

14-00000

this operational activity of KOSOLAPOV is another apparent instance, as in the (JENNER) case, of his not knowing something he, by his own statements, should have known.

Viewed in the context of the total knowledge of NOSENKO of operations against code clerks, however, neither the problems in the (JENNER) case nor those in the (GARLAND) case, singly or combined, in any way represent conclusive evidence that NOSENKO was not supervisor of KOSOLAPOV or that he was not responsible for the code clerk operations described by NOSENKO. This statement, however, was not substantiated in the previous summary.

Pages 193 - 199 of the previous summary contain an account of KGB activity against code clerk (Joseph MORONE) from various sources, including NOSENKO. NOSENKO first mentioned the case in 1962.

According to NOSENKO, the responsible case officer for work against (MORONE) was KOSOLAPOV. When it was learned that (MORONE) and an Embassy colleague, a Marine guard by the name of (BEGGS), were planning a vacation trip to Warsaw, arrangements were made with the UB (the Polish Security Service) for a female Polish agent to come to Moscow and travel from there to Warsaw on the same train as (MORONE) and (BEGGS). The intent was for the agent, either on the train or subsequently in Warsaw, to meet and compromise (MORONE) sexually. She

0001196

SECRET

successfully accomplished this, but due to certain problems in KGB-UB liaison relations, it was not possible for the KGB to exploit this directly.

The previous summary stated that with respect to the female UB agent, there was persuasive evidence that neither NOSENKO nor KOSOLAPOV played the roles in the (MORONE) case described by NOSENKO. That summary cited the travel of NOSENKO to Cuba and of KOSOLAPOV to Finland at approximately the same time as the (MORONE) trip to Warsaw as evidence of the impossibility of NOSENKO and KOSOLAPOV being involved personally in this part of the (MORONE) case.

NOSENKO has stated that KOSOLAPOV met the Polish female agent and made the arrangements to place her on the train to Warsaw. (MORONE) and (BEGGS) departed Moscow on 12 November 1960. It is not known when KOSOLAPOV left Moscow for Helsinki, but he was on the 16 November 1960 train manifest as departing Helsinki for Moscow. NOSENKO departed Moscow on 15 November 1960 for Cuba. The activities described by NOSENKO are therefore possible within the known time frame.

It is clear that NOSENKO in 1962 exaggerated his personal role in the (MORONE) case, particularly when he stated that he, NOSENKO, placed the female agent on the train. NOSENKO now clearly states that

0001197

SECRET

SECRET

KOSOLAPOV was the only KGB officer in contact with the Polish agent. NOSENKO previously stated that a KGB technician who was on the train from Moscow to Warsaw reported back to NOSENKO the day after the train arrived in Warsaw. Later NOSENKO said that instead of talking to the technician personally, he may have read the report of the technician after he returned from Cuba.

The activities described by NOSENKO with regard to this matter are accordingly possible within the known time frame. It is not considered that the retractions NOSENKO has made from his original statements on this operation are of sufficient significance to materially discredit him.

Page 198 of the previous summary contains the statement that MORONE, when interviewed, denied having been intimate with Svetlana IVANOVA, a KGB agent employed at the American House. NOSENKO had stated that IVANOVA was instructed to report everything she saw or heard concerning MORONE (page 194). The summary, however, cited a number of reports that MORONE had been intimate with IVANOVA and with Ella UMANETS, also a KGB agent employed at the American House, and commented that NOSENKO therefore was apparently unaware of the sexual involvement of MORONE with "IVANOVA's friends."

0001198

SECRET

SECRET

Nosenko, during current interviews, has indicated awareness of at least some involvement of IVANOVA with MORONE. He has furnished information on a developing operation against Marine guard GARCIA (Anthony A. GARCIA) based on the involvement of GARCIA with IVANOVA. He has also stated that the possibility was considered of using IVANOVA against MORONE to obtain compromising photographs. This plan was seriously affected when it was learned from the militiaman/KGB guard at the United States Embassy that IVANOVA, her girl friend, MORONE and a Marine guard, possibly GARCIA, had been "in the city," then returned to the "flat" of one of the Marines where the girls spent the night. This apparently placed the reliability of IVANOVA in question in the eyes of the First Section.

According to the previous summary, NOSENKO stated that Pietro CECCHI, Italian cook at the American Embassy and agent of KOSOLAPOV, reported on Americans at the Embassy, but NOSENKO recalled nothing specific that CECCHI had reported about MORONE. The summary also states that MORONE was said by other American Embassy employees to be a close friend of CECCHI and that MORONE had admitted black market money exchanges with CECCHI.

During current interviews, NOSENKO has stated that CECCHI furnished "pieces" of information concerning MORONE, but he, NOSENKO,

0001199

SECRET

knew of no black market involvement of MORONE with CECCHI. NOSENKO has also indicated that the KGB sometimes suspected, and on occasion actually became aware that various agents did not fully report everything of interest to the KGB. The KGB of course was aware that CECCHI was involved in the black market. However, whether he reported to the KGB everything he did and with whom is open to question; viz., the Maurice ZWANG case below.

The comment was made in the previous summary that NOSENKO was unaware that MORONE met some Soviet females in the spring of 1961 at the apartment of Sarwat el SHAZLY, an Egyptian-national KGB agent of the Sixth Department who was also reporting on Americans, and was intimate with one in this apartment.

A review of official records indicates that MORONE did report having met some Soviet girls at the apartment of Sarwat, but there is no indication that he admitted or that anyone else has reported that he was intimate with any of them. The conclusion of the previous summary in this regard was based on a misinterpretation. Accordingly, since there is no reason to believe that any compromise incident took place in the Sarwat apartment, the story of NOSENKO on this matter is considered completely acceptable.

SECRET

SECRET

A few comments are appropriate concerning remarks in the previous summary on pages 199 - 204. Comments were made there concerning (five code clerks, Maurice ZWANG, John TAYLOR, Frank DAY, Robert DWELLY and Joseph GAFFEY, and although it is not specifically stated, the suggestion is apparent that the reporting of NOSENKO on these cases was considered evidence that NOSENKO was not supervisor of all KGB operations against code clerks. The following observations may assist in placing these cases in their proper perspective:

(a) (Maurice ZWANG - ZWANG) was identified by NOSENKO as a code clerk who was actively "worked on" during 1960 - 1961. The previous summary suggested that the knowledge of NOSENKO regarding KGB activity against (ZWANG) was inadequate. First, reporting of NOSENKO on (ZWANG) contained no reference to the relationship of (ZWANG) with his maid, whom NOSENKO in another case has identified as a KGB agent. Although (ZWANG) denied sexual relations with his maid, he did admit to some intimacies with her in her apartment. During polygraph examination (ZWANG) reacted when he

SECRET

SECRET

responded in the negative to a question regarding sexual relations with his maid. The failure of NOSENKO to report on this relationship can be ascribed to ignorance, but also can be plausibly explained by faulty memory on his part or failure on the part of the maid to report details of this relationship to the KGB.

Second, NOSENKO had not reported that (ZWANG) was involved in the currency operations of Pietro CECCHI. (A fact that previous summary implied he should have known from KGB agent CECCHI.) From the record, however, it appears that the dealings of (ZWANG) were not directly with CECCHI, but rather through other Embassy employees, making it plausible that CECCHI was either unaware of the involvement of (ZWANG) or, as NOSENKO himself stated he suspected, CECCHI did not report all details of his currency operations to his KGB handler.

(b) (John TAYLOR) - NOSENKO identified (TAYLOR) as (a State Department code clerk) and target of KOSOLAPOV. The KGB was aware of the involvement of (TAYLOR) with his Soviet maid, but no attempt was made to recruit (TAYLOR) before his departure in early 1961 since to do so might

SECRET

SECRET

endanger the plans for a recruitment approach to (James STORSBERG), who had been under development for almost a year and was considered more valuable.

The implication of the previous summary that the explanation given by NOSENKO was subject to question failed to take into account the fact that although (STORSBERG) was not approached until after the departure of (TAYLOR), the operation against (STORSBERG) was underway before (TAYLOR) became involved with his maid. Further, it is apparent that the KGB did not abandon interest in (TAYLOR) since he was approached at a later date outside the USSR on the basis of his previous affair with his maid in Moscow.

(c) (Frank DAY) - NOSENKO identified (Frank DAY) as a State Department code clerk who was the target of either KOSOLAPOV or GRYAZNOV. According to NOSENKO, nothing "interesting" was learned about (DAY) and no operational measures were taken against (DAY). The previous summary noted that in July 1961, (DAY) traveled to the Caucasus with his friend and (former overt CIA employee, Agricultural Attache G. Stanley BROWN.) It was also stated that the two were under surveillance by five persons

SECRET



SECRET

at all times on the above trip, that they found a "repairman" in their hotel room when they unexpectedly returned, and that on another occasion an "attractive and available Soviet female" was believed to have been planted in their train compartment.

According to NOSENKO, surveillance and any other local coverage of any employee at the United States Embassy who travels in the USSR is the responsibility of the local KGB organization, not the SCD. It would appear that the local organization was trying to do a thorough job on (DAY) and (BROWN), but it apparently was nonproductive. It does not seem justifiable to expect that NOSENKO should have recalled a trip which produced no results.

(d) (Robert DWELLY) - NOSENKO has related in considerable detail the efforts of NOSENKO, GRYAZNOV and KOSOLAPOV to involve (Robert DWELLY, a code clerk) in Moscow from April 1959 - July 1960, in a homosexual compromise operation. According to NOSENKO, a homosexual agent of GRYAZNOV was of the opinion (DWELLY) was a homosexual.

0001204

SECRET

SECRET

There is no reason to doubt the statement of NOSENKO concerning KGB efforts to determine when and where DWELLY was going "into the city" (Moscow) so that a homosexual compromise situation could be arranged. There were no specific developments from their efforts, according to NOSENKO.

DWELLY has categorically denied being a homosexual; NOSENKO has not said he was, but only that the homosexual agent of GRYAZNOV assessed DWELLY as a homosexual. There does not appear to be any reason to consider the statements of NOSENKO about DWELLY as reflecting adversely on NOSENKO.

(e) Joseph GAFFEY - NOSENKO has identified Joseph GAFFEY as a code clerk. The previous summary noted that NOSENKO had stated the KGB had tried to lure GAFFEY into downtown Moscow, using Svetlana IVANOVA, an agent of DEMKIN in the American House.

By way of comment, the previous summary stated that GAFFEY arrived in Moscow in September 1961 and that Fred KADERA had reported that GAFFEY had told him he had been intimate with a Russian girl at the American

60012C5

SECRET

House. It was further noted that (GAFFEY) was recalled from Moscow in the summer of 1962 because of drunkenness and during interview had admitted being intimate with IVANOVA at the American House and at her apartment and that she had claimed pregnancy.

As to whether the above information raises a question concerning NOSENKO, the following factors should be considered:

(1) NOSENKO has stated that during the latter part of December 1961 he was part time in the First Department and part time in the Seventh Department, and that he reported full time to the Seventh Department after New Years Day 1962.

(2) In addition to the information previously mentioned as furnished by (GAFFEY) during interview, (GAFFEY) also stated that he was first intimate with IVANOVA in his room on 27 December 1961 and was also intimate with her later on three occasions at her apartment. According to (GAFFEY), IVANOVA told him of her pregnancy about 1 May

0001206

1962, which is approximately four months after NOSENKO has stated he transferred to the Seventh Department.

The matter of review by NOSENKO of OTU reports from microphone coverage on the United States Embassy has previously been mentioned in this summary. Pages 226 - 236 of the previous summary contained a detailed account of information from NOSENKO on the matter of microphones, countermeasures taken by the Americans in 1964, and damage estimates prepared by the Americans. The previous conclusion was that his information did not sustain his claim to have been Deputy Chief, First Section, or his claim that he personally reviewed the KGB microphone monitoring reports. Comments have been made in this summary in regard to this previous conclusion.

A few remarks, it is believed, will assist in a fuller understanding of the microphone matter. In the material brought out by NOSENKO in 1964, there was a single sheet of paper containing on one side handwritten notes which NOSENKO identified as a list of the active microphones (those which were being monitored) in the United States Embassy. This list is given on page 227 of the previous summary and need not be repeated here. The acquisition of this list by NOSENKO was characterized in the previous summary as singular and it was stated that NOSENKO

0001207

has never plausibly explained the circumstances which prompted his retention of the list until 1964, when he produced it for CIA in Geneva.

During current interviews, the matter of the above list has been covered in considerably greater detail with NOSENKO than had been done before. His explanation, both of the circumstances which led to his acquiring the list as well as of his still having it in his possession at the time of his defection, is considered plausible, contrary to the judgment of the previous summary.

NOSENKO has stated that in 1960 - 1961 Vladimir I. PETROV, Chief of the Second Section, First Department, desired some "points" for use against targets of his section. NOSENKO uses the term "point" not as meaning just a microphone, but as referring to an OTU sub-unit which includes microphones as well as the necessary monitors and translators to cover the microphone and translate the "take." The targets of PETROV were primarily Americans and, therefore, there was a transcription-translation problem.

According to NOSENKO, most of the available "points" were assigned to the First Section to cover microphones in the United States Embassy. The Chief of the First Department, Vladimir A. KLYPIN, held a meeting attended by KLYPIN, Chief of the First Section Vladislav KOVSHUK, Vladimir I. PETROV, and NOSENKO, the purpose of which

0001208

SECRET

was to discuss the possibility of temporarily discontinuing certain Embassy "points" controlled by the First Section, and permitting PETROV to use these "points" against targets of his section.

According to NOSENKO, PETROV brought to the meeting a list of names of certain targets to which he wished to give technical coverage. During the meeting, KOVSHUK apparently took a piece of paper which PETROV had and wrote on it a list of active microphones in the United States Embassy and residences. When the meeting ended, NOSENKO had this paper and he took it back to his office.

Contained on the reverse side of the paper were the following names in Russian: (LUBIN, SMITH, Will BURTIN, and Sipe BURTIN). The name A. A. MIKHAYLOV was listed next to the name of (LUBIN), and the name of Y. E. CHERNETSEV was listed next to the name of (SMITH). NOSENKO has explained that (LUBIN, SMITH, Will BURTIN, and Sipe BURTIN) were among the targets of PETROV; and MIKHAYLOV and CHERNETSEV were officers of the Second Section.

