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EGFA-18622

VIA: AIR

EGFA-18622

29 October 1957

29 OCT '57

Info: COS  
ROR

TO : Chief, EE

FROM : Chief of Base, Frankfurt

SUBJECT: Operational/UPSWING/CART/LC IMPROVE

Report of Contact with CARETINA

Reference: EGFA 17577

*/Pannwitz [ ]*

Headquarters Action Required: None

Summary:

In accordance with the operational plan proposed in the reference dispatch, [ ] entertained CARETINA as his [ ] guest from [ ] September 1957. Since the medical examination showed that CARETINA is physically in much better condition than had been thought, though he is suffering from a "heart neurosis" which makes him in effect a cardiac invalid, the operation was not immediately successful in the sense anticipated. CARETINA's present personal situation and his relationship to UPSWING was clarified in conversations with [ ], and he made clear his present desire for contact with KUBARK, though without making an overt request that [ ] take action to arrange it. Surreptitious examination and photographing of extensive documentary material in CARETINA's briefcase yielded information of intelligence interest on his background and past activities which is to be transmitted by separate dispatch.

Introductory:

1. Having been authorized to proceed with the initial phase of the operational proposal reported by the reference dispatch, [ ] invited CARETINA to come to Duesseldorf to undergo a medical examination by a local U. S. heart surgeon, an unwitting contact of [ ], and to receive an informed opinion of his condition and its implications for the future course of his life. [ ] arranged this in the hope that a frank and honest statement of CARETINA's condition and prospects, which [ ] believed were very poor on the basis of CARETINA's own reports, might well lead him to recognize that he had only a few years to live at the maximum and should therefore give priority attention to caring for the future of his family, preferably by seeking contact with KUBARK to offer his knowledge of Soviet espionage operations in Western Europe to KUBARK in return for a cash payment. Accordingly, CARETINA came to Duesseldorf on 7 September 1957 directly from Munich, where he had spent five weeks taking a rest cure at a nearby sanatorium. He remained in Duesseldorf as [ ] guest until the morning of [ ] September 1957, when [ ] made sure of his departure by inventing a

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notional trip to the U. S. Embassy and offering him a ride to Bonn, where CARETINA wished to visit several people en route to his home. The visit lasted much longer than planned for because of the unanticipated need to request forwarding of medical records of previous examinations from three medical centers and their rather grudging compliance.

2. In spite of the strain imposed by the unexpected length of the visit, it went off very well, without any incidents tending to compromise the security of [ ] and leaving [ ] firmly entrenched in CARETINA's confidence. The result of the visit, the information gathered during many hours of conversation with CARETINA on his personal situation and plans is summarized below. Information of operational interest resulting from the visit will be reported separately. A precise account of all recontact by [ ] with CARETINA and with persons relating to him during the period 24 May - 10 October 1957 is forwarded as Attachment A.

Medical Examination and Health

Dr. Emsl AUGATH

(Dr. L. M. HICKMAN)

3. The medical examination of CARETINA was conducted by Identity-1 with the assistance of his professional associate Identity-2 in making the necessary tests. The examination was both thorough and professionally impressive, and the result can be accepted without further question. [ ] was somewhat non-plussed, however, to learn that CARETINA's condition is by no means so desperate as he had been led to believe. Briefly, CARETINA did suffer a massive anterior cardiac infarction a year ago, but this has healed very satisfactorily without leaving any of the malfunction or disturbance which often follow such cases. CARETINA does seem to suffer from a very mild chronic angina, attending any undue exertion or excitement and it will be necessary in the future for him to regulate his life to observe moderation in all respects, but he is not, physically, a cardiac invalid. It is much more likely than not that he will die of another heart attack of the same sort, but he may be able to lead a moderately active and useful life for many years, if he is able to reorganize it properly, though his statistical life expectancy is no more than four or five years. On the other hand, in Identity-1's opinion, he has been improperly treated during the past year in that he has been encouraged to develop a neurotic attitude toward his condition which leads him, quite honestly and unconsciously, to be continuously aware of it, to exaggerate small aches and pains and relate them to his heart, and so to become to a certain degree a heart invalid in a psychological sense. Proper treatment on the basis of U. S. medical experience would have forced him to begin taking moderate but regular exercise at an early stage in his recovery and encouraged him to resume productive employment suited to his physical limitations as soon as possible, in order to avoid the unconscious preoccupation with his health which has to some extent incapacitated him. As the matter stands, CARETINA has not even yet really begun to make the enormous psychological readjustment which calls for a constant

