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the preparation of this summary. It will be commented on in part and this summary will include conclusions correlated with the seven primary conclusions set forth on page 358 of the above summary. Remarks concerning certain errors, inconsistencies, omissions and unsupported conclusions in the previous summary in regard to specific cases or sub-areas will be included in this summary. However, this summary will not include a point-by-point comparison of all areas of agreement or disagreement with information contained in the previous summary.

A positive decision in regard to NOSENKO based on all available information should be made in the immediate future. There are no known sources currently available to provide new positive information concerning NOSENKO and his bona fides. It is recognized that there is always a possibility in the future a new source or sources will be able to furnish additional information in regard to NOSENKO. However, this possibility is exceedingly tenuous and it is felt there is sufficient information available on which to base a conclusion in the NOSENKO matter.

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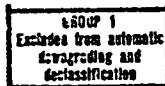
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II. SUMMARY OF DEVELOPMENTS IN NOSENKO CASE

SINCE 30 OCTOBER 1957

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SUMMARY OF DEVELOPMENTS IN NOSENKO CASE

SINCE 30 OCTOBER 1967

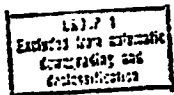
Since 30 October 1967, interviews with Yuriy Ivanovich NOSENKO have been conducted by one individual not previously known personally to NOSENKO but who has been aware of the NOSENKO case since June 1962.

Interviews have been detailed and very extensive in scope, have been recorded and transcribed, and have covered the entire life and career of NOSENKO without regard to whether a particular aspect had been covered during previous interview or interviews.

NOSENKO, although naturally apprehensive during the first few interviews, has been cooperative, has developed a relaxed attitude, and the interviewer has noted no significant reluctance to discuss any aspect of his life, career, or activities. On occasion NOSENKO has indicated a reluctance to make positive statements in certain areas previously considered at a minimum extremely controversial. This reluctance was understandable and when it became apparent to NOSENKO that the

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interviewer would not dispute or disparage his statements without adequate reason, this reluctance on the part of NOSENKO, in the opinion of the interviewer, totally disappeared.

During the interviewing period, particularly in the first six months, NOSENKO materially assisted the interviewer by preparing approximately sixty memoranda on such diverse subjects as his life, motivation for defection, individual cases, notes which he furnished to CIA in 1964, KGB organization, and KGB officer and agent personalities. As an example of the scope of this work by NOSENKO, four of the memoranda included remarks concerning approximately <sup>0%</sup>[875] KGB officers, <sup>0%</sup>[100] KGB agents, 35 GRU officers, and <sup>0%</sup>[400] other Soviet nationals. These lists were alphabetically arranged and the above indicated cooperation of NOSENKO has materially assisted in the organization and evaluation of information furnished by him during current interviews.

Copies of transcripts of interviews with NOSENKO and related memoranda have been disseminated to the FBI and the CI Staff. Special Agent Elbert Turner and Special Agent James Wooten of the Washington Field Office/FBI in particular have given great assistance in research and compilation of new or additional information and the FBI has interviewed or reinterviewed a number of United States citizens concerning whom NOSENKO has furnished pertinent information.

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In addition, three professionals from the SB Division have reviewed the current information and assisted in the retrieval of previous information from NOSENKO and collation of current information with previous information. The latter is a tremendous task because of the volume of material; the number of individual cases involved; and the extensive information in regard to KGB personalities, procedures, organizational structure and activities.

The SB Division also provided the services of an expert translator to translate the tapes of the 1965 interrogation of NOSENKO by Petr DERYABIN and one of the previously mentioned three professionals completed a new translation of the 1962 interviews with NOSENKO. In addition, transcriptions of certain other particularly pertinent previous interviews of NOSENKO have been completed by the Office of Security.

Approximately 7000 pages of transcripts and related material have been compiled and disseminated since late October 1967. Comments concerning the value of the information contained in the above material are contained in another section of this summary. As of the present time, a complete analysis is not possible since a considerable portion of the material has not been fully processed. In the preparation of this summary all areas of major significance have been examined. Because of the voluminous information, all analytical and collation work has not been completed; but it is not considered that, based on all

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available information, the remaining work will materially affect the conclusions drawn in this summary.

The polygraph interview of NOSENKO was initiated on 2 August and concluded on 6 August 1968. Approximately sixty questions of a pertinent nature were included in the polygraph interview. No problems were encountered during the polygraph interview and no additional testing of NOSENKO is anticipated. Attached is a copy of the self-explanatory report on the results of the polygraph interview.

Interviews with NOSENKO have continued since the polygraph interview on a temporarily reduced scale in order to permit a review of previous information and preparation of this summary. There is no doubt that future interviews with NOSENKO will reveal information of intelligence value, but information developed thus far will permit a decision in the case of Yuriy Ivanovich NOSENKO.

Attachment:  
12 Aug 68 Polygraph Rpt

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TO : Chief, Security Research Staff  
FROM : Interrogation Research Division  
SUBJECT : Yuriy Ivanovich NOSENKO

12 August 1968

IRD # 67491

IDENTIFYING DATA

Subject is a 40 year old former KGB Staffer who defected to the U.S. in 1964 in Geneva.

BACKGROUND

Mr. Bruce L. Solie of the Security Research Staff has been debriefing and interrogating Subject since October 1967 in order to resolve the issue whether Subject was a dispatched agent of the KGB. He has conducted a vast amount of research and checking with sources in an effort to establish the veracity of Subject's statements.

PURPOSE

The primary purpose of the polygraph test was to determine:

1. Whether Subject was a dispatched Agent of the KGB;
2. Whether Subject had intentionally given Mr. Solie any false information.

PROCEDURE

Subject was given a polygraph examination on 2 August 1968 at a safesite in the vicinity of Washington, D.C. The examination was conducted in the English language. Subject's comprehension and the ability to express himself in English was completely adequate for purposes of polygraph testing. Subject was completely cooperative in all respects. Subject displayed no evasiveness and appeared to be completely frank whenever he was questioned or gave information on a topic.

The following relevant questions were asked during the first test:

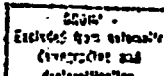
Is your true name Yuriy Ivanovich NOSENKO? Yes.

Were you born in the year 1927? Yes.

Besides the Americans, did you tell anyone else about your intention to defect? No.

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Did you ever tell anyone in the KGB about your contact with American Intelligence? No.

Were you given instructions by the KGB to get in contact with American Intelligence? No.

Were you told by the KGB to defect in order to carry out an Intelligence mission? No.

The following relevant questions were asked during the second test:

Did the KGB actually send a communication for your recall to the USSR on the day of your defection? No.

Were you acquainted with CHEREPANOV? Yes.

Did you actually travel to Gorkiy in November 1963 to hunt for CHEREPANOV? Yes.

Are you deliberately withholding from us any information about the KGB recruitment of Americans? No.

Does the KGB have METKA and NEPTUNE 60? Yes.

Were you the responsible Case Officer for John Abidian in 1960-61? Yes.

Do you know the true name of ANDREY or SASIA? No.

Did you ever have tuberculosis? Yes.

The following relevant questions were asked on test three:

Did you serve in Navy Intelligence from 1951 to 1953? Yes.

Was <sup>06</sup>SHUBIN in the USSR during the period 1957 to 1959? Yes.

To the best of your knowledge, were you in the Seventh Department at this time? Yes.

Did you telephone the GRU about <sup>06</sup>SHUBIN at this time? Yes.

To the best of your knowledge, was POPOV compromised because of the letter Mr. Winters mailed? Yes.

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To the best of your knowledge, was TIKHOVSKY exposed to the KGB because of the mass surveillance on the British Embassy? Yes.

Was there any misleading information in the notes you brought out from the Soviet Union? No.

Did you intentionally exaggerate your personal association with GRIBANOV? No.

Are you hiding any adverse information about your background? No.

Subject's polygraph test reflected no significant responses indicative of deception regarding the relevant questions asked. No further polygraph tests were administered on this date because the examiner did not want to run the risk of fatigue setting in and thus possibly causing adrenalin exhaustion.

Polygraph testing was resumed on 6 August 1968. The following relevant questions were asked on test four:

Did you join the KGB in March 1953? Yes.

Were you a KGB officer from 1953 to 1964? Yes.

Were you a Deputy Chief of the Seventh Department? Yes.

Were you only a Captain at this time? Yes.

Were you an officer in the U.S. Embassy Section from March 1953 to May 1955? Yes.

In 1958 and 1959 were you the Deputy Chief of the American-British-Canadian Section in the Seventh Department? Yes.

From January 1960 to December 1961 were you the Deputy to the Chief of the First Section of the First Department? Yes.

From January to July 1962 were you the Chief of the First Section of the Seventh Department? Yes.

Were you an officer in the First Section, First Department, SCD, at the time of the Stalingrad operation against [Benson, Mule] and [Stroud]? Yes.

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The following relevant questions were asked on test five:

Since 1953 do you know of any other KGB recruitments in the American Embassy besides ANDREY and <sup>06</sup>HOWARD? No.

Did the KGB know about the notes you brought <sup>06</sup>? No.

Have you told us the complete truth about your KGB career? Yes.

Did you intentionally exaggerate your personal involvement in cases in 1962 and 1964 in order to mislead us? No.

Did you intentionally give us any false operational information? No.

Did GRIBANOV offer you the position of Deputy Chief of the First Department? Yes.

Was an order actually prepared promoting you to Deputy to the Chief of the First Department? Yes.

In early 1960 did GRIBANOV tell you that your primary responsibility was to work against American Code Clerks? Yes.

Other than you mentioned, are you hiding any other reasons for your defection? No.

Are you deliberately withholding any information on any foreigners recruited by the KGB? No.

The following relevant questions were asked on test six:

Did you enter the KGB through the influence of General BOGDAN KOZULOV? Yes.

Did you succeed BAKHVALOV as Deputy Chief of the First Section? Yes.

Did GRYAZNOV succeed you as Deputy Chief of the First Section? Yes.

Were the CHEREPANOV papers passed to the Americans with KGB knowledge? No.

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To your knowledge was there any misleading information in the  
CHEREMENOV papers? No.

Did you ever personally meet GOLITSYN? No.

Was there a cable sent to Geneva for you to assist ARTYEMEV  
in the BELITSKIY case? Yes.

Did you personally make an approach to <sup>06</sup>[KATSEAS] at the Moscow  
Airport? Yes.

The following relevant questions were asked on test seven:

Did you actually review the KGB file on OSWALD? Yes.

Did LEE HARVEY OSWALD receive any KGB training or assignments?  
No.

Were there any microphones installed in the North Wing of the  
U.S. Embassy in Moscow? No.

Was the review of microphone reports one of your duties in  
1960-61? Yes.

Are you withholding any information known to you concerning  
KGB microphones or electronic activity against the U.S.  
Embassy? No.

Before your official transfer to the Seventh Department did  
you read the surveillance report on the visit of ABIDIAN  
to PUSHKIN street? Yes.

Did you personally conduct a certain investigation of SHAKOV  
in 1962 in Geneva? Yes.

Was the rank of Lieutenant Colonel on your travel document  
to GORKIY only a mistake by KASHPEROV? Yes.

