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CR IR-24

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27 February 1997

MEMORANDUM FOR: J. Barry Harrelson
Historical Review Group
Center for the Study of Intelligence

FROM: Janet A. Ecklund
Chief, Information Management Branch
Office of Personnel Security

SUBJECT: Request No. CIA-16 from JFK Board

REFERENCE: CSI 97-062 dated 31 January 1997

1. (U) The Office of Personnel Security has researched this request from the Assassination Records Review Board relating to the existence of pre-assassination files on Lee Harvey Oswald.

2. (U) In response to the specific questions listed in Mr. Marwell's letter to the Historical Review Group, the following responses are provided to those three questions pertaining to the Office of Personnel Security (OPS). These responses are the best reasonable answers based on available information. Please note OPS was known as the Office of Security prior to 1 October 1994.

Question 1: (U) Please identify, as specifically as possible, each file held by CIA on Oswald at the time of the assassination of President Kennedy.

Response: (U) At the time of the assassination, the Office of Security (OS) held two files which contained information on Lee Harvey Oswald. A file entitled Defectors File (#0341008) contained a reference to Lee Harvey Oswald,

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and the Office of Security also had a subject file on Lee Harvey Oswald (#0351164). This information was reflected in the automated security database known as the Management Data Program/Personnel Security (MDP/PS). These files were originally miscellaneous files which were converted to the above numbers circa 1964. A hand search was also conducted of microfiche records which were superseded by the automated system. This hand search produced the same results as the automated search of MDP/PS.

(U) In your request specific mention is made of an HTLINGUAL file. MDP/PS reflects OS maintained four official files under this project--#0077826 (an administrative file), #0090079, #0093466 (a general file), and #0119144. All of the HTLINGUAL files were destroyed on 8 April 1994 along with numerous soft files. Since this material has been destroyed, OPS cannot definitively state whether these files contained any information on Lee Harvey Oswald. A search of Oswald's name did not produce an index reference to any of these files.

(U) Attached is all of the available information regarding the destruction of the HTLINGUAL files. This information was retrieved from Lydia Hoffman of the Information Management Branch/Records Control Section and from a review of general office administrative files.

Question 2: (U) Other than for the 201-289248 file on Oswald, please explain when each Oswald file was opened, the purpose for the opening of the file, and the documents that were in the file at the time of the assassination.

Response: (U) As noted above, all HTLINGUAL files have been destroyed. Since OS files are usually set up in chronological sequence, a search of files with numbers in close proximity to those recorded for HTLINGUAL was undertaken. This search revealed the approximate opening dates for the four official HTLINGUAL files as:

#0077826	Opened approximately July 1952
#0090079	Opened approximately February 1953
#0093466	Opened approximately July 1953
#0119144	Opened approximately May 1955

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(U) HTLINGUAL was a Directorate of Operations project that involved opening incoming and outgoing mail destined to and from the Soviet Union, China, Pakistan, and South America. In OS this project was known as SRPOINTER with subprojects identified as WESTPOINTER, INDIAN, BANJO, and SETTER. OS conducted the actual opening and monitoring of mail with the acquired information referred to the Directorate of Operations.

(U) The Defectors File (#0341008) was established circa 1950 for the purpose of recording information on US citizens defecting to other countries and information regarding foreign nationals considering defection to the United States. This compilation of information was received from press clippings, Directorate of Operations reporting, the Federal Bureau of Investigation, the Department of State, and the various armed services. The pre-assassination documents located in this file relative to Lee Harvey Oswald are:

- a. Washington Star press clipping of 26 November 1959 entitled "U.S. Defector to Reds Turned to Marx at 15"
- b. Department of State memorandum dated 25 October 1960 with attached list of American "defectors" from May 1959 to October 1960
- c. Memorandum for Chief/Security Research Staff dated 31 October 1960 from M. D. Stevens, subject: American Defectors
- d. Memorandum for Deputy Director of Security dated 1 November 1960 from M. D. Stevens, subject: American Defectors
- e. Handwritten chart of defectors dated 26 August 1961
- f. Defector outline prepared in October 1961 listing known defectors to the USSR, Red China, Cuba, and United Arab Republic.

