

FD-728c
Revised
12-23-2014

FEDERAL BUREAU OF INVESTIGATION
Performance Appraisal System — Special Agent and Professional Staff
Performance Appraisal Report - Overall Summary Rating Narrative Page

EMPLOYEE INFORMATION

1. Payroll Name of Employee: Scott F Carpenter	2. Employee's Personnel File Number: [REDACTED]
---	--

OVERALL SUMMARY RATING NARRATIVE

SA Carpenter's overall rating is Successful.

In fall 2017, SDNY contacted FBI NY regarding a stalled sports bribery investigation with major unrealized potential which they had been unilaterally investigated. After an initial assessment of the case, SA Carpenter was identified as a SA with Lead Case Agent skills capable of advancing such an investigation and subsequently transferred to C14 from C24 in November of 2017.

Upon arrival to C14 SA Carpenter immediately immersed himself in the historical investigation conducted by SDNY as well as integrating himself into a new squad. SA Carpenter quickly developed rapport with his peers on C14 and began to build a core investigative team which would prove highly effective. From the beginning of his assignment to C14 until his transfer from C14 on 8/4/2017, SA Carpenter was a highly effective Lead Case Agent who served in a critical role for Ballerz, which ultimately became a major Group I UC/CHS operation. During this rating period Ballerz was C14's top priority and a major priority for the Criminal Division. SA Carpenter was critical in building and leading a cohesive investigative core investigative team of multiple Special Agents and multiple embedded Intel and FOA personnel. Ballerz operations ultimately included 19 Title III initiations or renewals, hundreds of consensually monitored communications conducted by a CHS and two FBI UCs as well the employment of grand jury subpoenas, surveillance and other traditional investigative techniques. Investigative coordination was required with multiple components within the NYO, FBI Field Offices, FBIHQ and externally. The rest of C14 also played a major role in this investigation along with major engagement by Squad C-4, other Squads on Branch D, SDNY Investigators and Agents from A-4 and A-7. Due to the complexity, potential and requirements of this case, SA Carpenter was not assigned any other investigative matters and he performed admirably.

SA Carpenter displayed superior ability in investigating, decision making and analyzing. At the start of the case SA Carpenter immediately engaged with SDNY AUSAs and a SDNY investigator who had run the investigation to date and was able to quickly and effectively evaluate a lengthy complex investigation along with significant historical CHS info. SA Carpenter was able to quickly understand and master the complexities of the underlying legal theory relating to the investigation as well as the specific official action thresholds required. SA Carpenter quickly developed an expertise on the legal foundation for the case, including the practical application of how the SCOTUS McDonnell ruling. SA Carpenter incorporated this new paradigm into his investigative decision making with excellent results. SA Carpenter was able to effectively communicate the relevance of the legal challenges to a relatively inexperienced team of Co-Case Agents who he has mentored throughout this investigation as well as ensuring they CHS and UCs were prepared to succeed in their roles.

SA Carpenter showed a mastery of complex investigative and legal challenges and during the course of dozens of CHS/UC meetings he consistently exhibiting highly effective decision making in challenging, ambiguous and rapidly changing situations. SA Carpenter continually tailored an evolving investigative plan in a proactive manner and consistently identified alternatives to address highly complex problems while dealing with a very difficult target set. In particular, SA Carpenter displayed superior ability to simultaneously execute Title III operations and CHS/UC operations in a well coordinated manner. This resulted in superior results, including frequent incriminating admissions by subjects of not only their historical criminal conduct but future plans and specific intent. At a critical phase of the case, a UC was asked to provide a loan to a third party. SA Carpenter recognized this as an opportunity to expand the case and as critical to preserving the UC's bona fides as a high roller. SA Carpenter effectively and passionately advocated for approval to move forward with this loan, despite initial resistance from SDNY who eventually concurred with the loan. SA Carpenter used this opportunity to secure additional evidence against a subject. This directly resulted in a Title III on the subject's mobile phone and set in motion events which would widely expand the case from addressing bribery by NCAA coaches to incorporating the illegal conduct of officials at a major international sportswear company.

SA Carpenter has traveled frequently for this matter and has exhibited a superior work ethic in working long hours, including on weekends and nights to move this case forward. SA Carpenter did an excellent job in handling the CHS in this case as well as serving as the handler for the main UCE. The CHS and UCE both performed incredibly well operationally and SA Carpenter deserves a high degree of credit for their success.

