

The 49-year-old Harper was arrested on 15 October 1983. His wife died of cirrhosis of the liver in June 1983. It was discovered that Harper had classified documents in his home as well as up to 200 pounds of classified documents hidden in other locations. These documents concerned lasers, satellites, and advanced weaponry. It was eventually determined that the Soviets, who had acquired Harper's information from the Poles, had gained access to over 100 highly sensitive documents dealing with the MX and Minuteman missiles and other US nuclear defense capabilities.

Harper was sentenced to life imprisonment on 14 May 1984. Expert testimony at Harper's trial stated that the secrets Harper sold could impair the nation's defense program into the 21st century. Harper had confessed that he sold the secrets for the "money and the thrill of it." The judge urged that Harper never be paroled, stating, "You are a traitor to your country who committed the crime not for any political reason but for greed."

Stephen Dwayne Hawkins

On 18 June 1985, a witness reported seeing a confidential message at the off base residence of Quartermaster Third Class Stephen Dwayne Hawkins in Naples, Italy. NIS special agents interviewed Hawkins, but he denied any knowledge of a classified message at his home. Later, he admitted to having mistakenly taken the message home and added that he did not know about the message until his neighbor pointed it out to him. Hawkins stated he then laced the message in his briefcase and returned it to his unit, COMSUBGRU-8. A search of Hawkins' home revealed two CIA originated Secret/Noform/WNintel messages. Hawkins explained that the message must have

accidentally been mixed in with some study materials he brought home from work.

During polygraph examinations on 7, 8, and 9 August 1985, Hawkins indicated deception. Upon interrogation, Hawkins admitted that he had taken the secret messages as "souvenirs" and also stated that he had taken five or six classified messages from COMSUBGRU-8 and thought about engaging in espionage. Hawkins further confessed to taking about 15 additional Secret messages with the idea of selling them to a hostile intelligence service.

Hawkins was charged with violation of Article 92, wrongful removal of classified material and wrongful destruction of a Top Secret message. A General Court-Martial was held 14-15 January 1986, and Hawkins was sentenced to a bad conduct discharge, one-year confinement at the US Navy Brig at Philadelphia, Pennsylvania, and reduction in grade to E-1.

Joseph George Helmich

Joseph George Helmich, Jr., was born on 13 July 1936 in Fort Lauderdale, Florida. His parents were divorced, and his mother remarried a career Army officer. Helmich was a high school dropout who enlisted in the US Army on 8 November 1954 at 17 years of age. He was trained in communications at the southeastern Signal School and served in Korea from October 1955 to February 1957. In 1958, he was granted a GED equivalency for high school, married a US citizen who had been married previously, and in April of that year was assigned to the Signal Company of the US Army Communications Zone, Orleans, France, where he served until April 1959.

From April 1959 to April 1960, he was assigned to the US Army Garrison, Paris, France, and from May 1960 to March 1963, he was assigned to the 275th Signal Company, Paris. While serving in Paris, he was appointed Warrant Officer (22 December 1961). After leaving Paris, he went to Fort Bragg, North Carolina, where he served in a signal battalion until July 1964. With US involvement in Vietnam, Helmich was sent there where he worked in two signal units between September 1964 to December 1965. He returned to the United States and from January to November 1966 he was at the school and training center at Fort Gordon, Georgia. He resigned from the US Army on



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4 November 1966 rather than face termination after his clearance was revoked on 22 September 1966 because of financial instability.

Helmich was granted a TOP SECRET clearance by the US Army Signal Training Center, Fort Gordon, on 10 February 1958 based on a background investigation (BI) completed by Third Army on 30 January 1958. On 26 June 1958, Headquarters, US Army Communications Zone Europe based on the same BI, granted him a cryptologic clearance. Years later, in early 1974, the FBI furnished the Army an unknown subject profile of a Soviet intelligence service agent, who was an Army member during the mid-1960s. Later in 1974, Helmich was identified by the Special Operations Detachment, US Army INSCOM, as the only person meeting the FBI profile. The FBI began debriefing Helmich during the summer of 1980 and, although he initially claimed to have been recruited, he later admitted that he had contacted a member of Soviet intelligence in Paris and offered to sell classified information.

Helmich stated that in January 1963, he was several hundred dollars in debt and had written a number of worthless checks. His commanding officer in Paris called him in and gave him 24 hours to clear up his debts and redeem the worthless checks or face a court-martial and ejection from the service. Thereupon, he walked into the Soviet Embassy in Paris with classified teletype tape to establish his bona fides. The following day his Soviet GRU handler gave him enough money to settle all his debts and buy a miniature camera. During the next few weeks, until his rotation from France to Fort Bragg, Helmich met by his own count with his handler more than a dozen times about half of them at the Soviet Trade Mission. During these meetings, he furnished key lists, tapes, plain-text messages, portions of a maintenance manual, and access to a set of rotors; he was also trained in tradecraft.

