

UNITED STATES OF AMERICA,)
)
Plaintiff,)
v.)
)
_____)
_____)
_____)
)
Defendant.)

CASE NO. _____

The defendant states to the Court that the defendant wants to enter a plea of GUILTY to the following count(s) of the Indictment or Information: _____

A. BACKGROUND QUESTIONS

1. (a) What is your name? _____

(b) What is your age? _____

2. Are you currently employed? Yes _____ No _____
If yes, what are the name, address, and telephone number of your employer?

3. How much education have you had?

4. Have you ever received medical care or treatment for drug addiction and/or alcohol abuse? Yes _____ No _____

[If so, prior to the hearing on the Petition to Enter Plea of Guilty, counsel for defendant shall submit to the judge's orders mailbox a list of the dates, places, and types of treatment received by defendant.]

5. Have you ever received medical care or treatment for a mental or emotional condition? Yes _____ No _____

[If so, prior to the hearing on the Petition to Enter Plea of Guilty, counsel for defendant shall submit to the judge's orders mailbox a list of the dates, places, and types of treatment received by defendant.]

6. (a) Have you consumed any drug, alcohol or medication that is now impairing your ability to think clearly or to understand and answer the questions in this Petition to Enter Plea of Guilty? Yes _____ No _____

- (b) Are there any medications prescribed for you that you are not now taking as directed? Yes _____ No _____

If yes, does the fact that you are not taking the medication as directed impair your ability to think clearly or to understand and answer the questions in this Petition to Enter Plea of Guilty? Yes _____ No _____

7. If an attorney is now representing you in this case, what is your attorney's name?

8. If you have an attorney, have you had enough time to talk with your attorney about your case? Yes _____ No _____

9. If you have an attorney, have you told your attorney everything you know about your case? Yes _____ No _____

10. If you have an attorney, are you satisfied with the services your attorney has provided for you? Yes _____ No _____

11. Do you understand the charge(s) against you? Yes _____ No _____

B. CONSTITUTIONAL RIGHTS - WAIVERS

Before the Court can accept your plea of guilty, it is important that you understand that you will be giving up many valuable constitutional rights by entering a plea of guilty. The questions in this section are designed to inform you of those rights.

12. Do you understand you have a right to plead NOT GUILTY to every charge filed against you? Yes _____ No _____
13. Do you understand if you plead NOT GUILTY you have the following constitutional rights:
- (a) the right to a speedy and public trial by jury?
Yes _____ No _____
 - (b) the right to counsel at all stages of the proceedings, and that if you cannot afford to pay a lawyer, one will be appointed to represent you? Yes _____ No _____
 - (c) the right to see and hear all witnesses called to testify against you and the right to cross-examine them?
Yes _____ No _____
 - (d) the right to use the subpoena power of the Court to compel the attendance of witnesses at trial and the production of other forms of evidence? Yes _____ No _____
 - (e) the right not to be compelled to incriminate yourself by taking the witness stand; and that if you do not take the witness stand, no inference of guilt may be drawn from your failure to do so?
Yes _____ No _____
 - (f) the right to be presumed innocent until the government has proved you guilty beyond a reasonable doubt by the unanimous agreement of all twelve of the jury members?
Yes _____ No _____
14. Do you understand if you plead GUILTY you will be found guilty without a trial and you will have given up all of the above rights, except the right to counsel?
Yes _____ No _____

15. Do you understand if you plead GUILTY to a felony offense this may deprive you of valuable civil rights including the right to vote, the right to hold public office, the right to serve on a jury, the right to possess any kind of firearm, destructive device or ammunition, and may make you ineligible for certain government benefits?
Yes _____ No _____ Not Applicable _____
16. If you are not a citizen of the United States, pleading guilty may affect your immigration status. Pleading guilty may result in your deportation or removal from the United States, may prevent you from ever lawfully reentering or remaining in the United States, and may result in the denial of naturalization. Deportation is mandatory for certain offenses, including most crimes involving controlled substances. You may be deported or removed from the United States even if you are a legal resident and even if you have legally lived in the United States for many years. Do you understand?
Yes _____ No _____ Not Applicable _____

C. SENTENCING - GENERAL

Before the Court can accept your plea of guilty, it is important that you understand certain aspects of the sentencing process. The questions in this section are designed for that purpose.

