

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK



UNITED STATES OF AMERICA

- v -

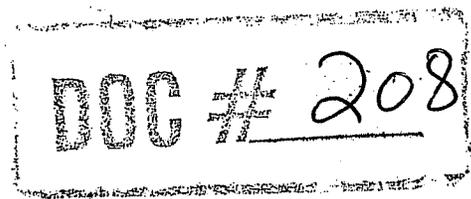
JAMES H. GIFFEN,

Defendant.

: INFORMATION

: S4 03 Cr. 404 (WHP)

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COUNT ONE



The United States Attorney charges:

1. On or about March 27, 1997, in the Southern District of New York and elsewhere, JAMES H. GIFFEN, the defendant, a person required by Title 26, United States Code and by regulations made under authority thereof to supply information, unlawfully, willfully, and knowingly failed to supply such information at the time and times required by law and regulations, to wit, GIFFEN did make, subscribe, and file a U.S. Individual Income Tax Return, Form 1040, for himself for the calendar year 1996, which return failed, on Schedule B, Part III, line 11, to report that GIFFEN maintained an interest in, and a signature and other authority over, bank, securities, and other accounts in Switzerland and other countries, including a bank account in Switzerland in the name of Condor Capital Management, a British Virgin Islands corporation controlled by GIFFEN, whereas GIFFEN then and there well knew and believed that he had

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an interest in, and signature and other authority over, a bank account in Switzerland and in other countries.

(Title 26, United States Code, Section 7203).

Preet Bharara

PREET BHARARA *PB*
United States Attorney

Form No. USA-33s-274 (Ed. 9-25-58)

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SUPERSEDING INFORMATION

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26 U.S.C. § 7203

PREET BHARARA
United States Attorney.
