

United States District Court
District of Connecticut
FILED
STAFFORD
April 12, 2013
Robert D. Johnson, Clerk
By: [Signature]

UNITED STATES DISTRICT COURT
DISTRICT OF CONNECTICUT

UNITED STATES OF AMERICA, : CRIMINAL NO. 3:13CR74MPS
v. : VIOLATIONS:
THE ROYAL BANK OF SCOTLAND PLC : 18 U.S.C. § 1343
: 15 U.S.C. § 1

INFORMATION

The United States Department of Justice, Fraud Section, Criminal Division, and Antitrust Division, charges that at all times material to this Information:

COUNT ONE
(Wire Fraud)

1. Between approximately 2006 and at least 2010, THE ROYAL BANK OF SCOTLAND PLC, defendant, through its employees, unlawfully, willfully, and knowingly, having devised and intending to devise a scheme and artifice to defraud and for obtaining money and property by means of false and fraudulent pretenses, representations, and promises, did transmit and cause to be transmitted by means of wire, radio, and television communication in interstate and foreign commerce, writings, signs, signals, pictures, and sounds for the purpose of executing such scheme and artifice, to wit, the defendant, through its employees, engaged in a scheme to defraud counterparties to interest rate derivatives trades executed on its behalf by secretly manipulating benchmark interest rates to which the profitability of those trades was tied, and in furtherance of

that scheme, on or about December 4, 2008, the defendant transmitted or caused the transmission of electronic communications - specifically, (1) an electronic chat between a derivatives trader and a money market trader, (2) a subsequent Swiss Franc LIBOR submission from the defendant to Thomson Reuters, and (3) a subsequent publication of a Swiss Franc LIBOR rate - through international and interstate wires.

In violation of Title 18, United States Code, Section 1343.

COUNT TWO
(Price Fixing)

2. From at least as early as 2007 through at least 2010, Defendant THE ROYAL BANK OF SCOTLAND PLC, through its employees, and its co-conspirators, engaged in a combination and conspiracy in unreasonable restraint of interstate and foreign commerce. The aforesaid combination and conspiracy consisted of an agreement, understanding and concert of action among the Defendant and its co-conspirators, the substantial terms of which were to fix the price of Yen LIBOR-based derivative products by fixing Yen LIBOR, a key

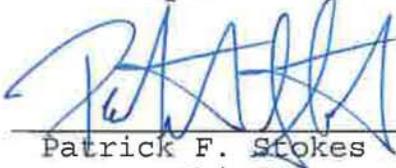
component of the price thereof, on certain occasions.

In violation of Title 15, United States Code, Section 1.

UNITED STATES OF AMERICA

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