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awareness of his physical limitations without permitting them to cripple him psychologically, and it is Identity-1's opinion that the chances are against his making this readjustment successfully in the absence of continuous supervision and advice from a physician who understands this approach to the problem and especially in view of the gnawing anxiety caused by his disordered personal affairs and his urgent need to take action on them. In spite of a careful and insistent explanation to CARITINA of the requirements of his situation, Identity-1 rather expects him to continue to alternate between periods of activity in which he exceeds his limitations followed by periods of inactivity due to overexertion. This, of course, tends to reduce his statistical life expectancy, though no physician can or will guess at the probable expectancy in any particular case.

4. CARITINA, however, was gratified by Identity-1's verdict, which tallied more or less with what he had been told during his recent rest cure, but which was put to him in less over-simplified form and carried greater weight. He is not likely though to give up so easily the pseudo-medical theories and fantasies he has heard from others, including some German physicians, on the score of the effects on his condition of weather, altitude, dietetic fads, etc. Except for the anxiety which never leaves him, his visit at [ ] was restful and left him feeling fairly well. From the operation point of view, therefore, the medical examination did not produce the effect we had hoped for, that is, create an immediate pressure influencing him toward the desired course of action.

#### Current Personal Situation:

##### Financial

5. CARITINA is currently carried on the records of the Versorgungsamt at 100% disabled as a result of war service, his heart attack having been attributed to the hardships of his years in the USSR. This status has made it possible for him to secure extension of his support payment as a disabled "late returnee" through September 1957, and he feels the chances are fairly good that he will secure a further extension of three or four months, though he knows this cannot continue indefinitely. These payments, which are calculated by means of a complex formula and may include payments from other sources, come to about DM 700 a month, possibly a little more. In addition to this, he enjoys tax exemption and other small benefits which are accorded to him as an incident of his status as a disabled returnee. If the payments are not renewed at their present level, he has an established right, so long as he continues disabled and un- or under-employed, to a pension of about DM 350 a month for the rest of his life, and it would be continued to his family after his death.

6. CARITINA has saved, presumably from his support payments and from the proceeds of his single journalistic venture (Previously reported) about DM 7,000.

He is considering this carefully until he decides on his future course of action. It will eventually be spent either for an automobile or to defray expenses of moving to new quarters and purchasing needed furniture, though he wants badly to do both.

7. [ ] is now inclined to feel that CARITINA has received little or no financial assistance from UPSWING, though UPSWING has "helped with a few small matters", perhaps in the way of helping him cope with administrative red tape, possibly in such ways as furnishing a typewriter.

#### Civil Service Status

8. CARITINA has now established his right to life-tenure as a civil service official as of January 1940, when he was accorded that status as a Kriminal Kommissor in Berlin. The long delay in recognition of this status was caused by the fact that his name was not included in the list of those accorded that status which was published retroactively in July 1940, apparently because he had since been transferred to the Gestapo. With the help of friends, possibly of UPSWING, he has managed to put his hands on a subsidiary document which has now been accepted as sufficient evidence. He complains that part of the difficulty lay in the fact that officials who might otherwise have been more cooperative, as one or two have since admitted, had read the false references to him in the German edition of the book Soviet Espionage by David J. Mallin and were reluctant to expose themselves to possible repercussions by assisting one who might later be accused of war crimes in German courts.

9. Recognition of his life tenure as a career civil servant gives CARITINA a total of some eighteen or nineteen years of creditable service, which would entitle him to a pension, if he were to be retired at once, of perhaps DM 350 a month which would be in addition to other minor benefits amounting to perhaps DM 50. He could not, however, draw both the civil service pension and the pension given a disabled returnee.

10. CARITINA would much prefer, however, to re-enter the civil service as a Kripte official on active duty. This would require a change in his disability status, but this is entirely possible on the basis of the most recent medical findings. By choice, of course, he would like to be reinstated in his former rank of Kriminalrat (corresponds roughly to Major), which would give him an income of perhaps DM 1250 a month, and, if he were then to retire for physical disability after even a few months of service, would perhaps double his pension entitlement. He is most unlikely, however, to find a T/O vacancy higher than Kriminalkommissor, the next lower rank with a salary of something around DM 1000 in his case, and might be offered a place as Kriminalsekretaer, which he would be most reluctant to accept, unless he had assurance of rapid promotion exempt from present time-in-grade requirements. This is a possibility but depends entirely on the good will and influence of well-placed officials.

