

United States District Court

FOR THE
NORTHERN DISTRICT OF CALIFORNIA

VENUE: SAN JOSE

UNITED STATES OF AMERICA,

V.

ELIZABETH A. HOLMES and
RAMESH "SUNNY" BALWANI,

CR 18-0258 EJD

FILED

Jul 28 2020

SUSAN Y. SOONG
CLERK, U.S. DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA
SAN FRANCISCO

DEFENDANT(S).

THIRD SUPERSEDING INDICTMENT

118 U.S.C. § 1349 – Conspiracy;
18 U.S.C. § 1343 – Wire Fraud;
18 U.S.C. § 981(a)(1)(C) and 28 U.S.C. § 2461(c) – Forfeiture

A true bill.

/s/ Foreperson of the Grand Jury

Foreman

Filed in open court this __28th__ day of

July, 2020.

M. Jack

Clerk

Sallie Kim

Magistrate Judge Sallie Kim

Bail, \$ ____ No Process

1 ADAM A. REEVES
Attorney for the United States,
2 Acting Under Authority Conferred By 28 U.S.C. § 515

FILED

Jul 28 2020

SUSAN Y. SOONG
CLERK, U.S. DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA
SAN FRANCISCO

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8 UNITED STATES DISTRICT COURT
9 NORTHERN DISTRICT OF CALIFORNIA
10 SAN JOSE DIVISION
11

12 UNITED STATES OF AMERICA,) Case No. CR 18-258 EJD
13 Plaintiff,)
14 v.) VIOLATIONS:
15 ELIZABETH A. HOLMES and) 18 U.S.C. § 1349 – Conspiracy; 18 U.S.C. § 1343 –
RAMESH “SUNNY” BALWANI,) Wire Fraud; 18 U.S.C. § 981(a)(1)(C) and 28 U.S.C.
16 Defendants.) § 2461(c) – Forfeiture
17) SAN JOSE VENUE
18)

18 **THIRD SUPERSEDING INDICTMENT**

19 The Grand Jury charges that, at all relevant times:

20 Introductory Allegations

21 1. The defendant Elizabeth A. Holmes (“HOLMES”) resided in the Northern District of
22 California, and owned and operated a health care and life sciences company called Theranos, Inc.
23 (“Theranos” or “Company”). HOLMES founded Theranos in 2003, and served in the role of Chief
24 Executive Officer from 2003 through 2018.

25 2. The defendant Ramesh “Sunny” Balwani (“BALWANI”) resided in the Northern District
26 of California, and was employed by Theranos from September 2009 through 2016. BALWANI served
27 in various roles at Theranos: as a member of its Board of Directors, as its President, and as its Chief
28 Operating Officer.

THIRD SUPERSEDING INDICTMENT

1 3. Theranos was a corporation organized under the laws of the State of Delaware with its
2 principal place of business in Palo Alto, California. Theranos opened and maintained a corporate bank
3 account in Palo Alto, California at Comerica Bank. Comerica Bank is headquartered in Dallas, Texas.
4 When Theranos solicited and received financial investments from investors, the money was deposited
5 into its Comerica Bank account. Theranos’s investors included individuals, entities, certain business
6 partners, members of its board of directors, and individuals and entities who invested through firms
7 formed for the exclusive or primary purpose of investing in Theranos’s securities.

8 The Business of Theranos

9 4. Theranos was a private health care and life sciences company. Its stated mission was to
10 revolutionize medical laboratory testing through allegedly innovative methods for drawing blood, testing
11 blood, and interpreting the resulting patient data—all for the purpose of improving outcomes and
12 lowering health care costs.

13 5. During its first ten years, from approximately 2003 to approximately 2013, Theranos
14 operated in what HOLMES called “stealth mode,” with little public attention. While operating in
15 “stealth mode,” Theranos pursued the development of proprietary technology that could run clinical tests
16 using only tiny drops of blood instead of the vials of blood typically drawn from an arm vein for
17 traditional analysis. Theranos also worked to develop a method for drawing only a few drops of
18 capillary blood from a patient’s finger using a small lancet, and collecting and storing that blood in a
19 proprietary device called the “nanotainer.” Theranos’s stated goal was to produce a second proprietary
20 device that could quickly and accurately analyze blood samples collected in nanotainers. Theranos
21 referred to these devices using several terms, including “TSPU” (or “Theranos Sample Processing
22 Unit”), “Edison,” and “miniLab.”