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(U) The index reference to the Defectors File identifies a list dated 13 September 1966 which was known as the Defector Machine Listing. This listing was a computer printout of defectors which reflected limited biographic data on each name. This listing was maintained separately from the actual Defectors File; notations within the Defectors File show the Defector Machine Listing as permanently charged to the Security Analysis Group of OS. Efforts to locate this listing or determine the disposition have been unsuccessful.

(U) Information regarding the purpose of the Defectors File was gleaned from a quick review of selected holdings. Katie Nakai of this office at one time was assigned to the Security Analysis Group and recalls the Defector Machine Listing. From her recollection, this machine listing was approximately one and one-half inches thick and was in two parts. One part consisted of an alphabetical index of defector names with assigned numbers. The second part listed the assigned numbers in numerical order and contained limited information on each name.

(C) The Special Investigations Branch of Investigations Division is the current operating component encompassing most of the Security Analysis Group functions still conducted in OPS. Gail Jewell of this office was queried regarding office holdings relating to the Defector Machine Listing. Ms. Jewell had no knowledge of the listing and suggested William Gilbert as a resource. Mr. Gilbert, CIC Liaison Officer, could not recall the listing, opined it may have been destroyed, and suggested contacting Zachary Filis of the Counterintelligence Center (CIC).

(C) CIC assumed many of the functions previously conducted by the Security Analysis Group. Mr. Filis was queried regarding the possibility the Defector Machine Listing may have been transferred to CIC during the realignment of duties. Mr. Filis advised the Defector Machine Listing could not be located in CIC holdings; and he has made inquiries with Directorate of Operations counterparts regarding the listing.

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(U) The subject file pertaining to Lee Harvey Oswald (#0351164) was established circa 1960. It appears this file was created as a separate repository for the numerous press clippings and reports received from other government agencies on the defection of Lee Harvey Oswald to the USSR and his activities following his return to the United States. The first volume of this file appears to have been preserved as the pre-assassination file, and the documents contained in this file are as follows:

- a. Department of State telegram #1304 from Moscow dated 31 October 1959
- b. The Washington Post press clipping dated 1 November 1959 entitled "Ex-Marine Asks Soviet Citizenship"
- c. Department of State Dispatch #234 from Moscow dated 2 November 1959
- d. Department of State telegram #1448 from Tokyo dated 9 November 1959
- e. Department of State telegram #1358 from Moscow dated 9 November 1959
- f. The Washington Post press clipping dated 16 November 1959 entitled "Rebuffed"
- g. Evening Star press clipping dated 26 November 1959 entitled "U.S. Defector to Reds Turned to Marx at 15"
- h. Report Summary prepared by Soviet Russia Division forwarded to Office of Security in March 1960
- i. Department of State Instruction A-273 dated 13 April 1961
- j. Department of State Dispatch from Moscow dated May 1961 with enclosure of Oswald letter

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- k. Federal Bureau of Investigation report dated 3 July 1961 from Dallas, Texas
- l. Note to CI/SI dated 28 September 1961
- m. Form 745 "Indices Search Request" dated 12 October 1961
- n. Department of State Dispatch #317 from Moscow dated 12 October 1961 with enclosure
- o. Form G-135a Immigration and Naturalization Service name check form to Central Intelligence Agency dated 5 December 1961
- p. Navy Department message to Moscow dated 3 March 1962
- q. Department of the Navy memorandum to the Federal Bureau of Investigation dated 26 April 1962 with enclosure
- r. The Washington Post press clipping dated 9 June 1962 entitled "Third American in 2 Months Leaves Soviet 'Home'"
- s. Federal Bureau of Investigation transmittal of report from Dallas, Texas, dated 30 August 1962.

(U) In addition to those documents listed above, the following documents were located in a subsequent volume of the Oswald file and also appear to predate the assassination of President Kennedy.