NOSENKO stated he knew nothing more about the four non-Soviet names except that they were targets of PETROV. NOSENKO stated that he could not be positive of the date of the meeting other than that it occurred while KLYPIN was Chief of the First Department. (According to NOSENKO, KLYPIN was succeeded by Sergey M. FEDOSEYEV as

0001269

SECRET

SECRET

Chief of the First Department in circa mid-1961.) Research in regard to the four non-Soviet names leaves no doubt that (LUBIN is George) (LUBIN; and that Will BURTIN and Sipe BURTIN) are correct names, with (Sipe being the wife of Will BURTIN). All three are American citizens who were in the USSR circa June 1961. (SMITH) at this time, has still not been identified.

In view of the above, it has been possible to deduce the date of the meeting called by KLYPIN as circa June 1961.

According to NOSENKO, the piece of paper described above was placed by NOSENKO with other notes he kept between the pages of a bound volume which NOSENKO calls a "working copy." This, according to NOSENKO, was an accountable, registered notebook issued to all officers in which they were supposed to write all their notes, destroying any other notes.

According to NOSENKO, he, like many other officers, did not completely follow regulations and the tendency was to frequently put loose notes in the notebook so that the notebook often acted as a file rather than being used in the way required by regulations. NOSENKO has stated that when he left the First Section he took various notes with him to the Seventh Department; these included notes he had drafted concerning certain First Section activities for use in briefing FEDOSEYEV

0001210

SECRET

SECRET

when FEDOSEYEV succeeded KLYPIN, and notes he had prepared for lectures to the Seventh Directorate. According to NOSENKO, he did not intentionally take the particular paper pertaining to microphones; it was just in the group of notes he took along when he went to the Seventh Department.

In consideration of the above explanation by NOSENKO, it should be noted that he also brought with him in 1964 his notes for the briefing of FEDOSEYEV and certain notes he obviously had also prepared while in the First Section; e. g., his notes for a lecture to the Seventh Directorate in regard to a "mass surveillance" on the American Embassy.

By including a section (pages 236 - 239) on the knowledge of NOSENKO of the KGB cryptologic attack on United States Embassy communications, the previous summary implies that there is some reason to question his information on this subject.

NOSENKO has asserted that the KGB had never succeeded in reading enciphered communications of the Service Attaches; however, he said that the Eighth Directorate (the unit of the KGB responsible for communications intercept and cryptologic analysis) was reading some United States Embassy traffic. While it is open to question to what extent knowledge of successes of the Eighth Directorate would be known

0001211

SECRET



SECRET

to anyone in the First Section of the First Department, within the scope plausibly available to NOSENKO in his claimed position, there is no reason to question his statement.

In the previous summary (pages 240 - 248), the failures or successes of NOSENKO in identifying CIA officers are noted. With the exception of ABIDIAN, NOSENKO does not claim to have been the responsible case officer for any of the listed CIA officers. According to his claim, NOSENKO should have been aware that William N. MORELL was CIA, but he has never identified MORELL as CIA. Surely KOVSHUK knew MORELL was CIA but why NOSENKO is not aware MORELL was CIA is not known. It has already been established, however, that NOSENKO, as Deputy Chief, was not aware of all of the activities of KOVSHUK.

As regards some of the other listed individuals, a few remarks are appropriate.

(a) NOSENKO has never indicated any knowledge Paul GARBLER was CIA, and yet GARBLER was surely known to the FCD as a CIA employee before going to Moscow. It is presumed that the FCD furnished the SCD at least basic information that Paul GARBLER was "American Intelligence." GARBLER, however, did not

0001212

SECRET

arrive in Moscow until November 1961, only a month before NOSENKO left the First Section for the Seventh Department.

(b) The previous summary stated that according to NOSENKO the KGB did not suspect that Eugene MAHONEY was a CIA officer, yet he was a CIA officer. It was also stated that MAHONEY reported the presence of intensive KGB surveillance while in Moscow from October 1960 to September 1961. The "intensive KGB surveillance" is based on statements of MAHONEY and may possibly be more a reflection of his personal concern over surveillance rather than what was actually happening.

(c) Steve WASHENKO was correctly identified by NOSENKO as CIA. William HORBALY was CIA and identified by NOSENKO as suspected of being a CIA officer or cooptee.

(d) Lewis BOWDEN, who was not CIA, was, according to NOSENKO, suspected of being a CIA officer.

George Payne WINTERS, Jr., has stated that KOVSHUK warned WINTERS that BOWDEN was the "FBI officer" in the Embassy. The Cherepanov Papers indicate

0001213

that the KGB had reasons to consider the activities of BOWDEN with suspicion.

It is not believed that the listed failures of NOSENKO to identify CIA officers are of particular significance in establishing that he was or was not Deputy Chief of the First Section. There are too many unknown factors which would need to be considered. Despite our assumptions as to what the KGB knows, it is possible that (a) the KGB did not know of the CIA affiliation of these people, (b) the information known to the KGB was not available at the First Section, First Department, level, or (c) information available to the Chief of the First Section or to a specific case officer was of no official concern to NOSENKO and was not made available to him. The last of these possibilities is suggested in spite of claims by NOSENKO that he had to have known whatever was known in the Section regarding CIA identifications; a propensity on the part of NOSENKO to exaggerate the area of his own knowledgeability has been seen elsewhere in this case.

Pages 252 - 258 of the previous summary contain a report of the 1960 trip of NOSENKO to Cuba and his 1961 trip to Bulgaria. With regard to the Cuba trip, there is collateral evidence of his travel as described by NOSENKO, and there is no substantive reason to doubt his account of his activities on this trip. The statement was made in

SECRET

(

the previous summary that the travel of NOSENKO to Cuba in 1960 damaged his claim that he was supervising operations against Embassy code clerks at the time. To accept the validity of this judgment is to say that no supervisor in the SCD would be permitted to make a trip abroad unrelated to his supervisory function, a judgment for which there is no supporting evidence.

As regards the trip of NOSENKO to Bulgaria in 1961, for which there is no collateral information, the previous summary concluded that his account of the trip was untrue and argued that such a trip to Bulgaria, if it did take place, at a time when he claimed the operation against STORSBERG was reaching a climax and his subordinates were "apparently planning to exploit KEYSERS' newly-discovered vulnerability," it would indicate that the presence of NOSENKO in Moscow was dispensable. There was, however, no evidence that NOSENKO did not travel to Bulgaria and only highly speculative reasoning as to why his account of the purpose of the trip was untrue.

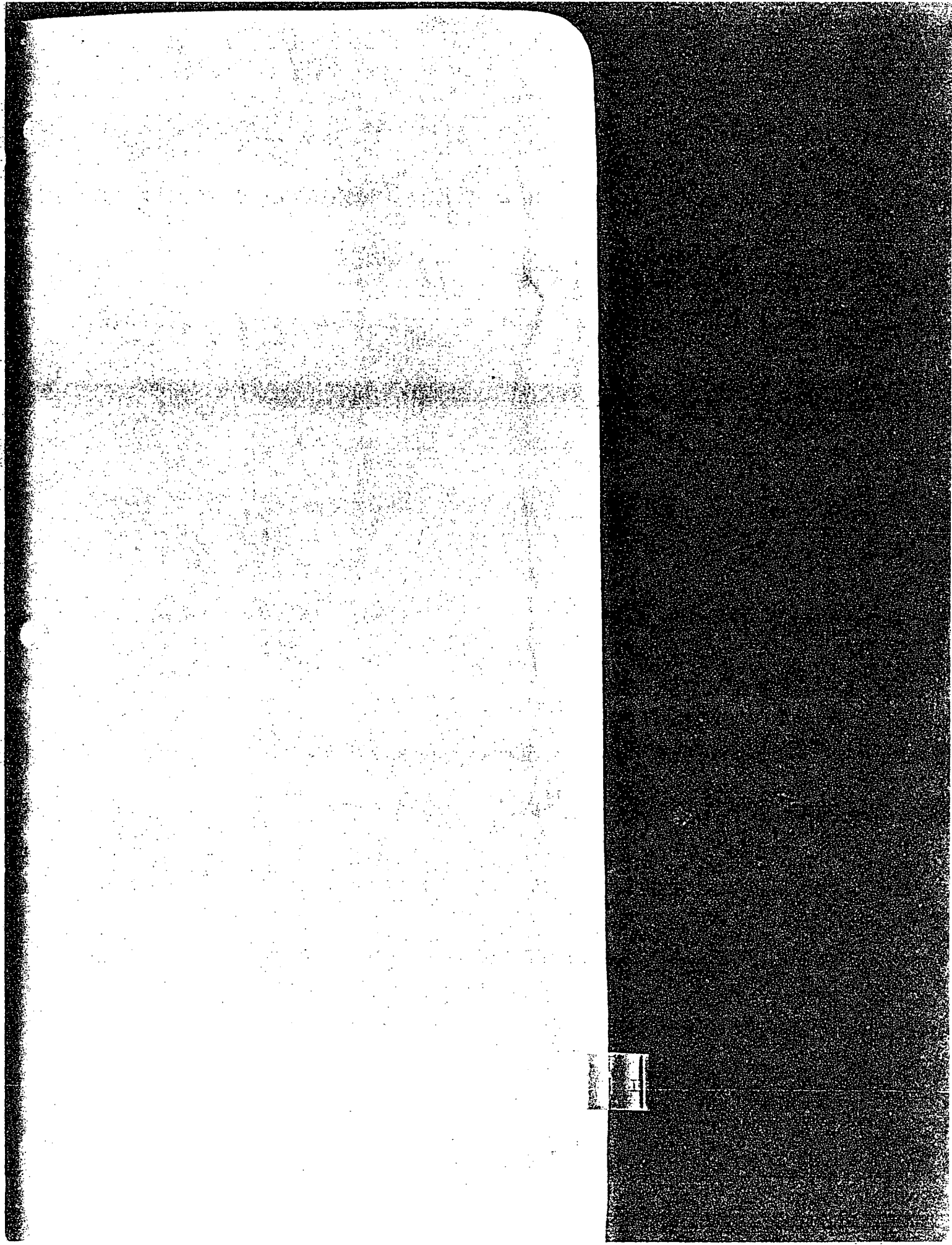
As to the STORSBERG case, while it cannot at present be proved that the recruitment pitch took place before NOSENKO left for Bulgaria, it can be stated, on the basis of reporting from MORONE, that it had to have taken place before the time NOSENKO returned from Bulgaria. Since no serious question has ever been raised concerning the presence

0001215

of NOSENKO in Moscow at the time this pitch was made, it would appear that NOSENKO was comparatively free to go to Bulgaria because this phase of the [STORSBERG] operation had been completed.

As to the [KEYSERS] case, there is no apparent problem since it is clear that the approach to [KEYSERS] took place after NOSENKO returned from Bulgaria, and furthermore that the KGB probably did not become aware that [KEYSERS] was a homosexual, and therefore potentially vulnerable, until just before the pitch was made.

In short, there is no reason to believe that the accounts by NOSENKO of his trips to Cuba and to Bulgaria are not essentially true, or that if they are true they necessarily reflect on his claim to having been supervisor of code clerk operations.

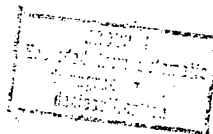


SECRET

F. NOSENKO's CLAIMS, THAT IN 1962 HE WAS CHIEF  
OF THE AMERICAN-BRITISH COMMONWEALTH SECTION AND  
WAS THEREAFTER A DEPUTY CHIEF OF THE SEVENTH  
DEPARTMENT, ARE NOT CREDIBLE

0001217

SECRET



SECRET

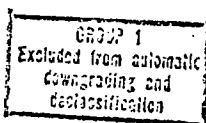
F. NOSENKO's claims, that in 1962 he was Chief of the American-British Commonwealth Section and was thereafter a Deputy Chief of the Seventh Department, are not credible. (Previous conclusion)

The conclusion of this summary is that NOSENKO was Chief of the American-British Commonwealth Section (First Section) from January 1962 to July 1962 and that he was a Deputy Chief of the Seventh Department thereafter.

NOSENKO has stated that, although he was offered the position of a Deputy Chief of the First Department, SCD, by Oleg M. GRIBANOV, Chief, SCD, and although an order had been prepared and was in the Personnel Directorate, he declined the proffered position.

According to NOSENKO, he knew that Sergey Mikhaylovich FEDOSEYEV, the Chief of the First Department, did not want NOSENKO as a Deputy Chief, but instead wanted to promote Vladislav KOVSHUK, then Chief of the First Section, to the position. FEDOSEYEV was

SECRET



0001218



SECRET

willing to promote NOSENKO to the position of Chief, First Section. However, GRIBANOV did not wish to promote KOVSHUK and NOSENKO considered that under the circumstances it would be better for him to return to the Seventh Department rather than to become a Deputy to FEDOSEYEV who wanted KOVSHUK as a Deputy.

Vladimir Dmitriyevich CHELNOKOV had offered NOSENKO the position of Chief of the First Section, Seventh Department, pending the reassignment of BALDIN to Germany at which time NOSENKO would become a Deputy Chief, Seventh Department, replacing BALDIN. The above explanation of NOSENKO seems plausible and credible and indicates that GRIBANOV, the Chief of the SCD, for reasons best known to GRIBANOV, was assisting NOSENKO in his career in the KGB.

This section actually covers two periods in the claimed career of NOSENKO; namely, January - July 1962 as Chief of the First Section, and July 1962 - January 1964 as a Deputy Chief of the Seventh Department. Since NOSENKO was in Geneva, Switzerland, from March to June 1962, he actually cannot be seriously faulted for not having detailed knowledge of the activities of the First Section during January - July 1962. The previous summary (pages 268 - 291) contains remarks in regard to the January - July 1962 period, including the period of March - June 1962 when he was in Geneva. Four specific tourist cases

0001219

SECRET

( are discussed in the previous summary: the cases of (Wallace Everett) JOHNSON, William Carroll JONES, Natalie BIENSTOCK, and Horst BRAUNS. Apparent conflicts between information from NOSENKO and information derived from subsequent interviews with these individuals were cited as evidence impugning NOSENKO. It is not believed that the previous comments concerning these cases constitute any substantial evidence that NOSENKO did not hold the claimed position of Chief of the First Section, Seventh Department, during January - July 1962. That there were KGB operations against (JOHNSON, JONES, BIENSTOCK and) (BRAUNS) has been confirmed through interviews by the FBI of all four individuals.

