TABLE OF CONTENTS

CHAPTER 1

The Fundamentals of RICO

§ 1.01	The Background of RICO	1-3
§ 1.02	The Elements of a RICO Action	1-11
§ 1.03	Person	1-12
0	[1] Statutory Definition	1-12
	[2] Vicarious Liability	1-13
	[3] The Immunity of State/Federal Entities,	
	Government Officials, and Foreign	
	States	1-20
	[a] State Entities	1-20
	[b] Federal Agencies and Officials	1-21
	[c] Foreign Sovereign Immunities Act	1-24
§ 1.04	Employing a Pattern of Racketeering Activity	
3	or the Proceeds Thereof	1-28
	[1] Predicate Acts ("Racketeering Activity")	1-28
	[a] "Indictable," "Punishable,"	
	"Chargeable"	1-28
	[b] Federal Offenses	1-29
	[c] State Offenses	1-34
	[d] Pleading Requirements	1-34
	[i] Generally	1-34
	[ii] Statute of Limitations	1-35
	[iii] Fraud: Federal Rule of Civil	
	Procedure 9(b)	1-40
	[2] "Pattern"	1-48
	[a] Statutory Language	1-48
	[b] Judicial Interpretation of the	
	"Pattern" Requirement	1-49
	[i] Sedima, S.P.R.L. vs. Imrex Co	1-49
	[ii] Aftermath of Sedima	1-50
	[iii] "Mailings" vs. "Episodes" vs.	
	"Schemes"	1-50

	[iv] "Continuity" and "Relationship" vs.	
	"Distinctiveness"	1-51
	[c] H.J. Inc. and Its Aftermath	1-53
§ 1.05	The "Enterprise"	1-61
	[1] "Associated-in-Fact" Enterprises	1-61
	[2] Test to Establish Existence of an	
	Enterprise: Associations-in-Fact	1-76
	[3] Distinction Between Enterprise	
	and Defendant	1-82.2
	[4] Economic Motive	1-92
	[5] Types of Enterprises	1-96
	[a] Legitimate Business Entities	1-96
	[b] Illegal Enterprises	1-96
	[c] Individuals	1-97
	[d] Labor Unions	1-97
	[e] Governmental Entities	1-97
	[f] Foreign Corporations	1-98
	[6] Effect on Interstate or Foreign Commerce	1-98
	[7] Avoiding the Enterprise/Person Identity	1 70
	Problems	1-100
§ 1.06	Activities Prohibited Under the Act.	1-101
y 1.00	[1] Investment of the Proceeds	1-101
	[2] Acquiring an Interest in or Control of an	1-101
	Enterprise	1-103
	[a] Interest	1-103
	[b] Control	1-104
	[3] Conducting the Affairs of an Enterprise	1-105
	· · · · · · · · · · · · · · · · · ·	1-103
		1-105
	Test	
	[b] Reves v. Ernst & Young	1-105
	[c] The Reves Majority's Analysis	1-107
	[d] Certain Implications of <i>Reves</i>	1-108.1
	[e] Pre-Reves Decisions	1-108.14
0.1.07	[4] Conspiracy	1-108.17
§ 1.07	Injury	1-109
	[1] Sedima, S.P.R.L. v. Imrex Co. and	
	American National Bank & Trust	1 100
	Co. v. Haroco	1-109
	[2] Standing for Private Individuals Who	
	Can Show Injury	1-113
	[3] Standing to Bring Conspiracy Claims	1-141
	[4] Injury to Business or Property	1-142
	[5] The Filed Rate Doctrine	1-155
	[6] Causation Nexus	1-157
8 1 08	Sanctions and Remedies	1_172 1