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11. If CARETINA should retire for disability at any time in the future as a civil service official and should thereafter lose his pension through disciplinary proceedings resulting from, for instance, publication of unauthorized writings he would always be able to fall back on his apparently infeasible right to the pension given disabled late returnees. This pension of course, is a minimum.

12. Since reinstatement in the Kripo comes down as a practical matter to finding a superior official willing to employ him, CARETINA feels that his best chances are in Munich, his next best in Duesseldorf. His first choice would be Wiesbaden where the Acting Chief of the Bundeskripoamt is a very old and, he thought, close friend, whom CARETINA protected during the war by concealing the man's intention to desert to Switzerland (which he later did). But this person, whom [ ] will report further by separate dispatch, was unable to find time to say hello to CARETINA during his one visit to the office in Wiesbaden after his return from the USSR and seems disinclined to assist him.

13. CARETINA clearly understands that UPSWING suspects that he may now be a Soviet-controlled agent and is keeping him on a string, hoping to exploit his information and access to others having similar information without making any commitments to employ him. In his less sanguine moods, he recognizes that his chances of convincing the organization of his bona fides and securing admission to it in civil service status are poor. At most, he feels at such times UPSWING might come to him in a year, or two, or three, after he had established himself by his own efforts in the Kripo and invite him to join them. He stigmatizes the UPSWING attitude as showing lack of moral courage growing out of what he considers the bureaucratization of all intelligence services since the last war, a situation in which it is more desirable to pass the buck and take no positive action than to run any risk of making a mistake, even though this paralyzes initiative and limits the possibility of significant operational successes. Realistically, then, he feels that his best chances, though they are not good, lie with the Kripo proper. At the same time, however, he is most reluctant to give up his dreams of resuming his old activity as an UPSWING officer, and he keeps coming back to considering possible ways and means of bringing UPSWING to see the matter his way. His best hope at the moment seems to be his recent contact with the Personal Referent of the Interior Minister, reported to [ ] by telephone on 28 September after ending his visit. This man, whom CARETINA knew previously only through mutual friends, seems to have been very favorably impressed by CARETINA at their first meeting and to have offered to assist him in any way he could. If [ ] understood the German double-talk correctly, he told CARETINA that he would do what he could to assist him in his desire to join UPSWING but said that it would be a very difficult business. On the other hand, he seems to have offered to use his decisive influence, if CARETINA wished, to have CARETINA accepted "in Cologne", presumably into the BFV without further ado. It was not clear to [ ] what rank this offer involved,

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and it may not have been stated to CARETINA, but it appears in any case that CARETINA asked to defer action on this possibility for the time being.

*Note Kapell*  
 14. It is clear from the contents of CARETINA's briefcase, to be forwarded by separate dispatch, that he has been preparing a detailed account of his Identity-3 and subsequent activities during his years in the USSR for UPSWING, including data on many individuals of counterintelligence interest from one point of view or another, for more than a year. Although [ ] has not yet processed all the material, it is also plain enough that CARETINA wishes to make proposals for future operational activity in this connection, obviously involving his own participation. It is not clear to what extent this material has yet been passed to UPSWING. The bulk of it, at least probably has not since the original copy was in his briefcase when [ ] examined it, though what appears to be an earlier and much shorter draft very likely has. This, together with the fact that CARETINA complained a time or two that UPSWING wanted him to "write a thick book" containing all information available to him without making any return and meanwhile inhibits him from publishing this material overtly, leads [ ] to believe that he probably has been dragging his feet in dealing with UPSWING in order to avoid expending a substantial part of his bargaining power to no purpose.

*Soakin HECHT*  
 15. One letter included in the above material, signed by an Identity-4, is certainly from CARETINA's UPSWING contact and makes clear both that CARETINA has operational proposals to make and that there have been long delays in his presentation of the material UPSWING is interested in.

16. CARETINA mentioned that he had an appointment, almost certainly with his UPSWING contact, in Munich around 10 October 1957. He added that he had a number of things to write up before this meeting.

