

AO 257 (Rev. 6/78)

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

BY: COMPLAINT INFORMATION INDICTMENT
 SUPERSEDING

OFFENSE CHARGED

Count One: 15 U.S.C. §1 - Bid Rigging Petty
 Count Two: 18 U.S.C. §1349 - Conspiracy to Commit Mail Fraud Minor
 Misdemeanor
 Felony

PENALTY: Maximum Terms for Count 1: (1) 10 years prison; (2) fine of \$1 million; (3) 3 years supervised release; (4) \$100 special assessment; and (5) Restitution. Maximum Terms for Count 2: (1) 30 years prison; (2) fine of \$1 million; (3) 5 years supervised release; (4) \$100 special assessment; and (5) Restitution

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

NORTHERN DISTRICT OF CALIFORNIA
 OAKLAND DIVISION

DEFENDANT - U.S.

▶ Mark Roemer

CR15-00228

DISTRICT COURT NUMBER

JST

PROCEEDING

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

Federal Bureau of Investigation

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 Michael A. Rabkin, D.O.J.

U.S. Attorney Other U.S. Agency

Name of Assistant U.S. Attorney (if assigned)

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 RICHARD W. WIEKING
 CLERK, U.S. DISTRICT COURT
 NORTHERN DISTRICT OF CALIFORNIA
 OAKLAND

DEFENDANT 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:

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11 Attorneys for the United States

12 UNITED STATES DISTRICT COURT
13 NORTHERN DISTRICT OF CALIFORNIA

14 OAKLAND DIVISION

CR15-00228

15 UNITED STATES OF AMERICA

16 v.

17 MARK ROEMER,

18 Defendant.

) Criminal No.
)
) INFORMATION
)
) VIOLATIONS: 15 U.S.C. § 1 –
) Bid Rigging (Count One);
) 18 U.S.C. § 1349 – Conspiracy to
) Commit Mail Fraud (Count Two)

JST

19
20 The United States of America, acting through its attorneys, charges:

21 MARK ROEMER,

22 the defendant herein, as follows:

23 BACKGROUND

24 1. At all times relevant to this Information, when California homeowners defaulted
25 on their mortgages, mortgage holders could institute foreclosure proceedings and sell the
26 properties through non-judicial public real estate foreclosure auctions (“public auctions”). These
27 public auctions were governed by California Civil Code, Section 2924, *et seq.* Typically, a
28 trustee was appointed to oversee the public auctions. These public auctions usually took place at

FILED

APR 23 2015

RICHARD W. WIEKING
CLERK, U.S. DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA
OAKLAND

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1 or near the courthouse of the county in which the properties were located. The auctioneer, acting
2 on behalf of the trustee, sold the property to the bidder offering the highest purchase price.
3 Proceeds from the sale were then used to pay the mortgage holders, other holders of debt secured
4 by the property, and, in some cases, the defaulting homeowner (collectively, "beneficiaries").

5 COUNT ONE: 15 U.S.C. § 1 – Bid Rigging (Alameda County)

6 THE COMBINATION AND CONSPIRACY

7 2. Beginning as early as December 2009 and continuing until in or about November
8 2010, the defendant, MARK ROEMER, and co-conspirators entered into and engaged in a
9 combination and conspiracy to suppress and restrain competition by rigging bids to obtain
10 selected properties offered at public auctions in Alameda County in the Northern District of
11 California, in unreasonable restraint of interstate trade and commerce, in violation of the
12 Sherman Act, Title 15, United States Code, Section 1.

13 3. The charged combination and conspiracy consisted of a continuing agreement,
14 understanding, and concert of action among the defendant and his co-conspirators to suppress
15 competition by agreeing to refrain from or stop bidding against each other to purchase selected
16 properties at public auctions in Alameda County at non-competitive prices.

17 4. For the purpose of forming and carrying out the charged combination and
18 conspiracy, the defendant and his co-conspirators did those things that they combined and
19 conspired to do, including, among other things:

20 a. agreeing not to compete to purchase selected properties at public auctions
21 in Alameda County;

22 b. designating which conspirator would win the selected properties at the
23 public auctions for the group of conspirators; and

24 c. refraining from or stopping bidding for the selected properties at the
25 public auctions.

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1 5. Various entities and individuals not made defendants in this Count participated as
2 co-conspirators in the offense charged and performed acts and made statements in furtherance
3 thereof.

4 TRADE AND COMMERCE

5 6. During the period covered by this Information, the business activities of the
6 defendant and his co-conspirators that are the subject of this Information were within the flow of,
7 and substantially affected, interstate trade and commerce. For example, beneficiaries located in
8 states other than California received proceeds from the public auctions that were subject to the
9 bid-rigging conspiracy.