		TABLE OF CONTENTS	xiii
	[1] [2]	Criminal Sanctions	1-172.1 1-172.5
		Parties	1-173
		[b] Punitive Damages and Contribution	1-179
		[c] Rule 11 Sanctions	1-180
		[d] Arbitration	1-181
	[3]	Government Civil RICO	1-182
		CHAPTER 2	
		Civil RICO: Basic Applications	
§ 2.01	Ove	rview of the RICO Private Civil Action	2-2
y 2.01	[1]	Predicate Acts for RICO Civil Liability	2-3
	[2]	Requirements of a Civil RICO Pleading	2-4
	[3]	Defendant Need Not Be Charged With a	
	[-]	Criminal Violation to Incur Civil	
		RICO Liability	2-4
	[4]	Plaintiff Need Not Allege a Special	
		Racketeering-Related Injury	2-5
	[5]	The Limits of RICO's Scope Are Not	
		Clearly Delineated	2-10
§ 2.02	The	Nature of the Predicate Acts	2-11
Ü	[1]	Mail and Wire Fraud	2-11
		[a] Elements of the Underlying Offense	2-16
		[b] Distinguishing Mail and Wire Fraud	2-17
		[c] Broad Construction	2-17
		[d] Limitations on Mail and Wire Fraud	2-18
		[i] Communication Must Be	
		Related to the Scheme	2-19
		[ii] Materiality	2-19
		[iii] Foreseeability of Communication	
		by Defendant	2-20
		[iv] Scienter	2-20
		[v] Plaintiff's Injury Must Be to	
		Property	2-23
		[vi] Extraterritorial Application	2-34
	[1A]	The Hobbs Act	2-35
		[a] Elements of the Underlying Offense	2-36
		[b] Broad Construction	2-40
		[c] Labor Exception	2-43
	[2]	Securities Fraud	2-48
		[a] Standing Requirements	2-58

RICO: CIVIL AND CRIMINAL

		[b]	The	Scienter Requirement for a	
				ecurities Violation Under RICO	2-60
	[3]	Ban		cy Fraud	2-62
		[a]		rts Are Reluctant to Infer RICO	
		F7		iolations Arising from Activities	
				elated to Bankruptcy	2-63
		[b]		eholders Lack Standing as RICO	2 03
		[o]		laintiffs in Bankruptcy	2-64
		[c]		d-Party Creditors Lack Standing	2-07
		[C]		Bankruptcy Actions	2-64
	Γ <i>1</i> 1	Con	III Orol C	Commercial Litigation	2-65
	[4]			Commercial Litigation	
		[a]		ice of Forum	2-65
		[b]		le Damages and Settlement	2-66
		[c]		ites of Limitations and Civil	2 (5
				ICO	2-67
			[i]	•	
				of Limitations on Civil	
				RICO Actions	2-67
			[ii]	Accrual of a Civil RICO	
				Action	2-67
	[5]	Mor	tgage	Lending Practices	2-72
	[6]			plications	2-83
§ 2.03	The			lication of RICO to	
	C	ivil S	uits		2-84.5
	[1]			Definitional Problems After	
				·	2-84.5
	[2]			ising in Defining a "Pattern" of	
	LJ			eering Activity	2-85
	[3]			y and Relationship Required to	
	[2]			Pattern	2-87
	[4]			nips Among the RICO Pattern,	201
	ניו			CO Enterprise, and the RICO	
				ant	2-93
				ern and Enterprise	2-93
		[a]			2-93 2-95
		[b]	Ente	rprise and Defendant	2-93
				CHAPTER 3	
		C	ivil I	RICO: Special Problems	
0 2 01	D			-	2.0
§ 3.01	_			perior	3-2
	[1]			of Respondeat Superior	2 2
	[2]			y Under Civil RICO	3-2
	[2]			al Concepts of Respondeat	2.2
		N ₁	uneric	or Liability	3-3