23 6. In or around 2013, Theranos began to publicize its technological advances. According to
24 Theranos, its proprietary methods and technologies carried several advantages over conventional blood
25 testing. For example, Theranos claimed that its laboratory infrastructure yielded test results in less time
26 than conventional labs—requiring hours instead of days. Theranos claimed that its proprietary
27 technology and methods would minimize the risk of human error and generate results with the highest
28 accuracy. According to Theranos, the small blood sample size required for Theranos’s proprietary tests,

1 and its method of collecting blood by finger stick, would also benefit elderly individuals with collapsed
2 veins, individuals who required frequent blood tests due to chronic health conditions, and any individual
3 who feared needles. In addition, Theranos claimed that its blood tests provided substantial cost savings,
4 advertising that it billed all of the tests on the Medicare Clinical Laboratory Fee Schedule at rates 50%
5 or more below the published reimbursement rate.

6 7. Prior to its commercial launch, HOLMES heavily promoted Theranos's supposed
7 technological and operational capabilities. In a September 2013 press release, Theranos claimed that it
8 had "eliminat[ed] the need for larger needles and numerous vials of blood" by relying instead on
9 samples "taken from a tiny finger stick or a micro-sample taken from traditional methods." In another
10 press release, dated November 13, 2013, Theranos touted its use of "blood sample[s] as small as a few
11 drops—1/1000th the size of a typical blood draw." In that same statement, the Company again declared
12 that it had "eliminat[ed] the need for large needles and numerous vials of blood typically required for
13 diagnostic lab testing."

14 8. In addition to directing the actions of the Company, HOLMES also made statements to
15 the media advertising the capabilities of Theranos's technology. In an interview for a *Wall Street*
16 *Journal* article published on September 9, 2013, HOLMES said that Theranos could "run any
17 combination of tests, including sets of follow-on tests" at once, very quickly, all from a single small
18 blood sample.

19 9. Theranos also used its website to increase awareness of its technology. On its website,
20 Theranos displayed a nanotainer of blood balanced on a fingertip along with the slogan, "one tiny drop
21 changes everything." The website also assured visitors that "for the first time," Theranos's laboratory
22 could perform tests "quickly and accurately on samples as small as a single drop."

23 Theranos's Partnership with Walgreens

24 10. As part of its commercial launch, as early as 2010, Theranos pursued a partnership with
25 national pharmacy chain Walgreens. On September 9, 2013, Theranos announced that it would be
26 rolling out Theranos "Wellness Centers" inside Walgreens retail locations. In a press release on that
27 date, Theranos promoted its testing services by stating that "consumers can now complete any clinician-
28 directed lab test with as little as a few drops of blood and results available in a matter of hours."

1 Theranos offered tests to the public beginning in late 2013 through its Wellness Centers located in
2 Walgreens stores in Palo Alto, California as well as in Phoenix, Arizona and surrounding areas.

3 The Scheme to Defraud Investors

4 11. From a time unknown but no later than 2010 through 2015, HOLMES and BALWANI,
5 and others known and unknown to the Grand Jury, through their company, Theranos, engaged in a
6 scheme, plan, and artifice to defraud investors as to a material matter, and to obtain money and property
7 by means of materially false and fraudulent pretenses, representations, and promises, by making
8 materially false and misleading statements, and failing to disclose material facts with a duty to disclose.

9 12. Beginning in approximately 2010, HOLMES and BALWANI made materially false and
10 misleading statements to investors and failed to disclose material facts, using, among other things:
11 (1) false and misleading written and verbal communications; (2) marketing materials containing false
12 and misleading statements; (3) false and misleading financial statements, models, and other information;
13 and (4) false and misleading statements to the media. HOLMES and BALWANI:

14 (A) represented to investors that, at the time the statement was made, Theranos's
15 proprietary analyzer—the TSPU, Edison, or miniLab—was presently capable of accomplishing
16 certain tasks, such as performing the full range of clinical tests using small blood samples drawn
17 from a finger stick and producing results that were more accurate and reliable than those yielded
18 by conventional methods—all at a faster speed than previously possible; when, in truth,
19 HOLMES and BALWANI knew that Theranos's proprietary analyzer had accuracy and
20 reliability problems, performed a limited number of tests, was slower than some competing
21 devices, and could not compete with larger, conventional machines in high-throughput, or the
22 simultaneous testing of blood from many patients, applications;

23 (B) represented to investors that Theranos was presently a financially strong and stable
24 company, including that Theranos would generate over \$100 million in revenues and break even
25 in 2014, and that Theranos expected to generate approximately \$1 billion in revenues in 2015;
26 when, in truth, HOLMES and BALWANI knew that Theranos had and would generate only
27 modest revenues, roughly a few hundred thousand dollars or so, in 2014 and 2015;

1 (C) deceived investors through misleading technology demonstrations intended to cause
2 potential investors to believe that blood tests were being conducted on Theranos's proprietary
3 analyzer; when, in truth, HOLMES and BALWANI knew that Theranos's proprietary analyzer
4 was running a "null protocol" during the demonstration to make the analyzer appear to be
5 operating, but was not testing the potential investor's blood, and yet failed to disclose that fact;

6 (D) represented to investors that Theranos presently had an expanding partnership with
7 Walgreens, that is, Theranos would soon dramatically increase the number of Wellness Centers
8 within Walgreens stores; when, in truth, HOLMES and BALWANI knew, by late 2014, that
9 Theranos's retail Walgreens rollout had stalled because of several issues, including that
10 Walgreens's executives had concerns with Theranos's performance;

11 (E) represented to investors that Theranos presently had a profitable and revenue-
12 generating business relationship with the United States Department of Defense, and that
13 Theranos's technology had deployed to the battlefield; when, in truth, HOLMES and BALWANI
14 knew that Theranos had limited revenue from military contracts and its technology was not
15 deployed in the battlefield;

16 (F) represented to investors that Theranos did not need the Food and Drug Administration
17 ("FDA") to approve its proprietary analyzer and tests, but instead that Theranos was applying for
18 FDA approval voluntarily because it was the "gold standard"; when, in truth, HOLMES and
19 BALWANI knew that by late 2013 and throughout 2014, the FDA was requiring Theranos to
20 apply for clearance or approval for its analyzer and tests;

21 (G) represented to investors that Theranos conducted its patients' tests using Theranos-
22 manufactured analyzers; when, in truth, HOLMES and BALWANI knew that Theranos
23 purchased and used for patient testing third party, commercially-available analyzers;

24 (H) represented to investors that Theranos's technology had been examined, used, and
25 validated by several national or multinational pharmaceutical companies and research
26 institutions; when, in truth, HOLMES and BALWANI knew that these pharmaceutical
27 companies and research institutions had not examined, used, or validated Theranos's technology;
28 and

1 (I) represented to members of the media for publication many of the false and misleading
2 statements described above within paragraph 12(A) – 12(H), and shared the resulting articles
3 with potential investors both directly and via the Theranos website, knowing their statements to
4 members of the media were false and misleading.

5 13. After receiving false and misleading statements, misrepresentations, and omissions from
6 HOLMES and BALWANI, persons known to the Grand Jury as Investors 1, 2, 3, 4, 5, and 6 initiated
7 electronic wire transfers for the purpose of investing money in Theranos. These wires, specifically
8 alleged in paragraph 24 of this Third Superseding Indictment, used a domestic electronic funds transfer
9 system known as the Fedwire system, which is owned and operated by the United States Federal
10 Reserve System. All Fedwire wire transfers alleged in this Third Superseding Indictment were
11 electronically routed through Fedwire centers in East Rutherford, New Jersey, Dallas, Texas, or outside
12 California and into Theranos's bank account in the Northern District of California. All of the wire
13 transfers alleged in this Third Superseding Indictment travelled between one state and another state.

14 The Scheme to Defraud Patients

15 14. Between approximately 2013 and 2016, HOLMES and BALWANI, through
16 advertisements and solicitations, encouraged and induced doctors and patients to use Theranos's blood
17 testing laboratory services.