A few additional remarks in regard to the above four cases are warranted, not because it is considered that there are any substantial discrepancies between what NOSENKO has said and what each individual stated when interviewed, but because they may provide additional clarification.

In the (Wallace Everett JOHNSON) case, it was previously noted that (JOHNSON) arrived in Moscow on 31 December 1961 and that the KGB operation against him occurred on 5 January 1962. The summary suggested that the short lapse of time indicated that the homosexual tendencies of (JOHNSON) were known to the KGB prior to his arrival, contrary to the statements of NOSENKO. NOSENKO during current interviews

6001220

SECRET

1

SECRET

has stated that the KGB learned of the homosexual tendencies of (JOHNSON) "by chance" soon after his arrival. "SHMELEV" and "GRIGORIY," two homosexual agents of NOSENKO, were at the time operating out of a room at the Metropol Hotel where (JOHNSON) stayed. They met (JOHNSON) there and reported his apparent homosexual tendencies.

In regard to the (William Carroll JONES) case, NOSENKO during current interviews has furnished additional information on the KGB operation against (JONES), including the woman Ludmila BUGAYEVA who was recruited as an agent to work against (JONES) and was used in another case. The other details furnished by NOSENKO concerning the (JONES) case are compatible with his claim to having been Chief of the First Section, Seventh Department.

In regard to the (Natalie BIENSTOCK) case, NOSENKO did not claim to have been the responsible case officer but was able to provide enough specific information concerning the case to bring about a confession when she was interviewed by the FBI. That he did not know all the details concerning the (BIENSTOCK) case could be explained by his claim to have been Chief of Section and not the case officer directly involved with the case.

In regard to the (Horst BRAUNS) case, in the previous summary the criticism was levied that NOSENKO did not know why (BRAUNS) visited the USSR and was not able to identify any Soviet citizens whom (BRAUNS) met in the USSR. It was also stated that NOSENKO had explained that

SECRET

14-00000

the Seventh Department was not concerned with foreigners visiting relatives in the USSR nor with Soviet expatriates. NOSENKO, according to the previous summary, was aware that (BRAUNS) was a former Soviet citizen and the summary stated that his plan to visit relatives was information available to the KGB through his visa application.

In regard to the statement that the Seventh Department was not concerned with foreigners visiting relatives in the USSR nor with Soviet expatriates, this is not in agreement with current information from NOSENKO.\* Cases of "true" tourists, which were normally the responsibility of the Seventh Department, could become the responsibility of another department or KGB component where Soviet relatives were involved. However, if the case was not taken over or assigned by higher authority to another department or component, it was and remained the responsibility of the Seventh Department. The fact that (BRAUNS) was a former Soviet citizen could very well have made (BRAUNS) of interest to the Second Section, First Department, or a direction in the Service of the SCD. However, in the absence of an actual reassignment by higher authority, the case would remain the responsibility of the Seventh Department since (BRAUNS) was visiting the Soviet Union on a tourist visa. The previous summary also indicated that (BRAUNS) listed on his visa application that he planned to visit relatives in Leningrad. (BRAUNS) had a

\* By 1962 there had been a large reorganization in the SCD and in the Seventh Department. The situation was not the same as in 1959. 0001322

relative or relatives in Leningrad. Although (BRAUNS), when interviewed by the FBI, mentioned a number of items of which the KGB was aware concerning his background and occupation from his visa application, there is no specific reference in these interviews indicating his statement of purpose in visiting the USSR.

Pages 282 - 286 of the previous summary reviews remarks by NOSENKO on the Boris BELITSKIY case and states that his claimed role in the case was not plausible. There are several specific points made in the summary which imply that NOSENKO was lying about his knowledge of the case. There is adequate reason to believe that NOSENKO exaggerated his own 1962 role in that NOSENKO now states he was to give assistance to Vladimir Lvovich ARTEMOV in the handling of BELITSKIY in Geneva in 1962 and not to supervise ARTEMOV.

The more important aspect and the primary one is the difference in what NOSENKO specifically reported about the BELITSKIY case and information from the actual CIA record of the case. There are major differences and without going into all the details of the case which is very involved, an effort has been made toward determining whether these apparent differences necessarily indicate that NOSENKO was or is lying or whether there is a possibility he is relating the actual KGB version of the case.

NOSENKO has stated that BELITSKIY was a KGB agent whom American Intelligence recruited in London in 1960 or 1961 and that the

0001223

14-00000

KGB purpose in running the operation was to lure American Intelligence into meeting BELITSKIY inside the USSR. The previous summary stated that NOSENKO did not know when the BELITSKIY operation started (Brussels, Belgium, 1958), did not know the nature of the British involvement, did not know the operational details and contact arrangements BELITSKIY had with CIA, and did not know BELITSKIY's pattern of activity in Moscow or Geneva.

NOSENKO during current interviews has indicated an awareness that the KGB (Second Section, First Department) had been trying to use BELITSKIY against the British. However, he still has dated the recruitment of BELITSKIY as 1960-1961 in London and still states that the primary purpose of the KGB was to involve American Intelligence in contacts with BELITSKIY within the USSR. The latter was considered completely inconsistent with the fact that BELITSKIY was recruited in Brussels, Belgium, in 1958; that three letters had been mailed to BELITSKIY in the USSR in 1959 and early 1960; and that BELITSKIY had an accommodation address for contact outside the USSR.

There are at this time sufficient unresolved questions in the BELITSKIY case to preclude any conclusion that the apparent discrepancies between the statements by NOSENKO on the BELITSKIY case and the actual record are a reflection against NOSENKO.

On 6001224

the other hand, there is some reason to believe NOSENKO has furnished the actual KGB version of the BELITSKIY case and that the KGB, at least as of 1962, did not know the true story of the relationship of BELITSKIY with CIA. There is a distinct possibility the KGB believed the BELITSKIY recruitment occurred in 1961 in London and BELITSKIY did not then nor has he since admitted to the KGB his association with CIA actually started in 1958 in Brussels, Belgium. As a possible reason why BELITSKIY would have told the KGB in 1961 a partial story of his contact with American Intelligence, some at present unknown event may have occurred in 1961 which caused BELITSKIY to believe his security was endangered and as a result he told the KGB of certain events in London in 1961, relating these events as being the original approach to BELITSKIY by CIA.

The following are certain of the points which suggest the KGB actually considered that BELITSKIY was recruited by CIA in London in 1961 and that BELITSKIY may have never told the KGB of the developments in his case prior to 1961:

(a) BELITSKIY was in London in April 1960 at which time he was in contact with a British citizen who was also reporting to MI-5. This individual reported information received from BELITSKIY which may have been a lead to

6001225

SECRET

George BLAKE. (It seems highly unlikely the KGB would ever have directed BELITSKIY to furnish information which may have been a lead to George BLAKE, or at least could have caused the employees of the unit in which BLAKE was employed from June 1959 to August 1960 to come under suspicion as having passed information to Soviet Intelligence.)

(b) NOSENKO has stated that BELITSKIY, after he went to Geneva in 1962, managed to reinitiate contact with CIA rather quickly because he met a girl he had previously known whom he was sure was an American Intelligence agent and that she must have reported his presence in Geneva to American Intelligence. (If the BELITSKIY case had been controlled by the KGB from its inception in 1958, the KGB would have known of the internal mailings to BELITSKIY and the fact that BELITSKIY had a cover address outside the Soviet Union through which to initiate contact. However, if BELITSKIY did not tell the KGB anything about his contacts with CIA prior to 1961 and then gave only a partial story of what happened in London in 1961, BELITSKIY would not have told the KGB of the internal mailings to BELITSKIY in the USSR or the fact that he long had a cover address outside the USSR. BELITSKIY therefore

6001226

SECRET



SECRET

would not have told the KGB how he actually made contact with American Intelligence in Geneva in 1962, but very well could have told the KGB he had seen a particular woman whom he had previously known, he was sure she worked for American Intelligence and it was through this woman American Intelligence became aware BELITSKIY was in Geneva.)

(c) BELITSKIY in 1962 in Geneva agreed to meet within the USSR an individual representing CIA. However, his agreement was only under certain stipulated conditions, the most interesting of which was that the individual must be unwitting of the true nature of the relationship of BELITSKIY with CIA. In addition, any message to BELITSKIY or any individual who met BELITSKIY must make no reference to any previous meeting of BELITSKIY with CIA.

The above conditions are quite explainable if BELITSKIY had not been under KGB control between 1958 and 1961 and in 1961 gave the KGB only a partial story of the 1961 events in London.

6001227

SECRET

As previously indicated, the conclusion is there are a sufficient number of unresolved questions in the BELITSKIY case so that discrepancies between information from NOSENKO and the actual record in the BELITSKIY case cannot at present be considered as a reflection against NOSENKO, and there is a distinct possibility the KGB actually did not know the true facts of the BELITSKIY case.

The previous summary noted on page 106 that Nataliya SHULGINA was an Intourist interpreter recruited by NOSENKO in 1955. It also noted that NOSENKO had stated Boris BELITSKIY "reported to the KGB that CIA had warned BELITSKIY against SHULGINA." The previous summary stated BELITSKIY reported to CIA that SHULGINA was a KGB agent and "CIA did not warn BELITSKIY."

There appears to be no doubt at this time that the statement by NOSENKO that BELITSKIY reported the "CIA had warned BELITSKIY against SHULGINA," is a reasonably accurate description of what actually happened in May 1962 during Agency contacts with BELITSKIY in Geneva. The record reflects that BELITSKIY stated SHULGINA had confidentially told him of her status as a KGB agent, stating she had been doubled by the KGB after having been forcibly recruited by American Intelligence while previously in Paris, France.

6001228

SECRET

0-00000

SECRET

It was determined there was no collateral information which would indicate that the statement by SHULGINA had any factual basis and BELITSKIY was warned SHULGINA may have been acting on behalf of the KGB in stating to BELITSKIY she had been "forcibly recruited by American Intelligence" at a previous date. It was also suggested to BELITSKIY that he should go to the KGB as a loyal Soviet citizen and report the apparent indiscretion of SHULGINA.

Pages 282 - 286 of the previous summary, in connection with the BELITSKIY case, made reference to Vladimir Lvovich ARTEMOV. It was stated that ARTEMOV had been involved with a series of American tourist agents in the Soviet Union and although NOSENKO was allegedly familiar with ARTEMOV, he was unaware of the involvement of ARTEMOV with American tourist agents in 1958 - 1959. The summary noted this was during a period when NOSENKO claimed to have been Deputy Chief of the American-British Commonwealth Section of the Seventh Department. Although not specifically stated, the above suggested ARTEMOV was actually in the Seventh Department in 1958 - 1959 and that NOSENKO was not even aware ARTEMOV was in the Seventh Department. NOSENKO has consistently stated that ARTEMOV was assigned to the First Section, First Department, from the time he entered into the KGB in approximately 1957.

14-00000

A closer examination of the cases described in the previous summary as "CIA American tourist agents," reveals there is no conflict in the involvement of ARTEMOV in these cases and the statement by NOSENKO that ARTEMOV was with the First Section, First Department. As an example, one of the cases is the case of Edward McGOWAN. NOSENKO has furnished information concerning this case, stating it was originally a Seventh Department case and that after the mailing of a letter by the individual in Minsk, the case was immediately taken over by the First Department. There is adequate reason to believe ARTEMOV only became involved after the case was transferred to the First Department.

Another of the cases involved the contact of ARTEMOV with a CIA officer who was under Department of State cover in Helsinki, Finland, and visited the USSR on a tourist visa. Such an individual would under no circumstances be considered a true tourist or the responsibility of the Seventh Department, particularly since apparently the individual was even traveling under a diplomatic passport. It is assumed the individual was of interest to the First Chief Directorate and if the First Chief Directorate required or desired support from the SCD, it would normally request the First Department for such assistance and it is extremely unlikely that the FCD would request the Seventh Department for assistance in a case involving an American diplomat.

0001230

SECRET

Pages 332 - 333 of the previous summary contain the basis for the previous conclusion that the claim of NOSENKO that he was a Deputy Chief of the Seventh Department from July 1962 to January 1963 was not credible. It is considered that a detailed rebuttal is not necessary since this conclusion was apparently based on inadequate information. During current interviews, NOSENKO has furnished details concerning his duties and other aspects of his claimed position which substantiate his claim to having been a Deputy Chief of the Seventh Department from July 1962 to January 1964.

An example in support of the statement that the previous conclusion was based on inadequate information is the matter of the written notes which NOSENKO brought out and furnished to CIA in early 1964. The description of these notes on page 319 of the previous summary is inadequate, inaccurate, and misleading. Prior to current interviews, an effort had not been made to obtain from NOSENKO a detailed explanation of his notes or of how he obtained the information in the notes.

During current interviews, NOSENKO has given detailed information concerning all aspects of his notes. This information supports his claimed position of Deputy Chief of the Seventh Department and includes collateral support to his claim of being Deputy Chief of the First Section, First Department, in 1960 - 1961.

0001231

SECRET

Primarily the notes of NOSENKO can be categorized as follows:

(a) Short case summaries by the Chiefs of the First Section, Second Section and Sixth Section, Seventh Department. NOSENKO has stated that he was in 1962 - 1963 responsible for supervision over these Sections and that Filip Denisovich BOBKOV, Deputy Chief, SCD, who supervised the Seventh Department, requested a list of all recruited agents of the Seventh Department. According to NOSENKO, the order from BOBKOV was to only retain the files (cases) of agents in tourist firms and that the files of other recruited agents should be sent to the FCD or Archives. NOSENKO has stated that he in turn levied on the Chiefs of the three Sections the requirement of BOBKOV, but also expanded the request to include all 1960 - 1962 cases, not excluding previous cases or cases which had already been given to the FCD. The notes of NOSENKO included handwritten reports from the Chief or Acting Chief of each Section on recruited agents, with information varying from agent to agent and even including some human errors.

Many of the above cases had previously been transferred to the FCD, but the remarks of NOSENKO about their

0001232

SECRET

inclusion support his statement that he had expanded the original request from BOBKOV so that he would have some "pieces of information to give CIA."