- t. Undated summary of file information on Lee Harvey Oswald
- u. Incoming cable #83858 from Mexico City dated 20 July 1963 (no mention of Oswald)
- v. Incoming cable #01325 from Mexico City dated 17 August 1963 (no mention of Oswald)

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- w. Incoming cable #36017 from Mexico City dated 9 October 1963
- x. Outgoing cable #74830 to Mexico City dated 10 October 1963
- y. Incoming cable #47041 from Mexico City dated 24 October 1963 (no mention of Oswald).

Question 4: (U) To the extent that Counterintelligence and the Office of Security maintained pre-assassination files on Oswald, please explain why those offices maintained files on Oswald prior to the assassination. In answering this question, please make appropriate references to the Clandestine Services Handbook (CSHB) and to any other materials (including organizational charts) that would help explain the jurisdictional and organization reasons for which CI and OS would have maintained such files.

Response: (U) It is believed that OS holdings on Lee Harvey Oswald began in 1959 with his travel to Russia during which he renounced his US citizenship. Oswald was in contact with the American Embassy in Moscow, and the Department of State prepared reports on these contacts. Most likely because of counterintelligence concerns, the Central Intelligence Agency was included in the distribution of these reports. In the beginning this material was probably retained in the Defectors File. As the number of documents on this person increased, a separate file was created to be the repository of information on the alleged American defector. There is a notation in the Defectors File that a separate file exists on Oswald.

(U) Both the Defectors File (#0341008) and the file of Lee Harvey Oswald (#0351164) were handled by Marguerite D. Stevens of the OS/Security Research Staff during the pre-assassination time frame. Of the documents listed above, a majority of them contain a notation or the initials of Marguerite D. Stevens, leading one to believe she was the officer responsible for the collection, analysis, and filing of this information.

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(U) The Security Research Staff (SRS) was the component responsible for collecting, developing, and evaluating information of a counterintelligence nature to

detect and/or prevent penetration of the Agency's organization, employees, and activities by foreign or domestic organizations or individuals. SRS conducted research in connection with employee loyalty cases and maintained records identifying personalities, environments, and personal traits of individuals who had been of counterintelligence interest over the years. SRS maintained liaison with various government agencies in connection with counterintelligence activities and coordinated the counterintelligence effort throughout OS. Using organizational charts of this time period, SRS reported directly to the office of the Director of Security.

(U) Don Staton of the OPS/Management Staff was queried regarding the mission and functions of SRS during the pre-assassination time period. Mr. Staton made inquiries relating to the above request, and the OPS/Information Management Officer Ronda Allen retrieved retired policy records for review. The information on the mission and function of SRS was retrieved from the archived Office of Security administrative and historical files as well as a review of the security file on Marguerite D. Stevens.

3. (U) For your information, a page-by-page review of the documents contained in the Defectors File (12 volumes) and Lee Harvey Oswald's file (7 volumes) has not been conducted for the purposes of this request. Our efforts were concentrated on the pre-assassination time frame.

4. (U) This review was conducted by Katie Nakai, OPS/CD/IMB, secure 40552.


Janet A. Ecklund

Attachment

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27 October 1997

MEMORANDUM FOR THE RECORD

FROM: Janet A. Ecklund
Chief, Information Management Branch
Office of Personnel Security

SUBJECT: OSWALD, LEE HARVEY
AIN: 0351164

1. The Office of Personnel Security was tasked on 31 January 1997 by the Historical Review Group/Center for the Study of Intelligence (HRG/CSI), via the Directorate of Administration/Information Review Office, with researching pre-assassination files on Lee Harvey Oswald. The tasking was generated by the John F. Kennedy Board's desire to review and declassify relevant material. The results of this review were forwarded to the HRG/CSI on 27 February 1997.

2. During the Information Management Branch's (IMB) research in response to the above tasking it was noted that Volume V of the Oswald files was not on the shelf where Volumes I-IV and VI-VII were located. A search of the entire area where the volumes had been maintained failed to locate Volume V. The IMB Files Section was subsequently charged with conducting an all out search for the missing volume. The search failed to find Volume V.

3. In July 1997, the Oswald files were reviewed page by page prior to being turned over to HRG/CSI and another attempt was made to locate Volume V or to locate persons who might know what happened to it. Volume V was not located nor were any persons located who were knowledgeable of its status.

