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c. Department of State Dispatch #234 from Moscow dated 2 November 1959

d. Department of State telegram #1448 from Tokyo dated 9 November 1959

e. Department of State telegram #1358 from Moscow dated 9 November 1959

f. The Washington Post press clipping dated 16 November 1959 entitled "Rebuffed"

g. Evening Star press clipping dated 26 November 1959 entitled "U.S. Defector to Reds Turned to Marx at 15"

h. Report Summary prepared by Soviet Russia Division forwarded to Office of Security in March 1960

i. Department of State Instruction A-273 dated 13 April 1961

j. Department of State Dispatch from Moscow dated May 1961 with enclosure of Oswald letter

k. Federal Bureau of Investigation report dated 3 July 1961 from Dallas, Texas

l. Note to CI/SI dated 28 September 1961

m. Form 745 "Indices Search Request" dated 12 October 1961

n. Department of State Dispatch #317 from Moscow dated 12 October 1961 with enclosure

o. Form G-135a Immigration and Naturalization Service name check form to Central Intelligence Agency dated 5 December 1961

p. Navy Department message to Moscow dated 3 March 1962

q. Department of the Navy memorandum to the Federal Bureau of Investigation dated 26 April 1962 with enclosure

r. The Washington Post press clipping dated 9 June 1962 entitled "Third American in 2 Months

Leaves Soviet 'Home'"

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

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

t. Undated summary of file information on Lee Harvey Oswald

u. Incoming cable #83858 from Mexico City dated 20 July 1963 (no mention of Oswald)

v. Incoming cable #01325 from Mexico City dated 17 August 1963 (no mention of Oswald)

w. Incoming cable #36017 from Mexico City dated 9 October 1963

x. Outgoing cable #74830 to Mexico City dated 10 October 1963

y. Incoming cable #47041 from Mexico City dated 24 October 1963 (no mention of Oswald).

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

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

documents increased, a separate file was created to be the repository of information on the alleged American defector. There is a notation in the Defectors File that a separate file exists on Oswald.

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

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

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

13-00000

22 December 1997

MEMORANDUM FOR THE RECORD

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

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

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

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

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

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

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

3. HTLINGUAL was a Directorate of Operations project involving the opening incoming and outgoing mail destined to and from the Soviet Union, [redacted] In the Office of Security this project was known as SRPOINTER with subprojects identified as WESTPOINTER, INDIAN, BANJO, and SETTER. The Office of Security actually conducted the opening and monitoring of mail with the acquired information being referred to the Directorate of Operations.

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

a. Washington Star press clipping of 26 November 1959 entitled "U.S. Defector to Reds Turned to Marx at 15"

b. Department of State memorandum dated 25 October 1960 with attached list of American "defectors" from May 1959 to October 1960

c. Memorandum for Chief/Security Research Staff dated 31 October 1960 from M. D. Stevens, subject: American Defectors

d. Memorandum for Deputy Director of Security dated 1 November 1960 from M. D. Stevens, subject: American Defectors

e. Handwritten chart of defectors dated 26 August 1961

f. Defector outline prepared in October 1961 listing known defectors to the USSR, Red China, Cuba, and United Arab Republic.

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

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

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

a. Department of State telegram #1304 from Moscow dated 31 October 1959

b. The Washington Post press clipping dated 1 November 1959 entitled "Ex-Marine Asks Soviet Citizenship"