		TABLE OF CONTENTS	XV
	[3]	Does Respondeat Superior Apply	
		Under Civil RICO?	3-5
		[a] Section 1962(c)	3-6
		[b] Sections 1962(a), (b) and (d)	3-10
		[c] Policy Arguments	3-14
		[d] Legislative Efforts	3-16
	[4]	Alleging a Derivative Claim Under	
		RICO	3-17
§ 3.02	Arb	itration Clauses	3-18.1
	[1]	Whether Federal Claims Are Arbitrable	3-18.1
	[2]	The Rule in Civil RICO Cases	3-19
	[3]	Collateral Estoppel	3-20
	[4]	Waiver	3-22
	[5]	Class Action Waivers	3-23
§ 3.03	Esta	blishing Injury After Sedima	3-25
	[1]	The Sedima Decision	3-25
	[2]	Post-Sedima Decisions	3-25
		[a] Injury Under Section 1962(a)	
		and (b)	3-25
§ 3.04	Stati	ute of Limitations	3-30.4
Ü	[1]	Selecting the Applicable Limitation	
		Period	3-30.4
	[2]	Accrual of RICO Claims	3-30.4
§ 3.04A		raterritorial Application of RICO	3-39
Ü	[1]	Pre-Morrison Jurisprudence	3-39
	[2]	Morrison v. National Australia Bank Ltd	3-44.1
	[3]	Post-Morrison Jurisprudence	3-44.1
	[4]	RJR Nabisco, Inc. v. European	
		Community	3-44.14
	[5]	"Domestic Injury" Requirement	3-44.18
	[6]	Smagin v. Yegiazaryan	3-44.29
§ 3.05		plemental Jurisdiction	3-45
3	[1]	Adjudication of Pendent State Claims	
	LJ	Before 1990	3-45
		[a] Federal Questions in Pendent	
		Claims	3-45
		[b] Congressional Intent	3-45
		[c] Claims by Persons Against States	3-47
	[2]	Federal Jurisdiction Over Pendent Claims	υ.,
	[-]	Is Discretionary	3-47
		[a] Factors That Counsel Against the	5 17
		Exercise of Jurisdiction Over	
		Pendent State Claims	3-47
		[b] Factors Favoring the Exercise	J- 1 1
		of Pendent Jurisdiction	3-48
		or remacht jurisufction	3-40

xvi	RICO: CIVIL AND CRIMINAL	
	[3] Supplemental Jurisdiction and	
	28 U.S.C. § 1367	3-49
	[4] Effect of the Dismissal of Federal Claims	2.52
	on Pendent Jurisdiction	3-53
	RICO Claim Is Dismissed	3-56
§ 3.06	Concurrent or Exclusive Jurisdiction	3-58
Ü	[1] Applicable Legal Standard	3-58
	[2] Preemption Issues	3-58
§ 3.07	Class Actions.	3-67
	[1] Applicable Legal Standard	3-68
	[2] Application of Rule 23 to RICO Claims	3-72
	[a] Decisions Before the Supreme Court's Opinion in <i>Bridge</i>	3-73
	[b] Decisions After the Supreme Court's	3-13
	Opinion in <i>Bridge</i>	3-77
	r	
	CHAPTER 4	
	Civil RICO: Damages	
§ 4.01	Introduction	4-2
	[1] Overview	4-2
	[2] The Effect of Sedima	4-3
§ 4.02	Measuring RICO Damages	4-4
	[1] General Considerations	4-4
	[2] Out-of-Pocket Loss	4-5
	[a] Amount Paid Minus Value Received	4-5
	[b] Market Losses by Investors	4-5
	[3] Restitution and Rescission—Return of	4-3
	Monies Paid	4-7
	[4] Consequential Measures of Damages	4-14
	[a] Lost Wages	4-14
	[b] Injury to Plaintiff's Business	
	Reputation and Loss of	
	Goodwill	4-17
	[c] Lost Profits	4-18
	[d] Obstruction of Justice—Expenses,	
	Delays and Inconvenience	4-19
	[e] Business Interruption Expenses	4-20
	[f] Expenses of Investigation	4-20
	[g] Personal Injury and Emotional	4 22
	Distress	4-22

	TABLE OF CONTENTS	xvii
	[5] Benefit of the Bargain Measures of	
	Damages	4-23
	Damages—Salaries Paid to Disloyal	4 27
	Employees	4-27 4-27
	[7] "Indirect" Damages	4-27
§ 4.03	[8] Governmental Injury	4-31
8 4.03	[1] Derivative Injury	4-37
	[2] Personal Injury	4-41
	[3] Duplicative Damages and the Treatment	
	of Set-Offs	4-54
	[4] Punitive Damages	4-55
0.404	[5] Contingent Damages	4-57
§ 4.04	Special Characteristics of RICO Damages	4-59
	[1] Trebling and Attorney's Fees Are	4.50
	Mandatory	4-59
	[2] Prejudgment Interest	4-60
	[3] No Contribution or Indemnification [4] Conclusion	4-62 4-65
	CHAPTER 5	
	Criminal RICO: Guidelines and Applications	
§ 5.01	Introduction	5-2
§ 5.02	The Preface to the Justice Department	<i>5</i> .0
	Guidelines	5-8
	Binding on the Government	5-8
	[2] Prosecutor Reliance and the Enforceability of the RICO Guidelines	5-12
	[3] Some Courts Have Effectively Exacted	5 12
	Government Compliance With the	
	RICO Guidelines	5-13
§ 5.03	The Internal Review Process of the	
	Justice Department	5-17
§ 5.04	Guideline I—Pre-Indictment Scrutiny of	
	RICO Prosecutions	5-18
	[1] General Prosecutorial Considerations	,
	Under RICO	5-18
	[a] Importance of the Case	5-18
	[b] Equity of the Penalties	5-19
	[c] Other Appropriate Considerations	5-20

