

UNITED STATES DISTRICT COURT
DISTRICT OF MAINE

U.S. DISTRICT COURT
DISTRICT OF MAINE
PORTLAND
RECEIVED & FILED

2021 SEP 29 3:55

UNITED STATES OF AMERICA)
)
v.)
)
JOHN J. CAVANAUGH, JR.)

No. 2:19-cr-00131-NT

2:21-cr-155-NT

DEPUTY CLERK
DISTRICT COURT
DISTRICT OF MAINE
PORTLAND
RECEIVED & FILED

SEP 30 2021

CHRISTAK. BERRY, CLERK
DEPUTY CLERK

**AGREEMENT TO PLEAD GUILTY
(WITH STIPULATIONS AND APPEAL WAIVER)**

The United States of America, by and through Donald E. Clark, Acting United States Attorney for the District of Maine, and Craig M. Wolff, Assistant United States Attorney; and John J. Cavanaugh, Jr. (hereinafter "Defendant"), acting for himself and through his counsel, Jordan T. Ramharter, Esquire, enter into the following Agreement based upon the promises and understandings set forth below:

1. Guilty Plea/Dismissal of Counts

Defendant agrees to plead guilty to Count Three of the Indictment in this case pursuant to Rule 11 of the Federal Rules of Criminal Procedure. Count Three charges Defendant with aggravated identity theft, in violation of 18 U.S.C. § 1028A(a)(1). The government agrees that it will move to dismiss the remaining counts of the Indictment pursuant to Rule 11(c)(1)(A) at the time of sentencing. The parties agree and understand that if the court should deny that motion to dismiss, the provisions of Rule 11(c)(5) will apply.

Defendant also agrees to waive indictment and plead guilty to a one-count Information to be filed in a separate case. The Information charges Defendant with making a false statement to the Small Business Administration, in violation of 18 U.S.C. § 1014. The Information also contains the allegation that Defendant committed the offense while on release, in violation of 18 U.S.C. § 3147.

2. Sentencing/Penalties

Defendant agrees to be sentenced on the charges described above. Defendant understands that the penalties that are applicable to the charges are as follows:

Count Three of Pending Indictment

- A. A mandatory prison term of 2 years, consecutive to any other term of imprisonment imposed;
- B. A maximum fine of \$250,000;
- C. A mandatory special assessment of \$100, which Defendant agrees to pay at or before the time that he enters a guilty plea; and
- D. A term of supervised release of not more than 1 year. Defendant understands that his failure to comply with any of the conditions of supervised release may result in revocation of supervised release, requiring him to serve up to 1 additional year in prison for any such revocation of supervised release pursuant to 18 U.S.C. § 3583.

Information

18 U.S.C. § 1014

- A. Imprisonment for not more than 30 years;
- B. A maximum fine of \$1 million;
- C. A mandatory special assessment of \$100, which Defendant agrees to pay at or before the time that he enters a guilty plea; and
- D. A term of supervised release of not more than 5 years. Defendant understands that his failure to comply with any of the conditions of supervised release may result in revocation of supervised release, requiring him to serve up to 3 additional years in prison for any such revocation of supervised release pursuant to 18 U.S.C. § 3583.

18 U.S.C. § 3147

Imprisonment for not more than 10 years, consecutive to any other sentence of imprisonment. Defendant understands that the application of § 3147 will have the effect of increasing the maximum punishment to which he is subject. Defendant also understands that under the U.S. Sentencing Guidelines, the application of the

statutory enhancement under § 3147 will have the effect of increasing his offense level by 3 levels.

3. Restitution

Defendant understands that in addition to the other penalties provided by law, the Court must also order him to pay restitution to the victims of the offenses of conviction, pursuant to 18 U.S.C. § 3663A.n

Under 18 U.S.C. §§ 3663(a)(3) and/or 3663A(a)(3), Defendant agrees that the Court may also order that he pay restitution to the victim of the conduct described in Count One of the pending Indictment, notwithstanding the fact that the government has agreed to dismiss Count One at the time of sentencing.

Also under 18 U.S.C. §§ 3663(a)(3) and/or 3663A(a)(3), Defendant agrees that the Court may also order that he pay restitution to the victim of the conduct described in Counts Five, Nine, Twelve, Sixteen and Nineteen of the pending Indictment, notwithstanding the fact that the government has agreed to dismiss those counts at the time of sentencing.

4. Agreement Regarding Sentencing

The parties agree to make the non-binding recommendation that the Court find that Defendant has accepted responsibility for the offenses of conviction, and that the Court should reduce Defendant's Adjusted Offense Level by 3 levels under § 3E1.1. The Government reserves the right not to recommend a reduction under § 3E1.1 if, at any time between his execution of this Agreement and sentencing, Defendant: (a) fails to admit a complete factual basis for the plea; (b) fails to truthfully admit his conduct in the offense of conviction; (c) engages in conduct which results in an adjustment under § 3C1.1; or (d) falsely denies or frivolously contests relevant conduct for which Defendant is accountable under § 1B1.3.