(b) Notes by NOSENKO on other cases which he learned of during the 1962 - 1963 period. Certain of the notes were made from a review of a notebook kept by the Chief, Seventh Department, to which NOSENKO had access on at least two occasions. Most of his notes were not detailed but were sufficient to refresh the memory of NOSENKO at a later date and yet were somewhat innocuous to maintain before his defection.

(c) Notes for lectures to officers of the Seventh Directorate prepared while with the First Department, 1960 - 1961, and the Seventh Department, 1962 - 1963.

(d) Draft report for the briefing of the new Chief, First Department, in the latter part of 1961.

(e) One of three copies of an unregistered report prepared by the Chief, Seventh Department, and two Deputy Chiefs, including NOSENKO. This was a briefing paper for use by the Chief (CHELNOKOV) in an appearance before the Collegium of the KGB which was reviewing the activities of the Seventh

14-00000

SECRET

Department. According to NOSENKO, the prepared report was never typed as a formal document.

The view has been set forth that NOSENKO took undue risk in carrying written notes with him out of the Soviet Union. An examination of this material suggests that NOSENKO was using extreme care in collecting material and was not attempting to obtain documents, the possession of which might be incriminating or which if he had brought out would have been immediately missed. Instead, he collected a considerable amount of valuable information which he could bring out with little or no fear that a search of his effects in the KGB after his departure for Geneva would disclose that certain material was missing. None of the material was registered and all could have previously been destroyed by NOSENKO.

The previous summary stated that NOSENKO brought three KGB documents to Geneva. These were typed papers but none was registered or actually accountable. The reference to three documents was to:

- (a) The draft report for the briefing of the Collegium which has been mentioned previously.
- (b) A typed two-page report on several cases. Actually a Chief of Section had typed his notes on cases instead of submitting in handwriting as the others did.

SECRET



14-00000

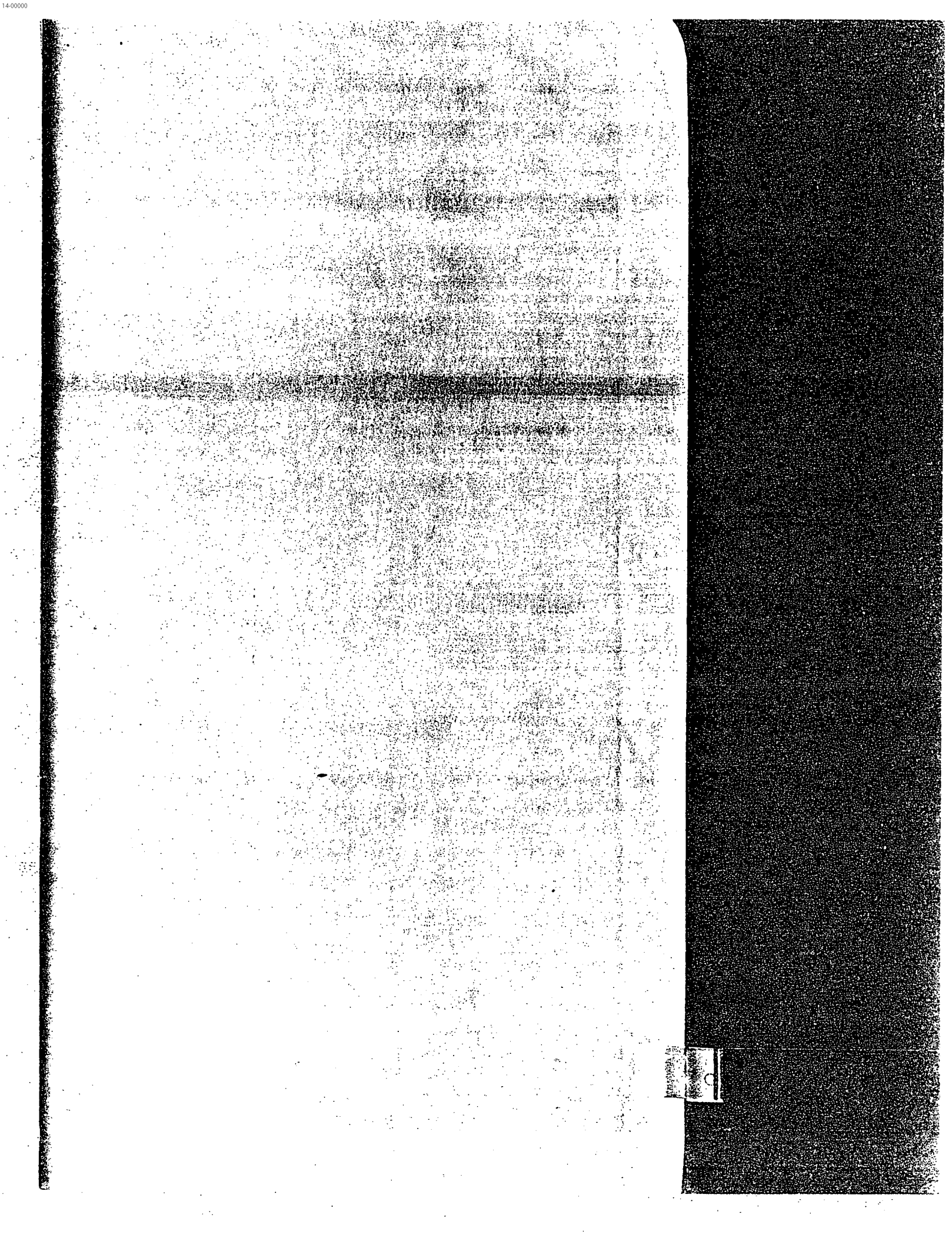
SECRET

(c) A second copy of a summary on a KGB agent.

NOSENKO stated that there were two copies in the file kept by the Chief which he reviewed and that he kept one.

Of interest is the fact that the copy was not a registered document and did not contain the usual information as to number of copies typed.

0001235



14-00000  
SECRET

G. NOSENKO HAS NO VALID CLAIM TO CERTAINTY THAT  
THE KGB RECRUITED NO AMERICAN EMBASSY  
PERSONNEL BETWEEN 1953 AND HIS DEFECTION IN 1964

0001236

SECRET

GROUP 1  
Excluded from automatic  
downgrading and  
declassification

SECRET

G. NOSENKO has no valid claim to certainty that the KGB recruited no American Embassy personnel between 1953 and his defection in 1964. (Previous conclusion)

The conclusion in this summary is that NOSENKO is of the opinion that there were no KGB recruitments of United States Embassy personnel in Moscow between 1953 and December 1963 with the exception of "ANDREY" (Dayle Wallis SMITH) and (Herbert HOWARD), who actually was a (USIA) employee but did work part of the time in the Embassy.

The question here is whether or not the expressed opinion of NOSENKO is sufficiently based on actual knowledge so that this opinion can be accepted as absolute evidence that there were no other KGB recruitments of Embassy personnel during this period of time. The only logical conclusion is that the opinion of NOSENKO cannot be accepted as absolute fact and, therefore, there is a possibility that a recruitment could have occurred and NOSENKO not be aware in any way of the recruitment. This should in no way be interpreted as a suggestion that NOSENKO could be lying, but rather that an unbiased observer without personal knowledge could and should be hesitant to accept the expressed opinion of NOSENKO in this particular area.

The actual basis for the stated opinion of NOSENKO should be examined and can be cited as follows.

6001237

SECRET

GROUP 1  
Excluded from automatic  
downgrading and  
declassification

14-00000

(a) During March 1953-late May 1955 NOSENKO was a case officer in the First Section, First Department, SCD. NOSENKO does not claim that he would have known the details concerning any recruitments (other than "ANDREY") in this period, but states if there had been he would have heard "something."

(b) During late May 1955 to December 1959 NOSENKO was in the Seventh Department, not the First Department, but continued to have contact with certain officers in the First Section, First Department. NOSENKO is of the opinion that if there had been a recruitment in the United States Embassy during this period he would have heard "something" even though he would probably have learned few details.

(c) During the January 1960-December 1961 period NOSENKO was Deputy Chief of the First Section, First Department, and he has made the categorical statement that there were no recruitments by the KGB of United States Embassy personnel during this period of time. He has also stated that if there had been any recruitments during the 1953-1959 period he is sure he would, during 1960-1961, have heard or learned some details of the case or cases. There is merit to this contention by

6001238

NOSENKO since the Chief of Section was Vladislav KOVSHUK who had been an officer of the First Department since 1953, actually working in the First Section except for the periods of time that he was in the United States to reactivate "ANDREY" in 1957-1958 and a period of time that he was Deputy Chief of the First Department.

(d) During 1962-1963 NOSENKO was again in the Seventh Department. However, he continued to maintain contact with certain officers of the First Section, First Department: in particular, Gennadiy I. GRYAZNOV, who succeeded NOSENKO as Deputy Chief of the First Section, then became Chief of Section, and in the latter part of 1963 became a Deputy Chief of the First Department.

According to NOSENKO his relationship with GRYAZNOV was sufficiently close during 1962-1963 that he is sure GRYAZNOV would have furnished NOSENKO some information in regard to any successful recruitments of United States Embassy personnel. NOSENKO pointed out that he learned of the existence of the Herbert HOWARD case from GRYAZNOV in 1962, although it was not until 1963 that NOSENKO heard the name. NOSENKO actually

6001239

SECRET

learned of the name when the First Section, First Department, needed the services of the Seventh Department (Third Section) in obtaining a room in a certain hotel for the Soviet girl friend of HOWARD.

In general the above constitutes the basis for the stated opinion of NOSENKO that "ANDREY" and Herbert HOWARD were the only successful KGB recruitments during 1953 - December 1963. It should be noted that there are no other identified KGB recruitments during this period of time which would specifically refute the opinion of NOSENKO. However, in view of the cited actual basis for the opinion of NOSENKO, acceptance of the opinion of NOSENKO as being an honest opinion should not be converted into a statement that it is absolute proof that another recruitment could not have occurred. NOSENKO may be completely correct in his opinion, but since NOSENKO was only in the First Department 1953 - 1955 and 1960 - 1961 his opinion that he would have heard "something" about a recruitment in 1955 - 1959 or 1962 - 1963 cannot be accepted as infallible.

0001240

SECRET

V



14-00000

SECRET

V. ANNEX

SECRET

GROUP 1  
Excluded from automatic  
downgrading and  
declassification

0001241

SECRET

ANNEX

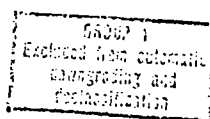
The previous summary contained an Annex "A" and an Annex "B" covering pages 316 - 435. Limited comments concerning Annex "A," Statements of Soviet Officials About NOSENKO, and Annex "B," Summaries of Cases Not Examined in Text, are attached. In addition, there is an Annex "C" to this summary which is entitled, "The Cherepanov Papers."

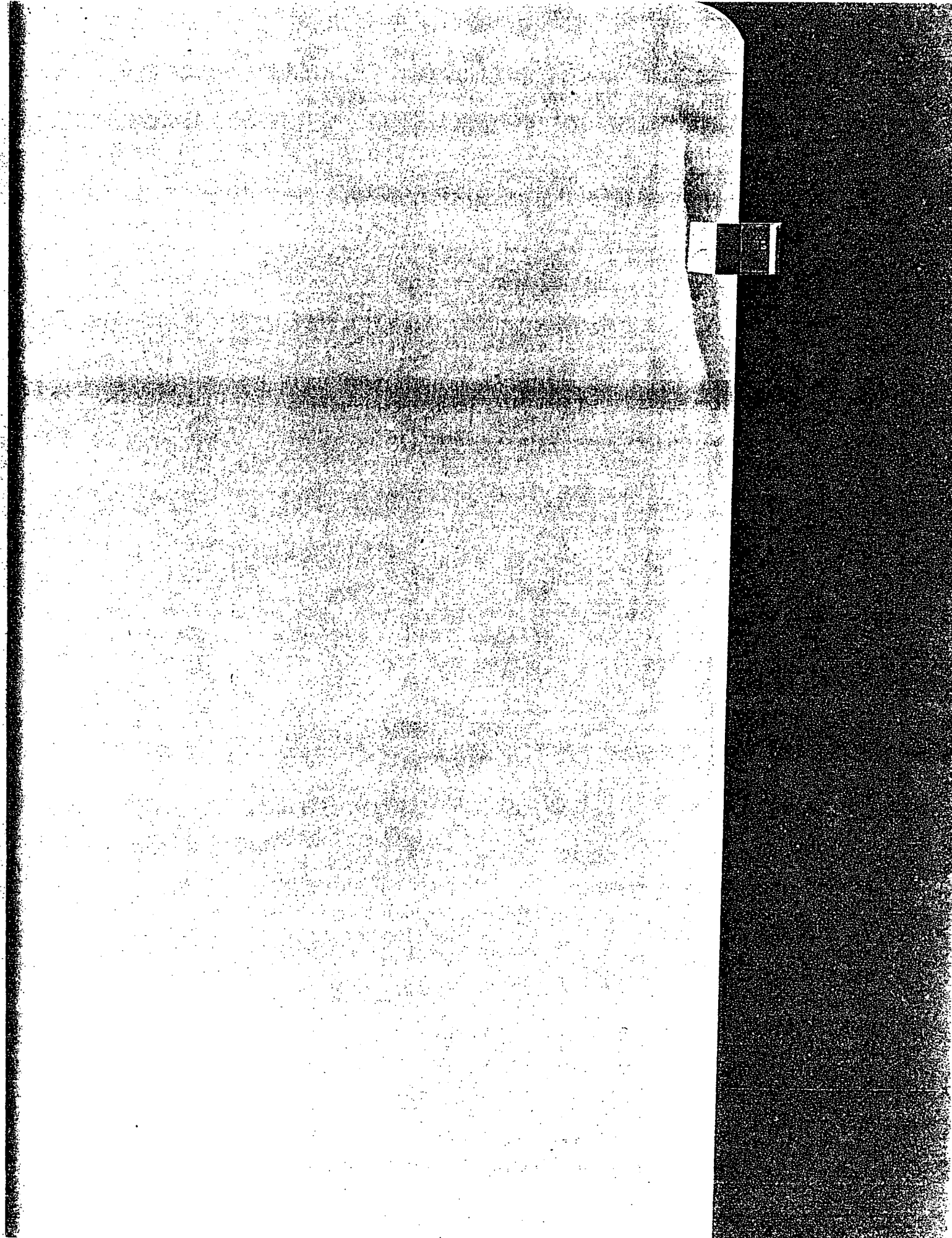
Attachments:

Annex A  
Annex B  
Annex C

SECRET

0001242



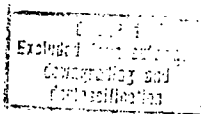


SECRET

ANNEX B - SUMMARIES OF CASES NOT

EXAMINED IN TEXT

SECRET



0001243

ANNEX B

SUMMARIES OF CASES NOT EXAMINED IN TEXT

Pages 399 - 435 of the previous summary contain summaries on the cases of (49) Americans who, according to information from NOSENKO, were of KGB interest, were approached by the KGB, or were actually recruited by the KGB. It was stated that these cases did not clearly relate to the specific KGB positions held at particular times by NOSENKO and thus could not be usefully employed in examining his claimed KGB service. The sourcing of these cases has been explored in detail during the current interviews with NOSENKO, and it is now possible to establish a certain relationship between these cases and certain claimed positions of NOSENKO in the KGB.