17. Giving full value to CARETINA's urgent desire to resume his former type of activity as a member of the UPSWING organization, [ ] does not believe that he will necessarily remain indefinitely available, regardless of other commitments, whenever UPSWING sees fit to crook a finger. His overriding interest is that of achieving economic security for himself and for his family. Secondly to this is his desire to work again in his old profession against his old targets. His resentment of the way UPSWING is treating him frequently breaks out in declarations that, if driven to it, he will take his pension and spend the rest of his life writing -- inviting UPSWING to "leucht mir an Abend". [ ] does not believe that UPSWING could whistle him to heel if he had meanwhile worked out some way of achieving both the above objectives, conceivable through an association with KUBARK, independently of UPSWING.

#### Libel Suit

18. Although CARETINA has an open-and-shut case of libel against the

publishers of the German edition of David J. Tallin's book Soviet Espionage, he has been advised by qualified legal counsel that he would have great difficulty in proving the element of malice and in proving damage, since he is, after all, officially 100% disabled. He would have no difficulty in forcing a retraction and correction of the offensive passages in subsequent editions, if any, but this would hardly really serve to clear his name, he feels, let alone reimburse him for the very real damage to his health and the mental pain and anguish he feels he has suffered. He, therefore, hopes at the present time to arrive at some sort of substantial out-of-court settlement with the publisher, whose defense (known to [ ] in detail) is indeed a weak one. CARETINA has toyed with the notion of using the incident to base an article for Der Spiegel (Germany's rough equivalent of Time Magazine), which he feels sure Der Spiegel would snap up gleefully and which he could supplement with all sorts of interesting sidelights attacking many aspects of what he regards as corrupt influence within the present regime. (The publisher of the book is indirectly subsidized to some extent by the German Government and large numbers of the book in question were bought at government expense for wide distribution gratis to student and other groups.) He is aware, however, that this would be an act of rather empty revenge, which would perhaps clear his reputation but would bring him the lasting ill-will of all official agencies. He will not really take such action unless driven to it as an act of desperation. Meanwhile, he reported to [ ] by telephone on 28 September 1957 that he had talked with Identity-5, found him a decent sort in spite of the tone of his previous letters and, though unwilling to admit liability, inclined to placate CARETINA and very possibly to arrive at some sort of accommodation. He looks for the influence of friends within the government to promote this sort of settlement.

#### Overt Publication

19. Although his first venture into journalism, as previously reported, involved him in a situation which embarrassed him acutely personally and seems to have evoked some sort of reproach from UPSWING, CARETINA still firmly intends to write the authoritative story of Identity-3 for overt publication if it is at all possible for him to do so. He intends this, however, to be a serious work of lasting value, in which he will reach conclusions and draw consequences looking toward the future, not simply a popular pot-boiler. One difficulty here is that his collaborator, Identity-6, favors the journalistic approach as being the most, and most rapidly, rewarding, and continually presses him for copy and for agreement to further publication which he is not yet prepared to supply. Another difficulty is that UPSWING has clearly served notice of some sort that there is to be no further publication for the time being as long as he has hopes of joining them, whereas he must conceal this objection from Identity-6, who, contrary to [ ] earlier assumption, is

*Waldemar*

*Waltwick - Co. editor of Spiegel  
für Wissenschaft und Politik, Köln.*

not only not an UPSTING officer so far as CARETINA knows but must not even become aware of this reason for CARETINA's hesitation to proceed. (A full identification and fairly extensive outline of Identity-6's background is included in the material from CARETINA's briefcase to be forwarded by separate dispatch). A final problem is that CARETINA originally entered into a contract with Identity-6 to share equally the proceeds of their literary collaboration. However, since that time, he decided that a third of the yield should be divided among the contacts from whom he will draw much of the material, most of whom are in straitened circumstances as former Gestapo officials and need the money. Identity-6 is flatly unwilling to agree to this revision of the original agreement and apparently feels CARETINA cannot do without his services. CARETINA, on the otherhand, would be rather pleased to be relieved of them, at least at this time.

20. CARETINA continues beset by the domestic problems of providing for the immediate needs of his family, planning for their future, and organizing his own existence in more orderly fashion. His chief preoccupation is that of finding more suitable quarters, but his choice of a new residence depends on his still unsettled future employment, and he cannot afford the expense of moving his household goods twice over. To this comes the problem of buying needed items of furniture and household equipment. Finally, he feels that he must have an automobile in order to ease the physical burden of the travelling he feels he must do in order to gather material for his book, whether he ends by joining the Kripo and becomes a free-lance journalist, entirely aside from its considerable value in eliminating exertion in purely local transportation. His resources, however, are equal to only one of these three requirements, and he is resisting the pressure to make any decision at all until his overall situation clarifies.