xviii	RICO: CIVIL AND CRIMINAL	
	[2] Prohibited Prosecutorial Objectives [a] No Prosecutions for Evidentiary	5-20
	Purposes	5-20
§ 5.05	Bargaining Tool Prohibited Guideline II—Approval Required for RICO	5-21
y 5.05	Prosecutions	5-22
§ 5.06	Guideline III—RICO Indictments Generally Barred When Predicate Depends Entirely	
	on Violations of State Law	5-24
	[1] Three Exceptions to the General Rule[2] Requests by State Authorities for Federal	5-24
e 5 07	Intervention Is Acceptable	5-24
§ 5.07	Guideline IV—The Pattern of Racketeering Activities	5-25
	[1] Guidelines Require Multiple Transactions	3-23
	to Prove a RICO Pattern	5-25
	[2] Litigation of the Pattern Requirement	5-26
	[a] Broad Interpretation by Most Courts	
	in Criminal Cases	5-26
	[b] A More Restrictive View	5-27
	[c] Revisiting the Pattern Question	5-28
§ 5.08	Guideline V—The Pattern of Racketeering	
	Must Be Related to the Purpose of the	5 20
	Enterprise	5-29 5-29
	[1] Majority Rule	3-29
§ 5.09	Requirement	5-31
	Association in Fact	5-32
	[1] General Requirements of Guideline VI[2] Distinctiveness of the Enterprise and	5-32
	the Defendant	5-33
	Longer Required	5-34
	[4] Conclusion	5-35
	CHAPTER 6	
	Criminal RICO: Forfeiture	
§ 6.01	Introduction	6-2
8 6 02	Criminal Prohibitions and Punishments	6-5

	TABLE OF CONTENTS	xix
§ 6.03	Novelty of Criminal Forfeiture	6-7
Ü	[1] No Criminal Forfeiture Prior to RICO.[2] The Significance of Differences Between	6-7
	In Rem and In Personam Forfeiture	
§ 6.04	Overview: Forfeiture Under RICO	6-11
	[1] Purpose of Forfeiture Under RICO	6-11
	[2] Property Subject to Forfeiture	
	[a] Nexus Between Property and Racketeering Activity	
	Under Section 1963(a)(1)	6-12
	[b] Calculation of Proceeds	
	Subject to Forfeiture	
	Under Section 1963(a)(3)	6-14
	[c] Extent to Which Property Is	
	Subject to Forfeiture	
	Under Section 1963(a)(2)	6-19
	[d] Joint and Several Liability	6-22
	[3] The "Relation-Back" Doctrine	6-24
	[4] Notice of Property Subject to Crimina	1
	Forfeiture	6-25
	[5] Calculating the Profits Subject to	
	Forfeiture	6-28
	[6] Post-Conviction Proceedings	6-28
	[7] Immunity for Defendant During	
	Forfeiture Proceedings	6-34
§ 6.05	Third-Party Interests and Forfeiture of	
	Attorneys' Fees	6-35
	[1] Third-Party Interests Generally	
	[2] Post-Trial Forfeiture Hearing	6-44
	[3] Third-Party Attacks on the Forfeiture	
	Order	
	[4] Forfeiture of Attorneys' Fees	
	[a] Background	
	[b] Supreme Court Decisions	
§ 6.06		
	[1] Purpose	
	[2] The Statute as Amended	6-60
	[a] Pretrial Restraint of Substitute	
	Assets	6-62
	[3] Post-Indictment Restraints and Due	
	Process	6-67
	[a] Majority Rule: Post-Restraint	
	Hearing Required for RICO	
	Restraining Orders	6-68