It is the conclusion of this summary that any group of (49) cases, as well as all other cases concerning which NOSENKO has furnished information, must be fully considered, not necessarily for the importance or unimportance of the information, but to determine how NOSENKO claimed to have learned of the case and whether his statements concerning each identified case are supported by collateral information. These factors are important in assessing the overall validity of information from NOSENKO as well as being supporting evidence of his claimed positions in the KGB.

To comment specifically on each of the (49) cases would require a very lengthy paper. Current interviews have developed pertinent additional information from NOSENKO in approximately (40) of the (49) cases. Of even more significance is the fact that NOSENKO has logically sourced his information in all except perhaps (four) cases. The indicated inability of NOSENKO to completely source all (49) of the cases is not considered significant, particularly since his having knowledge of all the cases is quite compatible with his claimed positions in the KGB. In addition, criticism of NOSENKO for not being able to source all of his information would be unreasonable since it makes no allowance for normal lapses of memory or failure to recall something which was insignificant at the time it occurred.

Without citing in detail any of the (49) cases, the ways in which NOSENKO learned of a number of the cases are considered important since there is a direct relationship to his claimed positions in the KGB during 1960 - January 1964, specifically the position of Deputy Chief, First Section, First Department, 1960 - 1961; Chief, First Section, Seventh Department, January - July 1962; and as Deputy Chief, Seventh Department, July 1962 - January 1964. Certain examples of the above are as follows:

14-00000

(a) NOSENKO learned of a number of the Seventh Department cases which had occurred in 1960 - 1961, as well as several 1958 - 1959 cases from notes prepared by the Chief or Acting Chief of the First Section, Second Section and Sixth Section in 1963. These notes were prepared at the request of NOSENKO who as a Deputy Chief, Seventh Department, was responsible for supervision of these three sections; and the request was actually an expansion of the original request from BOBKOV, Deputy Chief of the SCD, for information on recruitments of the Seventh Department. NOSENKO brought with him in 1964 the notes prepared by the Chief or Acting Chief of the First Section, Second Section and Sixth Section and his knowledge of many of the cases which had occurred prior to 1962, particularly 1960 - 1961, was limited to information contained in the notes. From these notes, NOSENKO had prepared his report to BOBKOV eliminating those which were not applicable to the request.

(b) NOSENKO learned of several 1962 - 1963 cases of the First Section, First Department, from Gennadiy I. GRYAZNOV who succeeded NOSENKO as Deputy Chief,

SECRET

First Section, First Department. This information was furnished to NOSENKO primarily because of his friendship with GRYAZNOV and not as the result of mutual operations. However, NOSENKO learned of certain of the cases or was furnished additional details as a result of a request from the Seventh Department to the First Section, First Department, for assistance or vice versa.

Certain of the (49) cases listed were cases of the Seventh Department prior to 1960 or in 1962 - 1963 when NOSENKO was in the Seventh Department. Certain of the cases were cases in which the First Section, First Department, was involved prior to 1960 or 1960 - 1961. The knowledge of NOSENKO concerning these two groups of cases does not materially support his claimed positions in the First Department and Seventh Department, but does support his claimed assignment to the Seventh Department prior to 1960 and in 1962 - 1963, and his claimed assignment to the First Department in 1960 - 1961.

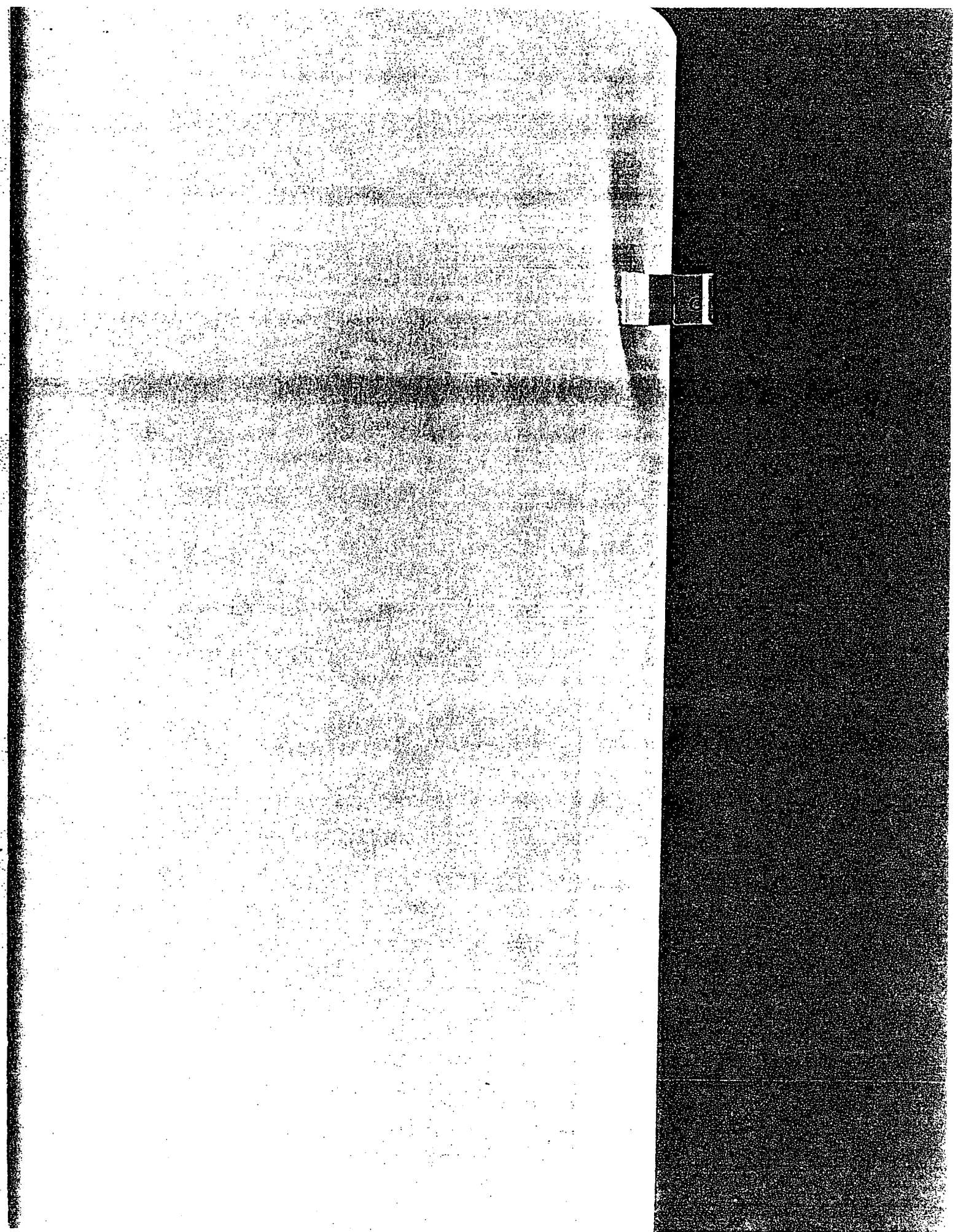
It is difficult to specifically comment concerning these (49) cases since they do not fall into one or two specific categories. Instead, they constitute a rather motley group of cases remaining after completion of the detailed sections of the previous summary. Included are First Department and Seventh Department cases covering a period of approximately five and one-half years. It should be noted, however, that the

0001247



( explanation of NOSENKO concerning his knowledge of the (49) cases  
is both plausible and compatible with his claimed positions in the  
First Department and Seventh Department during 1960 - January 1964.

( 0001248

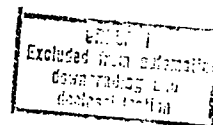


SECRET

ANNEX C - THE CHEREPANOV PAPERS

0001249

SECRET



SECRET

ANNEX C

THE CHEREPANOV PAPERS

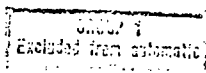
Pages 309 - 316 of the previous summary contain a description of the Cherepanov Papers, and how Aleksandr Nikolayevich CHEREPANOV passed a package of documents to an American tourist in Moscow in early November 1963. The conclusion, however, was that the assertions of NOSENKO with respect to the CHEREPANOV case were not material to the claim of NOSENKO that he was Deputy Chief, Seventh Department, in late 1963.

The definite relationship of the Cherepanov Papers to the bona fides of NOSENKO cannot be ignored and must be given specific consideration. If CHEREPANOV was under KGB control when he passed the papers to the American tourist, or if the papers contain "deception information," the bona fides of NOSENKO are subject to very serious question.

NOSENKO had personal knowledge of CHEREPANOV who was, according to NOSENKO, an officer in the First Section, First Department,

SECRET

0001250



14-00000

during 1960 - mid-1961 when he was forced into retirement from the KGB. During the above period of time, NOSENKO claims to have been Deputy Chief, First Section, although he does not claim to have had a direct supervisory responsibility over CHEREPANOV except in the absence of the Chief of Section, Vladislav KOVSHUK. NOSENKO also claims to have participated in the hunt for CHEREPANOV in December 1963.

Consideration has previously been given to the theory that the Cherepanov Papers were passed to Americans by the KGB through CHEREPANOV to support the bona fides of NOSENKO. This theory seems to have little credibility since the papers contain no information which would even support the claim of NOSENKO that he was in the First Section, First Department, 1960 - 1961. The papers also contain no information which would indicate there was even a Deputy Chief of the First Section during 1958 - 1960.

Statements by NOSENKO are emphatic that CHEREPANOV was not under KGB control, that he passed the papers which it later developed he had taken from the First Section prior to his retirement because he was disgruntled with his treatment by the KGB, and that the action by CHEREPANOV caused consternation in the KGB.

There is no collateral evidence which contradicts any of the statements by NOSENKO about CHEREPANOV. Further, there is

0001251

nothing in either the form or substance of the papers which provides a basis for suspicion as to their authenticity. In addition, the form and substance of the papers are in keeping with the description by NOSENKO of the day-to-day operation of the First Section, First Department.

During current interviews, the CHEREPANOV case has been covered in detail with NOSENKO. The Cherepanov Papers, which were originally shown to NOSENKO in 1964 after his defection, have also been covered in detail on a separate item-by-item basis. Although NOSENKO does not claim to have specifically seen any particular item prior to 1964, his statements in regard to the various handwritings, types of notes, and draft memoranda leave no doubt that NOSENKO was very familiar with personnel in the First Section, First Department, and with First Department procedures.

Certain additional research has been conducted in regard to the papers and a detailed analysis will be prepared at a later date. It should be noted that a considerable amount of personal judgment has been necessary in making an assessment of the Cherepanov Papers since there are no exemplars with which to compare any of the material. However, based on information developed thus far, and there is no reason to believe additional work will alter the conclusion, there is not an adequate basis for an opinion that CHEREPANOV was under KGB control, that the Cherepanov Papers contain "deceptive information."

0001252

or that the papers were other than the collection of material by a disgruntled employee which he very carefully selected or accumulated, the removal of which would only have constituted a minimal risk to CHEREPANOV.

The entire Cherepanov Papers have been reviewed to determine if there is any information which could be considered "deceptive information" either by direct statement or implication. Two possible areas have been noted and given full consideration:

(a) There is no specific information regarding whether there were any recruitments by the KGB personnel in the United States Embassy in Moscow, nor is there any information suggesting that there was an American source or American agent operating during that period of time.

(b) Petr S. POPOV, a GRU officer, was an extremely valuable CIA source from 1953 on, was, according to the papers, exposed to the KGB in January 1959 as a result of a letter mailing by George Payne WINTERS, Jr. WINTERS was a CIA employee under Department of State cover assigned to the Embassy in Moscow. The letter, which was to POPOV, was obtained by the KGB after mailing by WINTERS and was a direct result of KGB surveillance of WINTERS.

1253  
Coded OK, should  
be ~~OK~~  
Protect  
Just OK

0001253

In regard to (a), the papers are only a rather minute part of the total papers prepared in the First Section during 1958 - 1960. The lack of any information in these papers which directly or indirectly indicates that the KGB made a recruitment of an American in the Embassy or had an American source in the Embassy during the 1958 - 1960 period is only a matter for consideration. It is not conclusive proof that a recruitment was not made or that an American source did not exist. The papers do not contain a positive statement on either matter.

In regard to (b), the quite specific information in the papers that Petr S. POPOV was uncovered by the KGB as a result of KGB surveillance on George Payne WINTERS, Jr., who mailed a letter to POPOV in January 1959, this information should be considered as possibly information of a deceptive nature unless an adequate explanation can be made for its presence in the papers. POPOV was recalled to Moscow from East Germany in November 1958 ostensibly for TDY. The circumstances under which he was recalled and collateral information have given adequate grounds for a belief that by November 1958 POPOV was suspected by the KGB of cooperating with Western Intelligence or that the KGB may even have been sure POPOV had been cooperating with United States Intelligence.

It may be presumed that any lead to the KGB in regard to POPOV or the fact that United States Intelligence, more specifically

0001254



CIA, had a source in the GRU would have come from an agent or source of the FCD, KGB, not the SCD. It can also be presumed that a source or agent of the FCD in a position to furnish a lead to a penetration of the GRU by Western Intelligence would be carefully protected even within the KGB. The possibility of course exists that a lead from George BLAKE, an FCD agent, resulted in the exposure of POPOV to the KGB, but it is not established that it did nor is there any reason to believe the FCD could not or did not have another agent or agents who furnished information to the KGB pertinent to development of the case against POPOV.