4. During the complete review of the Oswald files no time gap was apparent and no one was located who could recall ever seeing Volume V. This would suggest that either Volume V had been consolidated into other volumes or that Volume V never existed, but that a numbering error resulted in what should have been Volume V being labeled as Volume VI. The use of Roman numerals on the cover of the volumes might have caused this error to occur.

22 December 1997

MEMORANDUM FOR THE RECORD

1. Pursuant to ARRB "Request No. CIA-16, the Office of Personnel Security conducted research for and existing pre-assassination files on Lee Harvey Oswald. The following responses are provided to those questions which pertain to the Office of Personnel Security (OPS). These responses are the best reasonable answers based on available information. Please note OPS was known as the Office of Security prior to 1 October 1994.

Question 1: Please identify, as specifically as possible, each file held by CIA on Oswald at the time of the assassination of President Kennedy.

Response: At the time of the assassination, the Office of Security (OS) held two files which contained information on Lee Harvey Oswald. One file entitled "Defectors File" (#0341008), contained a reference to Lee Harvey Oswald, and the second file was Office of Security subject file on Lee Harvey Oswald (#0351164). This information was reflected in the automated security database known as the Management Data Program/Personnel Security (MDP/PS). These files were originally miscellaneous files which were converted to the above numbers circa 1964. A hand search was also conducted of microfiche records which were superseded by the automated system. This hand search produced the same results as the automated search of MDP/PS.

2. Within the ARRB request is specific mention of an HTLINGUAL file. MDP/PS reflects OS maintained four official files under this project--#0077826 (an administrative file), #0090079, #0093466 (a general file), and #0119144. All of the HTLINGUAL files were destroyed on 8 April 1994 along with numerous soft files. Since this material has been destroyed, OPS cannot definitively state whether these files contained any information on Lee Harvey Oswald. The search of Oswald's name did not produce an index reference to any of these files. Attached is all of the available information regarding the destruction of the HTLINGUAL files. This information was retrieved from the Information Management Branch/Records Control Section and from a review of general office administrative files.

Question 2: For other than the 201-289248 file on Oswald, please explain when each Oswald file was opened, the purpose for the opening of the file, and the documents that were in the file at the time of the assassination.

Response: As noted above, all HTLINGUAL files have been destroyed. Since OS files are usually set up in chronological sequence, a search of files with numbers in close proximity to those recorded for HTLINGUAL was undertaken. This search revealed the approximate opening dates for the four official HTLINGUAL files as:

#0077826	Opened approximately July 1952
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#0093466	Opened approximately July 1953
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3. HTLINGUAL was a Directorate of Operations project involving the opening incoming and outgoing mail destined to and from the Soviet Union, China, Pakistan, and South America. In the Office of Security this project was known as SRPOINTER with subprojects identified as WESTPOINTER, INDIAN, BANJO, and SETTER. The Office of Security actually conducted the opening and monitoring of mail with the acquired information being referred to the Directorate of Operations.

4. The Defectors File (#0341008) was established circa 1950 for the purpose of recording information on US citizens defecting to other countries and information regarding foreign nationals considering defection to the United States. This file contained information from press clippings, Directorate of Operations reporting, the Federal Bureau of Investigation, the Department of State, and the various armed services. The pre-assassination documents located in this file relative to Lee Harvey Oswald are:

- a. Washington Star press clipping of 26 November 1959 entitled "U.S. Defector to Reds Turned to Marx at 15"
- b. Department of State memorandum dated 25 October 1960 with attached list of American "defectors" from May 1959 to October 1960
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- d. Memorandum for Deputy Director of Security dated 1 November 1960 from M. D. Stevens, subject: American Defectors
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- f. Defector outline prepared in October 1961 listing known defectors to the USSR, Red China, Cuba, and United Arab Republic.

