

UNITED STATES DISTRICT COURT

Western

District of

Pennsylvania

UNITED STATES OF AMERICA
V.

ALCOA WORLD ALUMINA LLC

JUDGMENT IN A CRIMINAL CASE
(For Organizational Defendants)

CASE NUMBER: 14-7

Robert J. Jossen
Defendant Organization's Attorney

THE DEFENDANT ORGANIZATION:

- pleaded guilty to count(s) 1
- pleaded nolo contendere to count(s) _____
which was accepted by the court.
- was found guilty on count(s) _____
after a plea of not guilty.

The organizational defendant is adjudicated guilty of these offenses:

Title & Section	Nature of Offense	Offense Ended	Count
15 USC sec. 78dd-2 and 18 USC sec. 2	Violation of the Foreign Corrupt Practices Act	12/31/2009	1

The defendant organization is sentenced as provided in pages 2 through 10 of this judgment.

- The defendant organization has been found not guilty on count(s) _____
- Count(s) _____ is are dismissed on the motion of the United States.

It is ordered that the defendant organization must notify the United States attorney for this district within 30 days of any change of name, principal business address, or mailing address until all fines, restitution, costs, and special assessments imposed by this judgment are fully paid. If ordered to pay restitution, the defendant organization must notify the court and United States attorney of material changes in economic circumstances.

Defendant Organization's
Federal Employer I.D. No.: 25-1754508

Defendant Organization's Principal Business Address:

201 Isabella St.
Pittsburgh, PA 15212

1/9/2014
Date of Imposition of Judgment

Donetta W. Ambrose
Signature of Judge

Donetta W. Ambrose Senior Judge
Name of Judge Title of Judge

1/9/2014
Date

Defendant Organization's Mailing Address:

201 Isabella St.
Pittsburgh, PA 15212

DEFENDANT ORGANIZATION: ALCOA WORLD ALUMINA LLC
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PROBATION

The defendant organization is hereby sentenced to probation for a term of :
Four years.

The defendant organization shall not commit another federal, state or local crime.

If this judgment imposes a fine or a restitution obligation, it is a condition of probation that the defendant organization pay in accordance with the Schedule of Payments sheet of this judgment.

The defendant organization must comply with the standard conditions that have been adopted by this court as well as with any additional conditions on the attached page (if indicated below).

See attached.

STANDARD CONDITIONS OF SUPERVISION

- 1) within thirty days from the date of this judgment, the defendant organization shall designate an official of the organization to act as the organizations's representative and to be the primary contact with the probation officer;
- 2) the defendant organization shall answer truthfully all inquiries by the probation officer and follow the instructions of the probation officer;
- 3) the defendant organization shall notify the probation officer ten days prior to any change in principal business or mailing address;
- 4) the defendant organization shall permit a probation officer to visit the organization at any of its operating business sites;
- 5) the defendant organization shall notify the probation officer within seventy-two hours of any criminal prosecution, major civil litigation, or administrative proceeding against the organization;
- 6) the defendant organization shall not dissolve, change its name, or change the name under which it does business unless this judgment and all criminal monetary penalties imposed by this court are either fully satisfied or are equally enforceable against the defendant's successors or assignees; and
- 7) the defendant organization shall not waste, nor without permission of the probation officer, sell, assign, or transfer its assets.

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ADDITIONAL PROBATION TERMS

Defendant shall provide the probation officer with any information or documents requested by the probation officer. The Defendant shall notify the Court of any material change in the Defendant's economic circumstances that might affect the Defendant's ability to pay the fines and other financial obligations set forth herein.

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ADDITIONAL TERMS FOR CRIMINAL MONETARY PENALTIES

The interest requirement is waived pursuant to agreement of the parties.

DEFENDANT ORGANIZATION: ALCOA WORLD ALUMINA LLC
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Having assessed the organization's ability to pay, payment of the total criminal monetary penalties are due as follows:

- A Lump sum payment of \$ _____ due immediately, balance due
- not later than _____, or
- in accordance with C or D below; or
- B Payment to begin immediately (may be combined with C or D below); or
- C Payment in _____ (e.g., equal, weekly, monthly, quarterly) installments of \$ _____ over a period of _____ (e.g., months or years), to commence _____ (e.g., 30 or 60 days) after the date of this judgment; or
- D Special instructions regarding the payment of criminal monetary penalties:

The fine shall be paid in five equal annual installments of \$41,800,000, with the first payment due in full on or before the tenth business day after the date of entry of the judgment of conviction. Thereafter, the second, third, fourth, and fifth payments shall each be due in full, respectively, on the first, second, third, and fourth-year anniversaries of the date of the entry of judgment of conviction.

All criminal monetary penalties are made to the clerk of the court.

The defendant organization shall receive credit for all payments previously made toward any criminal monetary penalties imposed.

- Joint and Several

Defendant and Co-Defendant Names and Case Numbers (including defendant number), Total Amount, Joint and Several Amount, and corresponding payee, if appropriate.

- The defendant organization shall pay the cost of prosecution.
- The defendant organization shall pay the following court cost(s):
- The defendant organization shall forfeit the defendant organization's interest in the following property to the United States:

Payments shall be applied in the following order: (1) assessment, (2) restitution principal, (3) restitution interest, (4) fine principal, (5) fine interest, (6) community restitution, (7) penalties, and (8) costs, including cost of prosecution and court costs.

AO 245E (Rev. 12/03) Judgment in a Criminal Case for Organizational Defendants
Sheet 4B — Schedule of Payments

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ADDITIONAL FORFEITED PROPERTY

\$14,000,000 in funds to the Internal Revenue Service.