The parties expressly agree and understand that should the Court reject the parties' recommendation, Defendant will not thereby be permitted to withdraw his plea of guilty. The parties agree and understand that the Court has the discretion to impose any lawful sentence.

5. Appeal Waiver

Defendant is aware that 18 U.S.C. § 3742 affords a defendant the right to appeal the sentence imposed. Knowing that, Defendant waives the right to appeal the following:

A. Defendant's guilty plea and any other aspect of his conviction in the above-captioned case; and

B. A sentence of imprisonment that does not exceed 54 months. The number of months mentioned in this paragraph does not necessarily constitute an estimate of the sentence that the parties expect will be imposed.

Defendant's waiver of his right to appeal shall not apply to appeals based on a right that has been newly recognized by the Supreme Court and made retroactively applicable to cases on collateral review.

6. New Criminal Conduct

Defendant agrees that he will not commit any other federal or state crime.

7. Consequences of Breach

If Defendant violates or fails to perform any obligations under this Agreement ("a breach"), the United States will be released from its obligations hereunder, including its obligations to make any sentencing recommendations under Paragraph 4, and may fully prosecute Defendant on all criminal charges that can be brought against Defendant. With respect to such a prosecution:

A. The United States may use any statement that Defendant made pursuant to this agreement, including statements made during plea discussions and plea colloquies, and the fact that Defendant pleaded guilty, and Defendant hereby waives any claim under Rule 410 of the Federal Rules of Evidence or Rule 11(f) of the Federal Rules of Criminal Procedure that such statements and guilty plea are inadmissible.

B. Defendant waives any and all defenses based on the statute of limitations with respect to any such prosecution that is not time-barred on the date that this agreement is signed by the parties.

If the United States chooses to exercise its rights under this paragraph, the determination of whether Defendant has committed a breach shall be made by the Court upon an appropriate motion. In a proceeding on such motion, the United States shall have the burden to establish Defendant's breach by a preponderance of the evidence.

8. Speedy Trial Waiver

Defendant agrees to waive, and hereby does waive, any and all rights he might have under the Speedy Trial Act, 18 U.S.C. §§ 3161-64, from the date of the execution of this Agreement and continuing thereafter through and including the date upon which sentence is imposed. In the event that the Court determines that Defendant has breached this Agreement, as set forth in Paragraph 7 of this Agreement, then the waiver described in this Paragraph shall continue through and including the date on which the Court determines that such a breach has occurred. Defendant expressly consents to the entry of an Order by the Court excluding such periods of time from such consideration.

9. Forfeiture


Defendant agrees to waive any claim to, and assist the United States in effecting the forfeiture or other transfer of, any property that may be subject to forfeiture to the United States under any law of the United States, including \$200,000 seized from Five County Credit Union account 1089147-00 under a seizure warrant issued on August 2, 2021; and \$29,175 Defendant agreed to forfeit under a Consent to Forfeiture and Waiver of Timely Notice executed on August 23, 2021.

10. Validity of Other Agreements; Signature

This Agreement supersedes any prior understandings, promises, or conditions between this Office and Defendant. However, in the event that Defendant fails to enter his guilty plea or is allowed to withdraw his guilty plea entered hereunder, and the Court determines that Defendant has not breached this agreement, then any proffer agreement between the parties shall remain in effect. No additional understandings, promises, or conditions will be entered into unless in writing and signed by all parties. The signature of Defendant in the space designated signifies his full and voluntary acceptance of this Agreement.

I have read this Agreement and have carefully reviewed every part of it. I understand it and I have voluntarily agreed to it.

Date: 9-30-21



John J. Cavanaugh, Jr.
Defendant

I am legal counsel for John J. Cavanaugh, Jr. I have carefully reviewed every part of this Agreement consisting of seven pages with Mr. Cavanaugh. To my knowledge, Mr. Cavanaugh's decision to enter into this Agreement is an informed and voluntary one.

Date: 9/30/2021

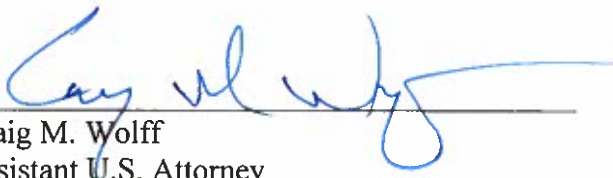


Jordan T. Ramharter, Esq.
Attorney for Defendant

FOR THE UNITED STATES:

Donald E. Clark
Acting United States Attorney

Date: 9/23/2021



Craig M. Wolff
Assistant U.S. Attorney

Approved:



Supervisory Assistant U.S. Attorney