The following relevant questions were asked on test eight:

While in the U.S. Embassy Section did you obtain a typewriter  
for BORODIN for the preparation of a letter to Edward Ellis  
SMITH? Yes.

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Page 6

Did you read the official report of KOSOLAROV on his contact with VERNER on a train from Helsinki to Moscow? Yes.

Are you intentionally withholding any information concerning KGB knowledge of CIA personnel in Moscow? No.

Is there any possibility that the KGB would dispatch an officer to defect to the Americans? No.

Subject's polygraph test of 6 August likewise reflected no indications of deception.

CONCLUSION

Based solely on the overall analysis of Subject's polygraph tests, it is the opinion of the undersigned that the Subject has been substantially truthful in answering the relevant questions asked.

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III. ANALYTICAL COMMENTS CONCERNING THE BONA FIDES

OF YURIY IVANOVICH NOSENKO

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downgrading and  
declassification

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ANALYTICAL COMMENTS CONCERNING THE BONA FIDES OF

YURIY IVANOVICH NOSENKO

As indicated in the introduction to this summary, information in regard to Yuriy Ivanovich NOSENKO will be considered against an arbitrary but realistic list of areas considered pertinent to the question of whether NOSENKO voluntarily defected to this Agency without KGB knowledge, and whether his 1962 and early 1964 contacts with representatives of this Agency were known to the KGB.

It was noted that motivation and certain other pertinent aspects would also be considered but that his admitted previous lies and exaggerations would not per se warrant a conclusion that NOSENKO is not a "bona fide defector."

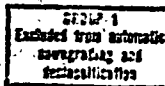
The following is a list of the areas considered pertinent and which are being given specific consideration. Attached is a separate section containing remarks in regard to the designated areas of A - H.

A. Is NOSENKO identical to the person whom he claims to be?

B. Is the claimed KGB career of NOSENKO plausible?

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- C. Has NOSENKO given an acceptable explanation of his motivation in contacting CIA in 1962 and for his defection in 1964?
  - D. Is the information furnished by NOSENKO to CIA concerning KGB operations, personalities, and organization reasonably commensurate with his claimed KGB career?
  - E. Can the information furnished by NOSENKO be considered in toto as having resulted in material damage to the KGB and/or has the information furnished by NOSENKO been of significant benefit to Western Intelligence?
  - F. Is there evidence of KGB deception or "give away" in information furnished by NOSENKO which would warrant a conclusion that NOSENKO was dispatched by the KGB?
  - G. Is there evidence of a political or any other type objective which could justify a dispatch of NOSENKO by the KGB with permission to speak freely to CIA concerning his knowledge of the KGB and without NOSENKO being given a specific mission or missions?

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H. Is there any evidence that the contacts of NOSENKO in 1962 or in 1964 with CIA were known to the KGB prior to his defection or that NOSENKO was ever briefed by the KGB relative to his behavior or KGB objectives during these contacts or after his defection?

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A. IS NOSENKO IDENTICAL TO THE PERSON

WHOM HE CLAIMS TO BE?

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downgrading and  
declassification

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A. Is NOSENKO identical to the person whom he claims to be?

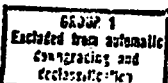
During interviews NOSENKO has furnished detailed information in regard to his family, his activities as a youth, the schools he attended, associates of his father and mother, and his own associates. The period under consideration in this section is the period preceding his entry into the First Department, Second Chief Directorate, MVD, in mid-March 1953.

Information furnished by NOSENKO concerning his father and mother and his early life, together with other information such as a comparison of photographs of NOSENKO and a photograph of his father and confirmed travel of his mother to Western Europe in 1956 with Madame KOSYGINA, conclusively establish that he is Yuriy Ivanovich NOSENKO, the son of Ivan Isidorovich NOSENKO, the Minister of Shipbuilding in the USSR prior to his death in 1956. This is also satisfactorily supported by personal-type information furnished by NOSENKO concerning other associates of his father and mother.

Since, as indicated above, there is considered to be no doubt that Yuriy Ivanovich NOSENKO is the son of the former Minister of Shipbuilding, a detailed study of his life prior to 1945 (age 18) is of

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little or no value in assessing the bona fides or non-bona fides of NOSENKO. An expose of his youthful indiscretions, of which he has admitted a number, is of no import in a discussion of whether NOSENKO was or was not dispatched by the KGB. Obtaining any collateral first-hand information in regard to NOSENKO before 1945 would be of negligible value, but there actually is supporting information from Nikolay ARTAMONOV, a defector from the Soviet Navy, concerning the claimed attendance by NOSENKO at a military-naval preparatory school in Leningrad.

NOSENKO, during current interviews, has stated that he graduated from the Institute of International Relations in 1950 and had attended the Institute since 1945. He has explained that he should have graduated in 1949 since it was a four-year course, but failed the final examination in Marxism and therefore was required to attend the Institute for a longer period of time and again take his final examinations.

Based on information furnished by NOSENKO concerning co-students and the Institute, there is no reason to doubt that he actually attended and graduated from the Institute of International Relations in 1950. The previous controversy in this matter was complicated by NOSENKO who, in 1964 after his defection, stated in a biography that he had graduated from the Institute in 1949. Actually this statement

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by NOSENKO in 1964 resulted in conflicting information since NOSENKO on 9 June 1962 during his first contact with CIA had stated that he "completed the Institute of International Relations in 1950." NOSENKO has given the explanation that he changed the date of his graduation to 1949 because he did not wish to admit that he had failed to graduate in 1949. NOSENKO explained that this change in his date of graduation caused him to pre-date his actual entry into Navy Intelligence to 1950 instead of 1951 and his actual entry into the KGB from 1953 to 1952.

The above action by NOSENKO is included in what NOSENKO has characterized as his "stupid blunders." The latter is a rather apt characterization of his now admitted lies and exaggerations but is not evidence that NOSENKO was dispatched by the KGB. It is evidence of a certain personality trait of NOSENKO who has in the past by his own admission tended to enhance his importance and astuteness by graphically portraying his personal participation in KGB activities concerning which he had knowledge but did not personally participate.

The claimed service of NOSENKO in Navy Intelligence during March 1951 to early 1953 in the Far East and the Baltic areas has been seriously questioned in the past. Specific comments on this period of

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time are contained in a separate section of this summary, but it is considered that the recent interviews of NOSENKO satisfactorily substantiate his claimed service in Navy Intelligence during March 1951 to early 1953.

Attached is a typed copy of a handwritten memorandum completed by NOSENKO on 31 October 1967. This is a biographical statement concerning his life and KGB career. No effort has been made to correct grammatical errors or spelling since to do so would be in conflict with the manner in which current interviews were conducted; namely, to give NOSENKO an opportunity to recount his life and activities to permit a re-examination of the entire case. The comprehension and fluency of NOSENKO in the English language was adequate for interview purposes in October 1967 and both have materially improved since that time.

Interviews of and memoranda prepared by NOSENKO since 31 October 1967 have not indicated any material discrepancies with the statements of NOSENKO in the attached memorandum. One change that has been made by NOSENKO is that he now dates his transfer from the First Department, Second Chief Directorate (SCD), KGB, to the Seventh Department, SCD, as occurring in the latter part of May 1955 rather than June - July 1955 as indicated in the attached statement. NOSENKO also now dates the period in which an unsatisfactory "characterization"

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(personnel evaluation) was prepared on NOSENKO in March - April 1955 rather than May - June 1955. Since the unsatisfactory personnel report was directly related to his transfer to the Seventh Department, neither of the above changes are considered to be of a significant nature. An effort has been made during current interviews to differentiate between errors due to faulty memory and discrepancies indicative of deception by NOSENKO.

Attachment:  
31 Oct 67 Memo

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Operational Memo # N-2

SUBJECT: NOSENKO, Yuri Ivanovich

The following is a typed copy of a handwritten memorandum furnished by Subject on 31 October 1967, following a request on 30 October 1967:

I, NOSENKO, George, was born 30 October 1927 in the city Nicolaev, Ukraine.

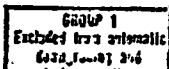
My family: the father - NOSENKO, Ivan, b. 1902, was working at the shipbuilding plant and studied at the shipbuilding institute, which he finished in 1928; the mother - NOSENKO, Tamara (nee MARKOVSKI), b. 1908, a housewife; the brother - NOSENKO, Vladimir, b. 1944, a student.

In September 1934 I began to study in the school (0 class) but studied a short period of time because in October with the mother went in Leningrad where the father was working at the shipbuilding plant, "Sudamech" from summer 1934. In Nicolaev I was living at the Street Nicolski 7. All relatives of my family were living also in Nicolaev.

In Leningrad I was living with parents in three places till 1938: at the Street Stachek (1934 - summer 1935), St. Canal of Griboedov, 154 (1935-1938), St. M. Gorky (short period in 1938). From 1935 till

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1938 I studied at the schools, which were close to my places of living. In 1938 the father began to work in Moscow and soon I with the mother went to live in Moscow in the end of this year.

In Moscow we were living at the St. Serafimovich, 2. Here I was continuing to study at the school 585 (St. B. Polianka). In 1941 I finished 6th class and went with parents to rest to the south (Sochi) but soon began the war and we returned in Moscow.

In October 1941 I with my mother went in the evacuation in Cheliabinsk (Ural), where I finished 7th class in spring 1942. In Cheliabinsk I lived in the poselok ChTZ, being there I tried to run to the front with my playfellow BUSKO, but we were caught and returned home. In 1942 (summer) I went with the mother in city Gorki and in July-August we returned in Moscow.

In August I entered in the Moscowite military-navy special school, which was evacuated in Kuibyshev, where I finished 8th class in summer 1943 and after that I arrived on a leave in Moscow. This school must be evacuated from Kuibyshev in Achinsk (Siberia) and I did not want to go there. With the help of father I was accepted in the Baku's military-navy preparatory school and in August went in Baku, where I was studying at the second course (9th class). In this school I twice tried to be sent as a volunteer to the front but failed. Soon

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after that I run with a friend (RADCHENKO) home in Moscow (January 1944). In Moscow I studied at the courses (Russian word), finished 9th class and was accepted again in the military-navy preparatory school, which was located in Leningrad. In August of 1944 I went in Leningrad.

All cadets of this school were sent to forest (about 200 km. from Leningrad) to prepare wood for winter, where we have been two months. In November I wounded by chance the left hand and was put in the navy hospital. When I was in the hospital I decided not to return in the school but to finish 10th class in Leningrad about what I have written a letter to my father asking his help and agreement with such my decision. With the help of the father's friends I quited with the school and entered in the shipbuilding college on the second course in January 1945 and studied there till the end of May. The WWII finished and I decided to return to Moscow. The director of the shipbuilding college had given me a document that I studied in this college at the second course and finished this course (though I was not passing exams). In Leningrad I was living in the hostel of this college (St. Tolmachev).

In May 1945 I arrived in Moscow and was living with parents (St. Granovski, 3).

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In summer 1945 there was created the institute of the international relations in Moscow and in July I entered in this institute.

In July my father went in Germany with the group of engineers and he took me (I received a temporary rank of a senior lieutenant, documents and a uniform).