17. Do you realize if you plead GUILTY to the count(s) stated in this plea petition the maximum statutory sentence the judge may impose remains the same as if you had pled NOT GUILTY to the count(s) and had been convicted by a jury?
Yes _____ No _____
18. Do you know the sentence you will receive is solely a matter for the judge to decide?
Yes _____ No _____
19. (a) What is the maximum sentence the law provides for the offense(s) to which you want to plead GUILTY?

- (b) Is there a minimum mandatory sentence the law provides for the offense(s) to which you want to plead GUILTY? Yes _____ No _____ If yes, what is it?

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- (c) For certain offenses a term of supervised release must be imposed to be served after the person is released from a term of imprisonment. Is there a mandatory term of supervised release for the offense(s) to which you want to plead GUILTY? Yes _____ No _____ If yes, what is the mandatory term?

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- (d) For all other offenses, the judge may, in the judge's discretion, impose a term of supervised release to be served following the person's release from imprisonment. What is the maximum term of supervised release that could be imposed in this case?

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- (e) What is the maximum term of imprisonment that could be imposed if your supervised release were revoked?

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- (f) Will you be forfeiting any property to the United States as a result of your guilty plea? Yes _____ No _____ If yes, what property?

20. If you plead GUILTY, the judge may require you to make restitution to any victim(s) of the offense [18 U.S.C. §§ 3663 and 3664]. If you plead GUILTY to an offense that falls into certain categories, including property offenses and crimes of violence, ordinarily the judge is required to order you to pay restitution to any victim(s) of the offense [18 U.S.C. § 3663A]. Also, in certain cases, the law identifies specific classes of people or organizations that may be entitled to restitution. Restitution is a continuing obligation that does not end until it is paid in full. In other words, the United States may continue to seek restitution from you even though you are no longer serving a sentence of confinement or supervision. Do you understand all of this? Yes _____ No _____
21. The judge must impose a special assessment for each count to which you enter a plea of guilty. The amount of the special assessment depends on whether the offense is a felony or a misdemeanor [18 U.S.C. § 3013]. In your case, taking into account each offense to which you want to plead guilty, the total amount of special assessment is \$_____. You may be subject to additional assessments if you are convicted of a child pornography offense [18 U.S.C. § 2259A] or an offense under the Justice for Victims of Trafficking Act [18 U.S.C. § 3014]. Any special assessment(s) will be due at the time of sentencing. Do you understand this? Yes _____ No _____
22. If you are on probation or parole in this or any other court, do you know that by pleading GUILTY here your probation or parole may be revoked and you may be required to serve a sentence as a result of that revocation in addition to any sentence imposed upon you in this case? Yes _____ No _____
23. Do you understand that in certain circumstances a federal judge may order a federal sentence of imprisonment to run at the same time as a state sentence of imprisonment? Yes _____ No _____
24. Do you understand if you are convicted of certain violations, such as 18 U.S.C. §§ 924(c) or 1028A, or 21 U.S.C. § 860a, the term of imprisonment imposed for that conviction cannot be served concurrently with any other term of imprisonment? Yes _____ No _____ Not Applicable _____