10 JURISDICTION AND VENUE

11 7. The combination and conspiracy charged in this Information was carried out, in
12 part, in the Northern District of California, within the five years preceding the filing of this
13 Information.

14 ALL IN VIOLATION OF TITLE 15, UNITED STATES CODE, SECTION 1.

15 COUNT TWO: 18 U.S.C. § 1349 – Conspiracy to Commit Mail Fraud (Alameda County)

16 THE CONSPIRACY

17 8. Beginning as early as December 2009 and continuing until in or about November
18 2010 in Alameda County in the Northern District of California, the defendant, MARK
19 ROEMER, and his co-conspirators did willfully and knowingly combine, conspire, and agree
20 with each other to violate Title 18, United States Code, Section 1341, namely, to knowingly
21 devise and intend to devise and participate in a scheme and artifice to defraud beneficiaries, and
22 to obtain money and property from beneficiaries by means of materially false and fraudulent
23 pretenses, representations, and promises.

24 9. The objects of the conspiracy were to fraudulently acquire title to selected
25 properties sold at public auctions in Alameda County, to make and receive payoffs, and to divert
26 money to conspirators that would have gone to the beneficiaries.

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INFORMATION – MARK ROEMER – 3

1 10. Various entities and individuals not made defendants in this Court participated as
2 co-conspirators in the offense charged and performed acts and made statements in furtherance
3 thereof.

4 MEANS AND METHODS

5 11. For the purpose of forming and carrying out the charged conspiracy, the
6 defendant and his co-conspirators did those things that they conspired to do, including, among
7 other things:

- 8 a. purchasing selected properties at public auctions at suppressed prices;
9 b. in some instances, negotiating payoffs with one or more conspirators not
10 to compete;
11 c. in many other instances, holding second, private auctions at or near the
12 courthouse steps where the public auctions were held, frequently referred to as "rounds," open
13 only to members of the conspiracy, to bid for title to the selected properties;
14 d. awarding the selected properties to the conspirators who submitted the
15 highest bids at the second, private auctions;
16 e. transferring the right to title to the selected properties into the names of the
17 conspirators who submitted the highest bids at the second, private auctions;
18 f. paying conspirators monies that otherwise would have gone to
19 beneficiaries, using either a predetermined formula based on the bidding at the second, private
20 auction or through direct negotiations among the conspirators;
21 g. taking steps to conceal the fact that monies were diverted from the
22 beneficiaries to the conspirators;
23 h. making and causing to be made materially false and misleading statements
24 on records of public auctions that trustees relied upon to distribute proceeds from the public
25 auction to the beneficiaries and convey title to properties sold at the public auction; and
26 i. causing the suppressed purchase price to be reported and paid to the
27 beneficiaries.

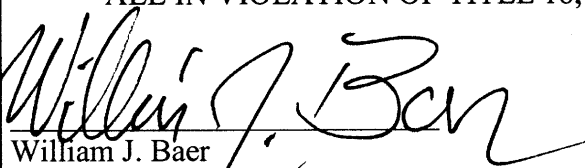
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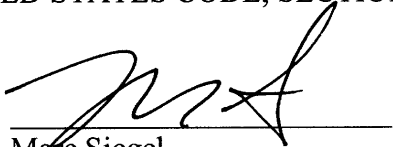
12. For the purpose of executing the scheme and artifice to defraud and attempting to do so, the defendant and his co-conspirators knowingly used and caused to be used the United States Postal Service and private or commercial interstate carriers. For example, trustees used the United States mail and private or commercial interstate carriers to transmit the Trustee's Deeds Upon Sale and other title documents to participants in the conspiracy. These mailings were foreseeable to the defendant in the ordinary course of business.

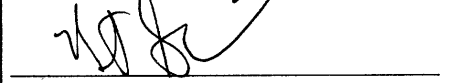
JURISDICTION AND VENUE

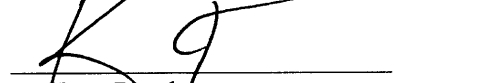
13. The combination, conspiracy, and agreement to violate Title 18, United States Code, Section 1341 charged in this Information was carried out, in part, in the Northern District of California, within the five years preceding the filing of this Information.

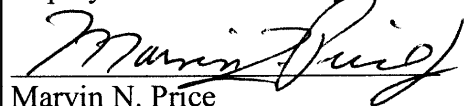
ALL IN VIOLATION OF TITLE 18, UNITED STATES CODE, SECTION 1349.



William J. Baer
Assistant Attorney General

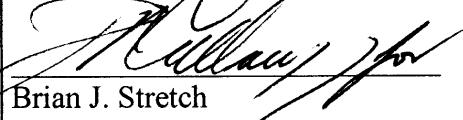

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by 28 U.S.C. § 515