	[4] The Government's Position: No Full Adversarial Post-Restraint	
	Hearing Required	6-87
	[a] Standard of Proof	6-89
	[b] Seizure of Immovable Property May	
	Require a Pre-Seizure Hearing	6-89
	[c] Property Subject to Restraint	6-90
	[5] Status of Seized Property	
	[6] Restraints on Third-Party Interests and	
	Due Process	6-92
§ 6.07	Other Constitutional Issues With Respect to	
Ü	Pretrial Restraints and Actual Forfeiture	6-95
	[1] Violation of the Presumption of	
	Innocence	6-95
	[2] Violation of the Eighth Amendment	6-96
	[3] Violation of the Constitutional Prohibition	
	Against Ex Post Facto Laws and	
	Other Defenses	6-98
	[4] Violation of the First Amendment:	
	Obscenity Cases	6-98
	[5] Membership Marks	6-99
	[6] Conclusion	6-100
§ 6.08	Comparison of Forfeiture and Other Provisions	
	Under the Money Laundering Control	
	Act of 1986	6-102
	CHAPTER 7	
	Prosecuting a Civil Suit: Pleading and	
	Proving Plaintiff's Case	
§ 7.01	Introduction	7-3
§ 7.02	The Pros and Cons of Charging Civil RICO	7-9
	[1] Potential Benefits	7-9
	[2] Potential Disadvantages	7-13
§ 7.03	Conducting The Precomplaint Investigation	7-17
	[1] Investigate the Factual and Legal Basis	
	for a RICO Claim	7-17
	[a] Obligations Imposed by Rule 11	7-17
	[i] Duty of Reasonable Inquiry	7-18
	[ii] Abuse of Judicial Process	7-19
	[b] Rule 11 in the RICO Context	7-20
	[c] Scope of Rule 11 Sanctions	7-21
	[i] Amount of Sanctions	7-21

		TABLE OF CONTENTS	xxi
		[ii] Persons Liable for Sanctions	7-23
	[2]	[iii] Procedural Requirements Explore the Legal Atmosphere for	
	[4]	a RICO Claim	7-23
		[a] Choice of Forum	
		[b] Arbitration Clauses	
		[c] Statutes of Limitation	
§ 7.04	Draf	fting the Complaint	
3 / * * *	[1]	Overall Considerations	7-30
	[-]	[a] Emphasize Criminal Conduct and Intent	
		[b] Plead Conservatively and	750
		Alternatively	7-31
		[c] Plead with Particularity	
		[d] Avoid Limiting Federal Claims to	, 32
		RICO	7-35
	[2]	Plead Eight Specific Elements	
	[-]	[a] Enterprise	
		[b] Nexus Between "Person" and	, 50
		"Enterprise"	7-37
		[i] Separateness of Person and	
		Enterprise	7-37
		[ii] Availability of Respondeat	
		Superior	7-38
		[iii] Section 1962(c): Conducting	
		or Participating in an	
		Enterprise	7-39
		[c] Acts of Racketeering	
		[d] "Pattern of Racketeering Activity"	7-43
		[i] Continuity	
		[ii] Relationship	7-46
		[e] Effect on Interstate or Foreign	
		Commerce	7-46
		[f] Requisite Injury to "Business or	
		Property"	7-49
		[g] Injury "By Reason Of" the RICO	
		Violation	
		[h] Pleading Conspiracy	7-54
	[3]	Prayer for Relief and Demand for Jury	
		Trial	7-56
	[4]	Amending an Existing Complaint To	
		Add a RICO Count	
§ 7.05		ing The Offensive	
	[1]	Motion to Preserve Assets	
	[2]	Motion to Preserve Evidence	
	[3]	Motions In Limine	7-63
			(Rel. 69)