SA Carpenter efficiently coordinated the tasks and investigative roles of a large team of Ballerz personnel. He identified the need for additional resources for the investigation and successfully integrated 2 UCEs, the support of Stagehand Assets and Branch D personnel to advance the case. SA Carpenter showed strong skills in prioritizing investigative resources, in particular he did an excellent job in managing the time and energy of a CHS who resided out of the AOR and required significant communication and coordination efforts. Under SA Carpenter's guidance, a CHS, who had previously been publically identified by the SEC for misconduct and had been unsuccessful in developing evidence when under the guidance of a prior CHS handler became a highly productive FBI CHS. Without SA Carpenter's guidance the CHS would not have been successful in the initial stages of this case and it is likely there would have been minimal if any investigative results. Similarly SA Carpenter's effort in tasking the main UCE were critical in the UCE quickly establishing bona fides with subjects and accomplishing major investigative objectives quickly. The UCE had the resources and guidance to significantly expand this investigation in the summer of 2017 in large part due to the efforts of SA Carpenter.

SA Carpenter and a SDNY AUSA had a less than optimal professional relationship which required significant engagement from his SSA with SDNY PC Unit Chief to resolve. Additionally, SA Carpenter and the assigned SDNY Investigator also had an unproductive relationship. SA Carpenter also had difficulty in dealing with a component of the Office which was tasked to support the Group I which resulted in an unnecessary distraction from investigative efforts. These ongoing issues were a significant drain of time and energy for the prosecution team resulting in a rating of Minimally Successful for CE 3, Relating with Others and Providing Professional Service. Despite these issues with SDNY, SA Carpenter interacted positively and professionally with others and promoted teamwork and team involvement in planning and decision making within the FBI case team. SA Carpenter served as a role model for the more junior members of the FBI case team and was effective in sharing investigative and operational skills.

SA Carpenter actively sought out feedback on his performance and areas for improvement and took steps to improve his performance and refine his skills. In particular SA Carpenter adjusted his CHS handling techniques to optimize the CHS's effectiveness and integrated his SSA and Co-Case Agent into CHS matters to ensure the most effective CHS results. The review of Title III and CHS/UC recordings was used to advance investigation and develop the handling skills of the case team. While SA Carpenter performed at a high level in acquiring and sharing operational and investigative knowledge, during the course of the Group I, SA Carpenter demonstrated a basic understating of administrative guidelines and policy matters resulting in a Successful rating for the Critical Element of Acquiring, Applying and Sharing Job Knowledge.

SA Carpenter represented the FBI well for the majority of the rating period but exhibited poor judgement and behavior while deployed on a TDY to Las Vegas for an operation resulted in a rating of Minimally successful for Maintaining High Professional Standards. While not a comprehensive description of his conduct, SA Carpenter appeared to have displayed poor judgement in some of his operational security practices and behavior. Further, while not a comprehensive description of his conduct, SA Carpenter did not immediately, or in a timely manner report events constituting potential misuse of funds to his chain of command. The conduct while on this TDY resulted in SA Carpenter's removal from the case team and immediate transfer from C14. As a result there was a major disruption to the investigation. This disruption was however addressed by a highly capable case team who were positioned to succeed during a period of transition. Their success is in no small part credited to SA Carpenter's role in creating a highly effective team and the investigative framework he helped develop during the course of his role as the Lead Case Agent.

SA Carpenter communicates clearly and concisely. SA Carpenter capably documented investigative matters in a well organized and comprehensive way and was sought out by case team members for his review and guidance of written products. SA Carpenter exhibited very strong oral communication skills. He frequently engaged in highly effective dialogue with SDNY, the case team and his SSA to address operational issues and highly technical legal analysis, SA Carpenter was able to serve as a excellent conduit of operational information from a CHS and two UCES to SDNY in order to ensure their concerns were addressed. Similarly he delivered complex legal and operational guidance

from SDNY and FBI management to the CHS/UCs and field personnel in a way which was easy to understand, often in difficult circumstances and in high pressure operational situations.

SA Carpenter was active in developing and operating a HUMINT base, coordinating with Intel components to address intelligence requirements and produce intelligence products. SA Carpenter exhibited strong CHS handling skills during the course of the investigation and he effectively used variety of data repositories to collect, analyze and produce intelligence.

SA Carpenter put forth effort which exceed the established goals and objectives when he was assigned to Ballerz. He was consistently anticipating and proactively planning for contingences and this resulted in an increased contribution to the mission from him and members of his case team. In less than a year, the Ballerz team was responsible for 19 Title III initiations or renewals, Due to the high operational tempo of this investigation, much of which was conducted outside the AOR, SA Carpenter frequently secured significant results with much less guidance then would be expected. In particular SA Carpenter's successfully achieved results at the outstanding level in relation to his operation of a CHS, his operation of a UC, his ability to execute a complex investigative plan which included parallel tracks of CHS/UC Operations and multiple Title IIIs. The Ballerz takedown has already had a major national impact and as the prosecution proceeds is likely to continue to have major impact. The success to date of this case would not have been possible without the efforts of SA Carpenter.