The primary question, however, as regards the Cherepanov Papers is whether, even if it is presumed the KGB obtained information from an FCD source or agent which led to suspicion of POPOV or identification of POPOV, this would be incompatible with information in the papers and could only lead to the conclusion that the papers contain "deceptive information."

The conclusion in regard to the above is that the fact the papers attribute the exposure of POPOV to the KGB to surveillance on WINTERS when he mailed the letter to POPOV in January 1959 is not incompatible with the distinct possibility that the KGB had previously obtained information from an FCD agent or agents which actually led to suspicion in regard to POPOV or actual identification of POPOV.

0001255

If information was received from an important FCD agent such as George BLAKE or through another valuable FCD agent which led to KGB suspicion of POPOV prior to his return to Moscow in November 1958, it is highly unlikely such information would receive wide distribution within the KGB, either in the FCD or the SCD. It is also possible the limited group within the KGB who would be aware that the KGB had received information leading to suspicion of POPOV from a valuable agent would be very interested in attributing the exposure of POPOV to the fortuitous mailing of the letter to POPOV by WINTERS. The possibility should be considered that prior to the retrieval by the KGB of the letter to POPOV there was only a deep suspicion of POPOV but that the letter completely solidified the case against POPOV.

Consideration has been given to the possibility that CHEREPANOV was under KGB control when he passed the papers to the American tourist and that it was done by the KGB with the hope of involving CIA in a KGB-controlled operation within the USSR. In that event, the papers passed by CHEREPANOV would most likely be genuine since this would have been the initial step in what the KGB hoped would become a successful operation.

The above theory has been rejected since there are a number of factors which militate against it. These factors include the fact that

0001256

SECRET

the latest information in the papers was at least three years old, which would indicate CHEREPANOV had no current access and there was no indication CHEREPANOV was interested in a future contact.

INDEX

# INDEX

ABIDIAN, John - IV, E, 5, 7-15, 19, 20, 52

"ANDREY" (Dayle Wallis SMITH) - IV, G, 1-4

ARTAMONOV, Nikolay - III, A, 2

ARTEMOV, Vladimir Lvovich - IV, F, 6, 12, 13

BAKHVALOV, Mikhail - IV, E, 3, 4

BALDIN, Boris Andreyevich - IV, F, 2

(BARRETT, Robert) - III, F, 14, 15

BEGGS, Frank - IV, E, 36, 37

BELITSKIY, Boris - IV, F, 6-12

BERIYA, Lavrentiy Ivanovich - IV, B, 2, 3, 5-7

(BIENSTOCK, Natalie) - IV, F, 3, 4

BIRSE, Arthur - IV, D, 1, 2

BLAKE, George - IV, D, 9; IV, F, 9; V, C, 6, 7

BOBKOV, Filip Denisovich - IV, F, 15, 16; V, B, 3

BOHLEN, Ambassador - III, F, 10

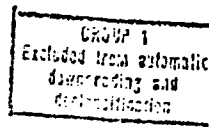
BOWDEN, Lewis - IV, E, 53, 54

BRAUNS, Horst - IV, F, 3-6

(BROWN, G. Stanley) - IV, E, 43

6001258

SECRET



SECRET

BUGAYEVA, Ludmila - IV, F, 4  
BURGI, Richard - IV, D, 1  
BURTIN, Sipe - IV, E, 49, 50  
BURTIN, Will - IV, E, 49, 50  
CECCHI, Pietro - IV, E, 39, 40, 42  
CHELNOKOV, Vladimir Dmitriyevich - IV, F, 2, 16  
CHEREPANOV, Aleksandr N. - III, H, 4; V, C, 1-4, 6-8  
CHERNETSEV, Y. E. - IV, E, 49  
CHURANOV, Vladimir A. - III, B, 4  
DAY, Frank - IV, E, 41, 43  
DEMKIN, Vladimir - IV, E, 20, 45  
DERYABIN, Petr Sergeyevich - IV, B, 5, 6  
DOUGLAS, William O. - IV, D, 3  
DREW, George - IV, D, 1  
DWELLY, Robert - IV, E, 41, 44, 45  
FARMAKOVSKAYA, Olga A. - V, A, 1  
FEDOROVICH, Tatyana - IV, E, 8, 9  
FEDOSEYEV, Sergey M. - IV, E, 49-51; IV, F, 1  
FISK, Norman - IV, D, 5  
FRIPPEL, Arsene - IV, D, 2  
GAFFEY, Joseph - IV, E, 41, 45, 46

0001259

SECRET

GARBLER, Paul - IV, E, 52

GARCIA, Anthony A. - IV, E, 39

GARLAND, John - III, F, 17; IV, E, 31, 33-36

GINSBURG, Michael - IV, D, 5, 6

GOLITSYN, Anatoliy Mikhaylovich - III, B, 3, 4; III, E, 9-11; III, F, 5-13, 15-19;  
IV, B, 5, 6; IV, D, 9, 10; IV, E, 21, 23, 31-34;  
V, A, 1

GRIBANOV, Oleg M. - III, F, 3, 4; IV, 6; IV, 6; IV, E, 4, 5, 21; IV, F, 1, 2

"GRIGORIY" - III, F, 13; IV, D, 3, 6; IV, F, 4

GROMAKOVSKIY, Yevgeniy - III, B, 4; IV, E, 20

GRYAZNOV, Gennadiy I. - III, B, 4; III, F, 8-13, 15; IV, E, 5, 12, 19-21, 26-28,  
30, 43-45; IV, G, 3; V, B, 3, 4

GUK, Yuriy I. - III, B, 4

HAMILTON, Victor Norris - III, E, 9  
(aka: HINDAL, Fouzi Mitri)

"HANNA" - IV, E, 27

HARRIS, Gisella - IV, D, 1, 7, 8

HORBALY, William - IV, E, 53

HOWARD, Herbert - III, E, 8; III, F, 20; IV, G, 1, 3, 4

IVANOVA, Svetlana - IV, E, 38, 39, 45, 46

JENNER, Paul - IV, E, 28-31, 35-36

JOHNSON, Robert Lee - III, E, 8; III, G, 5

JOHNSON, Wallace Everett - IV, F, 3, 4

JONES, William Carroll - IV, F, 3, 4

SECRET

0001280

SECRET

(KADERA, Fred) - IV, E, 45

KANTOR, Marvin - IV, D, 5, 6

(KARLOV, fnu) - IV, D, 5

KASHPEROV, Mikhail - III, H, 4

KEMMER, Myra - IV, E, 9

KEYSERS, James) - IV, E, 22-26, 55, 56

KLYPIN, Vladimir Alekseyevich - IV, E, 5, 48-51

KOBULOV, Bogdan Zakharovich (General) - IV, B, 1-4, 7

KOLOSSOV, Viktor - IV, E, 30, 34  
(Alias used by KOSOLAPOV)

KOSOLAPOV, Vadim V. - III, B, 4; III, F, 8, 16, 17; IV, E, 5, 19-21, 28-32,  
34-39, 42-44

KOSYGINA, Madame - III, A, 1

KOVSHUK, Vladislav M. - III, B, 4; III, F, 5, 11, 12; IV, E, 3, 4, 6, 12, 18, 21,  
23, 49, 52, 53; IV, F, 1, 2; IV, G, 3; V, C, 2

KOZLOV, Veniamin - IV, E, 12

KRUGLOV, Sergey Nikiforovich - IV, B, 5

(LANE, Allen) - IV, D, 1, 2

LANGELLE, Russell - III, F, 3; IV, E, 8

"LILLIAN" - IV, E, 26

(LUBIN, George) - IV, E, 49, 50

(LUNT, Horace) - III, F, 3

(MAHONEY, Eugene) - IV, E, 53

(MALIA, Martin) - IV, D, 2

0001261

SECRET



(

\_\_\_\_\_

5

SECRET

14-00000

SERGEYEV (SERGEEV), FNU - IV, E, 32, 33

(Very possibly Igor Alekseyevich ZENKIN, but is now considered also identical to Igor Alekseyevich SERGEYEV, Igor Alekseyevich SUKHOV and very possibly Igor A. SMIRNOV.)

~~XXXXXXXXXXXXXXXXXXXX~~  
(SHAPIRO, Isaac Henry) - III, F, 6

(SHATTAUER, Sofia) - IV, D, 5, 7

SHAZLY, Sarwat el - IV, E, 40

SHELEPIN, Aleksandr Nikolayevich - III, F, 13

"SHMELEV" - III, F, 13; IV, D, 3, 6; IV, F, 4

(SHUBIN, John) - IV, D, 11

SHULGINA, Nataliya - IV, F, 11, 12

SMITH, Dayle Wallis - III, F, 4, 20; IV, G, 1

SMITH, Edward Ellis - III, F, 4

(SMITH, John Discoe) - III, E, 9; IV, E, 49, 50

STALIN - IV, B, 5

(STEVENS, Edmund) - III, F, 4, 6

STORSBERG, James - III, F, 3, 5, 11-13; IV, E, 21-24, 26, 43, 55, 56

(TARASKA, William) - IV, D, 5, 6

(TAYLOR, David) - IV, D, 2

(TAYLOR, John) - IV, E, 42, 43

UMANETS, Ella - IV, E, 38

0001263

SECRET

(URBAN, (Colonel) - IV, E, 24, 25

VASSALL, William - III, E, 9; III, G, 5; IV, D, 9

(WASHENKO, Steve) - IV, E, 53

(WILBY, William Stanley) - IV, D, 2

WINTERS, George Payne, Jr. - IV, E, 53; V, C, 4-7

ZENKIN, FNU - IV, E, 32-34

(Very possibly Igor Alekseyevich ZENKIN, but is now considered also identical to Igor Alekseyevich SERGEYEV, Igor Alekseyevich SUKHOV and very possibly Igor A. SMIRNOV.)

(ZUJUS, Matthew) - IV, E, 26-28

(ZWANC, Maurice) - IV, E, 40-42

SECRET

SC-02164-58

RETURN TO CIA  
Background Use Only  
Do Not Reproduce

Summary of Initial Missions

In the period from 20 June to 10 July 1956 the Soviet Bloc air defense system was subjected to eight penetrations of an unprecedented nature, seven occurring within a period of only eight days. It must be remembered that 24 (COMINT) provides the only basis of judging the performance of the Soviet system. This is important because it is clear from REGAL material that [considerable air defense business is conducted over landlines and thus not observed by COMINT. However, some tentative conclusions may be drawn from these initial flights and these are indicated as follows:

1. In spite of the fact that these missions came as a surprise, none of them went undetected. This is clear evidence that their radar coverage extends above (72,000) feet.

24

3/7/71

~~SECRET~~

2. By 5 July 1956, the fourth flight, the USSR was aware of the purpose of the missions and were taking counter action. One positive action was the standdown of civil flights while the mission aircraft was over the USSR, and a second action which is believed related is the moving of MIG-19 aircraft into East Germany and Poland on 7 July 1956. Also MIG-19's were moved into Hungary at about this time.

3. The performance of the Soviet system on the 5 July mission, 2014, was indeed curious. While the action evident from (COMINT) 24 is not clear an explanation which appears to fit the known facts is offered as follows: As a result of the previous missions, the Soviets had concluded the essential facts concerning the missions, i.e., that they were for reconnaissance, that they flew above (65,000) 24 feet, and that a penetration as deep as Moscow was possible. They probably surmised that the 5 July mission was headed for Moscow when the track appeared on a northeasterly heading. The loss of the target when it entered Soviet territory was probably deliberate and the "red herring" track returning to the west was either a dodge or a convenience to avoid broadcasting a track for all the system to see that a "hostile or intruder" was coming over Moscow with no means available to stop it. This idea is supported by the use of a raid number assigned in the region just beyond the point where the track had been "lost". In addition, the track was not labeled "hostile or intruder" when it was broadcast after it had passed beyond Moscow. The reporting of the track when it did appear was only by Moscow and it has been suggested that other stations had been instructed not to broadcast the track. Further, it may or may not be a coincidence that the height broadcast was almost exactly half of the true altitude of the mission aircraft, but on the next missions, four days later, the altitude reporting was consistently above 50,000 feet. 99

4. By 9 July 1956, in addition to the evident recognition of the great height of the mission flights, tracking was better and in general the performance of the warning system was much improved.

5. The next day, 10 July 1956, the Soviet air defense warning system closed a 3000 mile track with only two short periods of confusion or track loss. Altitude reporting was over 60,000 feet with one plot passed 68,800 which was only 100 feet off target. 99

6. The first eight missions proved that the air defense warning system is deployed in depth. This was evident from both the continuity of track and most forcefully from the ELINT data collected. Some 1461 intercepts of Soviet Bloc radars operating in the 3000 mc/s band were obtained by project ELINT as follows: TOKEN-1331, WHIFF-37, GAGE-26, PATTY CAKE-37, Other 30. These numbers cannot be equated to individual radar sets since the same radar may be intercepted more than once. 618 TOKEN sites were located, including 213 new sites. Some 343 additional TOKEN signals were identified but available information does not permit determination of location so that it must be concluded that these signals include both known and new sites. Because of the limitation of ELINT to the 3000 mc/s band and the Soviet practice of collocating radars on different frequencies the total number of radars may be expected to be at least double the number of sites. 99

7. Confusion and track loss seemed to be related to the presence of large numbers of fighters although the saturation point has not been determined because of insufficient data. 99

8. The question of radars for height finding, the capabilities of TOKEN in this role, the introduction of ROCK CAKES and later developments are discussed in another section. It is believed, however, that these missions were a catalyst in the introduction of ROCK CAKES. 99

CONTROL AND COVER SHEET FOR TOP SECRET DOCUMENT

*Note*

ATTENTION: This form will be placed on top of and attached to each Top Secret document received by the Central Intelligence Agency or classified Top Secret within the CIA and will remain attached to the document until such time as it is downgraded, destroyed, or transmitted outside of CIA. Access to Top Secret matter is limited to Top Secret Control personnel and those individuals whose official duties relate to the matter. Top Secret Control Officers who receive and/or release the attached Top Secret material will sign this form and indicate period of custody in the left-hand columns provided. Each individual who sees the Top Secret document will sign and indicate the date of handling in the right-hand columns.