xxii	RICO: CIVIL AND CRIMINAL	
§ 7.06	Pretrial Discovery in a RICO Case	7-65 7-65 7-67
	[4] Obtaining Records of Government	7.60
§ 7.07	Agencies	7-68 7-69
8 7.07	[1] Burden of Proof	7-70
	[2] Use of Prior Criminal Conviction	7-71
	[3] Proof of State of Mind	7-72
	[4] Proof of Conspiracy	7-72
0.7.00	[5] Proof of Damage	7-74
§ 7.08	Attorney's Fees	7-76
	CHAPTER 8	
	Civil RICO: Defendants' Tactics and Strategy	
§ 8.01	Introduction	8-2
§ 8.02	The Initial Response—Advisability of Motions	
	Addressed to the Merits	8-4
§ 8.03	Procedural Motions	8-5
	[1] Motions to Stay	8-5
	Non-RICO Claims	8-5
	[b] Stay Pending Arbitration	8-5
	[c] Stay Pending Completion of Parallel	
	Criminal Proceedings	8-8
	[2] Motions for a Protective Order	8-9
	[3] Motions to Sever	8-10 8-11
	[4] Counterclaims	8-11
	[b] Counterclaims Alleging Malicious	0-11
	Prosecution or Abuse of Process	8-11
	[c] Defamation	8-12
	[5] Cross-Claims	8-13
§ 8.04	Defenses Attacking the Pleadings	8-14
	[1] Failure to Plead Fraud With	0.14
	Particularity	8-14
	[2] Failure to Allege Probable Cause	8-17 8-18
§ 8.05	Dispositive Defenses	8-20
0 2.00	[1] Standing Challenges	8-20
	[a] No Special Injury Requirement for	
	RICO Plaintiffs	8-20

	TABLE OF CONTENTS	xxii
	[b] Shareholder Standing[c] Standing Requirements Under	8-22
	Section 1962(a) and (c) [d] Standing of "Whistleblowers," "Non-Participants" and	8-24
	"Indirect Injury"	8-27
	[e] Assignability of RICO Claims	8-30
	[2] Statute of Limitations	8-31
	[3] The Enterprise as Defendant	8-37
§ 8.06	The "Pattern" of Racketeering Activity and	
	Other Challenges	8-43
	[1] Pattern—The Number of Predicate Acts	
	Required	8-43
	[2] The Pattern Requirement in Mail	
	and Wire Fraud	8-44
	[3] "Through" A Pattern of Racketeering	
	Activity	8-54
	[4] Attacks on the Predicate Acts	8-55
	[a] Prior Conviction Requirement	8-55
	[b] Securities Fraud	8-56
	[c] Mail and Wire Fraud	8-57
	[d] Miscellaneous	8-58
	[5] Mens Rea	8-59
§ 8.07	Controversy	8-60
	and Costs	8-69
§ 8.08	Equitable Defenses	8-70
§ 8.09	Miscellaneous	8-72
	CHAPTER 9	
	Criminal RICO: Prosecutors' Considerations	
§ 9.01	Multi-Defendant RICO Prosecutions	9-2
3	[1] The Purpose of the Multi-Defendant	
	RICO Prosecution	9-2
	[2] Advantage of the RICO Statute for the	
	Prosecution	9-3
	[3] The Colombo Family Indictment	9-7
	[a] The Enterprise	9-7
	[b] Inclusion of State Crimes and	
	Previous Convictions	9-8

xxiv	RICO: CIVIL AND CRIMINAL	
	[c] Inclusion of Out of District Crimes and Crimes Beyond the Normal	
	Statute of Limitations	9-11
§ 9.02	Drafting RICO Indictments	9-13
	[1] In General	9-13
	[2] The Number of Defendants and	0.10
	Predicates	9-13
	[3] The "Enterprise" Section of the RICO Count	9-19
	[4] The Special Verdict Form	9-19
	[5] The Court's Charge	9-23
§ 9.03	Witness Protection.	9-24
y 7.03	[1] In General	9-24
	[2] Operation.	9-24
	[3] Benefits	9-25
	[4] Protection as an Issue at Trial	9-26
§ 9.04	Jury Selection	9-27
	[1] In General	9-27
	[2] The Anonymous Jury	9-27
	[3] Individual Questioning and the Use of	
	Questionnaires	9-33
	[4] Conclusion	9-38
§ 9.05	Trial Techniques	9-39
	[1] In General	9-39
	[2] Tape Cases	9-39
	[3] Handling of the Accomplice Witness	9-40
	CHAPTER 10	
	Criminal RICO: Defense Techniques	
§ 10.01	The Investigation	10-2
Ü	[1] The Defense Investigation	10-2
	[2] The Reluctant Witness	10-3
	[3] The Joint Defense Strategy	10-4
	[4] Subpoenas	10-6
§ 10.02	Sufficiency of the Indictment	10-8
	[1] Pattern of Racketeering Activity	10-9
	[2] The Enterprise	10-16
	[a] Illegal Enterprise	10-16
	[b] Legal Entity Enterprise	10-18
	[c] Association With or Employment	10.10
	by an Enterprise	10-19