In 1945-1950 I studied at the institute. In 1946 I acquainted with a girl - Shishkov FLAVIA, student of the medicine institute. I was in close relations with this girl, because of the pregnancy I married her and she made an abort. My parents were against the marriage and we did not live together and we soon divorced. In the end of 1946 I was acquainted with Telegin AUGUSTINE and was going to marry her, received a flat in 1947 (St. Mira - former 1st Uecyehckad, 162/174). In November her father, General TELEGIN, was arrested, but I married her. The marriage was not successful. I found out about her close relations with the brother, and the child-girl was born with pathological changes. I was not the father of this child. After that I broke with her and we were living separately (end of 1948 - beginning 1949).

In spring 1950 before state exams in the institute was working the commission, which was dealing with future works of the students of my 5th course. I expressed a wish to work in any military organization

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and soon I was invited to visit personnel department of MGB (Ministry of State Security). But MGB did not accept me. After that with the help of the father I began to deal with the personnel department of the intelligence of the ministry of military navy concerning my future work.

Passing state exams I failed Marxism-Leninism and with a group of fails I was passing state exams once more. In October 1950 I finished the institute and received a diploma.

I was accepted in the navy intelligence in the 13 of March 1951 and in March 17 went by a train to Soviet Harbour (intelligence of 7th Fleet, as an interpreter of the information department). Before going to the Far East I began my divorce with the former wife.

At the end of April 1952 I went on a leave in Moscow. Immediately after returning in Moscow I had a blood cough out. In the middle of May I went to a tuberculous sanatorium not far from Moscow. In July I finished my treatment and returned in Moscow. Because of the health I could not return back to the Far East and the personnel department of the navy intelligence sent me to Baltic Sea (as a senior interpreter of the navy intelligence point of the intelligence of 4th Fleet - in Sovietsk, Kaliningrad's district).

When I studied at the institute I as all the students received a rank of junior lieutenant of administrative service after finishing the

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second course in 1947. In 1951 the ministry of navy had given me also the rank of junior lieutenant when I was accepted in the navy intelligence. In September-October 1952 I received a rank of lieutenant.

In Sovietsk the work was not interested and for me it was nothing to do. Besides this the climate was not good for my health and I decided to change the job. With this purpose before new year at the end of 1952 I took a leave and went to Moscow. January 1 I was with my parents at the evening party at the cottage of General MGB KOBULOV, whom I did not know before, but I knew his son-in-law Vahrushev Vasili - a former student and my friend. I told him about my job and that now I was thinking about change of the job. KOBULOV was speaking with me on this theme and propose we work and his help in MGB, but nothing more definite was said about my work. This month I reported to the head of the personnel department of the navy intelligence KALOSHIN about my decision and that I will be working in MGB.

In the end of January I went again in the tuberculous sanatorium, where I was in 1952. In the days of funeral of STALIN I has come to Moscow and visited the ministry where my father was working. There I have seen General KOBULOV who has come to the father and he said that he would settle my question concerning my job. After several days in the middle of March I have received a telephone call from MVD to

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come to KOBULOV. There I have spent about two hours in the reception room of KOBULOV, but he was too busy and his assistant SAVITSKI sent me to the Deputy of the Chief of the Second Directory SHUBNIAKOV, who told me that there was signed an order and I was accepted in the 1 department of 2 Chief Directory as a case officer. SHUBNIAKOV invited the deputy of the chief of 1 department GORBATENKO (who was acting as the chief of 1 Department because the chief of the department KOSLOV, Anatoli, was appointed to the special department of extraordinarily affairs (investigation) ). SHUBNIAKOV and GORBATENKO said to me that I would be working in the 1 section of the department. Then I with GORBATENKO went to the 1 department, was acquainted with the chief of section KOSLOV, Veniamin. KOSLOV told me that I will be working against the American correspondents, showed me room, my desk and acquainted with the officers, who were working in this room: KUTIREV, RACOVSKI, GROMOV and TORMOSOV. The last officer must give files on the correspondents and agents. I was said to come next day and began to work.

When I was resting in the tuberculous sanatorium I acquainted with KOJEVNIKOV, Ludmila, a student of the Moscowite University, and in June 1953 we married. Before it I was living with my parents at St. Gorky, 9, but after marriage was living with the wife at

St. Serafimovich, 2 (the flat of her parents). In 1955 I received a flat at St. Narodnya, 13, where was living with my family.

In 1954 I contracted a disease (gonorrhea) and on the advice of the friend IVANOV went to medic point at St. Negliunya. Doctors asked to show a document, I had with me only MVD certificate and an operative passport and showed them the passport. Doctors had given me a treatment, after that twice they made tests and asked to come once more, but I did not come. They wanted to see once more and sent a letter to the place of work, which was written in the passport. The plant with MVD found out about it. The deputy of the chief, SHUBNIAKOV, was speaking with me. I had written my explanation, and punished by the chief of the 2 directory, FEDOTOV - 15 days of arrest. The komsomol's organization also punished me. I received a strict reprimand and was freed of the head of komsomol's organization of the 2 chief director.

I was a member of komsomol's organization from October 1943. In the end of 1954 before leaving komsomol (because of age) the komsomol organization of KGB took off this strict reprimand.

In 1955 on all officers of the 2 chief directory were written characterizations (May-June). In my characterization was written that I did not appropriate to the 1 department 2 chief directory. In June-July I was appointed to the 7 department 2 chief directory as a case

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officer of 2 section. This section was new created (the work against tourists). The chief of 7 department - PERFILEV, the chief of the 2 section - GUSKOV.

In 1956 I was accepted as a candidate in the Communist Party, soon received a rank of a senior lieutenant and got a promotion - a senior case officer.

In 1957 I was accepted in the Party as a member.

In August 1956 my father died.

In 1957 or 1958 I was promoted a deputy chief of 2 section. In 7th department I was working till 1960 and in January 1960 was sent to work as a deputy chief of the 1 section in the 1 department 2 chief directory (chief of the 1 department, KLIPIN, Vlad., chief of the 1 section - KOVSHUK).

My family was consist of the wife and two daughters: Oksana, born in 1954, and Tamara, born in 1958. Oksana was ill (bronchial asthma) from 1957 and almost every year till 1963 2-3 months was in hospitals. In 1960 I was thinking about change (temporary) place of living and there was a possibility to go to work in 2 departments KGB in Lvov and Odessa. But there was another question if I go from Moscow I would lose the flat in Moscow. At this time the chief of the section of 2 department, PIATROVSKI, proposed to me to go to work in Ethiopia

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(counter-intelligence work among Soviet specialists in Ethiopia). The chief of 2 chief directory agreed and the question was almost decided but in the last moment the personnel department of KGB did not agree. The reasons were the case of 1954 (illness and use of the passport for "cover) and a checking in the place of my living (some of agents report that drink and on this base have quarrels with the wife).

I was working in the 1 department till 1962. In January 1962 I was appointed again in the 7 department as the chief of the 1 section (work against tourists from the USA and Canada).

In December 1959 I got a rank of a captain.

When I began to work in the 7 department I knew that soon I must be promoted a deputy chief of the department, when would free a place - the deputy chief of department BALDIN was preparing to go to work in eastern Germany.

In July 1962 I was appointed the deputy chief of 7 department (the chief of the department was CHELNOKOV) and here I was working till January 18, 1964.

During my work in MVD-KGB I did not study in any school, only in 1953-1954 was visiting courses of foreign languages of MVD-KGB at St. Kiselni.

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Five times I was sent abroad: In 1957 I was in England with a sport delegation; in 1958 was again in England with a sport delegation; in 1960 I was in Cuba with a delegation of specialists of nickel industry; in 1961 I was sent in Bulgaria with the aim to help to 1 department 2 directory MVD; in 1962 I was in Switzerland - the conference of disarmament.

Working in MVD-KGB every year I had leaves for rest. In 1953 with the wife I was resting in the tuberculous sanatorium. In 1954 I was with the family at the cottage. In 1955 I was resting at the cottage. In March 1956 I was resting with the wife in Karlovi Vary, Czechoslovakia. In 1957 I was in Leningrad two weeks with the wife and then rested at the cottage. In 1958 I was resting at the cottage. In 1959 I with the wife rested in Sochi. In January-February 1960 I rested with the wife in Kislovodsk. In 1961 - August - I rested with the wife and daughters in Nicolaev. In October 1962 I rested with the wife in Sochi. In July 1963 I rested with the wife and daughters in Anapa.

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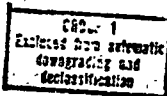
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B. IS THE CLAIMED KGB CAREER OF NOSENKO PLAUSIBLE?

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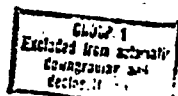
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B. Is the claimed KGB career of NOSENKO plausible? In the past the theory has been advanced that NOSENKO was never an officer in the KGB. Information of a detailed nature from NOSENKO concerning the KGB, particularly the Second Chief Directorate, has been so extensive as to invalidate any contention that he was not a KGB officer.

It is considered that NOSENKO was a KGB officer in the claimed Departments during the claimed periods of time and served in the claimed positions in each Department. It is interesting to note that NOSENKO has not materially varied in his statements in regard to the above since his original contact in June 1962 (with the exception of his change to 1952 as date of his entry into the KGB and then later reverting to the date given in 1962). There have been some variations in dates of a minor nature, as indicated elsewhere in this summary, but these are of month or day of transfer from one Department to another and not considered critical or evidence of deception. NOSENKO has admitted previously giving false information in regard to rank and medals, but his basic story concerning

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his KGB career today is not significantly different from the fragmentary version he gave in June 1962.

Basically the following is now considered to have been the KGB career of NOSENKO:

Mid-March 1953 - late May 1955, First Section,

First Department, SCD

Late May 1955 - December 1959 (1958 - December

1959 - Deputy Chief of Section) Seventh

Department, SCD

January 1960 - December 1961, Deputy Chief of

Section, First Section, First Department,

SCD

January 1962 - July 1962, Chief of First Section,

Seventh Department, SCD

July 1962 - January 1964, Deputy Chief of Seventh

Department, SCD

(NOTE: The term Deputy Chief is being used throughout this summary, but the better terminology probably is "Deputy to Chief." The position of "Deputy Chief" in United States Government parlance, including CIA, is not synonymous with the term "Deputy Chief" as used

in Soviet organizations and more specifically in the KGB. As an example, a Chief of Department in the KGB or the Chief of a Residentura abroad may have 2, 3 or even 4 deputies, one of whom is given the title of First Deputy. This particular deputy acts in the absence of the Chief of Department and in general has supervisory functions over all the Department sections. The exception to the latter is when the Chief of Department retains direct supervision over what he may consider the most important section. Other deputies have supervisory functions only over designated sections or organizational components.)

During current interviews and in prepared memoranda, NOSENKO has furnished detailed information which it is considered substantiates his claimed positions in the KGB. Detailed remarks on these topics are contained in separate sections of this summary.