While assigned to Fort Bragg, Helmich flew to Paris and met with his GRU handler on four occasions. Each time, he carried copies of key lists that he had photographed while on duty as Officer-of-the-Day. On the second trip, he stayed at the Soviet Trade Mission. On the next trip, his wife and sister accompanied him, and on the last trip, his wife may have gone with him. During the last trip, in February 1964, he told his handler that he had been alerted for transfer to Vietnam. In July

1964, he had one more meeting with Soviet intelligence, this time in Mexico City. He claimed that he passed no material then but he was given several thousand dollars. It was at this encounter that he probably told the Soviets all he knew about the new cryptographic system (KW26), which had just been introduced at Fort Bragg. After the 1964 meeting with Soviet intelligence in Mexico City, he had no contact with them except one letter and one visit to the Soviet Embassy in Ottawa, Canada. He admitted being paid in toto between \$131,000 and \$141,000 by Soviet intelligence.

In 1964 his purchase of expensive cars, a house, and other expensive items led to questions concerning his unexplained affluence and resulted in his being investigated. He explained his affluence as being the result of an inheritance from his grandmother and by returns from "investments" he made in France. He refused a polygraph examination, and the investigation was terminated. Shortly afterward, he was transferred to Vietnam.

After he returned from Vietnam, he had no access to classified material; his financial irresponsibility resulted in revocation of his clearance. On 4 November 1966, he resigned from the Army in lieu of being forced out. He drifted through a variety of menial jobs and even tried to reenlist in the Army. He also wrote a letter to the Soviets in an attempt to reestablish contact with them, but received a noncommittal answer suggesting he come to Paris. In 1980 he visited the Soviet Embassy in Ottawa to reestablish contact and to inquire about "matching funds," which he had been told were deposited in Switzerland each time he received payment from the Soviets. The visit was unsuccessful, and he was told again to travel to Paris.

During the latter half of 1980 and early 1981, the FBI debriefed Helmich, concluding with polygraph examinations in February 1981. During these examinations, deception by him was indicated concerning his passing information about one of the cryptographic systems during the Mexico City meeting and the involvement of another person in his activity with the Soviets. In July 1981, Helmich was arrested and indicted on four counts of espionage. In October he pleaded guilty to one count of espionage and was sentenced to life imprisonment; he would have to serve 10 years before being eligible to apply for parole.

The key to this case appears to be the handling of Helmich's financial situation in Paris in January 1963. He was in a desperate situation and was forced into desperate measures by insensitive management. This is not to excuse Helmich's actions. Although management cannot be held responsible for Helmich's financial irresponsibility, it placed him in an untenable position after the fact. Then, when Helmich miraculously paid all his debts and redeemed his checks in a matter of hours, there was no apparent curiosity on the part of management. Once the contact with the Soviets had been made and the initial payment accepted, Helmich belonged to them for as long as he was useful to them.

By 1964 his lifestyle and purchases of expensive cars and other items were obvious signs of unexplained affluence. The resultant investigation did not resolve the questions. He claimed to have inherited money from his grandmother—he had inherited a few thousand dollars in 1958—but had spent the sum in a short time—and he claimed to have made profitable investments in France. When asked to take a polygraph examination he refused. The investigation was then terminated without any apparent effort to verify his claims of investments in France, although US forces were still present there. At least one Army enlisted man, a subordinate of Helmich, and his wife knew of his flights to Paris, but did not report these facts. His wife knew that he was photographing classified material in his home, but never reported this until after his trial.

This case, in retrospect, is based on a series of fortuitous circumstances. If Helmich had worked in a "no lone" environment, there would have been little opportunity to remove or photograph classified material. If management has been more sensitive and helpful in



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assisting him to resolve his chronic financial problems, he might never have contacted Soviet intelligence. Had management been curious about his immediate repayment of his debts, there may not have been more than the initial loss of material. Had there been a requirement for a periodic polygraph examination, Helmich might not have contacted the Soviets. And, if Helmich had not been investigated in 1964, his records would have been destroyed and so he would not have been identified. One of the major factors in identifying him was that he refused to take a polygraph examination.

Rudolph Albert Herrmann

Rudolph Albert Herrmann, a KGB officer, entered the United States illegally with his family from Canada in 1968. He operated as a Soviet agent within the United States under the guise of a freelance photographer. His primary assignment was political information.

While Herrmann claimed not to have recruited Americans for espionage, he admitted to having transmitted sensitive information collected by other spies and to acting as a courier for the KGB. Apprehended by the FBI in 1977, he agreed to operate as a double agent until the operation was terminated in 1980.

Herrman and his family were granted asylum in the United States and were resettled under a new identity.

Brian Patrick Horton

Brian P. Horton enlisted in the US Navy in August 1979, completed basic training, and served aboard the US aircraft carrier *Enterprise* prior to being reassigned to the Nuclear Planning Branch, Fleet Intelligence Center, Norfolk, Virginia. While at the latter assignment, between April and October 1982, the 28-year-old married analyst placed four telephone calls and wrote one letter to the Soviet Embassy in Washington, DC. In his communications, he offered to sell classified military information to the Soviets. Specifically mentioned by him was his access to the Single Integrated Operations Plans, a classified master plan of how the United States would fight a war.

In June 1982, an extensive NIS/FBI investigation was initiated based on the above communications. The investigation subsequently identified the Navy man as Intelligence Specialist Second Class Brian Patrick