18 15. HOLMES and BALWANI devised a scheme to defraud patients, through advertisements
19 and marketing materials, through explicit and implicit claims concerning Theranos's ability to provide
20 accurate, fast, reliable, and cheap blood tests and test results, and through omissions concerning the
21 limits of and problems with Theranos's technologies. Based on these representations, many hundreds of
22 patients paid Theranos, or Walgreens acting on behalf of Theranos, for blood tests and test results,
23 sometimes following referrals from their misled doctors.

24 16. Despite representing to doctors and patients that Theranos could provide accurate, fast,
25 reliable, and cheap blood tests and test results, HOLMES and BALWANI knew—through, among other
26 means, their involvement in Theranos's day-to-day operations and their knowledge of complaints
27 received from doctors and patients—that Theranos's technology was, in fact, not capable of consistently
28 producing accurate and reliable results. In particular, HOLMES and BALWANI knew that Theranos

1 was not capable of consistently producing accurate and reliable results for certain blood tests, including
2 but not limited to bicarbonate, calcium, chloride, cholesterol/HDL/LDL, gonorrhea, glucose, HbA1c,
3 hCG, HIV, LDH, potassium, PSA, PT/INR, sodium, testosterone, TSH, vitamin D (25-OH), and all
4 assays conducted on Theranos's TSPU version 3.5, including estradiol, prolactin, SHBG, thyroxine
5 (T4/free T4), triiodothyronine, and vitamin B-12.

6 17. Despite their knowledge of Theranos's accuracy and reliability problems, HOLMES and
7 BALWANI used interstate electronic wires to purchase advertisements intended to induce individuals to
8 purchase Theranos blood tests at Walgreens stores in California and Arizona. Through these
9 advertisements, HOLMES and BALWANI explicitly represented to individuals that Theranos's blood
10 tests were cheaper than blood tests from conventional laboratories to induce individuals to purchase
11 Theranos's blood tests. HOLMES and BALWANI held Theranos's blood tests out to individuals as
12 accurate and reliable. HOLMES and BALWANI:

13 (A) transmitted, caused to be transmitted, or otherwise delivered to doctors and patients,
14 including in the form of marketing materials and advertisements, materially false and misleading
15 information concerning the accuracy and reliability of Theranos's blood testing services;

16 (B) posted on the Theranos website, or otherwise represented to a broad audience including
17 doctors and patients, materially false and misleading information concerning the accuracy and
18 reliability of Theranos's blood testing services;

19 (C) transmitted, caused to be transmitted, or otherwise delivered to doctors and patients
20 Theranos blood test results where HOLMES and BALWANI knew that the tests performed on
21 Theranos technology contained or were likely to contain:

- 22 (1) inaccurate and unreliable results;
- 23 (2) improperly adjusted reference ranges;
- 24 (3) improperly removed "critical" results; and
- 25 (4) results generated from improperly validated assays.

26 18. Knowing that the accuracy and reliability of Theranos test results was questionable and
27 suspect, HOLMES and BALWANI oversaw the electronic wiring of test results to patients, including
28 persons known to the Grand Jury as Patients B.B, E.T., and M.E. in paragraph 26 of this Third

1 Superseding Indictment. These wires, specifically, the wires alleged in paragraph 26 of this Third
2 Superseding Indictment, travelled between one state and another.

3 COUNT ONE: 18 U.S.C. § 1349 (Conspiracy to Commit Wire Fraud against Theranos Investors)

4 19. Paragraphs 1 through 18 are realleged and incorporated as if fully set forth herein.

5 20. From a time unknown but no later than approximately 2010 through approximately 2015,
6 within the Northern District of California, and elsewhere, the defendants,

7 ELIZABETH A. HOLMES and
8 RAMESH “SUNNY” BALWANI,

9 and others known and unknown to the Grand Jury, did knowingly and intentionally conspire and agree
10 together and with each other to commit wire fraud, in violation of Title 18, United States Code, Section
11 1343, by devising a scheme and artifice to defraud as to a material matter and to obtain money by means
12 of materially false and fraudulent representations, specifically by soliciting investments through making
13 the false and fraudulent representations as set forth in this Third Superseding Indictment.

