

# Memorandum

United States Attorney  
Southern District of Indiana



<b>Subject</b> <i>United States of America v. Thomas Buck, 1:17-cr-00172-TWP-TAB</i>	<b>Date</b> October 31, 2017
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<b>To</b> Fraud Scheme Crime Victims	<b>From</b> JOSH J. MINKLER, United States Attorney
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By:  
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and  
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Assistant U.S. Attorney

On September 6, 2017, the government filed a criminal matter charging Thomas J. Buck with one count of securities fraud, in violation of Title 18, United States Code, Section 1348. The criminal charge and the plea agreement filed contemporaneously thereto have now been unsealed and are available for review as documents on this website.

The Crime Victims' Rights Act (CVRA) guarantees crime victims with certain rights. 18 U.S.C. § 3771. The full language of the CVRA is also available for review on this website. The government will post notices about public court hearings and case updates on this site in an effort to comply with the CVRA.

Criminal cases are defined by parameters described in a charging instrument. In this case, the Information is the operable charging instrument. A crime victim is defined as a person directly and proximately harmed as a result of the commission of a federal offense. Each and every investor who worked personally and closely with defendant Buck in his capacity as a financial advisor at Merrill Lynch is not considered a "crime victim" in the instant matter. Rather, to qualify as a "crime victim," defendant Buck must have perpetrated a knowing fraud against the investor as that fraud scheme is defined in the charging Information.

If an investor believes they qualify as a "crime victim" in the instant case as the fraud scheme is defined in the charging Information, they are encouraged to complete a victim impact statement (VIS). There are directions for completing this document and a VIS template posted on this website. In general, a VIS provides crime victims an opportunity to distill their thoughts into a written document that is reviewed by a sentencing judge. Crime victims often include

information about financial and emotional expenses incurred as a result of a crime in a VIS. If a crime victim has incurred financial expenses or loss that should be considered, a financial worksheet along with copies of documentation to verify losses may be submitted.

Stephanie Lloyd, victim/witness coordinator, is available to answer additional questions or concerns. Ms. Lloyd may be reached directly at (317) 229-2406. Completed VIS and accompanying forms should be returned to Ms. Lloyd at The Office of the U.S. Attorney, ATTN: Stephanie Lloyd, 10 W. Market St., Suite 2100, Indianapolis, IN 46204, not later than December 4, 2017 to be properly considered by the court at the sentencing hearing.

The initial appearance for defendant Buck is scheduled to commence on Tuesday, October 31, 2017. The defendant is scheduled for a sentencing hearing on January 18, 2018 at 10:30 a.m., before the Honorable Tanya Walton Pratt. Any updates to these dates will be posted to this website.

Thank you for your careful attention.