Robert E. WINGER

22. It may be noted that Identity-7, reported on in previous dispatches, has invited CARETINA's oldest son to come to the U. S. to spend a year as his guest, beginning in mid-summer 1958. CARETINA and his wife are reluctant to see the boy go, sensing that he may well decide to stay, but will not oppose his going. The recent development noted in the attachment under date of 4 October 1957 may alter these plans.

#### Probable Course of Action:

23. CARETINA's sober appraisal of his position inclines him to conclude that his wisest course would be to dismiss UPSTING and bend every effort toward re-entering the Kripo proper in the most favorable situation he can work out by using all the influence he can command. He will hardly be able to bring himself, simply as a matter of self-respect, to accept a rank lower than that of Kriminalkommissar, however, and failing other alternatives, it seems likely at this time that he would then retire and become a free-lance journalist. In this case he could be expected to enter into some sort of contract for his material of the sort Identity-6 seems to be dangling (an offer by a British publisher or news feature service involving a guarantee of several thousand pounds). Most of the above factors in the complex of his personal problems are mutually exclusive or at least partially contradictory, however, and CARETINA will try to maintain control of all possibilities until forced to a decision.



... his support payments, in the hope of  
... a solution close to his optimum desires.

Attitude Toward KUBARK Contact

24. During the hours of conversation about CARETINA's situation and problems in the course of his visit, the question of contact with KUBARK, (never mentioned by name) came up from time to time, sometimes incidentally, to be passed over without emphasis, but once or twice as the point under discussion and quite naturally in different contexts and so with different slants. These passages were diverse and difficult to summarize. CARETINA spoke at one point of his dealings with [ ] last summer, saying that he had been ready to enter into an agreement in good faith until the UPSWING approach to him altered the situation but that again he had run into the unpleasantness of being asked to give his all on trust, without any commitment in return. But that he distrusted [ ], whom he liked very much, but he could not be sure that [ ] could make his own promises, even if given, stick to them. During another conversation he was thinking in terms of a request to UPSWING by KUBARK for his services, speculating that the instant bureaucratic reaction would be to make him desirable to UPSWING. In another connection, he remarked with considerable feeling that he had been a fool to tell UPSWING last summer that he was in contact with [ ] and that he now bitterly regretted having done what he then thought was the decent thing. Later in this general connection, he asked [ ] whether [ ] thought CARETINA could trust KUBARK to abide honestly by an agreement if they should ever offer him one. [ ] replied probably yes. And yet again, CARETINA talked of how he would like to know contact with KUBARK but that he did not know how to do it with absolute security, that he did not know how close KUBARK liaison with UPSWING might be and that it would be disastrous if UPSWING were to learn of a unilateral approach on his part. Finally, he remarked once or twice that if he were forced to the wall he would give UPSWING the back of his hand and go to KUBARK through the front door. It is perfectly clear that CARETINA found the sort of proposal which [ ] was apparently developing with him an attractive one at the time and that it has become even more attractive in retrospect.

25. [ ] played the part of a sympathetic audience in all these conversations, identifying himself always with CARETINA's own interests (But would they accept you any more readily than UPSWING?", "It was probably better to play it straight with UPSWING", etc.) and never falling into role of an American dealing with a German. At no time did [ ] offer even by implication to work out contact or suggest any way to do it beyond "Writing a registered letter addressed to them in Washington". CARETINA, for his part, never asked [ ] to take any action at all, but he would clearly very much like to see [ ] speaking terms with KUBARK once more, if only to add another to his string of alternative possibilities, and he seems honestly willing to do so behind UPSWING's back.

26. It would be a mistake to assume that all, or even most, of the above incidents were carefully calculated bids by CARETINA for KUBARK contact. He was one who spent those hours in conversation with CARETINA could

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doubt their spontaneity. One or two, however, seemed more direct, and addressed to [ ] less as a confidant. [ ] therefore concludes that CARETINA, without directly suspecting him of being a KUBARK officer, feels that the contact he proved to have once previously as an ODACID officer might be close enough for CARETINA's purpose. As the matter stands, CARETINA may feel [ ] will report - if he is in a position to do so consistently the requirements of CARETINA's situation, but will do nothing if not. CARETINA thus risks very little by taking this line, since he can always honestly deny that he initiated action.