14 All in violation of Title 18, United States Code, Section 1349.

15 COUNT TWO: 18 U.S.C. § 1349 (Conspiracy to Commit Wire Fraud against Theranos Patients)

16 21. Paragraphs 1 through 18 are realleged and incorporated as if fully set forth herein.

17 22. From in or about 2013 through 2016, within the Northern District of California, and
18 elsewhere, the defendants,

19 ELIZABETH A. HOLMES and
20 RAMESH “SUNNY” BALWANI,

21 and others known and unknown to the Grand Jury, did knowingly and intentionally conspire and agree
22 together and with each other to commit wire fraud, in violation of Title 18, United States Code, Section
23 1343, by devising a scheme and artifice to defraud as to a material matter and to obtain money by means
24 of materially false and fraudulent representations, specifically by soliciting, encouraging, or otherwise
25 inducing doctors to refer and patients to pay for and use its laboratory and blood testing services under
26 the false and fraudulent pretense that Theranos technology produced reliable and accurate blood test
27 results.

28 All in violation of Title 18, United States Code, Section 1349.

1 COUNTS THREE THROUGH EIGHT: 18 U.S.C. § 1343 (Wire Fraud)

2 23. Paragraphs 1 through 22 are realleged and incorporated as if fully set forth herein.

3 24. On or about the dates set forth below, within the Northern District of California, and
4 elsewhere, the defendants,

5 ELIZABETH A. HOLMES and
6 RAMESH "SUNNY" BALWANI,

7 for the purpose of executing the material scheme and artifice to defraud investors, and for obtaining
8 money and property from investors by means of materially false and fraudulent pretenses,
9 representations, promises, and material omissions with a duty to disclose, did knowingly transmit and
10 cause to be transmitted by means of wire communication in interstate commerce certain writings, signs,
11 signals, and pictures, that is, electronic funds transfers and payments from investor bank accounts to
12 Theranos, as further set forth below:

COUNT	DATE	ITEM WIRED	WIRED FROM	WIRED TO
3	12/30/2013	\$99,990	Investor #1's Charles Schwab/Wells Fargo Bank account	Theranos's Comerica Bank account
4	12/31/2013	\$5,349,900	Investor #6's Pacific Western Bank account	Theranos's Comerica Bank account
5	12/31/2013	\$4,875,000	Investor #2's Texas Capital Bank account	Theranos's Comerica Bank account
6	2/6/2014	\$38,336,632	Investor #3's Citibank account	Theranos's Comerica Bank account
7	10/31/2014	\$99,999,984	Investor #4's Northern Chicago Bank account	Theranos's Comerica Bank account
8	10/31/2014	\$5,999,997	Investor #5's JP Morgan Chase account	Theranos's Comerica Bank account

26 Each in violation of Title 18, United States Code, Section 1343.

1 COUNTS NINE THROUGH TWELVE: 18 U.S.C. § 1343 (Wire Fraud)

2 25. Paragraphs 1 through 24 are realleged and incorporated as if fully set forth herein.

3 26. On or about the dates set forth below, within the Northern District of California, and
4 elsewhere, the defendants,5 ELIZABETH A. HOLMES and
6 RAMESH "SUNNY" BALWANI,7 for the purpose of executing the material scheme and artifice to defraud patients, and for obtaining
8 money and property from patients by means of materially false and fraudulent pretenses,
9 representations, promises, and material omissions with a duty to disclose, did knowingly transmit and
10 cause to be transmitted by means of wire communication in interstate commerce certain writings, signs,
11 signals, and pictures, that is, laboratory and blood test results, telephonic communications regarding test
12 results, and payments for the purchase of advertisements soliciting patients and doctors for its laboratory
13 business, as further set forth below, in violation of Title 18, United States Code, Section 1343:14
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COUNT	DATE	WIRED FROM	WIRED TO	DESCRIPTION
9	10/12/2015	Arizona	California	Telephone call from Patient B.B to Theranos regarding laboratory blood test results
10	5/11/2015	California	Arizona	Patient E.T.'s laboratory blood test results
11	5/16/2015	California	Arizona	Patient M.E.'s laboratory blood test results
12	8/3/2015	Theranos's Wells Fargo Bank account in California	Horizon Media, Inc.'s J.P. Morgan Chase Bank account in New York	Electronic Funds Transfer in the amount of \$1,126,661.00 to purchase advertisements for Theranos Wellness Centers

Each in violation of Title 18, United States Code, Section 1343.