5. The index reference to the Defectors File identifies a list dated 13 September 1966 which was known as the Defector Machine Listing. This listing was a computer printout of defectors and provided limited biographic data on each name. This listing was maintained separately from the actual Defectors File; notations within the Defectors File show the Defector Machine Listing as permanently charged to the Security Analysis Group of the Office of Security. Efforts to locate this listing or determine its disposition have been unsuccessful.

6. Information regarding the purpose of the Defectors File was gleaned from a quick review of selected holdings. An employee of this Office recalls the Defector Machine Listing as being approximately one and one-half inches thick and in two parts. One part consisted of an alphabetical index of defector names with assigned numbers. The second part listed the assigned numbers in numerical order and contained the limited biographic data on each name.

7. The subject file pertaining to Lee Harvey Oswald (#0351164) was established circa 1960. It appears this file was created as a separate repository for the numerous press clippings and reports received from other government agencies on the defection of Lee Harvey Oswald to the USSR and his activities following his return to the United States. The first volume of this file appears to have been preserved as the pre-assassination file, and the documents contained in this file are as follows:

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Leaves Soviet 'Home' "

- s. Federal Bureau of Investigation transmittal of report from Dallas, Texas, dated 30 August 1962.

8. In addition to those documents listed above, the following documents were located in a subsequent volume of the Oswald file and also appear to predate the assassination of President Kennedy.

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Response: It is believed that OS holdings on Lee Harvey Oswald began in 1959 with his travel to Russia during which he renounced his US citizenship. Oswald was in contact with the American Embassy in Moscow, and the Department of State prepared reports on these contacts. Most likely because of counterintelligence concerns, the Central Intelligence Agency was included in the distribution of these reports. In the beginning this material was probably retained in the Defectors File. As the number of documents increased, a separate file was created to be the

repository of information on the alleged American defector. There is a notation in the Defectors File that a separate file exists on Oswald.

9. Both the Defectors File (#0341008) and the file of Lee Harvey Oswald (#0351164) were handled by Marguerite D. Stevens of the OS/Security Research Staff during the pre-assassination time frame. Of the documents listed above, a majority of them contain a notation or the initials of Marguerite D. Stevens, leading one to believe she was the officer responsible for the collection, analysis, and filing of this information.

10. The Security Research Staff (SRS) was the component responsible for collecting, developing, and evaluating information of a counterintelligence nature to detect and/or prevent penetration of the Agency's organization, employees, and activities by foreign or domestic organizations or individuals. SRS conducted research in connection with employee loyalty cases and maintained records identifying personalities, environments, and personal traits of individuals who had been of counterintelligence interest over the years. SRS maintained liaison with various government agencies in connection with counterintelligence activities and coordinated the counterintelligence effort throughout OS. Using organizational charts of this time period, SRS reported directly to the office of the Director of Security.

11. A representative of the Office of Personnel Security /Management Staff was queried regarding the mission and functions of SRS during the pre-assassination time period. He made inquiries relating to the above request, and the OPS/Information Management Officer retrieved retired policy records for review. The information on the mission and function of SRS was retrieved from the archived Office of Security administrative and historical files as well as a review of the security file on Marguerite D. Stevens.



Assassination Records Review Board
 600 E Street NW • 2nd Floor • Washington, DC 20530
 (202) 724-0088 • Fax: (202) 724-0457

December 18, 1997

Mr. John Pereira
 Chief
 Historical Review Group
 Center for the Study of Intelligence
 Central Intelligence Agency
 Washington, D.C. 02505

CIA HAS NO OBJECTION TO
 DECLASSIFICATION AND/OR
 RELEASE OF CIA INFORMATION
 IN THIS DOCUMENT

Re: Status of CIA Responses to Assassination Records Review Board's Requests for
 Additional Information and Records

Dear John:

I am writing to follow-up on our telephone call earlier today and to convey my serious concern about the status of CIA's responses to the Review Board's requests for additional information and records. Although CIA has completed its responses to several requests, and many others have been answered in part, a significant number of requests have not been answered — including some that were made more than two years ago. On many occasions we have been assured that responses would be forthcoming, only to have promised dates come and go without answers. It is now extremely important that these requests be answered promptly so that we may conduct a proper follow-up if necessary. The issues that we can now identify as being of the highest priority are identified in the text below by double asterisks (**)¹ and we request that they be answered within the next month. We request that the remaining requests be answered by April 1, 1998.