#### Information Resulting from Visit

27. During CARETINA's previous visits, he usually took his briefcase with him whenever he left the house. Whenever he did leave it in the house, examination of the contents yielded nothing of interest, either because he took worth while material with him or because he had left it at home. On this occasion, it was apparent that his briefcase was well stocked, since he took papers from it from time to time to read to [ ]. On the other hand, he rarely left the house and then for unpredictable periods, usually fairly short. However he did then leave his briefcase, locked as always, since he did not feel up to carrying it. Under these conditions [ ] required considerable time to get the case opened and several days more to photograph the bulk of the contents on four separate occasions. Since [ ] was working alone and under a certain amount of pressure to photograph first what seemed to be most worth having, without knowing whether he would have further opportunities, the prints were badly scrambled and required a good deal of collation prior to processing. Processing is now nearly complete and sets of prints will be forwarded to addresses within a week. They amount to some 200 pages of material consisting, aside from miscellaneous personal letters and documents, of CARETINA's account, prepared for UPSWING of his background and career, emphasizing those aspects of special interest to UPSWING in connection with clarification of his case and his possible future employment along similar lines. Also included is what looked at first sight like some sort of numerical code. This was checked immediately by FOB/CE with the appropriate office, which concluded after some study that it is not a code, whatever else it may be.

28. The fact that CARETINA had this material with him on his visit may be explained by the fact that he came directly to Duesseldorf from this rest cure in Munich, where he may have been working with it and where he may have needed parts of it for discussion with UPSWING and other associates. Since [ ] recalls some of the material from CARETINA's visits of more than a year ago, it is also likely that he uses his briefcase as a travelling file cabinet, with which he must work in interviewing contacts. It is not conceivable that the material was planted for [ ] to find.

29. Other information on CARETINA's local contacts during his visit and information of operational value elicited in conversation with him proves either to be included in the material from his briefcase or to supplement it. It is therefore being reported together with the above.

30. With the possible exception of his remarks concerning contact with KUBARK, nothing in CARETTA's behaviour or actions during his entire visit gave any indication that he does not continue to accept [ ] as bona fide. [ ] made one or two very minor slips that he knows of but promptly recognized and retrieved them. (Example: Saying that he had never been in Switzerland, then remembering at once that his last visit to CARETTA had been covered by a notional trip to Bern and recovering by adding, "excepting that overnight visit to Bern.") It is impossible to say, of course, that CARETTA has not sensed something about [ ]'s position which does not ring quite true. [ ] for instance, came up in discussion and was accounted for by a disingenuous explanation which will not bear very close inquiry, if inquiry is made. [ ] believes he can say, however, that if CARETTA has any inkling that [ ] is anything other than what he professes to be, CARETTA can have no very clear idea of what it is.

31. It may be noted in this connection that a document from CARETTA's briefcase dated 20 August 1956, a preliminary summary account of himself prepared for UPSWING, mentions that he served as a sort of travel guide companion to a few American students during his own student years and goes on to say, "I am still connected in firm friendship with one of them. He was transferred early this year to the [ ] allegedly as [ ] and is named [ ]." [ ] has no doubt that this is the source of UPSWING's trace request on him made, [ ] believes, about a year ago. This is a little disturbing at first sight -- the "allegedly" has much the same force in German ("angeblich") as it does in English -- but it is possible that it is a reflection of official jargon, simply making clear that CARETTA is not himself vouching for the accuracy of the statement and that it is not intended to cast doubt. [ ] is certain in his own mind at least, that he would have observed any interest in his covert activities resulting from any active UPSWING investigation. For the rest, he is inclined to believe that CARETTA, if he were witting of [ ] affiliation, would not at this time at least feel any obligation to destroy a potentially valuable channel by informing UPSWING, as long as his own association with [ ] continues to be innocent.

32. [ ] was a little apprehensive at first that he might have failed to observe and counter some concealed trap in entering CARETTA's briefcase, though he worked with great care in spite of being hurried a time or two. He is certain, however, that he would have sensed a change in CARETTA's attitude if that had been the case, for CARETTA would have felt betrayed and too deeply incensed by the betrayal to have maintained the same easy intimacy. This continued to the end of the visit and has been equally manifest in the two extended telephone conversations held with him since.

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33. [ ] has repeatedly stated his opinion, based only on knowledge of the man, that CARTEIRA cannot be acting under Soviet control, though he has been careful to remain within the limitations imposed by the reverse assumption. The visit just concluded has strengthened this belief.