		TABLE OF CONTENTS	XXV
		[3] Participation in the Conduct of the	
		Affairs of the Enterprise Through a	
		Pattern of Racketeering Activity	10-20
		[4] Conspiracy	10-22
Ş	10.03	Procedural Motions	10-22.1
Ü		[1] Joinder and Severance	10-22.1
		[2] Mandatory Severance	10-23
		[3] Discretionary Severance	10-27
§	10.04	Miscellaneous Pretrial Motions	10-29
U		[1] Venue	10-29
		[2] Double Jeopardy	10-31
		[3] Pretrial Detention	10-34
8	10.05	Trial Techniques	10-35
U		[1] Publicity	10-35
		[2] Anonymous Jury Panels	10-39
		[3] Post-Trial Motions	10-42
		[4] Jury Instructions	10-45
		[5] Forfeitures	10-47
		[a] Bifurcation	10-47
		[b] Attorney's Fees	10-49
8	10.06	Sentencing and Bail Pending Appeal	10-52
o		[1] Sentencing	10-52
		[2] Bail Pending Appeal	10-58
		CHAPTER 11	
	C	ivil and Criminal RICO: Parallel Proceeding	gs
e	11.01	Intro duction	11.2
0	11.01 11.02	Introduction	11-2
		Proceedings	11-3
		[1] Morale and Resource Depletion	11-3
		[2] Access to Grand Jury Materials	11-3
		[3] Collateral Estoppel	11-4
		[a] Government as Plaintiff	11-4
		[b] Application for Private Plaintiffs	11-5
		[c] Application in State Criminal	
		Proceedings	11-6
		[d] Effects of Appeals and Acquittals	
		on Collateral Estoppel	11-7
		[e] Res Judicata	11-8
		[4] Discovery	11-8
		[5] Pre-Trial Seizure of Assets	11-10

xxvi	RICO: CIVIL AND CRIMINAL	
§ 11.03	Responses to Parallel Criminal and Civil	
Ü	RICO Actions	11-13
	[1] Benefits of Going Forward With the	
	Civil Proceeding.	11-13
	[2] Disadvantages of Advancing the Civil	11 12
	Proceeding	11-13
	[3] Staying RICO Civil Proceedings[4] Protective Order	11-16 11-21
	[5] The Fifth Amendment Privilege	11-21
	[5] The First Amenament Firstlege	11-22
	CHAPTER 12	
	Government Civil RICO	
§ 12.01	Government Civil RICO: The Prosecutor's	
Ü	Epilogue	12-2
§ 12.02		
0.12.02	An Overview of Significant Cases	12-5
§ 12.03	Common Litigation Issues	12-31
	[1] Collateral Estoppel	12-31
	[2] Preliminary Relief	12-32
	in the Alleged Enterprise	12-33
	[b] Limiting Defendants' Associations	12-33
	With One Another	12-33
	[c] Appointment of a Receiver, Trustee,	
	or Court Liaison Officer	12-34
	[3] Vicarious and Accessorial Liability	
	Under Civil RICO	12-36
	[a] Vicarious Liability	12-36
	[b] Aiding and Abetting	12-37
	[4] Special Discovery Problems in	10.00
	Government Civil RICO Cases	12-39
	[a] Assertions of Privilege by	12.20
	Defendants and Witnesses	12-39 12-40
	[b] Motions to Stay Discovery[c] Dissemination of Discovery Materials	12-40
	[c] Dissemination of Discovery Materials Among Government Agencies	12-42
	[d] Obtaining Discovery from the	12-72
	Government	12-43
	[5] Trusteeships	12-44
	[6] Remedies Available to the Government	12-49
	[7] Pleading With Particularity	12-52
	[8] Constitutional Attack on RICO	12-54

TABLE OF CONTENTS	xxvii
§ 12.04 Proposed Congressional Action [1] Private Treble Damages Actions [2] RICO Predicates [3] Union Trusteeships [4] Pattern of Racketeering Activity	12-57 12-57 12-58 12-60 12-61
Appendices	
APPENDIX A: Racketeer Influenced and Corrupt Organizations Provisions of the Organized	
Crime Control Act of 1970	A-1
APPENDIX B: Department of Justice, Criminal Division, Justice Manual	B-1
INDEX	I-1