It is realized that GOLITSYN, although confirming that NOSENKO was a KGB officer in both the First Department and Seventh Department, SCD, has stated that NOSENKO remained in the First Department until circa 1958 and that NOSENKO was not Deputy Chief of the First Section, First Department, in 1960. It is impossible to correlate this information with the above indicated opinion that NOSENKO left the First Department in late May 1955 and was Deputy Chief of the First Section, First Department, in 1960, nor is an adequate explanation of these variances available

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at this time. On the other hand, it is not reasonable that NOSENKO would lay claim to the title of Deputy Chief of the First Section, First Department, if this were not true when he clearly knew of the visits of GOLITSYN to the First Section in 1960 - 1961 and of his conferences with officers closely associated with NOSENKO at that time.

NOSENKO has also mentioned a number of officers of the SCD or former officers of the SCD who transferred to the FCD with whom he was personally acquainted and who were also known to GOLITSYN. A number of these officers were officers from whom GOLITSYN has stated he obtained certain information or through whom he became aware of certain activities including Vladislav M. KOVSHUK, Gennadiy I. GRYAZNOV, Vladimir Ivanovich PETROV, Yuriy I. GUK, Vladimir A. CHURANOV, Yevgeniy GROMAKOVSKIY and Vadim V. KOSOLAPOV.

The statement of NOSENKO that although he had heard of GOLITSYN he had never personally met GOLITSYN, stands in conflict with the statements of GOLITSYN that he, GOLITSYN, had met and talked with NOSENKO in the SCD in the late 1950's. The description of GOLITSYN of this meeting is that of a casual encounter in the halls rather than a specific office visit. In light of this, the absence of any reason why NOSENKO from his point of view should remember such an encounter and the absence of any reason for NOSENKO to lie on this

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issue, it is eminently reasonable to conclude that the encounter took place but that NOSENKO simply has no recollection of it. There is no reason to attach significance to this lapse of memory.

The previous opinion that NOSENKO did not hold the claimed position of Deputy Chief, First Section, First Department, during 1960 - 1961 has had the most merit in the controversy over his statements relative to his KGB career. This particular aspect will be covered in detail in another section, but of note at this time is the controversy over what duties the position of Deputy Chief of Section in the SCD, KGB, entails or does not entail. It is a fruitless exercise to attempt to judge whether NOSENKO was Deputy Chief of the First Section in 1960 - 1961 on the basis of whether his knowledge of the total activities of the First Section was commensurate with the knowledge of a Deputy Branch Chief in CIA in regard to the activities of the entire Branch.

Whether NOSENKO was a Deputy Chief of Section in the SCD, KGB, must be judged on the basis of what were the duties of a Deputy Chief of Section in the SCD and in particular what were his duties in the particular assignment. The organizational structure of the KGB may or may not have some similarities to the organizational structure of CIA, but any similarities are surely not such as to permit a judgment

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as to whether NOSENKO held a certain claimed position on the basis of a comparison of his activities and responsibilities with that inherent in a somewhat similar position in CIA.

One of the most important differences between United States agencies or organizations, including CIA, and the bureaucratic structure of agencies or organizations in the USSR, including the KGB, is the salary structure. Pay of a KGB officer is based on military rank and on actual position held with an additional percentage increase for longevity and language qualification. Actual position held is important from a monetary viewpoint in addition to the prestige. As an example, the difference in monthly salary between a captain and a major is twenty rubles and the difference in salary between a Senior Case Officer and a Deputy Chief of Section is also twenty rubles. An increase in military rank alone has limited pay advantages, as for example a Lieutenant Colonel who is only a Senior Case Officer receives less pay than a major who holds the position of Chief of Section.

During current interviews, an effort has been made to obtain from NOSENKO statements concerning his responsibilities in the various claimed positions. The judgment on whether he held or did not hold the various claimed positions, in view of the absence of any factual

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supporting or refuting information, has necessarily been based to a considerable degree on the logic of the statements made by NOSENKO. Admittedly this is not the most satisfactory way of resolving the questions, but it is the only method possible at this time.

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C. HAS NOSENKO GIVEN AN ACCEPTABLE EXPLANATION OF

HIS MOTIVATION IN CONTACTING CIA IN 1962

AND FOR HIS DEFECTION IN 1964?

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Excluded from automatic  
downgrading and  
declassification

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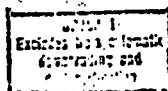
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C. Has NOSENKO given an acceptable explanation of his motivation in contacting CIA in 1962 and for his defection in 1964? Of the eight listed categories which are being given specific consideration in the matter of the bona fides of NOSENKO, this category is probably the most difficult in which to present a logical position with factual support. There are too many intangible aspects involved and although motivation is an important factor, full resolution of the motivation problem is not a paramount factor in deciding whether NOSENKO is or is not a dispatched agent. NOSENKO could have contacted this Agency in 1962 and defected in 1964 without KGB knowledge and yet even at this late date have failed to disclose some important events of a personal nature which actually were important ingredients in his ultimate decision. Defectors are humans and have at least the normal reluctance to admit unfavorable information which they consider of a personal nature.

On 31 October 1967 NOSENKO, following a request, furnished a handwritten memorandum on the topic of his motivation, a typed copy of which is attached. The memorandum, although not grammatically correct, is quite understandable and is worthy of review. The tenor of the memorandum is one of increasing disillusionment with the Soviet regime.

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NOSENKO and others of his generation have lived in a Soviet society throughout their entire lives. The environment is an important factor of influence in the life of an individual and true disillusionment is at best usually a gradual process in which many factors, some recognized and some not recognized by the individual, have played a role in varying degrees.

NOSENKO, until 1955 and possibly until the death of his father in August 1956, could be compared to the profligate son of wealthy parents in the United States who finally graduates from college and obtains employment perhaps in the firm of his father without actually earning any of the luxuries he has enjoyed. The father of NOSENKO was not only wealthy by Soviet standards but also held a high government position. The influence of his father and the name of his father undoubtedly was an important if not the most important factor in NOSENKO even being permitted to enter the Naval RU and the KGB even though NOSENKO is particularly reluctant to admit, perhaps even to himself, that this was the primary reason.

The above should not be construed as any reflection on the actual intelligence of NOSENKO, but rather as an explanation of how NOSENKO could have even entered the Naval RU and KGB. His

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performance in both prior to 1956 by his own admission was such that he probably would have been summarily terminated if he had not been the son of the capable, respected Minister of Shipbuilding.

If a certain amount of speculation is permitted, the disillusionment of NOSENKO, who lost many personal advantages following the death of his father including a personal automobile, may have actually started soon after the death of his father. That NOSENKO is undisciplined is supported by his admissions relative to his life in the USSR and his behavior both in 1962 in Geneva and for a period of time after his defection in 1964. NOSENKO was addicted to women, liquor, and the material things which can be purchased with money or obtained through influence.

A question has been previously raised regarding his motivation in contacting CIA in 1962, particularly his statement that he needed money and would sell "two pieces of information." NOSENKO has stated that he wanted to make a contact with the Americans, that he was not emotionally ready to defect, but that he subconsciously believed that if he made a contact he would be making an ultimate commitment from which he could no longer retreat.

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NOSENKO has stated that he gave considerable thought to the best way to contact the Americans so that he would be believed and not rejected and came to the conclusion that he would offer to sell some information. NOSENKO stated that he thought if he approached the Americans stating he was a "KGB counter intelligence officer who wanted to give information," he would not have been believed and would have been peremptorily rejected. NOSENKO stated he had difficulty deciding how much money to ask for and how to make the approach, but finally decided to do it through <sup>06</sup>David Mark whom the KGB considered was with American Intelligence.

The above statements by NOSENKO are not in conflict with the record. NOSENKO did offer to sell "two pieces of information," almost immediately gave more information, made no significant demands for money, and in fact his price for "two pieces of information" was ridiculously low by American standards. NOSENKO has during current interviews stated, as he first stated in 1962, that he had spent excessive amounts of money in one or two riotous evenings. However, NOSENKO has during current interviews stated that he could have covered his expenditures by other means without receiving any money from the Americans.

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NOSENKO has stated that the night before his departure from Geneva to the USSR he gave serious thought to defection but was not emotionally adapted to defect at that time. Following his return to the Soviet Union, NOSENKO, during a period of time, made his final decision to defect at the first opportunity, realizing that it meant leaving his wife, children, and other members of his family in the USSR.

Some aspects of the motivation of NOSENKO are obscure and will probably so remain. It would be preferable if an exact detailed chronology of all the factors involved could be prepared or if even certain obvious factors could be accurately delineated. These are both impossible at this time and probably at any time in the future. What is important at this time is a decision as to whether the motivation of NOSENKO was based on personal reasons with no implications of KGB dispatch. It is considered that the explanation of NOSENKO concerning his motivation is acceptable and that his statement that no one except the Americans was aware of his contacts with the Americans in 1962 or his intent to defect in 1964 is supported by other information of a collateral nature. (See Section III, H.)

Attachment:

Typed copy Memo from NOSENKO

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## Operational Memo # N-4

SUBJECT: NOSENKO, Yuri Ivanovich

The following is a typed copy of a handwritten memorandum furnished by Subject on 1 November 1967, following a request on 31 October 1967:

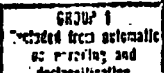
What were the motif and the reasons which have led me to the decision to break with the Soviet Russia? The only definite is an understanding of the situation in the Soviet Russia, the knowledge of the methods of the communist regime, the knowledge of the real foreign and interior policies of the Soviet government and the faith in the rightness of the free world.

It was not a decision which was accepted or could be accepted in a month or a year. This decision was slowly growing in me. I think that the beginning was in the studentship.

Living with my parents and being in the circles of the parents and my acquaintances I knew more than there was written in newspapers and periodics and that was propagandized by radio and TV. Working in the Far East and later being in trips in different regions and cities of Russia I found out much better the life and conditions of the life of the people of the Soviet Russia.

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When I worked 11 years in MVD-KGB I understood and found out very many things, details and the real deal of the existing regime, about methods of the work of MGB-MVD-KGB and about their doings, about hundreds of thousands of the people of Russia who were (and still are) considered "politically" dangerous and around whom was (and still is) going an active work of all organs KGB.

At the same time when I was several times abroad I have seen personally the so-called "decay" at the West. I have seen in reality how is living people.

Several times when I was abroad I was thinking about staying at the West and not returning in Russia, but only one thing was keeping me -- my family.

In 1962 in Switzerland I made the acquaintance with the Americans. From my part "the sell of the information" was a real show. I was thinking that they would not believe me otherwise. In that period of the time there was going a big struggle in me to stay abroad or to return home till the last days of living in Geneva and even when I was returning home in Vienna.

In 1962-1963 I decided definitely that I did not want and could not live more in the Soviet Russia. In this period of time I have done all my best to go as soon as possible abroad.

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It was not easy to make this decision, it was very difficult  
to leave the family for ever.

And now in spite of everything I do not regret.

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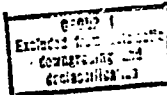
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D. IS THE INFORMATION FURNISHED BY NOSENKO TO CIA  
CONCERNING KGB OPERATIONS, PERSONALITIES,  
AND ORGANIZATION REASONABLY COMMENSURATE  
WITH HIS CLAIMED KGB CAREER?