D. SENTENCING GUIDELINES AND OTHER SENTENCING CONSIDERATIONS

25. In determining an appropriate sentence for a federal crime, the judge must consider the Sentencing Guidelines developed by the United States Sentencing Commission. The Sentencing Guidelines are advisory in nature, not mandatory. The judge must consider imposing a sentence within the range established by the Sentencing Guidelines, but the judge may impose a sentence either above or below that range. Do you understand this? Yes _____ No _____
26. In calculating the range of sentence under the advisory Sentencing Guidelines, the judge will take into account all conduct, circumstances, and injuries associated with your criminal conduct, whether or not this conduct is formally charged by the government. The judge will consider all relevant conduct at the time of sentencing even though you may be pleading guilty to fewer than all counts in the Indictment or Information. Do you understand this? Yes _____ No _____
27. Also, there is no limitation placed on the information the judge can consider at the time of sentencing concerning your background, character, and conduct so long as the information is reliable. The judge will take all of these factors into consideration in determining an appropriate sentence. Do you understand this? Yes _____ No _____
28. If the judge orders a presentence investigation, a U.S. Probation Officer will be assigned to conduct a thorough investigation and prepare a presentence report for the judge's use. Do you understand that if you lie to the U.S. Probation Officer, or if you cause others to lie on your behalf, this can be considered by the judge and may increase the range of sentence calculated under the advisory Sentencing Guidelines? Yes _____ No _____
29. Your history of prior criminal convictions will be used to compute your Criminal History Category under the Sentencing Guidelines. If you have any prior felony conviction that was imposed or for which you have served time within 15 years of the present offense(s), your Criminal History Category may be increased. Similarly, if you have any misdemeanor conviction within 10 years of the present offense(s), your Criminal History Category may be increased. Certain exceptions may apply in your case that would exclude a conviction from the Criminal History Category computation. Nonetheless, do you understand your prior criminal history has a direct impact on the calculation of the sentencing range under the advisory Sentencing Guidelines? Yes _____ No _____

30. If you committed the present offense(s) while you were on probation, parole, supervised release, or escape status, this may increase the number of points assessed in your criminal history computation depending on the total number of points assessed prior to this calculation. If this increases your Criminal History Category, do you understand it may increase the range of sentence calculated under the advisory Sentencing Guidelines? Yes _____ No _____
31. Do you understand if this offense is a crime of violence or a controlled substance offense, and if you have two prior felony convictions of either a crime of violence or a controlled substance offense, you could be classified as a career offender, which would increase the calculation of the sentencing range under the advisory Sentencing Guidelines? Yes _____ No _____ Not Applicable _____
32. The maximum sentence for each offense to which you want to plead guilty is the statutory maximum set out in ¶¶ 19, 20, and 21 above. If you are pleading guilty to more than one count, you could receive the maximum sentence on each count of conviction running consecutively (C/S). *See* USSG § 5G1.2. Do you understand this? Yes _____ No _____ Not Applicable _____
33. In certain cases, the law requires the judge to impose a mandatory minimum term of imprisonment. The judge may not impose a sentence below a mandatory minimum term unless the United States Attorney, in his or her discretion, files a motion. Do you understand this? Yes ____ No ____ Not Applicable _____
34. Parole is not available in the federal system. If you are sentenced to a term of imprisonment, you will serve the entire time imposed (less any earned good time credits that may be applied to reduce the amount of time you actually serve). The maximum amount of credit you may receive against your sentence will be determined by the Bureau of Prisons and is limited by statute [18 U.S.C. § 3624]. Do you understand this? Yes _____ No _____
35. If a term of imprisonment is ordered in your case, the judge may also impose a term of supervised release, which you will begin serving after you are released from custody. For certain offenses, a term of supervised release is mandatory. During any term of supervised release, you will be subject to conditions that will include refraining from any additional violations of local, state or federal law, reporting requirements, travel and residence restrictions, and testing for controlled substance use. If you violate the conditions of your supervised release, the judge may revoke your supervised release and sentence you to an additional term of imprisonment. This additional term of imprisonment would be served without credit for the time you successfully spent on supervised release. Do you understand this? Yes _____ No _____

The judge has the discretion to impose another term of supervised release, to be served after you serve your sentence for violating the first term of supervised release. If you violate your supervised release again, you can be sentenced to serve more time, followed by more supervised release, at the discretion of the judge. Under certain circumstances there is no limit to the number of times supervised release can be revoked and another term of supervised release imposed. Do you understand this? Yes _____ No _____

36. In some circumstances, the judge may decide that your case warrants imposing a sentence with conditions other than incarceration for the full term of the sentence. Options available to the judge include probation, home confinement, community confinement, electronic monitoring, intermittent confinement, or a combination of any of these. Do you understand this? Yes _____ No _____
37. If you plead guilty to a federal sex offense, you may be subject to state laws requiring the registration of sex offenders. Do you understand this?
Yes _____ No _____ Not Applicable _____