SEEN BY

NOTICE OF DETACHMENT: When this form is detached from Top Secret material it shall be completed in the appropriate spaces below and transmitted to Central Top Secret Control for record.

DISPATCHED (OUTSIDE CIA)

**TOP SECRET**

MATERIAL REVIEWED AT CIA HEADQUARTERS BY  
HOUSE SELECT COMMITTEE ON ASSASSINATIONS STAFF MEMBERS

FILE TITLE/NUMBER/VOLUME: The Examination of the  
Bona Fides of a KGB Defector  
1 Document - dated February 1968  
EXCLUSIVE DATES: \_\_\_\_\_  
CUSTODIAL UNIT/LOCATION: CI  
ROOM: \_\_\_\_\_  
REMARKS, IF ANY: \_\_\_\_\_

000000

DATE RECEIVED	DATE RETURNED	REVIEWED BY (PRINT NAME)	SIGNATURE OF REVIEWING OFFICIAL
3-14-78		Kenneth Klein	Kenneth Klein
3-15-78		Kenneth Klein	Kenneth Klein
3-16-78		Kenneth Klein	Kenneth Klein
3-17-78		Kenneth Klein	Kenneth Klein
3-20-78		Kenneth Klein	Kenneth Klein
3-20-78		Johanna Smith	Johanna Smith
31 APR 78		JOHANNA SMITH	Johanna Smith
4-22-78		G. Robert Blakey	G. ROBERT BLAKEY
27 Apr 78		Johanna Smith	Johanna Smith
1 May 78		Johanna Smith	Johanna Smith
2 May 78		SURELL BRIDY	Surell Bridy
16 May 78		MARGO E. JACKSON	Margo E. Jackson

22064



14-00000 1  
**Top Secret**

# **The Examination of the Bona Fides of a KGB Defector**

**Top Secret**

OLC Cy #1 of  
Cy #10  
TS No. 197124

Copy No 10

TOP SECRET

1. Attached is copy number 10 of the February 1968 CIA study entitled "The Examination of the Bona Fides of a KGB Defector - Yuriy I. Nosenko."

2. Please note that the CIA finds this study to be inaccurate in many important details and to contain the results of faulty judgements leading to unfounded conclusions.

3. We have deleted certain portions of this study containing information which bears on the security of ongoing, viable CIA operations, or is related thereto.

4. We request return of this study when it has served your purposes.

TOP SECRET

0061266

**The Examination of the Bona Fides  
of a KGB Defector**

**Yuriy I. NOSENKO**

**February 1968**

0001267

TS No. 197124

Copy 10

**Top Secret**

# Top Secret

## CONTENTS

	PAGE
Introduction	1
Summary of Case	3
I FOUNDATIONS OF NOSENKO'S CLAIMS	11
NOSENKO's Statements About Himself	11
Soviet Officials' Statements	20
The Product of NOSENKO's Debriefing	21
Positive Intelligence Information	21
Counterintelligence Information	22
Significant KGB Operations Not Directly Related to NOSENKO's Claimed Service	24
"The KGB Agent in Paris" (Sgt. Robert JOHNSON)	24
"SASHA" (Identity Unknown)	28
"The KGB Agent in the British Admiralty" (William VASSALL)	30
The KGB Audio Attack on the West German Embassy	31
"ANDREY" (Dayle W. SMITH)	33
Edward Ellis SMITH	37
II EXAMINATION OF NOSENKO'S <u>BONA FIDES</u>	41
Notes for the Reader	41
III PRE-KGB BIOGRAPHY	45
Birth to 1945	45
Moscow Institute of International Relations (1945-ca. 1950)	48
Naval RU Service (Ca. 1951-ca. 1953)	49
Summary and Conclusion	58

0001268

(1)

TS No. 197124

Copy 10

Top Secret

# Top Secret

## CONTENTS

	PAGE
VI SEVENTH DEPARTMENT (June 1955-January 1960) (Cont.)	
Operational Activities (1955-1958)	113
Entrapment of [MALIA] 06	114
Recruitment of [BURGI] 06	115
Attempted Recruitment of [GEHRCKENS] 06	121
Contact with [LANE] and [BIRSE] 06,06	122
Recruitment of [SUNDAR] 06	123
Travel to London (1957 and 1958)	124
Operational Activities (1958-1960)	127
Recruitment of [HARRIS] 06	128
Compromise of [KRAFT] 06	129
Recruitment of [DREW] 06	130
Recruitment of [LUKIS] 06	131
Recruitment of [WILBY] 06	131
Recruitment of [TAYLOR] 06	132
Recruitment of [MERTENS] 06	133
Compromise of [BARRETT] 06	134
Compromise of [WILLERFORD] 06	136
Recruitment of [FRIPPEL] 06	137
Lee Harvey OSWALD	143
Summary	144
Knowledge of other Seventh Department American Tourist Operations	145
Seventh Department Counterintelligence Operations (1955-1960)	146
NOSENKO's Information	146
Information Furnished KGB by George BLAKE	148
KGB Tourist Study	149
Summary and Conclusion	150
VII AMERICAN EMBASSY SECTION OF AMERICAN DEPARTMENT (January 1960-January 1962)	151
Deputy Chief of Section	151
Transfer to Section	152
Predecessor as Deputy Chief	153
Responsibilities	154
Deputy and Occasional Acting Chief	156
General Supervisory Duties	159

0001263

(iii)

TS No. 197124

Copy 10

Top Secret

15/88

# Top Secret

## CONTENTS

	PAGE
VII AMERICAN EMBASSY SECTION OF AMERICAN DEPARTMENT (January 1960-January 1962) (Cont.)	
Cryptologic Attack on Embassy Communications	236
Knowledge of CIA Personnel within Embassy	240
Suspected CIA Officers	241
Unsuspected CIA Officers	244
Personal Handler of Agents	248
Temporary Assignments Abroad	251
Planned Travel to U.S.	251
Travel to Cuba (November-December 1960)	252
Travel to Bulgaria (April-May 1961)	254
Compromise of [LUNT] 06	256
Promotion and Transfer to Seventh Department (January 1962)	259
Summary and Conclusion	261
VIII SEVENTH DEPARTMENT (January 1962-January 1964)	263
Introductory Comment	263
Chief of the American-British Commonwealth Section (January 1962-July 1962)	265
NOSENKO's Agents	265
Operational Activities	268
Entrapment of [JOHNSON] 06	268
Entrapment of [JONES] 06	272
Recruitment of [BIENSTOCK] 06	273
Travel to Geneva (March-June 1962)	275
Purpose of Trip	275
Investigation of SHAKHOV	276
Security Escort for Delegation	278
Visits to KGB Legal Residency	279
KGB Officers within Soviet Delegation	279
Association with Other Soviets	280
Supervising Case Officer for BELITSKIY	282
Contact with CIA	286
Operational Activities (continued)	288
Attempted Recruitment of [BRAUNS] 06	288
Summary and Conclusion	290

(v)

Top Secret

0001270  
TS No. 197124

Copy 10

S/BQ

# Top Secret

## CONTENTS

	PAGE
VIII SEVENTH DEPARTMENT (January 1962-January 1964) (Cont.)	
Deputy Chief of Seventh Department (July 1962-January 1964)	291
KGB Operations	292
Recruitment of SVENCHANSKIY 06	292
Investigation of SLESINGER 06	293
Arrest and Interrogation of KOTEN 06	295
GRU Agent SHUBIN 06	296
Arrest of BARGHOORN	298
Investigation of OSWALD	303
Residence in USSR	303
Request to Return to USSR	305
Post-Assassination Review of KGB File	307
The CHEREPANOV Papers	309
Contents	314
NOSENKO's Travel Document	315
Return to Geneva (January-February 1964)	316
Purpose of Trip	317
Visits to KGB Legal Residency	318
Availability for Meetings with CIA	318
NOSENKO's Written Notes	319
NOSENKO's Defection	320
<del>XXXXXXXXXXXX</del>	
Knowledge of Other Seventh Department Operations	325
Operational Activities (July 1962- January 1964)	326
KGB Counterintelligence Operations Among American Tourists	326
Information Furnished the KGB by George BLAKE	327
KGB Study of American Intelligence Tourist Operations	327
NOSENKO's Information	330
Summary	331
Summary and Conclusion	331

0001271

(vi)

TS No. 197124

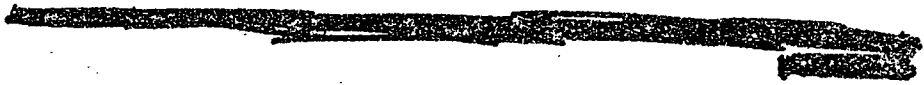
Top Secret

Copy

41BR

**Top Secret**

**CONTENTS**

	PAGE
IX OTHER ASPECTS OF NOSENKO'S CLAIMED KGB SERVICE	335
Relationship with General GRIBANOV	335
Communist Party Status	338
Knowledge of KGB Forms and Procedures	342
Awards and Decorations	345
Sourcing	349
Ranks	350
X PSYCHOLOGICAL AND PSYCHIATRIC ASSESSMENT	355
XI SUMMARY AND CONCLUSIONS: NOSENKO'S <u>BONA FIDES</u>	357
	
Annex B - Summaries of Cases Not Examined in Text	399
Index of Personalities	437

G001272

(vii)

TS No. 197124

**Top Secret**

Copy 10



**Top Secret**

Introduction

The judgment of NOSENKO's bona fides entailed the distillation of the huge volume of counterintelligence information assembled in connection with his case, including the product of his lengthy interrogations, the analysis of KGB operations which he related, the results of file checks of thousands of individuals involved, comparison of his assertions against collateral information from all sources and with counterintelligence records on the KGB and related matters. The examination herein reduces this volume of material to manageable proportions, to essential elements of NOSENKO's claims, in order to permit comparison of his statements with matters of known fact and to permit application of reasonable judgment. Conclusions are drawn from the examination of each major period in his claimed biography. The final conclusions represent the aggregate of conclusions independently drawn from the examination of each major period in his claimed biography.

0001273

**Top Secret**

TS No. 197124

Copy 10

# Top Secret

## CONTENTS

	PAGE
IV KGB ENTRY (ca. 1953)	61
Date of Entry	62
Role of General KOBULOV	64
Eligibility	67
Processing for Entry	68
Initial Service	70
Other Aspects Relevant to KGB Service	72
Summary and Conclusion	74
V AMERICAN EMBASSY SECTION OF AMERICAN DEPARTMENT (ca. 1953-June 1955)	75
Operations Against American Correspondents	75
KGB Files	77
NOSENKO's Agents	78
Operations Against U.S. Army Attache Personnel	81
Custody of Case Files	83
NOSENKO's Agents	84
NOSENKO's Targets	87
MICKELSON 06	87
MEARNS 06	88
RICHARDS 06	89
FELCHLIN 06	90
BENSON 06	93
STROUD 06	93
MULE 06	94
BENSON, MULE and STROUD 06, 06, 06	95
CARDELLA 06	97
VAN LAETHEM 06	97
Additional Reporting	99
Summary and Conclusion	99
VI SEVENTH DEPARTMENT (June 1955-January 1960)	101
Introductory Comment	101
NOSENKO's Agents	104
Soviet Citizen Agents	104
Homosexual Agents YEFREMOV and VOLKOV	110
Summary	112

(ii)

TS No. 197124

Top Secret

Copy

10/BR

# Top Secret

## CONTENTS

	PAGE
Introduction	1
Summary of Case	3
I FOUNDATIONS OF NOSENKO'S CLAIMS	11
NOSENKO's Statements About Himself	11
Soviet Officials' Statements	20
The Product of NOSENKO's Debriefing	21
Positive Intelligence Information	21
Counterintelligence Information	22
Significant KGB Operations Not Directly Related to NOSENKO's Claimed Service	24
"The KGB Agent in Paris" (Sgt. Robert JOHNSON)	24
"SASHA" (Identity Unknown)	28
"The KGB Agent in the British Admiralty" (William VASSALL)	30
The KGB Audio Attack on the West German Embassy	31
"ANDREY" (Dayle W. SMITH)	33
Edward Ellis SMITH	37
II EXAMINATION OF NOSENKO'S <u>BONA FIDES</u>	41
Notes for the Reader	41
III PRE-KGB BIOGRAPHY	45
Birth to 1945	45
Moscow Institute of International Relations (1945-ca. 1950)	48
Naval RU Service (Ca. 1951-ca. 1953)	49
Summary and Conclusion	58

0001268

(i)

TS No. 197124

Copy 10

Top Secret

**Top Secret**

Summary of Case

The NOSENKO case opened on 5 June 1962 in the corridors of the Palais des Nations in Geneva during the United Nations Disarmament Conference. A Soviet official approached an American diplomat with the suggestion that they get together for a talk the following day. The diplomat advised CIA of the appointment, explaining that he thought the approach so unusual that it might be an offer of cooperation or defection. He said he believed the Soviet to be Yuriy Ivanovich NOSENKO, a member of the Soviet Disarmament Delegation.

Later meeting with the American diplomat, the Soviet official identified himself as NOSENKO and stated he was a KGB counterintelligence officer sent to Geneva to ensure the security of the Soviet delegation. He knew that the American had previously served in Moscow and erroneously believed that he was the "American Resident" in Geneva. NOSENKO stated that he needed approximately 900 Swiss francs immediately to cover KGB operational funds which he had squandered on liquor and a prostitute in Geneva. He offered for this amount to sell two items of information to American Intelligence. These were the identity of a former American Embassy employee in Moscow who was a KGB agent "near ciphers" in the Washington area, and the identity of a Soviet in Moscow who, although ostensibly a CIA agent, was actually controlled by the KGB. In reply, the American explained that he was not an intelligence officer, but that he could place NOSENKO in contact with an appropriate U.S. official in Geneva later that same day.