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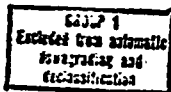
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D. Is the information furnished by NOSENKO to CIA concerning KGB operations, personalities, and organization reasonably commensurate with his claimed KGB career? The conclusion is that the information furnished by NOSENKO concerning KGB operations, personalities, and organization is more than reasonably commensurate with his claimed career in the KGB from mid-March 1953 to his defection in early February 1964.

In reaching the above conclusion, consideration has been given to his claimed departmental assignments and claimed positions in each department. Certain allowance has been made for faulty memory with consideration being given to whether there is any indication of deception or whether the failure to recall a particular item of interest can logically be attributed to the vagaries of the human mind. There is, of course, no accurate standard of measurement which would permit a positive determination as to whether inability to recall certain details or events is actually due to the fact that the human mind cannot recall all past events or could be attributed to willful deception.

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An effort has been made to determine if there are any particular patterns or areas where NOSENKO has indicated he did not recall specific matters or certain details, and no pattern or specific areas have been noted. NOSENKO, in fact, has an unusually good memory as evidenced by the extensive information furnished by NOSENKO purely from recollection. In addition, there has been no material reluctance on the part of NOSENKO to discuss his entire life, KGB officers he has known, KGB organization and procedures, or other topics of interest.

NOSENKO has furnished considerable detail concerning KGB officers whom he has known at various periods in his entire KGB career. He has been very consistent in information furnished and has frequently added certain details which he recalled at a later date.

Certain remarks will be made in another section in regard to the volume and scope of information furnished by NOSENKO. This information is not selective, but is an excellent indicator that NOSENKO was assigned to the First Department and Seventh Department, SCD, during the claimed periods of time and held the claimed positions. Consideration has been given to his various claimed KGB assignments in evaluating the information furnished in an effort to assess whether his indicated knowledge was commensurate with his claimed position during

a particular period of time or suggested the possibility that he did not occupy the position which he claimed to have held.

It is considered that information furnished by NOSENKO supports his claimed positions in the SCD. It has not been possible to substantially confirm through collateral sources that NOSENKO served in his claimed positions. Neither has it been possible to obtain from other sources an applicable description of the duties or responsibilities of an individual holding any of the positions NOSENKO claimed to have held after 1958. It is felt there can be no question that NOSENKO served in the capacities of junior case officer, case officer, and senior case officer during 1953 - 1957.

As regards the duties and responsibilities of a Deputy Chief of Section, Chief of Section, and Deputy Chief of Department, and whether NOSENKO held these various claimed positions, a considerable amount of personal judgment has been necessary. This personal judgment has been made in as judicial a manner as possible, with full knowledge that any opinion in regard to the above is largely dependent upon information from NOSENKO.

NOSENKO has compiled detailed diagrams of the actual offices he claims to have occupied and surrounding offices during the four primary periods of time: 1953 - 1955, 1955 - 1959, 1960 - 1961, and 1962 - 1963. He has prepared specific memoranda concerning his co-officers

and other personnel, and changes of personnel, as well as diagrams of the offices of the Chief and Deputy Chiefs of the SCD during 1956 - 1964. This material is internally consistent. Furthermore NOSENKO could not possibly have known that this detailed information could not immediately be checked for accuracy, at least in part, with a source or another officer who has defected since mid-1964. If these diagrams and memoranda were not relatively correct, NOSENKO, who is quite astute in matters of counterintelligence, would hardly have voluntarily prepared the material in such detail. This type of information is peculiarly adaptable for analysis by a knowledgeable source or by another defector and could, if not relatively correct, permit a rather positive conclusion that NOSENKO was lying or fabricating information.

NOSENKO has furnished quite specific information on KGB operations during the 1953 - 1955, 1955 - 1959, 1960 - 1961, and 1962 - 1963 periods of time. As might be expected, his specific knowledge is less for the 1953 - 1955 period; but his own personal situation and attitude until 1955 - 1956, which are mentioned elsewhere, should be given consideration. In any event, he has furnished adequate information so that his claimed assignment during 1953 - 1955 is considered sufficiently substantiated even though his actual job performance undoubtedly deserved a low rating.

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The knowledge of NOSENKO concerning cases, KGB operations, and other officers can consistently be related to his claimed department and position assignment during the 1953 to January 1964 period. The scope of his knowledge of his own department when considered in toto is broader after 1957 than before, which is compatible with his claim of increased responsibilities. His knowledge of the work of other departments of the SCD from the late 1950's on is also more extensive, which is also a further indication that NOSENKO actually held the claimed positions during this period of time.



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E. CAN THE INFORMATION FURNISHED BY NOSENKO BE

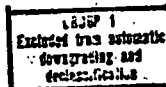
CONSIDERED IN TOTO AS HAVING RESULTED

IN MATERIAL DAMAGE TO THE KGB AND/OR HAS

THE INFORMATION FURNISHED BY NOSENKO BEEN OF

SIGNIFICANT BENEFIT TO WESTERN INTELLIGENCE?

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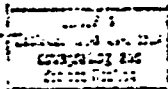
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E. Can the information furnished by NOSENKO be considered in toto as having resulted in material damage to the KGB and/or has the information furnished by NOSENKO been of significant benefit to Western Intelligence? The conclusion in regard to both of the above questions is affirmative, even though it is realized that ultimate loss to the KGB and ultimate benefit to Western Intelligence are both partly of an intangible nature and not susceptible to accurate measurement.

NOSENKO has, as previously indicated, furnished voluminous information during current and previous interviews. An accurate total of specific cases is not possible at this time and would at best be only an interesting figure, the actual significance of which would be marginal. Practically every interview with NOSENKO, even at present, reveals information of counterintelligence interest and it is expected that this production can continue for a considerable period of time. This should not be construed as an indication that NOSENKO is intentionally withholding information, but rather that stimulation of his memory through normal questions and discussions has been and can continue to be productive.

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NOSENKO has furnished information concerning perhaps <sup>08</sup>[2,000] KGB officers and <sup>08</sup>[500] KGB agents or operative contacts (here the terms agents or operative contacts are used to refer to Soviet nationals), mainly in the Second Chief Directorate or internal KGB organizations. However, he has identified approximately <sup>08</sup>[250] former or current First Chief Directorate officers and there is a considerable exchange of officers between the FCD and SCD. In addition, numerous officers of the SCD and other internal KGB organizations travel abroad with delegations, tourist groups, and as visitors to various major exhibitions such as World's Fairs. It is impossible at this time to estimate the number of KGB officers identified by NOSENKO who have been outside the Soviet Bloc since his defection or who will be out sometime in the future.

There has been very little attempted exploitation of information furnished by NOSENKO concerning other KGB officers and, therefore, the possible value of this information to United States Intelligence cannot be estimated nor can the potential damage to the KGB be estimated.

Disclosure of information concerning certain KGB officers would be a necessary part of any dispatch of a KGB agent or officer to the West either for purposes of contact with Western Intelligence for a

limited period of time or for the placing of the individual in a defector status. However, identification of KGB officers or agents to Western Intelligence is necessarily a matter of concern to the KGB and the exposure of the identities of approximately <sup>08</sup>[2,000] KGB officers and <sup>08</sup>[several hundred] KGB agents could not be considered of negligible importance.

Obtaining specific information in regard to KGB officers or KGB assets is important to United States Intelligence and a considerable amount of manpower and money is spent on this activity. Even acknowledging that it is much more difficult for CIA to obtain this type of information about the KGB, which operates in a closed society, than it is for the KGB to obtain the identity of CIA employees, it is believed doubtful any reader of this summary would consider that the identification of <sup>08</sup>[2,000] CIA employees and <sup>08</sup>[several hundred] agent assets to the KGB would be any less than a very serious compromise of valuable information.

Prior to the defection of NOSENKO, little was known of the organization of the SCD or other internal KGB organizations. The information provided by NOSENKO concerning both has been detailed and extensive. That this information is of value to the United States Intelligence community is hardly subject to dispute, although analysts

can differ as to the weight which should be given to the value of this type of information.

NOSENKO has furnished information concerning SCD, KGB, recruitments of United States citizens and foreign nationals covering the period of 1953 through 1963. This should not be interpreted as a statement that NOSENKO has furnished information in regard to all SCD recruitments, even of Americans, during this period. His information based on personal knowledge is in general limited to the First Department and Seventh Department. He has furnished information concerning cases of several other departments in the SCD and some FCD cases, but this information was in general acquired indirectly from social or business conversations with other KGB officers.

NOSENKO has furnished information in regard to a number of cases which were previously known to United States Intelligence. While the value of such information cannot be considered high, the additional details which NOSENKO has provided in a number of cases cannot be dismissed as being of no value to Western Intelligence, even if the information cannot be regarded as damaging to the KGB. Furthermore, inasmuch as there is no reason to question his sourcing of information already known, there is no basis for suspicion of NOSENKO for his having provided such information.

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NOSENKO has furnished information in regard to a number of recruitments by the KGB of non-Bloc nationals who were known by Western Intelligence to be pro-Communist or even connected with Communist organizations. The identification as a recruited KGB agent of an individual previously known to be pro-Communist is of considerable value to Western Intelligence and may be considered to have resulted in some damage to the KGB. Admittedly, the potential to the KGB of an agent who is known as pro-Communist is less than that of a "politically clean" individual. However, "pro-Communist" or even "Communist" are not synonymous with "recruited KGB agent."

NOSENKO has furnished additional information on cases in which there was some previous but limited information. In a number of these instances the additional information from NOSENKO has permitted identification of the individuals of interest and the closing of an "Unknown Subject" case. In such instances the information from NOSENKO must be considered valuable to Western Intelligence since the incomplete information known previously would in many cases not have permitted ultimate identification of the individual of interest. This category of cases must be considered as having resulted in damage to the KGB and in benefit to Western Intelligence.

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NOSENKO has furnished information in regard to a number of individuals, both American and non-Bloc foreign, who were recruited by the KGB and concerning whom Western Intelligence had no significant information. It is recognized that certain of these cases mentioned by NOSENKO, particularly in the tourist category, would probably never have actually materialized as productive KGB agents. This could be for various reasons including later refusal to cooperate, later geographical inaccessibility to the KGB, or not being either at the time of SCD recruitment or later in a position to furnish information of interest to the KGB. In this regard, NOSENKO has stated that at least until 1962 there was a definite tendency in the Seventh Department to make a "recruitment" as a statistic for the end-of-year report even though it was apparent the agent at the time had no potential and that it was highly unlikely there would be a potential in the future.

NOSENKO has furnished information on or leads to a number of cases, primarily third nationals but some American, in which he has been unable to furnish sufficient details to permit identification at this time. In certain instances it is believed that an identification will be possible after additional research and investigation. Until an identification is made, the value of any particular lead to Western Intelligence cannot be estimated, but that there may be a potential value

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cannot be ignored. As an example of this category, NOSENKO has furnished a lead, still under investigation, to an unidentified agent, probably not an American, who in 1962 was in a position to remove the "NATO Emergency Codes," deliver the codes to the KGB for photographing, and then successfully replace the codes. Because the agent is as yet unidentified, his current access to information affecting the security of the United States cannot be gauged.

In all, the information from NOSENKO in the category of cases where Western Intelligence did not previously have significant information must be considered on balance as having resulted in material damage to the KGB and of significant benefit to Western Intelligence.