The remainder of this letter is divided into two parts: first, a listing of the formal requests for information and records, and second, a listing of the informal requests for information and records. Please let me know if your understanding of any of the following points differs from ours so that we can resolve any potential discrepancies.

¹As identified more fully below, the issues are: CIA-1 Organizational Material, CIA-6 Cables and Dispatches, CIA-13 Backchannel Communications, CIA-IR-03 HTLINGUAL Documents, CIA-IR-04 Disposition of Angleton Files, CIA-IR-07 Claude Barnes Capehart, CIA-IR-15 Electronic "take" from Mexico City, CIA-IR-21 DRE Monthly Operational Reports, CIA-IR-22 "A" Files on Clay Shaw and Jim Garrison.

Mr. John Pereira
December 18, 1997
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****CIA-IR-22 "A" File on Clay Shaw and Jim Garrison.**

In July 1997, the ARRB staff was shown an "A" file on Clay Shaw which predated a 201 file. We were also told that an "A" file on Jim Garrison also existed. The Shaw file was declared to be an assassination record and it was our understanding that both files were to be sent to HRG for processing. We have not yet received confirmation from HRG that the files are in process as assassination records.

CIA-IR-23 Watch Committee Files.

In his memoirs, George Ball reports that upon first hearing of the shots in Dallas he called DCI John McCone and asked him to activate the Watch Committee. McCone replied that he already had. The Review Board requests the files of the Watch Committee for the period January 1963-May 1964.

CIA-IR-24 Defector File.

The ARRB staff has identified documents on Lee Harvey Oswald from the Office of Security's "Defector File." It is our understanding that these documents are now being processed as assassination records. No further tasking on this subject is anticipated.

CIA-IR-25 Zapruder Film.

The Board has requested any and all records, not previously located in the Sequestered Collection, on any handling by the CIA of the Zapruder film. In particular, we are interested in any records of NPIC's handling of the Zapruder film or copies of the Zapruder film in November and December 1963. Any log books or indexes which would indicate the individuals involved in the processing and handling of any assassination films should be included in this request.

CIA-IR-26 Jordan James Pfuntner.

The Review Board requested that a complete search for any records on this individual be undertaken, including a search of the Interagency Source Register. The ARRB staff provided HRG with additional identification data on this individual. The Review Board seeks a full and accurate formal response to this

Central Intelligence Agency



Washington, D.C. 20505

24 December 1997

Dr. T. Jeremy Gunn
Executive Director
Assassination Records Review Board
600 E Street, N.W. (2nd Floor)
Washington, D.C. 20530

CIA SPECIAL COLLECTIONS
RELEASE IN FULL

2000

Dear Dr. Gunn:

Re: Request for Additional Information and Records
No. CIA-16 (Oswald Pre-Assassination Files)
No. CIA-IR-24 (Defector File)

This is in response to the ARRB's referent request for pre-Assassination files this Agency may have had on Lee Harvey Oswald. It is believed that the following comments and two enclosed documents respond fully to your request.

1. At Tab A is a 22 December 1997 memorandum containing information from the Agency's Office of Personnel Security which provides details about the files it had on Oswald prior to the assassination plus when and why they were created. These include the Office of Security file on Oswald, a general file on Americans who had defected to another country and information about HTLINGUAL files.

2. Also enclosed at Tab B is a 27 October 1977 memorandum from the Office of Personal Security which explains the numbering of that Office's file on Oswald. In particular, it explains why the "missing" volume V may never have existed.

3. An ARRB staff member has reviewed the Oswald Security file and the file on American defectors.

4. The Oswald Office of Personnel Security file and those pages of the defector file deemed relevant by the ARRB staff member have been forwarded to Historical Review Group for review and will be processed according to current JFK release guidelines.

If you have any questions about this response, please advise.

Sincerely,

A handwritten signature in black ink, appearing to read "J. Barry Harrelson", written over a horizontal line.

J. Barry Harrelson