1 FORFEITURE ALLEGATION: 18 U.S.C. § 981(a)(1)(C) and 28 U.S.C. § 2461(c) (Forfeiture of
2 Wire Fraud Proceeds)

3 27. The allegations of paragraphs 1 through 26 of this Third Superseding Indictment are
4 realleged and by this reference fully incorporated herein for the purposes of alleging forfeiture pursuant
5 to the provisions of 18 U.S.C. § 981(a)(1)(C) and 28 U.S.C. § 2461(c).

6 28. Upon a conviction for the offense alleged in Counts One through Twelve, the defendants,

7
8 ELIZABETH A. HOLMES and
RAMESH "SUNNY" BALWANI,

9 shall forfeit to the United States all property, constituting and derived from proceeds traceable to said
10 offenses, including but not limited to the following property:

11 (a) a sum of money equal to the amount of proceeds obtained as a result of the offense.

12 If any of said property, as a result of any act or omission of the defendant-

13 (a) cannot be located upon the exercise of due diligence;

14 (b) has been transferred or sold to or deposited with a third person;

15 (c) has been placed beyond the jurisdiction of the Court;

16 (d) has been substantially diminished in value; or

17 (e) has been commingled with other property which cannot be subdivided without difficulty;

18 Any and all interest defendant has in any other property (not to exceed the value of the above forfeitable
19 property) shall be forfeited to the United States pursuant to Title 21, United States Code, Section 853(p),
20 as incorporated by Title 18, United States Code, Section 982(b)(1).

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1 The forfeiture is authorized by Title 18, United States Code, Section 981(a)(1)(C) and Title 28,
2 United States Code, Section 2461(c); Title 21, United States Code, Section 853(p) as incorporated by
3 Title 18, United States Code, Section 982(b)(1); and the Federal Rules of Criminal Procedure 32.2.

4 DATED: July 28, 2020

A TRUE BILL

5 /s/
6 _____

FOREPERSON

7 ADAM A. REEVES
8 Attorney for the United States,
9 Acting Under Authority Conferred By 28 U.S.C. § 515

/s/ Robert S. Leach
10 _____

11 JEFFREY SCHENK
12 ROBERT S. LEACH
13 JOHN C. BOSTIC
14 VANESSA BAEHR-JONES
15 Assistant United States Attorneys
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DEFENDANT INFORMATION RELATIVE TO A CRIMINAL ACTION - IN U.S. DISTRICT COURT

BY: COMPLAINT INFORMATION INDICTMENT
 SUPERSEDING

OFFENSE CHARGED

18 U.S.C. § 1349 – Conspiracy; Petty
18 U.S.C. § 1343 – Wire Fraud; Minor
18 U.S.C. § 981(a)(1)(C) and 28 U.S.C. § 2461(c) – Forfeiture Misdemeanor
 Felony

PENALTY: All per count:
20 years imprisonment
\$250,000 fine
3 years supervised release
\$100 special assessment

Name of District Court, and/or Judge/Magistrate Location

NORTHERN DISTRICT OF CALIFORNIA
SAN JOSE DIVISION

DEFENDANT - U.S.

Elizabeth Holmes

DISTRICT COURT NUMBER
CR 18-00258 EJD

FILED

Jul 28 2020

SUSAN Y. SOONG
CLERK, U.S. DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA
SAN FRANCISCO

PROCEEDING

Name of Complainant Agency, or Person (& Title, if any)

FBI, USPS, FDA

person is awaiting trial in another Federal or State Court, give name of court

this person/proceeding is transferred from another district per (circle one) FRCrp 20, 21, or 40. Show District

this is a reprosecution of charges previously dismissed which were dismissed on motion of:
 U.S. ATTORNEY DEFENSE } SHOW DOCKET NO.

this prosecution relates to a pending case involving this same defendant } MAGISTRATE CASE NO.

prior proceedings or appearance(s) before U.S. Magistrate regarding this defendant were recorded under }