E. VOLUNTARY NATURE OF PLEA

38. Are your plea(s) of GUILTY and the waivers of your rights made voluntarily and completely of your own free choice, free of any force or threats or pressures from anyone? Yes _____ No _____
39. (a) Have you entered into a plea agreement with the government?
Yes _____ No _____
- (b) If so:
- (i) Is this a conditional plea pursuant to Fed. R. Crim. P. 11(a)(2) that reserves certain rights to appeal? Yes _____ No _____
- (ii) If yes, what issues are reserved for appeal? _____

- (iii) Have you read the plea agreement or had the plea agreement read to you? Yes _____ No _____

- (iv) Have you had enough time to discuss the plea agreement with your attorney? Yes _____ No _____
- (v) Were all the terms of the plea agreement explained to you, including any waivers of your rights? Yes _____ No _____
- (vi) Do you understand all of the terms of the plea agreement, including the waivers of your rights? Yes _____ No _____
- (vii) What are your reasons for making that agreement? _____

- (viii) If your plea of GUILTY involves a plea agreement, do you understand that the judge can reject the plea agreement after completion of the presentence investigation if the judge finds that the plea agreement is not in the interests of justice? Yes _____ No _____

40. Has any promise been made by anyone that causes you to plead GUILTY aside from the plea agreement, if any, set out in your answer to question 39?
Yes _____ No _____ If yes, what promise has been made and by whom?

41. (a) Has any officer, attorney, or agent of any branch of government (federal, state, or local) promised or predicted that you will receive a lighter sentence, or probation, or any other form of leniency if you plead GUILTY?
Yes _____ No _____

(b) Do you understand no one has any authority to make any such promise or prediction on your sentence because the matter of sentencing is exclusively within the control of the judge and no one else? Yes _____ No _____

42. Has the judge made any suggestion as to what the actual sentence will be?
Yes _____ No _____

43. Are you pleading GUILTY because you are guilty? Yes _____ No _____

44. Is there any other information or advice that you want before you enter a plea?
Yes _____ No _____

F. CONCLUSION/FACTUAL BASIS

45. Has your attorney reviewed and discussed with you all of these questions and your answers to them? Yes _____ No _____

46. Do you understand all of these questions? Yes _____ No _____

If not, which questions do you not understand?

47. (a) Do you now want to plead GUILTY? Yes _____ No _____

- (b) Are you GUILTY? Yes _____ No _____

48. State what you did to commit the offense(s) to which you are now pleading GUILTY.

[illegible]

I understand that if I have knowingly and intentionally made any false answers in this Petition to Enter Plea of Guilty, my answers may be used against me in another prosecution for perjury or making a false statement.

Signed by me and affirmed to be true under penalty of perjury in the presence of my attorney on this _____ day of _____, 20____.

Defendant

CERTIFICATE OF DEFENSE COUNSEL

I, as attorney for the defendant, _____, hereby certify:

1. I have read and fully explained to the defendant the allegations contained in the Indictment or Information in this case.

2. To the best of my knowledge and belief the statements, representations, and declarations made by the defendant in this Petition to Enter Plea of Guilty are in all respects accurate and true.

3. The plea of guilty offered by the defendant to Count(s) _____ accords with my understanding of the facts the defendant has related to me, is consistent with my advice to the defendant, and in my opinion is knowingly and voluntarily made.

4. I assure the Court that I have advised the defendant about the applicable sentencing procedures, including procedures under the Sentencing Guidelines, and I have explained to the defendant the potential consequences of a plea of guilty in light of the questions and concerns set forth in Sections C and D of this Petition.

Signed by me in the presence of the defendant and after full discussion of the contents of this certificate with the defendant, this _____ day of _____, 20____.

Attorney for Defendant

CERTIFICATE OF PROSECUTING ATTORNEY

As attorney for the government, I hereby certify:

1. I have read and fully discussed with defense counsel the allegations contained in the Indictment or Information in this case.

2. I have also reviewed this Petition to Enter Plea of Guilty and find it to be in accordance with my knowledge of the defendant and this case.

3. In my judgment, acceptance of the defendant's plea(s) of guilty to the charge(s) in question will not undermine the statutory purposes of sentencing.

Signed by me this this ____ day of _____, 20____.

Attorney for the Government