34. The material from CARTEIRA's briefcase which is to be forwarded contains the explanation of CARTEIRA's reasons for delivering himself into Soviet custody at the end of WW II, which he has never made explicit in conversation with [ ] Although this involves accepting CARTEIRA's own evidence in some degree, he offers available witnesses to testify that this action was taken in execution of a planned operation with the knowledge and assistance of certain of his superiors and associates. If UPSTIC has not yet made this document available to KUBARK, it may open a new line of speculation perhaps leading to the conclusion that CARTEIRA had at least not accepted Soviet control at that time.

APPROVED: [ ]

Attachments:

- A - Summary of Contacts h/w
- B - Identity List u/s/c

Distribution:

- 3 - EE
- 2 - COS
- 2 - BOB

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Attachment A -- Summary of Contact with CARETINA, 24 May - 10 Oct 1957

The following summarizes all contact between [ ] and CARETINA since that reported by EGFA - 16536, 5 Jun 1957: ]

- 1 Jun 57: [ ] wrote CARETINA to thank him for his hospitality during the visit to his home reported above. Added that wife's umbrella, left in [ ] car, was being returned by mail, that the U. S. edition of the book Soviet Espionage by David J. Dallin had been ordered and would be forwarded. Promised to write after return from vacation.
- 16 Jun 57: Postcard with simple greeting sent CARETINA from Granada, Spain.
- 21 Jul 57: CARETINA called [ ] by telephone. Reported by EGFA-17577.
- 2 Aug 57: [ ] called CARETINA by telephone to apologize for delay in sending book about which CARETINA had inquired 21 Jul 57. Spoke with wife, since CARETINA had left 30 Jul 57 for rest cure near Munich. Wife, who shielding CARETINA from all contact while he taking rest cure, said best to send book to her for forwarding when arrives. She is to join him tomorrow for weekend to attend wedding of relative in Chiemsee and will pass [ ] greetings and tell CARETINA to write [ ]. Apologetically inquired about used clothing [ ] had said he's send for children. Said she very worried about CARETINA's health. again mentioned possibility of examination in Duesseldorf by U. S. heart surgeon.
- 14 Aug 57: Postcard received from CARETINA who staying at Sanatorium Ebenhausen, bei Muenchen. Says will probably stay until end of August. Invites a visit by [ ]
- 16 Aug 57: Book Soviet Espionage received and re-mailed to CARETINA at above address.
- 19 Aug 57: [ ] wrote CARETINA to say book mailed. Also expressed concern at state of CARETINA's health and invited him to come to Duesseldorf at own convenience and at [ ] expense for medical examination by U. S. heart surgeon friend of [ ]
- 23 Aug 57: [ ] received letter from CARETINA replying to above. He touched by [ ] offer, accepts, plans tentatively come Duesseldorf early September after completing rest cure. Thanks for book. Says now appears libel suit has much less point since must prove damages.
- 24 Aug 57: [ ] sent CARETINA's wife box containing used clothing, coffee and liquor.

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- [ ] replied to CARETTINA's letter received 23 August 57 to make more detailed arrangements for visit and to ask him to set definite date.
- 20 Aug 57: [ ] received letter from CARETTINA's wife thanking him for above gift package and asking whether son might visit over weekend en route to school from vacation.
- 20 Aug 57: [ ] replied by telegram to above letter saying son should not plan to visit since he to be out of town for weekend.
- 5 Sep 57: [ ] received letter from Ralph E. Winger, former professor at Los Angeles City College now retired who helped CARETTINA's family with packages and other gifts from 1952-1953, on whom previously reported. Winger asks [ ] to assist German boy (previously reported) who has just finished spending a year with Winger to get immigration visa for return to reside permanently. Also says he has invited CARETTINA's oldest son come next summer for year's visit and expects him and CARETTINA accept.
- 5 Sept 57: CARETTINA called [ ] from Munich to announce arrival in Duesseldorf by air evening of 7 Sep 57. Not sure that rest cure has helped him much. Remarked that would feel much better if he were straightened out "professionally", from which to be inferred he has been discussing his case with UPSTING without reaching satisfactory agreement.
- 7 Sept - 25 Sep 57: CARETTINA [ ] guest in Duesseldorf. Visit extended far past four or five days originally planned because of need to have EKG's from previous medical examinations sent to Duesseldorf for use in medical examination, which difficult to organize over resistance of previous doctors and hospitals. CARETTINA not feeling well and remained in house most of time, but visited relatives in Duesseldorf/Eller (previously reported) three times, friends in Polizeipresidium twice, old friend from Soviet prison camp twice. Otherwise left house only for medical examination and short walks.
- Oldest son visited over weekend of 14-15 Sep 57 to discuss above trip to U. S. with CARETTINA, whom had not seen since spring vacation.
- [ ] drove to Bonn on 25 Sep 57, depositing CARETTINA at hotel Savoy, Berliner Freiheit 17. CARETTINA planned spend several days in Bonn and Cologne and return home via Frankfurt and Heidelberg if health permitted, to receive visitors expected 1-3 October 57 from Berlin.