Name and Office of Person Furnishing Information on this form ADAM A. REEVES

Acting U.S. Attorney Other U.S. Agency

Name of Assistant U.S. Attorney (if assigned) Robert Leach, AUSA

DEFENDANT

IS NOT IN CUSTODY

- 1) Has not been arrested, pending outcome this proceeding. If not detained give date any prior summons was served on above charges
- 2) Is a Fugitive
- 3) Is on Bail or Release from (show District)

NDCA

IS IN CUSTODY

- 4) On this charge
- 5) On another conviction } Federal State
- 6) Awaiting trial on other charges
If answer to (6) is "Yes", show name of institution

Has detainer been filed? Yes No } If "Yes" give date filed

DATE OF ARREST Month/Day/Year

Or... if Arresting Agency & Warrant were not

DATE TRANSFERRED TO U.S. CUSTODY Month/Day/Year

This report amends AO 257 previously submitted

ADDITIONAL INFORMATION OR COMMENTS

PROCESS:

SUMMONS NO PROCESS* WARRANT

If Summons, complete following:

Arraignment Initial Appearance

Defendant Address:

Bail Amount: _____

* Where defendant previously apprehended on complaint, no new summons or warrant needed, since Magistrate has scheduled arraignment

Date/Time: _____ Before Judge: _____

Comments:

DEFENDANT INFORMATION RELATIVE TO A CRIMINAL ACTION - IN U.S. DISTRICT COURT

BY: COMPLAINT INFORMATION INDICTMENT
 SUPERSEDING

OFFENSE CHARGED

18 U.S.C. § 1349 – Conspiracy; Petty
18 U.S.C. § 1343 – Wire Fraud; Minor
18 U.S.C. § 981(a)(1)(C) and 28 U.S.C. § 2461(c) – Forfeiture Misdemeanor
 Felony

PENALTY: All per count:
20 years imprisonment
\$250,000 fine
3 years supervised release
\$100 special assessment

Name of District Court, and/or Judge/Magistrate Location

NORTHERN DISTRICT OF CALIFORNIA
SAN JOSE DIVISION

DEFENDANT - U.S.

▶ Ramesh "Sunny" Balwani

DISTRICT COURT NUMBER
CR 18-00258 EJD

FILED

Jul 28 2020

SUSAN Y. SOONG
CLERK, U.S. DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA
SAN FRANCISCO

PROCEEDING

Name of Complainant Agency, or Person (& Title, if any)

FBI, USPS, FDA

person is awaiting trial in another Federal or State Court, give name of court

this person/proceeding is transferred from another district per (circle one) FRCrp 20, 21, or 40. Show District

this is a reprosecution of charges previously dismissed which were dismissed on motion of:
 U.S. ATTORNEY DEFENSE } SHOW DOCKET NO.

this prosecution relates to a pending case involving this same defendant } MAGISTRATE CASE NO.

prior proceedings or appearance(s) before U.S. Magistrate regarding this defendant were recorded under }

Name and Office of Person Furnishing Information on this form ADAM A. REEVES

Acting U.S. Attorney Other U.S. Agency

Name of Assistant U.S. Attorney (if assigned) Robert Leach, AUSA

DEFENDANT

IS NOT IN CUSTODY

- Has not been arrested, pending outcome this proceeding.
1) If not detained give date any prior summons was served on above charges ▶
2) Is a Fugitive
3) Is on Bail or Release from (show District)

NDCA

IS IN CUSTODY

- 4) On this charge
5) On another conviction } Federal State
6) Awaiting trial on other charges
If answer to (6) is "Yes", show name of institution

Has detainer been filed? Yes } If "Yes" give date filed
 No

DATE OF ARREST ▶ Month/Day/Year

Or... if Arresting Agency & Warrant were not

DATE TRANSFERRED TO U.S. CUSTODY ▶ Month/Day/Year

This report amends AO 257 previously submitted

ADDITIONAL INFORMATION OR COMMENTS

PROCESS:

SUMMONS NO PROCESS* WARRANT

If Summons, complete following:

Arraignment Initial Appearance

Defendant Address:

Bail Amount: _____

* Where defendant previously apprehended on complaint, no new summons or warrant needed, since Magistrate has scheduled arraignment

Date/Time: _____ Before Judge: _____

Comments: