

案例教程影印系列
CASEBOOK
SERIES

第三版 Third Edition

公司犯罪与白领犯罪

CORPORATE AND WHITE COLLAR CRIME

案例与资料 Cases and Materials

[美] 凯瑟琳·F·布里基 (Kathleen F. Brickey) / 著



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总 序

吴志攀

加入世界贸易组织表明我国经济发展进入了一个新的发展时代——一个国际化商业时代。商业与法律的人才流动将全球化，评介人才标准将国际化，教育必须与世界发展同步。商业社会早已被马克思描绘成为一架复杂与精巧的机器，维持这架机器运行的是法律。法律不仅仅是关于道德与公理的原则，也不单单是说理论道的公平教义，还是具有可操作性的精细的具体专业技术。像医学专业一样，这些专业知识与经验是从无数的案例实践积累而成的。这些经验与知识体现在法学院的教材里。中信出版社出版的这套美国法学院教材为读者展现了这一点。

教育部早在2001年1月2日下发的《关于加强高等学校本科教学工作提高教学质量的若干意见》中指出：“为适应经济全球化和科技革命的挑战，本科教育要创造条件使用英语等外语进行公共课和专业课教学。对高新技术领域的生物技术、信息技术等专业，以及为适应我国加入WTO后需要的金融、法律等专业，更要先行一步，力争三年内，外语教学课程达到所开课程的5%-10%。暂不具备直接用外语讲授条件的学校、专业，可以对部分课程先实行外语教材、中文授课，分步到位。”

引进优质教育资源，快速传播新课程，学习和借鉴发达国家的成功教学经验，大胆改革现有的教科书模式成为当务之急。

按照我国法学教育发展的要求，中信出版社与外国出版公司合作，瞄准国际法律的高水平，从高端入手，大规模引进畅销外国法学院的外版法律教材，以使法学院学生尽快了解各国的法律制度，尤其是欧美等经济发达国家的法律体系及法律制度，熟悉国际公约与惯例，培养处理国际事务的能力。

此次中信出版社引进的是美国ASPEN出版公司出版的供美国法学院使用的主流法学教材及其配套教学参考书，作者均为富有经验的知名教授，其中不乏国际学术权威或著名诉讼专家，历经数十年课堂教学的锤炼，颇受法学院学生的欢迎，并得到律师实务界的认可。它们包括诉讼法、合同法、公司法、侵权法、宪法、财产法、证券法等诸多法律部门，以系列图书的形式全面介绍了美国法律的基本概况。

这次大规模引进的美国法律教材包括：

伊曼纽尔法律精要 (Emanuel Law Outlines) 美国哈佛、耶鲁等著名大学法学院广泛采用的主流课程教学用书，是快捷了解美国法律的最佳读本。作者均为美国名牌大学权威教授。其特点是：内容精炼，语言深入浅出，独具特色。在前言中作者以其丰富的教学经验制定了切实可行的学习步骤和方法。概要部分提纲挈领，浓缩精华。每章精心设计了简答题供自我检测。对与该法有关的众多考题综合分析，归纳考试要点和难点。

案例与解析 (Examples and Explanations) 由美国最权威、最富有经验的教授所著，这套丛书历

经不断的修改、增订，吸收了最新的资料，经受了美国成熟市场的考验，读者日众。这次推出的是最新版本，在前几版的基础上精益求精，补充了最新的联邦规则，案例也是选用当今人们所密切关注的问题，有很强的时代感。该丛书强调法律在具体案件中的运用，避免了我国教育只灌输法律的理念与规定，而忽视实际解决问题的能力培养。该丛书以简洁生动的语言阐述了美国的基本法律制度，可准确快捷地了解美国法律的精髓。精心选取的案例，详尽到位的解析，使读者读后对同一问题均有清晰的思路，透彻的理解，能举一反三，灵活运用。该丛书匠心独具之处在于文字与图表、图例穿插，有助于理解与记忆。

案例教程系列 (Casebook Series) 覆盖了美国法学校院的主流课程，是学习美国法律的代表性图书，美国著名的哈佛、耶鲁等大学的法学院普遍采用这套教材，在法学专家和学生中拥有极高的声誉。本丛书中所选的均为重要案例，其中很多案例有重要历史意义。书中摘录案例的重点部分，包括事实、法官的推理、作出判决的依据。不仅使读者快速掌握案例要点，而且省去繁琐的检索和查阅原案例的时间。书中还收录有成文法和相关资料，对国内不具备查阅美国原始资料条件的读者来说，本套书更是不可或缺的学习参考书。这套丛书充分体现了美国法学教育以案例教学为主的特点，以法院判例作为教学内容，采用苏格拉底式的问答方法，在课堂上学生充分参与讨论。这就要求学生不仅要了解专题法律知识，而且要理解法律判决书。本套丛书结合案例设计的大量思考题，对提高学生理解概念、提高分析和解决问题的能力，非常有益。本书及时补充出版最新的案例和法规汇编，保持四年修订一次的惯例，增补最新案例和最新学术研究成果，保证教材与时代发展同步。本丛书还有配套的教师手册，方便教师备课。

案例举要 (Casenote Legal Briefs) 美国最近三十年最畅销的法律教材的配套辅导读物。其中的每本书都是相关教材中的案例摘要和精辟讲解。该丛书内容简明扼要，条理清晰，结构科学，便于学生课前预习、课堂讨论、课后复习和准备考试。

除此之外，中信出版社还将推出教程系列、法律文书写作系列等美国法学教材的影印本。

美国法律以判例法为其主要的法律渊源，法律规范机动灵活，随着时代的变迁而对不合时宜的法律规则进行及时改进，以反映最新的时代特征；美国的法律教育同样贯穿了美国法律灵活的特性，采用大量的案例教学，启发学生的逻辑思维，提高其应用法律原则的能力。

从历史上看，我国的法律体系更多地受大陆法系的影响，法律渊源主要是成文法。在法学教育上，与国外法学教科书注重现实问题研究，注重培养学生分析和解决问题的能力相比，我国基本上采用理论教学为主，而用案例教学来解析法理则显得薄弱，在培养学生的创新精神和实践能力方面也做得不够。将美国的主流法学教材和权威的法律专业用书影印出版，就是试图让法律工作者通过原汁原味的外版书的学习，开阔眼界，取长补短，提升自己的专业水平，培养学生操作法律实际动手能力，特别是使我们的学生培养起对法律的精细化、具体化和操作化能力。

需要指出的是，影印出版美国的法学教材，并不是要不加取舍地全盘接收，我们只是希望呈现给读者一部完整的著作，让读者去评判。“取其精华去其糟粕”是我们民族对待外来文化的原则，我们相信读者的分辨能力。

是为序。

Preface

Despite its familiar ring, the term “white collar crime” is dauntingly difficult to define. Edwin Sutherland, who first coined the term in 1939, posed a definition that relied on the social status of the offender and the circumstances surrounding the crime as the relevant points of reference. Over the years as the concept evolved, the focus shifted away from the offender to the nature of the wrongful conduct, the locus of the wrong, or the means used to commit it. Nevertheless, years of academic debate have neither resolved the threshold definitional issue nor provided a coherent organizing principle.

Notwithstanding that reasonable minds can disagree about how to define the field, white collar crime is fast becoming an established part of the law school curriculum. As a relatively new course of classroom study, white collar crime is potentially as vast as it is varied. It includes fraud and deceit, wrongful interference with lawful governmental functions, public and private corruption, endangering life and limb, activities that threaten harm to the environment, and an infinite variety of other regulatory wrongs as well.

As was true of the previous editions of this book, the third edition endeavors to provide a theoretical and policy framework for considering institutional and individual responsibility while at the same time maintaining its focus on substantive criminal law. And like its predecessors, it is designed to be used with the revised statutory supplement.

While the similarities between this edition and its predecessors are greater than the differences, the third edition includes some notable changes in emphasis and coverage. Thus, for example, the scope of the

mail fraud chapter is modestly expanded to include a few cases on computer fraud, a kindred crime that is of increasing importance in the field. Similarly, the coverage of the false statements chapter is extended to include the related crimes of procurement fraud under the Major Fraud Act and submitting false claims against the government under the False Claims Act. This edition also divides the material in former Chapter 11 into two chapters — one on tax fraud, the other on currency reporting crimes and money laundering. The money laundering material is new to the book and explores the intersection of this regulatory regime and the currency reporting statutes. In addition, the chapter on sanctions is restructured to focus almost exclusively on the federal sentencing guidelines. Another notable structural change is the elimination of the chapter on workplace death and injury.

The third edition also features a number of major new cases, including recent Supreme Court rulings on whether state-issued licenses are property under the mail fraud statute, whether liability for insider trading may be based on the misappropriation theory, whether the false statements statute should be construed as encompassing an “exculpatory no” defense, whether the federal immunity statute permits the derivative use of documents against a witness who produced them under a grant of immunity, whether lying to federal investigators constitutes obstruction of justice, and whether a public official’s receipt of gratuities that are unrelated to any official act violates the federal bribery statute. Other recent High Court decisions in this edition construe the RICO conspiracy statute and address the outer bounds of forfeiture law.

As was true of the earlier editions, for the sake of brevity and clarity I have omitted some footnotes and citations and eliminated most parallel citations without indication. Footnotes that were retained are renumbered consecutively throughout each chapter. Explanatory footnotes that I added to cases and other quoted material are identified by the legend “— Ed.” And unless otherwise specified, citations to the United States Code that I have supplied are citations to the current Code.

Kathleen F. Brickey

January 2002

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United States Attorney's Office, Southern District of New York, Insider Trading Prosecution in the Southern District of New York.

Summary of Contents

<i>Contents</i>	<i>XIII</i>
<i>Preface</i>	<i>XXIX</i>
<i>Acknowledgments</i>	<i>XXXI</i>
1 Corporate Criminal Liability	1
2 Personal Liability in an Organizational Setting	49
3 Conspiracy	87
4 Mail Fraud	125
5 Securities Fraud	203
6 False Statements	291
7 Perjury and False Declarations	343
8 Obstruction of Justice	387
9 Bribery of Public Officials	461
10 RICO	527
11 Tax Fraud	645
12 Currency Reporting Crimes and Money Laundering	695
13 Environmental Crimes	773
14 Sanctions	849
<i>Table of Cases</i>	<i>929</i>
<i>Table of Statutes</i>	<i>935</i>
<i>Index</i>	<i>937</i>

Contents

<i>Preface</i>	XXIX
<i>Acknowledgments</i>	XXXI

1

Corporate Criminal Liability	1
I. Introduction	1
<i>New York Central & Hudson River Railroad v. United States</i>	1
Notes and Questions	4
F. Cullen, W. Maakestad, and G. Cavender, Corporate Crime Under Attack	4
Notes and Questions	6
U.S. Department of Justice Guidance, Federal Prosecution of Corporations	7
Notes and Questions	10
<i>United States v. C. R. Bard, Inc.</i>	10
Notes and Questions	17
II. The Respondeat Superior Rule	18
A. Criminal Acts	18
<i>Commonwealth v. Beneficial Finance Co.</i>	18
Notes and Questions	22

	<i>People v. Lessoff & Berger</i>	24
	Notes and Questions	26
	<i>United States v. Hilton Hotels Corp.</i>	26
	Notes and Questions	29
B.	Criminal Intent	30
	<i>United States v. Bank of New England, N.A.</i>	31
	Notes and Questions	36
III.	The Model Penal Code Rule	36
	Section 2.07 Liability of Corporations, Unincorporated Associations and Persons Acting, or Under a Duty to Act, in Their Behalf	37
	<i>State v. Chapman Dodge Center, Inc.</i>	39
	Notes and Questions	42
	<i>State v. Christy Pontiac-GMC, Inc.</i>	43
	Notes and Questions	46
	Note On Corporate Structure	46
	Brickey, Rethinking Corporate Liability Under the Model Penal Code	46

2

	Personal Liability in an Organizational Setting	49
I.	Introduction	49
II.	Direct Participants	49
	<i>United States v. Wise</i>	50
	Notes and Questions	52
	Kadish, Some Observations on the Use of Criminal Sanctions in Enforcing Economic Regulations	52
	Notes and Questions	52
	<i>United States v. Brown (Brown I)</i>	53
	Notes and Questions	56
	<i>United States v. Brown (Brown II)</i>	56
	Notes and Questions	60
III.	Responsible Corporate Officers	61
	<i>United States v. Dotterweich</i>	61
	Notes and Questions	64
	Note on the Aftermath of <i>Dotterweich</i>	65

<i>United States v. Park</i>	65
Notes and Questions	74
Problem 2-1	74
Problem 2-2	75
Problem 2-3	75
<i>United States v. MacDonald & Watson</i>	
<i>Waste Oil Co.</i>	76
Notes and Questions	83
Problem 2-4	84
Note on Fines and Indemnification	85
Notes and Questions	85

3

	Conspiracy	87
I. Introduction		87
II. The Plurality Requirement		88
<i>United States v. Stevens</i>		88
Notes and Questions		91
<i>United States v. Hughes Aircraft Co.</i>		93
Notes and Questions		95
III. Knowing Participation		96
<i>United States v. Furkin</i>		96
Notes and Questions		100
<i>United States v. Misle Bus & Equipment Co.</i>		101
Notes and Questions		102
IV. The Object Offense		102
<i>United States v. Arch Trading Co.</i>		103
Notes and Questions		107
<i>United States v. Licciardi</i>		108
Notes and Questions		117
V. Withdrawal and Termination		117
<i>United States v. Steele</i>		117
Notes and Questions		122
Problem 3-1		122

4

	Mail Fraud	125
I. Introduction		125
II. Schemes to Defraud		126
A. Intent to Defraud		126
<i>United States v. Hawkey</i>		126
Notes and Questions		129
Note on Fraud and False Pretenses		129
Problem 4-1		130
Note on Materiality		131
<i>Lustiger v. United States</i>		131
Notes and Questions		134
Problem 4-2		135
B. Protected Interests		135
<i>United States v. George</i>		135
Notes and Questions		140
<i>McNally v. United States</i>		140
Notes and Questions		147
<i>Carpenter v. United States</i>		147
Notes and Questions		151
<i>Cleveland v. United States</i>		151
Notes and Questions		159
Problem 4-3		159
<i>United States v. Czubinski</i>		160
Notes and Questions		168
<i>United States v. Devegter</i>		169
Notes and Questions		174
III. Use of the Mails		175
<i>Schmuck v. United States</i>		175
Notes and Questions		180
<i>United States v. Sampson</i>		181
Notes and Questions		183
Note on Proof of Mailing		183
IV. Mail and Wire Fraud Affecting a Financial Institution		184
<i>United States v. Bouyea</i>		184
Notes and Questions		186
V. Statutes Prohibiting Specific Frauds		187
A. Bank Fraud		187
<i>United States v. Doke</i>		187
Notes and Questions		191
B. Computer Fraud		191
<i>United States v. Middleton</i>		192
Notes and Questions		199
<i>United States v. Czubinski</i>		200
Notes and Questions		202

5

	Securities Fraud	203
I. Introduction		203
II. Willfulness		204
	<i>United States v. Weiner</i>	204
	Notes and Questions	211
	<i>United States v. Bilzerian</i>	213
	Notes and Questions	218
III. The "No Knowledge" Proviso		219
	<i>United States v. Lilley</i>	219
	Notes and Questions	223
IV. Insider Trading		225
A. The Evolving Doctrinal Rules		226
	<i>Chiarella v. United States</i>	226
	Notes and Questions	232
	<i>United States v. O'Hagan</i>	233
	Notes and Questions	239
	<i>Dirks v. Securities and Exchange Commission</i>	239
	Notes and Questions	245
	Problem 5-1	245
	<i>United States v. Chestman</i>	245
	Notes and Questions	253
	Note On Rule 10b5-2	253
	Notes and Questions	254
	<i>United States v. Teicher</i>	254
	Notes and Questions	258
	Note On Rule 10b5-1	259
	Notes and Questions	261
B. The Human Dimension of the Wall Street Insider Trading Scandal		261
1. Insider Trading Prosecutions in the Southern District of New York		261
2. Wall Street's Army of Insiders		276
V. Misrepresentation and Concealment		276
	<i>Herskowitz v. Nutri/System, Inc.</i>	277
	Notes and Questions	282
	<i>Schatz v. Rosenberg</i>	283
	Notes and Questions	289

6

	False Statements	291
I. Introduction		291
II. Jurisdiction		292
	<i>United States v. Rodgers</i>	292
	<i>United States v. Wright</i>	296
	Notes and Questions	299
	<i>United States v. Steiner Plastics Mfg. Co.</i>	299
	Notes and Questions	301
III. Department or Agency		301
	Notes and Questions	303
IV. Material False Statements		303
	<i>United States v. Lemaster</i>	303
	Notes and Questions	307
	<i>United States v. Shah</i>	307
	Notes and Questions	312
V. "Exculpatory No's"		313
	<i>Brogan v. United States</i>	313
	Notes and Questions	319
VI. Culpable Mental State		320
	<i>United States v. Yermian</i>	320
	<i>United States v. Green</i>	324
	Notes and Questions	327
VII. Multiple Punishment		327
	<i>United States v. Ramos</i>	327
	Notes and Questions	329
VIII. Related Theories of Liability		329
A. Procurement Fraud		329
	<i>United States v. Brooks</i>	330
	Notes and Questions	334
	<i>United States v. Sain</i>	335
	Notes and Questions	336
B. False Claims		337
	<i>United States v. Maher</i>	337
	Notes and Questions	341

7

Perjury and False Declarations	343
I. Introduction	343
II. Making Material False Statements	343
<i>Bronston v. United States</i>	344
Notes and Questions	348
Problem 7-1	350
<i>United States v. Walser</i>	351
Notes and Questions	356
III. The Two-Witness Rule	356
<i>United States v. Davis</i>	357
Notes and Questions	361
Note on Inconsistent Declarations	361
Problem 7-2	361
IV. The Recantation Defense	362
<i>United States v. Fornaro</i>	363
Notes and Questions	367
V. Competent Tribunals and Ancillary Proceedings	368
<i>Dunn v. United States</i>	369
Notes and Questions	373
VI. Immunized Testimony	373
<i>United States v. Apfelbaum</i>	373
Notes and Questions	379
<i>United States v. Hubbell</i>	379
Notes and Questions	386

8

Obstruction of Justice	387
I. Introduction	387
II. Pending Judicial Proceedings	387
<i>United States v. Simmons</i>	388
Notes and Questions	392
<i>United States v. Lundwall</i>	394
Notes and Questions	399
III. Endeavoring to Influence or Impede	400
<i>United States v. Collis</i>	400
Notes and Questions	404
<i>United States v. Griffin</i>	405
Notes and Questions	410
Problem 8-1	410