Quantity alone of CI or FI information from a KGB defector is not a standard on which to judge bona fides. The question is whether the amount of his information is reasonably commensurate with his claimed positions in the KGB. This question as regards NOSENKO has been examined, with affirmative findings, in another section of this paper.

A few examples from the above cited categories of information furnished by NOSENKO are listed below. These cases are given as illustrations and are not necessarily listed in order of importance.



The case of Robert Lee JOHNSON and the related case of James Allen MINTKENBAUGH have been covered in the 1965 summary. It can be considered that both were exposed as a result of a lead from NOSENKO which led to suspicions of JOHNSON.

Another American case is that of <sup>06</sup>[Herbert HOWARD, a USIA] 06, 08 employee who spent considerable time in the USSR in 1962 - 1963. NOSENKO identified <sup>06</sup>[Herbert HOWARD] as having been recruited by the First Section, First Department, SCD, in 1962 and was positive that <sup>06</sup>[HOWARD] furnished valuable information to the KGB. When interviewed in 1964, <sup>06</sup>[HOWARD] did not admit he had been recruited, but suspicion of <sup>06</sup>[HOWARD] was great enough so that his contact with <sup>29</sup>[USIA] was not renewed.

If indeed <sup>06</sup>[HOWARD] was recruited by the KGB, it is impossible to determine how much information would have been compromised by <sup>06</sup>[HOWARD] while in the USSR, he did have certain access to the United States Embassy. There is good reason to believe that if <sup>06</sup>[HOWARD] was recruited, it was he who was responsible for the compromise of a potentially valuable Soviet walk-in with whom CIA was attempting to establish contact using <sup>06</sup>[HOWARD] as intermediary.

NOSENKO in 1964 furnished information in regard to a "ZHARI" (apparently a KGB code name, although NOSENKO thought it was a true

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name). He identified "ZHARI" (phonetic) as an American code clerk who defected to the USSR in 1961. An internal assumption was made based on the original lead information from NOSENKO that "ZHARI" was Victor Norris HAMILTON, aka Fowl Mitri HENDALY, a former NSA employee who defected to the USSR in 1962, and the information from NOSENKO was never disseminated or investigated.

Prior to the surfacing of John Discos SMITH by the Soviets in the fall of 1967, ~~SECRET~~ information concerning KGB knowledge of American code clerks was being investigated; and John Discos SMITH was a leading suspect. After the surfacing of SMITH by the Soviets, it became apparent that SMITH, rather than HAMILTON, was identical to "ZHARI." Investigation disclosed that no definite information could be established in regard to the actual whereabouts of SMITH after circa mid-1960. It cannot be positively stated that appropriate investigation in 1964 of the "ZHARI" lead would have led to the identification of John Discos SMITH as "ZHARI." However, such identification would have been of considerable interest to the Department of State and CIA, and could very well have permitted certain action which would have at least lessened the propaganda effect of the surprise announcement by the Soviets in the fall of 1967.

NOSENKO, in June 1962, furnished information from which William VASSALL could be quickly identified. GOLITSYN, in late 1960 - early 1961, had furnished information concerning a Soviet penetration of the British Government on the basis of which the British

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Services had compiled a list of twenty suspects, including VASSALL.

Even though it may be presumed that investigation of the twenty suspects would ultimately have resulted in a determination that VASSALL was the agent on whom GOLITSYN had furnished certain information, the information from NOSENKO in June 1962 resulted in the earlier termination by the British Services of a still valuable productive KGB agent.

Although not the case of a KGB agent, the matter of the microphones in the United States Embassy should also be mentioned.

GOLITSYN, following his defection in December 1961, furnished certain information in regard to microphones in the United States Embassy (Chancery). Since in fact the microphones were connected to central cables, location of one microphone would logically have led to the exposure of the entire set of microphones. However, appropriate action was not taken on this information and the KGB would have been aware that no action was taken prior to June 1962 when NOSENKO first contacted CIA.

If NOSENKO is a dispatched KGB agent, it is not clear why the KGB would attract specific attention to a system of microphones which must have still had some value as of June 1962. A presumption may be made that, if NOSENKO was a dispatched agent, the KGB had, as of 1962, an advanced system of monitoring devices which rendered the above microphone system obsolete. However, no concrete evidence of such an advanced system is available and it should be noted that it

was not until circa April 1961 that any effective action was taken to locate and remove the microphone system in which GOLITSYN had given a lead in late December 1961 - early January 1962.

A few general comments in regard to the CI information furnished by NOSENKO would be appropriate in this particular section. As regards leads furnished by NOSENKO on American cases, most of these leads have been mentioned in the previous summary. Current interviews with NOSENKO have resulted in approximately seventeen new American leads which are being examined by the FBI. The interviews have also resulted in more specific information in regard to a number of cases previously mentioned by NOSENKO, thus permitting additional development of these cases by the FBI.

NOSENKO has provided leads to over 100 third-country KGB agents. Geographically these leads are wide in scope, including nationals of such countries as Indonesia, Austria, Uruguay, the United Kingdom, France, West Germany, Belgium, Sweden, Australia, Japan, Mexico, Italy, and a number of other countries.

Included in the more important of these agent or other leads are leads to high levels of government and intelligence to code clerks, to access agents for American targets, to actual or possible illegal

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support assets. Also included are foreign correspondents, representatives of foreign tourist firms, and foreign tourists.

A summary of the foreign leads arbitrarily defined as of major significance shows nineteen leads highly placed or formerly highly placed in their own government, four case clerks, eight cases involving definite American interest, and four access agents to Americans. It also shows nine instances of clandestine KGB activity against foreign missions in Moscow, including actual KGB clandestine access into certain Western Embassies (but not the British or American Embassies).

NOSENKO has also furnished leads to certain FOD foreign national agents, his information on several being derived during his three months in Geneva in 1962.

It is impossible to give an exact evaluation of the significance of the foreign leads furnished by NOSENKO. That they are of significant value to Western Intelligence and damaging to the KGB is hardly subject to dispute. This evaluation must be given even though there are numerous foreign leads which have not been adequately exploited at this time.

As a final note, the implied conclusion in the previous summary is accepted that the failure of NOSENKO to provide usable positive

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Intelligence information is not a significant factor in a determination of his bona fides. The qualification should, however, be added that it is not felt that NOSENKO has, as of this time, been fully debriefed in many areas of positive intelligence interest.

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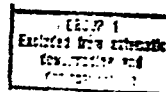
F. IS THERE EVIDENCE OF KGB DECEPTION OR "GIVE AWAY"

IN INFORMATION FURNISHED BY NOSENKO WHICH

WOULD WARRANT A CONCLUSION THAT NOSENKO

WAS DISPATCHED BY THE KGB?

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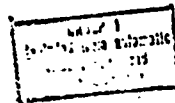
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F. Is there evidence of KGB deception or "give away" in information furnished by NOSENKO which would warrant a conclusion that NOSENKO was dispatched by the KGB? The conclusion in this summary is that NOSENKO was not dispatched by the KGB. In reaching this conclusion, a full examination of the above question has been both a necessary and integral part.

It is inherent that the volume of information furnished by NOSENKO is only one of the factors which should be given consideration in arriving at a conclusion that NOSENKO was or was not dispatched by the KGB. If NOSENKO was dispatched by the KGB, the KGB would have surely been willing to sacrifice certain information of value to the KGB in order to support the bona fides of NOSENKO. However, if NOSENKO was dispatched, it must have been to accomplish or further a KGB purpose or mission, the nature of which has been and continues to be unknown.

An examination of the circumstances under which NOSENKO first contacted CIA in Geneva in 1962 and his behavior during these contacts is particularly pertinent since during this period of time NOSENKO would have surely been under direct KGB control if there are any implications of KGB dispatch in the NOSENKO case.

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NOSENKO has stated that his original approach to "sell two pieces of information" was his own idea as to what was most likely to be successful. NOSENKO has stated that he wanted to make a contact with the Americans, was not psychologically adapted to defect at the time, and felt that if he merely stated that he was a "KGB counter-intelligence officer who wanted to give information," he very possibly would be rejected. It should be noted that NOSENKO even during his first contact did not limit his remarks to the "two pieces of information" and began to talk quite freely on other matters.

If NOSENKO was dispatched, it is felt that he, during his 1962 contacts, would have been very carefully briefed and that his remarks or statements would have not been of a nature which could cause any suspicion in regard to the bona fides of NOSENKO. Instead, a current review of his statements and remarks during his five contacts in 1962 indicate that his many errors, exaggerations, and actual lies were quite likely typical of a braggadocio element in the personality of NOSENKO and may also have been evidence supporting the statement by NOSENKO that he usually had a few drinks of liquor before each contact in Geneva.

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NOSENKO, during his five contacts in Geneva, made many statements which in retrospect were impossible, and the investigation of which could only have raised certain questions concerning NOSENKO. The following is a list of the more obvious areas in which NOSENKO made gross exaggerations or made incorrect or impossible statements.

(a) NOSENKO claimed he personally was with Oleg M. GRIBANOV, Chief of the SCD, during the recruitment pitch to <sup>06</sup>[James STORSBERG]. (This was a lie and an interview with <sup>06</sup>[STORSBERG] with display of photograph would have disclosed that NOSENKO did not participate.)

(b) NOSENKO was involved in the recruitment approach to Russell LANGELE. (This was a lie and LANGELE was available for interview.)

(c) NOSENKO said he recruited <sup>06</sup>[LUNT] (Horace LUNT) in Bulgaria. (Actually NOSENKO never met [LUNT].)

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(d) NOSENKO claimed personal contact with [Edmund 06 STEVENS] who, according to NOSENKO, had been recruited by the KGB. (NOSENKO actually had never personally met [06 STEVENS] and only had seen [06 STEVENS] once at a distance.)

(e) NOSENKO dated the recruitment of "ANDREY" in Moscow as 1949-1950. At the same time he furnished information that "ANDREY" (who is considered identical to Dayle Wallis SMITH) was in Moscow during a part of the time that Roy RHODES, also a recruited agent, was assigned to Moscow, 1951-1953. "ANDREY" (SMITH) was actually in Moscow 1952-1954.

(f) NOSENKO said he, GRIBANOV, and another officer met Edward Ellis SMITH. (NOSENKO has since stated he did not meet SMITH and that his only role was obtaining a foreign typewriter and paper for a KGB agent involved in the SMITH operation.)

(g) NOSENKO in a number of instances spoke in the first person, saying "We did this," or "We did that," in reference to a particular KGB activity in which he now admits

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he was not involved but had some knowledge. (If NOSENKO was under KGB control in 1962, both he and the KGB should have known that these indicated exaggerations would eventually lead to a question concerning the bona fides of NOSENKO.)

In 1962-1963 a number of similarities were noted between information furnished by NOSENKO and information which had been furnished by GOLITSYN prior to June 1962. These similarities were quite striking and gave rise to certain suspicions of NOSENKO because he provided information which the KGB would presumably have considered already compromised as a result of the defection of GOLITSYN. Certain of the similarities at the time could only be explained in terms of NOSENKO being a dispatched agent. The following are some examples of the similarities noted.

(a) Both furnished information in regard to

[Johan PREISFREUND] 06

(b) Both furnished information in regard to a

[military code clerk case (James STORSBERG)] 08, 06

(c) Both furnished information in regard to a

trip of Vladislav KOVSHUK, under an assumed name, to the United States. (GOLITSYN was sure it was connected with a reactivation of an agent formerly in

Moscow, or a recruitment of an American formerly with the United States Embassy in Moscow; and NOSENKO related it directly to the "ANDREY" case, giving the assumed name which KOVSHUK used.)

(d) Both furnished information in regard to microphones in the United States Embassy in Moscow.

(e) Both furnished information in regard to  
[<sup>06</sup>Edmund STEVENS] and [<sup>06</sup>Isaac Henry SHAPIRO]

The above list is not complete nor does it indicate the actual differences in the amount of information furnished on any particular topic by GOLITSYN and NOSENKO. To cite the above in detail in this summary is believed unnecessary since the only point of real interest is whether the fact that NOSENKO was aware of certain events, cases, or situations of which GOLITSYN was also aware raises a legitimate question concerning the bona fides of NOSENKO.

The above area of concern has been thoroughly examined and it is considered that the fact that NOSENKO furnished some information on certain cases or situations previously mentioned in lesser or greater detail by GOLITSYN cannot logically be construed as evidence

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that NOSENKO was dispatched by the KGB. NOSENKO has during current interviews satisfactorily sourced his information in almost every instance. In a few instances he has said he did not recall how he learned of a particular piece of information but these apparent lapses of memory were not large in number and are considered to be in no way suspicious.

The general area in which there was a similarity between information furnished by GOLITSYN in late 1961 - early 1962 and information furnished by NOSENKO in June 1962 and which would have been the most significant insofar as the security of the United States Government was or is concerned related to certain activities centering around or in the First Department, SCD.

It is the conclusion of this summary that NOSENKO was an officer of the First Section, First Department, SCD, during 1953-1955 and was Deputy Chief of the same section in 1960 - 1961. Therefore, the fact that NOSENKO furnished information concerning certain cases or situations in the First Department and the fact that GOLITSYN furnished information concerning the same case or situation is not unusual or necessarily suspicious. NOSENKO has stated that GOLITSYN

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knew and was in contact with other officers of the First Section and GOLITSYN has attributed his knowledge of certain cases or activities of the First Department, SCD, primarily to his association with certain officers in the First Department, SCD.

It is recognized that there are certain conflicts in information furnished by GOLITSYN and NOSENKO and at this time it is not possible to satisfactorily correlate certain information from GOLITSYN with information from NOSENKO. Pages 162 - 163 of the previous summary refer to information from GOLITSYN which is characterized as "Information about KGB Operations Against Embassy Code Clerks in 1960 - 1961." The references are to information from GOLITSYN based on remarks by Gennadiy Ivanovich GRYAZNOV and Vadim Viktorovich KOSOLAPOV of the First Section, First Department, SCD, and an officer of the Second Section, First Department, SCD.

NOSENKO has stated that he was Deputy Chief of the First Section, First Department, SCD, during 1960 - 1961, that his primary responsibility was work against code clerks at the United States Embassy in Moscow, and that both KOSOLAPOV and GRYAZNOV were engaged in the same work and under his supervision. The statement by GOLITSYN

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that NOSENKO was not Deputy Chief of the First Section in 1960 has been noted and commented on in another section of this summary.

GOLITSYN has furnished certain information which he received from officers of the First Section, First Department, SCD. In each instance where this information, which was fragmentary, could not be immediately correlated with information from NOSENKO, it was previously considered to be evidential of deception or lying on the part of NOSENKO. This position, however, failed to allow for the possibility that the discrepancies between the two sources were, at least in certain instances, more apparent than real.

In certain instances it has now been possible to correlate fragmentary information from GOLITSYN with information from NOSENKO, making it evident that in these instances the differences could not be construed as in any way reflecting against NOSENKO. The four examples cited below represent two probable correlations, (a) and (b); one possible correlation, (c); and one instance where no correlation is possible at this time, (d):

(a) GOLITSYN furnished information which he received in April-May 1960 from Gennadiy GRYAZNOV that an attempt had been made by the KGB to recruit an



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American female employee of the American Embassy in Moscow through a male Soviet friend, but that the attempt had failed. GOLITSYN also furnished information that the woman had left Moscow by the time he learned of the information but that the Soviets hoped she would return to Moscow so that further work could be undertaken to effect her recruitment. He did not recall the name of the secretary, but did recall that it was [a long and "German 08 sounding"] name.

NOSENKO has furnished information in regard to a recruitment attempt against [Collette SCHWARZENBACH,] 06 who it is considered is identical to the "American secretary" referred to by GOLITSYN. However [SCHWARZENBACH was not a female secretary in the American Embassy, but had been employed as a secretary to the wife of Ambassador BOHLEN during 1955 - 1956 and from 1958 - 1959 was employed as a correspondent by the United Press in Moscow]. The recruitment attempt against [SCHWARZENBACH] according to 06 NOSENKO, occurred in 1959 and was an operation of the First Section, First Department, SCD.

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(b) Page 163 of the previous summary contains information that GOLITSYN also learned from GRYAZNOV in the spring of 1960 that GRYAZNOV had developed an operation against an American Embassy military code clerk in which the KGB was "99 per cent sure" that the target would be recruited. This is believed to undoubtedly be a reference to the case of <sup>06</sup>[James STORSBERG] who was actually the subject of a recruitment approach in 1961.

There is considered to be a good possibility that GOLITSYN actually learned of the above information from GRYAZNOV in early January 1961 when he was again in Moscow rather than during the spring of 1960 when GOLITSYN was preparing for his assignment to Helsinki, Finland. This theory is supported by information on page 163 of the previous summary that GOLITSYN has stated he learned in January 1961 from Vladislav M. KOVSHUK (Chief of the First Section) that <sup>06</sup>[Johan PREISFREUND] had recently been used in the successful recruitment of an American employee of the Embassy. <sup>06</sup>[Johan PREISFREUND] was used in the <sup>06</sup>[STORSBERG] operation, according to NOSENKO, and NOSENKO was also

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aware that GOLITSYN had a conversation with KOVSHUK about  
[PREISFREUND]<sup>06</sup> since GOLITSYN wanted to use [PREISFREUND]<sup>06</sup>  
in Helsinki. NOSENKO has stated he was not present during  
the above conversation. It is very possible that KOVSHUK  
exaggerated a little in his conversation with GOLITSYN in the  
matter of why GOLITSYN could not use [PREISFREUND]<sup>06</sup> as an  
agent.

NOSENKO has furnished extensive information in regard  
to the [James STORSBERG]<sup>06</sup> case and with due consideration to  
the accuracy and recollection of GOLITSYN, there does not  
appear to be an adequate basis for questioning the bona fides of  
NOSENKO on the basis of the differences between the report-  
ing by GOLITSYN of information he received from GRYAZNOV  
concerning what is considered to have been the [James STORSBERG]<sup>06</sup>  
case and detailed information furnished by  
NOSENKO concerning the [James STORSBERG]<sup>06</sup> case. The  
exact date of the recruitment attempt against [STORSBERG]<sup>06</sup>  
has not been positively established, but it is considered to  
have occurred before early May 1961 and probably in the  
March-April 1961 period. The statement by [James]<sup>06</sup>

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[STORSBERG] that it occurred in October 1961 is completely unacceptable and is even contradicted by other statements by <sup>06</sup>[STORSBERG] himself.

(c) Page 163 of the previous summary contains information from GOLITSYN which he had received from GRYAZNOV in April or May 1960 that an American employee of the Embassy in Moscow was either recruited or prepared for recruitment on the basis of a homosexual compromise beginning in 1959 and concluding in 1960. The previous summary also states that according to GOLITSYN, the KGB had photographed the American in various homosexual acts, but SHELEPIN, who had just become Chairman of the KGB, was at the time stressing ideological rather than blackmail recruitments. SHELEPIN did not exclude future use of the photographs which the KGB would hold in reserve.

NOSENKO has furnished information concerning the homosexual compromise of <sup>06</sup>[Robert BARRETT], who was a guide at the United States Exhibition in Moscow in 1959, and with whom "SHMELEV" and "GRIGORIY", two homosexual

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agents of NOSENKO, became acquainted. Work against the United States Exhibition was the responsibility of the Ninth Department, SCD, but various Departments were participating under the direction of the Ninth Department.

One of the above homosexual agents succeeded in involving <sup>06</sup>[BARRETT] in homosexual activities which were photographed by the KGB but, according to NOSENKO, although the photographs were of a good quality, the KGB was unable to use the photographs in 1959 because of a general ban by the Central Committee on the recruitment of the United States Exhibition guides due to the planned visit of President EISENHOWER to the Soviet Union.

NOSENKO also stated that the compromising material and information on <sup>06</sup>[BARRETT] was later given to the First Department and that <sup>06</sup>[BARRETT] was recruited by the Second Section, First Department when he returned with another Exhibition in 1961, and that he, NOSENKO, was not involved in the recruitment operation. <sup>06</sup>[BARRETT], following his return

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to the United States in January 1962, confessed to the FBI that he had been recruited in 1961 on the basis of compromising photographs which had been taken during his 1959 trip to Moscow.

Although it cannot be established at this time, it is possible that the information furnished by GOLITSYN which he had received from GRYAZNOV actually refers to the <sup>06</sup>[Robert BARRETT] case. It should be noted that <sup>06</sup>[Robert BARRETT] could not actually be characterized as an "American employee of the Embassy in Moscow."

(d) Page 162 of the previous summary contains information from GOLITSYN that in the spring of 1960 when he visited the First Section, First Department, SCD, he learned from GRYAZNOV that GRYAZNOV had as an agent an Embassy code clerk who was scheduled to be transferred to Helsinki. GRYAZNOV indicated to GOLITSYN that the code clerk had already furnished the KGB with some information, that he was

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considered by the KGB to be a "real" agent and that if the transfer of the code clerk materialized, GOLITSYN might have the code clerk as an agent in Helsinki.

NOSENKO has furnished no information which can be correlated in any way with the above information from GOLITSYN, but neither has the information from GOLITSYN resulted in an identification despite the considerable investigation which has been conducted in the matter. Although this is considered to be a valid lead, it need not necessarily refer to a code clerk who was in the United States Embassy in Moscow during 1960 - 1961. It is also possible that the previous remark by GOLITSYN concerning the above "code clerk" who might be transferred to Helsinki as well as his cited remarks in a-c could be clarified or at least additional information obtained if a specific reinterview on these matters was possible. The trip of Vadim V. KOSOLAPOV to Helsinki, Finland in November 1960 should be mentioned in any comparison of information from NOSENKO with information from GOLITSYN. This conflict is

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considered by the KGB to be a "real" agent and that if the transfer of the code clerk materialized, GOLITSYN might have the code clerk as an agent in Helsinki.

Nosenko has furnished no information which can be correlated in any way with the above information from GOLITSYN, but neither has the information from GOLITSYN resulted in an identification despite the considerable investigation which has been conducted in the matter. Although this is considered to be a valid lead, it need not necessarily refer to a code clerk who was in the United States Embassy in Moscow during 1960 - 1961. It is also possible that the previous remark by GOLITSYN concerning the above "code clerk" who might be transferred to Helsinki as well as his cited remarks in a-c could be clarified or at least additional information obtained if a specific reinterview on these matters was possible.

The trip of Vadim V. KOSOLAPOV to Helsinki, Finland in November 1960 should be mentioned in any comparison of information from NOSENKO with information from GOLITSYN. This conflict is

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also mentioned in another section pertaining to the 1960-1961 career of NOSENKO. GOLITSYN stated that KOSOLAPOV came to Helsinki to accompany an American Embassy code clerk on the train to Moscow and that KOSOLAPOV planned to strike up an acquaintance with the code clerk which could be continued in Moscow.

The American Embassy code clerk referred to above was undoubtedly <sup>06</sup>[John GARLAND] and the train manifest lists <sup>06</sup>[John GARLAND] and Viktor KOLOSOV (Vadim V. KOSOLAPOV) as passengers on the same train from Helsinki to Moscow. NOSENKO is aware of the identity of <sup>06</sup>[John GARLAND] but claims no knowledge of the above trip of KOSOLAPOV to Helsinki, although being well aware of a previous trip.

NOSENKO, as Deputy Chief of the First Section specifically charged with work against code clerks, should have been aware of the November 1960 trip of KOSOLAPOV to and from Helsinki. His lack of knowledge may or may not be explainable in terms of his other activities such as his trip to Cuba in November-December 1960 but it cannot be interpreted as evidence NOSENKO was dispatched by the KGB since, if he had been, the KGB should have briefed NOSENKO on the trip of KOSOLAPOV to Helsinki in November 1960, as this was an event the KGB knew GOLITSYN was aware of.

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A theory which has previously been given consideration and warranted full consideration was that if NOSENKO was dispatched, his mission was to confuse leads furnished to American Intelligence and/or to denigrate the value of information furnished by GOLITSYN. In connection with this theory, it should be noted that NOSENKO during current interviews has not made any remarks which could in any way be construed as derogatory to GOLITSYN. In addition, NOSENKO does not claim to have any detailed knowledge of the FCD and frequently, when some topic peculiar to the FCD has been broached with NOSENKO, his immediate reply has been to the effect that "I didn't work in the FCD," or "You should ask GOLITSYN about that."

In connection with any consideration of whether the contact of NOSENKO with CIA in Geneva in June 1962 could have been initiated by the KGB as a result of the defection of GOLITSYN, the timing of certain events should be noted. GOLITSYN defected on 15 December 1961. NOSENKO departed from Moscow in March 1962 for Geneva, Switzerland, where he remained until 15 June 1962.

It is felt that it would have been practically impossible if not impossible for KGB officials to complete an assessment of the actual or potential damage which could result from the defection of GOLITSYN,

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select NOSENKO as the individual who would be dispatched to counter-act the possible damage, and appropriately brief NOSENKO prior to his departure for Geneva in March 1962. Therefore, if NOSENKO was dispatched by the KGB, it would appear that plans for this would have predated the defection of GOLITSYN and that any GOLITSYN aspect could only be a related aspect and not the basis for the original plan to dispatch NOSENKO. In addition, if NOSENKO was dispatched, it would hardly seem necessary for the KGB to send NOSENKO to Geneva two and one-half months before his first contact with CIA.

The theory has also been considered that NOSENKO could have been dispatched to confuse and divert American Intelligence and thus to protect an important KGB penetration or penetrations of the United States Government, particularly CIA. This is a theory which should and has been given full consideration, but it is not possible to factually substantiate or refute this theory in the absence of specific information that high-level KGB penetrations do or do not exist.

Actually, as regards NOSENKO, the primary area which should be given consideration in the above matter is if all the information from NOSENKO is accepted, what effect would or could it have on the efforts

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of American counter-intelligence to determine the identity of and take appropriate action against KGB penetrations of the United States Government. The only answer to this question seems to be that there would be little consolation or assurance to American intelligence even if every statement by NOSENKO was accepted at face value.

The only specific area in which NOSENKO could be even considered to claim full knowledge is the United States Embassy in Moscow. In this area his statements could be construed as assurance that there were no recruitments of American personnel in the United States Embassy in Moscow from 1953-December 1963 with the exception of "ANDREY" (Dayle Wallis SMITH) and <sup>06</sup>[Herbert HOWARD]. The basis for this expressed opinion of NOSENKO is considered elsewhere in this summary and analysts may differ as to whether a recruitment could have occurred of which NOSENKO did not have knowledge, assuming that his statements are made in good faith. It should be noted, however, that at this time there is no specific information which is in direct conflict with the expressed opinion of NOSENKO.

NOSENKO, as previously mentioned, has never claimed any particular knowledge of FCD activities. In addition, he does not claim to be aware of all recruitments of Americans by the SCD. As an

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example, he has made it clear that his knowledge of SCD activities against members of delegations, foreign businessmen, foreign students, and individuals in the USSR on the invitation of a Soviet organization or a component of the Soviet Government is extremely limited and at best mainly of a collateral nature.

NOSENKO does not even claim any detailed knowledge of activities of the Second Section (Active Line) of the First Department, SCD, nor does he claim to know all of the cases of which the Chief of the Seventh Department was aware. The latter is specifically supported by certain notes brought out by NOSENKO which are short references to a number of Seventh Department cases which are identified only by the KGB code name. These notes, according to NOSENKO, were made when he had an opportunity to review a notebook held by the Chief of the Seventh Department and constitute the only knowledge NOSENKO had of these particular cases.

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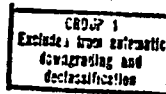
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G. IS THERE EVIDENCE OF A POLITICAL OR ANY  
OTHER TYPE OBJECTIVE WHICH COULD JUSTIFY A DISPATCH  
OF NOSENKO BY THE KGB WITH PERMISSION TO SPEAK  
FREELY TO CIA CONCERNING HIS KNOWLEDGE OF THE KGB  
AND WITHOUT NOSENKO BEING GIVEN A SPECIFIC  
MISSION OR MISSIONS?

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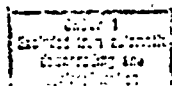
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G. Is there evidence of a political or any other type objective which could justify a dispatch of NOSENKO by the KGB with permission to speak freely to CIA concerning his knowledge of the KGB and without NOSENKO being given a specific mission or mission? The above possibility has been given consideration even though the ultimate ramifications are practically incalculable. The conclusion is that as regards NOSENKO, with the single exception detailed below, there is no evidence of a political or other type objective which could be considered of sufficient importance by the KGB to warrant the dispatch of a KGB officer with the knowledge of NOSENKO to speak freely with CIA without his being given a specific mission or missions by the KGB.

It is accepted that the Soviet leadership would be entirely capable of instructing the KGB to dispatch a staff officer for permanent defection to United States authorities with no specific intelligence mission and no limitations on the KGB intelligence information he might reveal providing that such act would, in the estimate of the leadership, result in a net political gain for the USSR. For such a possibility to be seriously entertained by the Soviets, however, it would have to involve an issue of major importance to the Soviet leadership and presumably would have to

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be considered by them as the only or at least the best means of achieving the desired end and of having a very high probability of success.

The only area touched upon in any way by NOSENKO which might meet the above requirements is the assassination of President Kennedy; the involvement of Lee Harvey Oswald in the assassination and his association with the Soviet Union. Given (a) speculation obtaining at the time that there was Soviet involvement in the assassination, (b) the premise that in fact there was no Soviet involvement, and (c) a hypothesis that the Soviet leadership was deeply concerned lest erroneous conclusions be drawn which could lead to irreversable actions, it is conceivable that the Soviet leadership might have been prepared to take extreme steps to convince United States authorities of their non-involvement in the assassination. (The passage to the United States Government of the allegedly complete Soviet consular file on OSWALD was, in itself, an unprecedented act.)

The NOSENKO case warrants examination in the above regard in light of the fact that among the information NOSENKO provided was "inside" KGB information on OSWALD: information which purportedly



revealed the substance of the content of the KGB files on OSWALD.

This information clearly indicated that there was no KGB relationship with OSWALD, that the KGB had no operational interest in OSWALD, and that as a matter of fact OSWALD had presented the KGB with a continuing series of problems.

Upon examination, however, NOSENKO does not meet the requirements premised above for serious Soviet consideration of a free KGB defection. The following reasons render this unacceptable:

a. The chronology, in itself, presents virtually impossible problems for such a thesis, viz. NOSENKO's initial approach to CIA in June 1962, 17 months prior to the assassination of President Kennedy.

b. While the information from NOSENKO on OSWALD is interesting and pertinent, it is not, in nature, scope, and content, sufficiently convincing for United States authorities to reasonably be expected to conclude that it represented unequivocal proof of Soviet non-involvement.

c. It is implausible not to assume that the Soviets would assume that United States authorities, in any examination of the possibility of a Soviet (KGB) hand in the assassination, would presume

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extremely narrow Soviet compartmentation in such an operation -- a compartmentation which would exclude knowledgeability by any KGB officer other than very senior persons and an individual or group of action individuals specifically concerned with matters of this nature. The KGB career of NOSENKO would not permit even serious consideration that NOSENKO could have logically been fitted into the above very limited category.

It is accordingly concluded that the possibility of a politically motivated free dispatch can in the case of NOSENKO be satisfactorily eliminated.

The possibility has also been considered that the KGB might have theorized that by dispatching an agent, in this case an officer, with numerous leads to non-valuable or non-current KGB agents or cases, the facilities of the United States Intelligence community would be practically neutralized for an extended period of time. This could only be based on an assumption that the United States Intelligence community would involve a major portion of its personnel and efforts in the investigation and resolution of cases which had little or no current or potential value to the KGB. The above possibility cannot be arbitrarily eliminated without full consideration. It is not believed that

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NOSENKO in the absence of any evidence that he had any KGB mission or missions to fulfill comes within the above category, particularly since an overall assessment of his information leads to the conclusion that full exploitation of his information would be quite damaging to the KGB.

Consideration of the above possibility must also include an evaluation of the deterrent effect on the prospects of future recruitments by the KGB caused by legal action taken against individuals exposed by information from the dispatched agent or officer. The deterrent effect on others of the conviction and sentencing of persons who have committed a crime or crimes has long been a part of the legal theory of why persons who commit a crime should be imprisoned or punished.

The deterrent effect on others of the trials and convictions of William VASSALL, Robert Lee JOHNSON and James Allen MINTKEN-BAUGH should not be underestimated. The KGB also could not have known that information furnished by NOSENKO would not result in the trial and conviction of other KGB agents or recruitments concerning whom NOSENKO had some knowledge.

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H. IS THERE ANY EVIDENCE THAT THE CONTACTS OF  
NOSENKO IN 1962 OR IN 1964 WITH CIA WERE KNOWN TO THE  
KGB PRIOR TO HIS DEFECTION OR THAT NOSENKO  
WAS EVER BRIEFED BY THE KGB RELATIVE TO HIS BEHAVIOR  
OR KGB OBJECTIVES DURING THESE CONTACTS OR  
AFTER HIS DEFECTION?

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