IN THE UNITED STATES DISTRICT COURT
FOR THE NORTHERN DISTRICT OF ALABAMA

Inst # 1997-31666

UNITED STATES OF AMERICA Plaintiff(s)	}	
v.	}	Case Number: CR-97-S-90-S
RONALD EUGENE UPTON Defendant(s).	}	

CERTIFICATE OF JUDGMENT

I, **Perry D. Mathis**, Clerk of the United States District Court for the Northern District of Alabama, do hereby certify that on the 28th day of July 1997, a Judgment was rendered in the United States District Court for the Northern District of Alabama, in the above-styled cause, wherein it was **ORDERED** by the Court as set in the Judgment hereto attached.

WITNESS My Hand and Seal of this Court on September 15, 1997.

PERRY D. MATHIS, CLERK

By: Hale W. Marchman

Deputy Clerk

Inst # 1997-31666

09/30/1997-31666
01:11 PM CERTIFIED
SHELBY COUNTY JUDGE OF PROBATE
006 MCD 21.00

UNITED STATES DISTRICT COURT
Northern District of Alabama

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U.S. DISTRICT COURT
N.D. OF ALABAMA

UNITED STATES OF AMERICA

v.

Case Number CR 97-S-00-8

RONALD EUGENE UPTON
Defendant.

ENTERED

JUL 28 1997

JUDGMENT IN A CRIMINAL CASE
(For Offenses Committed On or After November 1, 1987)

The defendant, RONALD EUGENE UPTON, was represented by Donald L. Colee, Jr..

The defendant pleaded guilty to counts one through twenty-one. Accordingly, the defendant is adjudged guilty of such count, involving the following offense:

Title & Section	Nature of Offense	Date Offense Concluded	Count Number(s)
18 USC 513(a)	Knowingly Making, Uttering, or Possessing a Forged Security	06/10/96	1-21

As pronounced on July 24, 1997, the defendant is sentenced as provided in pages 2 through 5 of this Judgment. The sentence is imposed pursuant to the Sentencing Reform Act of 1984.

It is ordered that the defendant shall pay to the United States a special assessment of $1,350.00, for counts one through twenty-one, which shall be due immediately.

It is further ordered that the defendant shall notify the United States Attorney for this district within 30 days of any change of name, residence, or mailing address until all fines, restitution, costs, and special assessments imposed by this Judgment are fully paid.

Signed this the 25th day of July, 1997.

United States District Judge

Defendant's SSAN: [redacted]
Defendant's Date of Birth: 07/01/47
Defendant's address: 1416 West Navajo Drive; Alabaster, AL 35007

TRUE COPY:
By: Marthalene Brown

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Defendant: RONALD EUGENE UPTON
Case Number: CR 97-S-90-S

IMPRISONMENT

The defendant is hereby committed to the custody of the United States Bureau of Prisons to be imprisoned for a term of 21 months as to Counts 1 through 21, separately with each count to run concurrently with the other.

The defendant shall surrender as directed to the United States marshal for this district or the designated facility on Tuesday, August 26, 1997 at 3:00 p.m.

RETURN

I have executed this Judgment as follows:

_____

_____

_____

_____

Defendant delivered on _____ to _____
at _____, with a certified copy of this Judgment.

_____
United States Marshal

By _____
Deputy Marshal

Defendant: RONALD EUGENE UPTON
Case Number: CR 97-S-90-S

SUPERVISED RELEASE

Upon release from imprisonment, the defendant shall be on supervised release for a term of 36 months on each count, to be served concurrently.

STANDARD CONDITIONS OF SUPERVISION

While the defendant is on supervised release pursuant to this Judgment:

1) The defendant shall not commit another federal, state, or local crime; specifically, the defendant shall not illegally possess a controlled substance and shall not own or possess a firearm or destructive device.
2) The defendant shall not leave the judicial district without the permission of the court or probation officer.
3) The defendant shall report to the probation officer as directed by the court or probation officer and shall submit a truthful and complete written report within the first five days of each month.
4) The defendant shall answer truthfully all inquiries by the probation officer and follow the instructions of the probation officer.
5) The defendant shall support his or her dependents and meet other family responsibilities.
6) The defendant shall work regularly at a lawful occupation unless excused by the probation officer for schooling, training, or other acceptable reasons.
7) The defendant shall notify the probation officer ten days prior to any change in residence or employment.
8) The defendant shall refrain from excessive use of alcohol and shall not purchase, possess, use, distribute, or administer any narcotic or other controlled substance, or any paraphernalia related to such substances.
9) The defendant shall not frequent places where controlled substances are illegally sold, used, distributed, or administered.
10) The defendant shall not associate with any persons engaged in criminal activity and shall not associate with any person convicted of a felony unless granted permission to do so by the probation officer.
11) The defendant shall permit a probation officer to visit him or her at any time at home or elsewhere and shall permit confiscation of any contraband observed in plain view by the probation officer.
12) The defendant shall notify the probation officer within seventy-two hours of being arrested or questioned by a law enforcement officer.
13) The defendant shall not enter into any agreement to act as an informer or a special agent of a law enforcement agency without the permission of the court.
14) As directed by the probation officer, the defendant shall notify third parties of risks that may be occasioned by the defendant's criminal record or personal history or characteristics and shall permit the probation officer to make such notifications and to confirm the defendant's compliance with such notification requirement.
15) The defendant shall report in person, within 72 hours of release from the custody of the Bureau of Prisons, to the probation office in the district where the defendant is released.

SPECIAL CONDITIONS OF SUPERVISION

While the defendant is on supervised release pursuant to this Judgment:

1) The defendant shall participate in the Drug and Alcohol Intensive Counseling and Aftercare Service Program (DAICASP) conducted by the probation office which may include the following:
   a) testing by the probation officer or an approved vendor to detect drug or alcohol abuse,
   b) a mandatory drug-education program which may include individual or group counseling provided by the probation officer or an approved vendor,
   c) placement in a residential treatment program or community corrections center for up to 180 days at the direction of the probation officer. The defendant shall pay the cost of subsistence if the probation officer determines that defendant has the ability to do so,
   d) home confinement subject to electronic monitoring for a maximum period of 90 days at the direction of the probation officer. The defendant shall pay the cost of monitoring if the probation officer determines that defendant has the ability to do so.
2) The defendant shall participate, if and as directed by the probation officer in such mental health/vocational rehabilitation programs as the officer may direct.
3) The defendant shall pay the outstanding balance of any restitution ordered by this judgment, on a plan established by the probation officer.
4) The defendant shall provide the probation officer access to any requested financial information.
5) The defendant shall be prohibited from incurring new credit charges or opening additional lines of credit without approval of the probation officer.

Defendant: RONALD EUGENE UPTON
Case Number: CR 97-S-90-S

RESTITUTION AND FORFEITURE

RESTITUTION

Pursuant to 18 USC 3663, the defendant is ordered to pay restitution in the amount of $100,638.20 to Regions Financial Corporation for the offenses committed in Counts One through Fifteen. Pursuant to 18 USC 3663A the defendant is ordered to pay restitution in the amount of $132,852.93 to Regions Financial Corporation for the offenses committed in Counts Sixteen through Twenty-one. The Court has determined that the defendant does not have the ability to pay interest; therefore the interest requirement is waived as to this latter amount of restitution.

The defendant shall make restitution to the following persons in the following amounts:

Name of Payee	Amount of Restitution
Regions Financial Corporation Suite 111 90 Bagby Drive Birmingham, AL 35209 Attention: Henry Hamill, Corporate Security Officer	$ 233,491.13

Payments of restitution are to be made to the Clerk of the Court, for transfer to the payees.

Restitution is due immediately and may be collected in accordance with the Inmate Financial Responsibility Program.

If there are multiple payees, any payment not made directly to a payee shall be divided proportionately among the payees named unless otherwise specified here:

Defendant: RONALD EUGENE UPTON
Case Number: CR 97-S-90-S

STATEMENT OF REASONS

The court adopts the factual findings and guideline application in the presentence report.

Guideline Range Determined by the Court:

Total Offense Level:	15
Criminal History Category:	I
Imprisonment Range:	18 months to 24 months
Supervised Release Range:	2 to 3 years
Fine Range:	$ 4,000 to $ 40,000 plus cost of incarceration and/or supervision
Restitution:	$ 233,491.13

No fine or any additional fine for the costs of supervision and/or incarceration is imposed due to the defendant's inability to pay both a fine and restitution.

The sentence is within the guideline range, that range does not exceed 24 months, and the court finds no reason to depart from the sentence called for by application of the guidelines.

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