For detailed report of visit and information resulting from conversations and surreptitious examination of CARETTINA's briefcase, see attached report.

S-E-C-R-E-T

- 27: CARETINA called from Bonn to ask whether formal report of medical examination made in Duesseldorf yet dispatched together with previous records, which would like to have for official physical examination at Clinic in Bonn. [ ] not home. CARETINA said would call back next morning, but [ ] called hotel to leave word report would not be ready for dispatch until 28 Sep 57.
- 28 Sep 57: CARETINA called [ ] at home to say he no longer needed medical records urgently, since official medical opinion on his case from Bonn Clinic much too expensive. [ ] promised have them sent to him. (Were in fact sent by Duesseldorf physician on 28 Sep 57 to hotel. [ ] later called hotel to have forwarded to CARETINA at home.) [ ] then had CARETINA hang up and called him back to continue conversation at own expense. Information from conversation included in attached report.
- 29 Sep 57: [ ] wrote CARETINA at home to say medical records to be forwarded and to forward letter received son's school which thought not worth opening).
- 1 Oct 57: [ ] replied to letter from Ralph E. Winger, saying that Winger's German protege had visited [ ] on 6 Sep 57 and had been given forms to submit for immigration visa. Could not help further, since immigration visas not issued by [ ] installation.
- 3 Oct 57: Telegram received addressed to CARETINA at [ ] home address. [ ] opened. It from Director of oldest son's school asking for reply to his letter of 26 Sept above.
- 4 Oct 57: [ ] called CARETINA to report telegram. CARETINA had already received and answered letter. Went on to explain it dealt with situation created when letter from Ralph E. Winger to son was opened by suspicious faculty member and found to contain a DM 20.00 bill, prophylactic device, and instructions for use. Panic scandal in school at this evidence of homosexual (sic) corruption of young by Winger. Son confined in isolation. CARETINA confused and in dark. Begged [ ] write Winger to inform of situation and so place him in position to act if felt able. Didn't want write him yet himself, since didn't know facts (had not spoken with son) and didn't yet wish reproach family's benefactor.
- 6 Oct 57: [ ] wrote Winger, explaining situation insofar as known to him. Left implication Winger might help protect CARETINA's son from unjustified punishment by communicating with director of school.  
NOTE: Photo copies of all above correspondence received by [ ] will be forwarded by separate dispatch.

S-E-C-R-E-T

Separate Cover Attachment to  
EGFA - 18622

*(Heart Specialist)*  
Identity List

Identity 1 - *(Heart Specialist)* ~~Dr. La'oyne W. Wickmann~~ (Rosstrasse 57, Duesseldorf) of  
Staedtischen Krankenausstellen, Duesseldorf. *EXAMINED CARETINA*  
*U.S. citizen*

Identity 2 - *(Heart Specialist)* ~~Dr. Ernst (?) Kurath~~, Marschallstr, 12, Duesseldorf. *(German Nat.)*

Identity 3 - Rote Kapelle

Identity 4 - Joachim Hecht *card for DE/G/U contact*

*EXAMINED CARETINA*

Identity 5 - ~~Hottbeck~~, co-editor of Verlag fuer Wissenschaft und Politik,  
Cologne

*UPSWING OFFICER - LITERARY ASSOCIATE*

Identity 6 - Dr. Waldemar ~~Waldemar~~ LENTZ *OF CARETINA*

Identity 7 - Dr. Ralph B. ~~Wing~~ *Wing*

~~Prof. at Los Angeles, City  
College  
U.S.  
Citizen~~

*hell he is!*

S-E-C-R-E-T

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