a right to plead NOT GUILTY, to have a speedy trial before a judge and jury, to summons witnesses to testify in your behalf, and to confront witnesses against you? Yes No
22. If you exercised your right to trial you would be entitled to the assistance of a lawyer, would not be required to testify, would be presumed innocent, and the burden would be on the government to prove your guilt beyond a reasonable doubt. Do you understand all of these rights? Yes No

23. By entering this plea of guilty you are waiving (or giving up) these rights. There will be no trial. If your guilty plea is accepted, there will be one more hearing, where the District Judge will determine what sentence to impose. Do you understand that? Yes No
24. Are you, in fact, guilty of the counts in the Bill of Indictment (or Bill of Information) to which you have come to court today to plead guilty? Yes No
25. Have the United States and the defendant entered a Plea Agreement in this case? Yes No
- [The attorneys for the Government and the Defendant summarized the terms of any Plea Agreement to the Court, on the record, at this point in the proceeding. However, the parties Understand that the written, filed Plea Agreement is the best statement of those terms, and therefore "speaks for itself".]
26. Do you understand those to be the terms of your Plea Agreement, and do you agree with those terms? Yes No
27. Has the right to appeal your conviction and/or sentence been expressly waived in the Plea Agreement? Yes No
28. Has the right to challenge your conviction and/or sentence in a post-conviction proceeding also been expressly waived in the Plea Agreement? Yes No
29. Is that your signature on the Plea Agreement? Yes No
30. Are you aware that a Factual Basis has been filed as an attachment to your Plea Agreement? Yes No
31. Have you read this Factual Basis and do you understand it and agree with it? Yes No
32. Has anyone threatened, intimidated, or forced you to enter your guilty plea today? Yes No
33. Other than the terms of your Plea Agreement, has anyone made you promises of leniency or a light sentence to induce you to plead guilty? Yes No
34. Have you had enough time to discuss with your attorney any possible defenses you may have to these charges? Yes No
35. Are you satisfied with the services of your attorney in this case? Yes No
36. Is there anything you would like to say at this time about the services of your attorney? Yes No

[Any statement that was made is on the record.]

37. Have you heard and understood all parts of this proceeding, and do you still wish to plead guilty? Yes No


38. Do you have any questions or statements you would like to make at this time? Yes No

[Any statement that was made is on the record.]

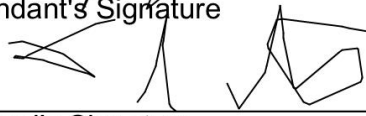
39. Counsel, have you reviewed each of the terms of the Plea Agreement with [the defendant], and are you satisfied that he (she) understands those terms? Yes No

[Any statement that was made is on the record.]

ON ADVICE AND IN THE PRESENCE OF COUNSEL, THE DEFENDANT CONSENTS TO THE ACCEPTANCE OF HIS/HER GUILTY PLEA BY A MAGISTRATE JUDGE. BY SIGNING BELOW, THE DEFENDANT (AND COUNSEL) AFFIRM THAT THE ANSWERS GIVEN DURING THIS PROCEEDING ARE TRUE AND COMPLETE TO THE BEST OF THEIR KNOWLEDGE.



Defendant's Signature



Counsel's Signature

Based upon the representations and answers given by the defendant (and counsel) in this proceeding, the Court finds that the defendant's plea is knowingly and voluntarily made; and that the defendant understands the charges, potential penalties, and consequences of his (her) plea. The Court further finds that the defendant's plea is supported by an independent basis in fact containing each of the elements of the offenses to which the defendant is pleading. Based thereon, the defendant's plea is hereby accepted. In addition, I recommend that the district court accept the defendant's plea and enter judgment thereon. If you have any objection to my recommendation, you have 14 days to file such objections in writing with this Court. If you fail to object within that 14 day period, it will be deemed a waiver of any such objection.

Date: December 19, 2018



David C. Keesler
United States Magistrate Judge