That evening NOSENKO was met by a CIA officer and a three-hour meeting followed at a CIA safehouse in Geneva. Describing himself as a KGB major experienced in operations against the American Embassy in Moscow and against tourists and other travellers to the Soviet Union, NOSENKO told the CIA officer of his financial difficulties and repeated his offer to sell

**Top Secret**

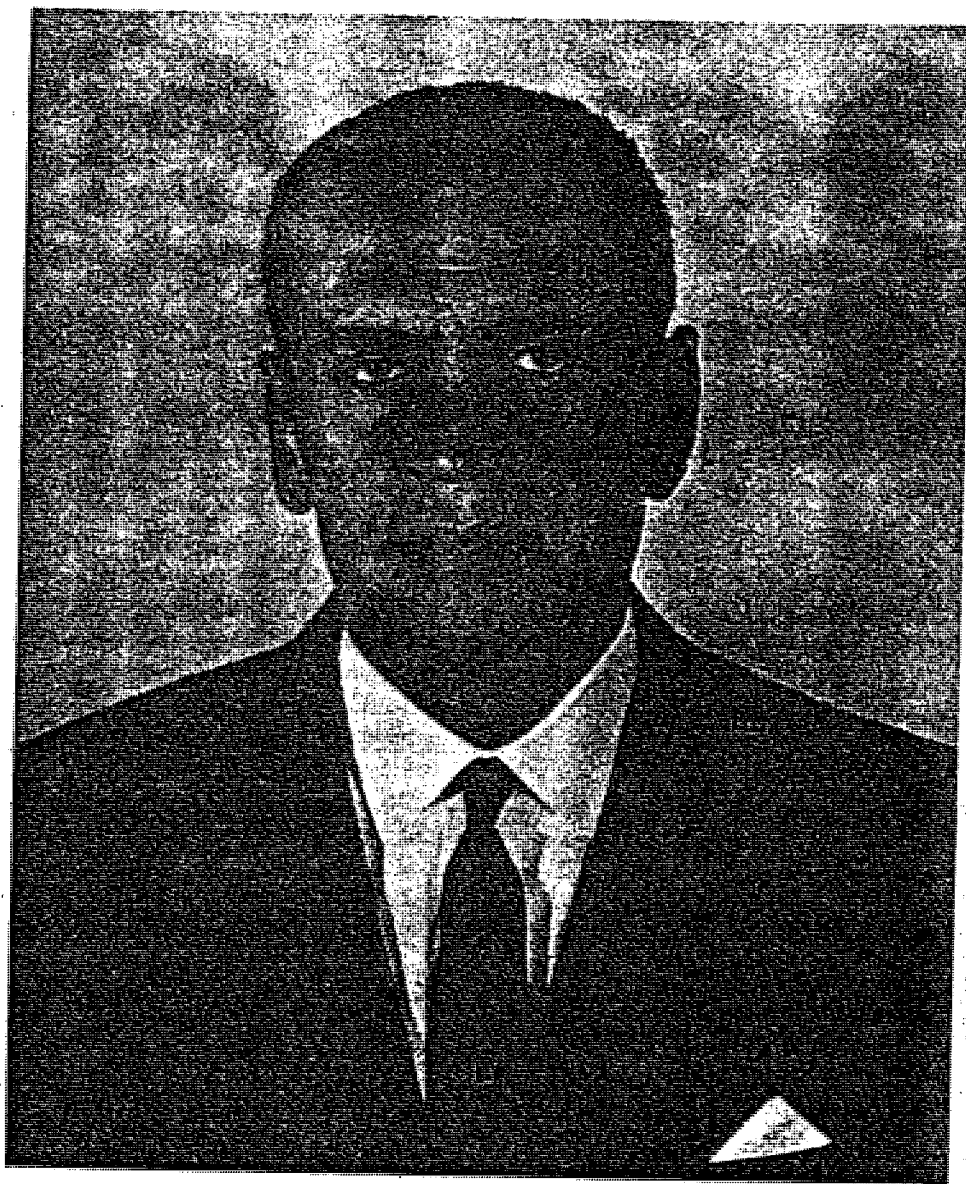
0001275

TS No. 197124

Copy 10

14-00000

**Top Secret**



Yuriy Ivanovich NOSENKO

0001274

**Top Secret**

TS No. 197124  
Copy 10

# Top Secret

## (Summary of Case)

the two items of information. He said that the need for money was his immediate motive for contacting CIA, although in the ensuing discussion he also expressed dissatisfaction with the Communist regime in the Soviet Union.

Nosenko met CIA representatives four more times in Geneva in June 1962. With the second meeting on 11 June, his earlier expressed reservations disappeared almost entirely. He answered most questions put to him on KGB organization and operations. His knowledgeability was almost exclusively limited to the KGB Second Chief Directorate (responsible for counterintelligence and security within the USSR). Nosenko seemed to be what he claimed to be: a KGB officer in a sensitive position with knowledge of important KGB operations.

Nosenko returned to Moscow on 15 June, having promised to do everything within certain limits to collect information on matters indicated to be of interest to CIA. The only restrictions he placed on his cooperation were his absolute refusal to permit operational contact with him inside the USSR and his request that no mention of his collaboration be communicated to the American Embassy in Moscow. He promised to notify CIA via an accommodation address when he came to the West again.

Nosenko again accompanied the Soviet delegation to the Disarmament Conference in Geneva in January 1964. Since last meeting with CIA he had been promoted to the rank of lieutenant colonel and had become the Deputy Chief of the largest department in the Second Chief Directorate. At the first of the new series of meetings on 23 January he announced that he had decided to defect to the United States. He cited as reasons his continuing dissatisfaction with the Soviet regime and the fact that he probably would have no further opportunities to travel to the West in the foreseeable future. Although he implied that he wanted to defect as soon as possible, he agreed to remain in place in Geneva while arrangements for his reception were being made in Washington. Nosenko had brought a large amount of new information, much of it in scribbled notes, on KGB operational activity which he had collected in the 18 months since his last meeting with CIA.

# Top Secret

## (Summary of Case)

On 4 February, four days before the date tentatively selected for NOSENKO's defection, he reported that he had received a cable from KGB Headquarters ordering his immediate return to Moscow to participate in a KGB conference on foreign tourism to the Soviet Union. That night exfiltration plans were implemented and NOSENKO was driven across the border to Germany where his debriefing was resumed in a Frankfurt safehouse. The decision was reached on 11 February to bring NOSENKO to the United States, and in the early evening of 12 February he and his CIA escorts arrived in Washington via commercial aircraft, thence to a safehouse in the Washington area.

At the request of the Swiss and Soviet Governments, NOSENKO met on 14 February with representatives of their respective Washington Embassies in the offices of the U.S. Immigration and Naturalization Service. He told both that he had defected on his own free will after careful consideration and that he had no desire to return to the Soviet Union. In answer to the questions of the Soviet representatives, he orally renounced his status and rights as a citizen of the USSR.

CIA completed its initial debriefings of NOSENKO on 18 February, and on 24 February he was introduced to representatives of the FBI for questioning. At about the same time, there was a marked change in NOSENKO's comportment. While outwardly cooperative during most debriefing sessions, it became increasingly difficult to get him to respond to specific questioning. His free time in Washington and nearby cities was punctuated by drinking bouts, crude behavior, and disputes with his security escort. He explained his behavior by saying that he was under great tension as a result of his defection, abandonment of his wife and children, and the disgrace that he had brought to his family name, and on this basis CIA acceded to NOSENKO's demand for a vacation. On 12 March, NOSENKO left Washington with a CIA case officer and two CIA security guards for a two-week visit to Hawaii. There his behavior deteriorated still further. He drank heavily and almost constantly; he consorted with a number of prostitutes; he was loud and crude in public places; and he spent money extravagantly and conspicuously.

# Top Secret

## (Summary of Case)

During NOSENKO's absence from Washington, consultations were held with the FBI regarding steps to be taken to restrict his movements and activities. This Agency was concerned that his behavior would attract undesirable attention and publicity, perhaps police arrest, and that doubts about his bona fides, which were becoming known to a widening group in the U.S. Government, might be inadvertently revealed to NOSENKO himself. The FBI on 1 April indicated it would "not interpose objection" to the CIA plan to limit NOSENKO's freedom of movement, and the Acting Attorney General, the Department of State, and the White House were advised.

On 4 April NOSENKO was driven to a new safehouse in a Washington suburb, and told that this safehouse thenceforward would be his regular place of residence. Since that time NOSENKO has had contacts with CIA personnel only, has been under full-time guard, and has not been permitted access to news media.

Intensive interrogation of NOSENKO, including a polygraphic examination, was begun on 4 April 1964 in order to obtain information which he had been reluctant to divulge earlier, and to clarify contradictions in what he had already reported. The polygraph examination results were inconclusive. This phase of the interrogations was terminated on 24 April 1964.

Despite the searching nature of the questions and the implicitly and explicitly expressed doubts of his veracity, NOSENKO asserted that he was willing to answer, or to try to answer all questions put to him. Because more information pertinent to the question of his bona fides was needed, a new series of interrogations was begun in mid-May 1964. Different interrogators were introduced and questioning was resumed in a neutral, non-hostile manner. The period of neutral questioning continued until mid-November 1964.

After further consultations with the FBI, a round of hostile interrogations began on 26 January 1965. Between then and 5 March, NOSENKO was questioned for a total of about 140 hours by individual interrogators and interrogation teams, and he was directly challenged on many of his previous assertions. He admitted that certain of his earlier statements had been incorrect, and that he could not explain contradictions



# Top Secret

## (Summary of Case)

in his testimony. Nevertheless, NOSENKO maintained he had been basically truthful, and that he had come to the United States solely for the reasons he had originally given. These interrogations were suspended on 5 March 1965.

Questioning of NOSENKO during the summer and autumn of 1964 and the interrogations of January and February 1965 concentrated on the period of his claimed service in the American Embassy Section of the American Department, KGB Second Chief Directorate, from January 1960 to January 1962. Among the reasons for selecting this particular period were the comparatively large amount of collateral information available against which NOSENKO's statements could be checked; the importance of the Embassy and its personnel as critical KGB Second Chief Directorate targets; their importance from the standpoint of American security; and the extent of NOSENKO's claimed knowledge of the activities of the Embassy Section, of which he claimed to have been Deputy Chief.

In keeping with a Soviet practice with which NOSENKO was familiar, CIA asked NOSENKO in February 1965 to sign a series of interrogation reports, so-called "protocols", most of which concerned the period of his claimed service in the American Department. These were written by the CIA interrogators, and they were designed to set forth NOSENKO's exact statements and meaning on various specific subjects. The protocols were in no way presented to NOSENKO as documentary portions of a "confession", but rather as distilled and final statements of what he did and did not know concerning particular topics. NOSENKO was asked to read each page of each protocol carefully and to sign his name at the bottom to indicate that he understood and agreed with its contents; he was allowed the use of a dictionary and was permitted to ask any questions and make any changes that he wished. (Amendments were entered by the interrogators and were initialed by NOSENKO.) NOSENKO was asked, after reading each page and after completing the entire protocol, whether he understood what was written there and whether there were any more changes he wished to make. He was then asked to sign and date the statement, "I have read and understood this report and certify it as correct", at the end of the final page. With one exception, he did so calmly and without objections. In one or two instances he remarked that his statements were presented in such a manner as to make them

# Top Secret

## (Summary of Case)

look foolish, but he was not able to suggest any changes of fact or presentation which would make them more accurate. Commenting on the use of interrogation reports, NOSENKO said on 4 March 1965: "My life story is absolutely correct. Anything I have signed is absolutely correct. I absolutely understand what I am doing when I am signing any paper. This is an official document, and I fully understand what I'm doing when I sign it as being absolutely correct."

Further questioning was conducted from 26 July until 14 August 1965 with the participation of Petr DERYABIN, a former KGB officer. These interrogations, held in Russian, were for the purpose of using DERYABIN's KGB experience to obtain a clearer understanding of NOSENKO's claimed personal and professional background.

During the period 19-25 October 1966, NOSENKO was questioned for seven days on specific aspects of selected topics ranging from his identity to his involvement in and knowledge of specific KGB operations. Questioning was in both Russian and English. Although the interrogations identified topics and time periods in NOSENKO's accounts which contained the greatest number of contradictions and discrepancies, neither the contradictions nor the discrepancies could be resolved.

Because of the incidence of deranged persons CIA has encountered among would-be defectors, the question of NOSENKO's mental stability was a matter considered early after his defection in Geneva. From his arrival in the United States in 1964 NOSENKO has been under psychiatric observation. A CIA psychiatrist and a CIA psychologist, both with extensive experience with Soviet Bloc defectors, monitored many of NOSENKO's interrogations. In May 1965 the psychologist for three weeks questioned NOSENKO on his life from birth until 1953, when NOSENKO claimed he joined the KGB, in an attempt to identify psychological factors which might underlie NOSENKO's contradictory and inconsistent accounts. The psychiatrist has continued his periodic observations of NOSENKO to the present time. The psychiatrist and the psychologist concluded independently, on the basis of their observations, that NOSENKO was mentally stable.

**Top Secret**

(Summary of Case)

NOSENKO has not been interrogated since October 1966. The period since has been devoted to the examination and review of the accumulated interrogation notes, transcripts and other materials, and in the preparation of the present paper.

**Top Secret**

# Top Secret

## CHAPTER I

### FOUNDATIONS OF NOSENKO'S CLAIMS

Evidence of NOSENKO's bona fides is comprised of his own statements, the corroborating statements of Soviet officials, and the counterintelligence information he has provided.

#### NOSENKO's Statements About Himself

In his meetings in 1962 and 1964 with CIA abroad and in the course of the interrogations since, NOSENKO has made numerous statements about himself. More than any other, however, a statement written in July 1964 (after the initial hostile interrogation was concluded) is a thoughtful and well-expressed exposition of how he wished CIA to regard him. It is quoted here in its entirety.

My life, my childhood and youth passed in very comfortable circumstances since the position of my father gave us the opportunity to live without lacking for anything. And the only difficult periods of my life before the death of my father were at the naval schools attended in Kuybyshev, Baku and Leningrad, and at the beginning of my working life, when I was in the Far East in 1950-1952. The opportunity to be always well-dressed, to have a sufficient amount of money, to have my own car, to be able to use the car given me by my family and also my father's car, the opportunity to travel to the South and to vacation in the best sanitariums, dachas, and so forth; all this unquestionably left its mark on me and became something of a habit. After the death of my father, my successful progress in my work gave me a higher salary, and although I did not have all that which I had while my father was alive, still I did not experience any serious difficulties. But already I wanted to live still better.

0001282