

UNITED STATES OF AMERICA  
DEPARTMENT OF THE TREASURY  
OFFICE OF THE COMPTROLLER OF THE CURRENCY

In the Matter of:	)	
	)	
Carlos Antonio Vasquez	)	AA-ENF-2023-46
Former Branch Manager	)	
	)	
Wells Fargo Bank, N.A.	)	
Sioux Falls, South Dakota	)	
	)	

**ORDER OF PROHIBITION**

**WHEREAS**, Wells Fargo Bank, N.A., Sioux Falls, South Dakota (“Bank”) is an “insured depository institution” as that term is defined in 12 U.S.C. § 1813(c)(2) and a national banking association within the meaning of 12 U.S.C. § 1813(q)(1)(A);

**WHEREAS**, Carlos Antonio Vasquez (“Respondent”) was an employee of the Bank and was an “institution-affiliated party” of the Bank as that term is defined in 12 U.S.C. § 1813(u), having served in such capacity within six (6) years from the date of this Order. *See* 12 U.S.C. § 1818(i)(3);

**WHEREAS**, on September 1, 2021, Respondent was convicted of violating 18 U.S.C. § 1956. *See* Judgment in a Criminal Case, *United States v. Carlos Antonio Vasquez*, Case Docket No. CR-19-02741-001-TUC-JAS (JR) (D. Ariz. Sep. 1, 2021), attached hereto as Exhibit A;

**WHEREAS**, 12 U.S.C. § 1818(g)(1)(C)(ii) provides that, in the case of a judgment of conviction or agreement against an institution-affiliated party in connection with a criminal violation of 18 U.S.C. §§ 1956, 1957, or 1960 or 31 U.S.C. §§ 5322 or 5324, “the appropriate Federal banking agency shall issue and serve upon such party an order removing such party from office or prohibiting such party from further participation in any manner in the conduct of the affairs of any depository institution without the prior written consent of the appropriate agency”;

**WHEREAS**, the Office of the Comptroller of the Currency (“OCC”) is the “appropriate Federal banking agency” as that term is defined in 12 U.S.C. § 1813(q) and is therefore required to issue and serve upon Respondent this prohibition order pursuant to 12 U.S.C. § 1818(g)(1)(C)(ii).

**NOW, THEREFORE**, the Comptroller of the Currency, through his duly authorized representative, hereby ORDERS that Respondent shall not, without the OCC’s prior written consent, hold any office in, or participate in any manner in the conduct of the affairs of (1) any insured depository institution; (2) any institution treated as an insured bank under 12 U.S.C. § 1818(b)(3) or (b)(4); (3) any insured credit union under the Federal Credit Union Act, 12 U.S.C. § 1751 *et seq.*; (4) any institution chartered under the Farm Credit Act of 1971, 12 U.S.C. § 2001 *et seq.*; (5) any appropriate Federal depository institution regulatory agency; and (6) the Federal Housing Finance Agency and any Federal home loan bank.

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### **IMMEDIATE EFFECT OF ORDER**

**This order shall remain effective and outstanding unless terminated by the OCC or until the completion of any hearing or appeal authorized under 12 U.S.C. § 1818(g)(3). If Respondent, without the OCC's prior written approval, knowingly participates, directly or indirectly, in any manner (including by engaging in an activity specifically prohibited by this order or in 12 U.S.C. § 1818(e)(6)) in the conduct of the affairs of (1) any insured depository institution; (2) any institution treated as an insured bank under 12 U.S.C. § 1818(b)(3) or (b)(4); (3) any insured credit union as defined in 12 U.S.C. § 1752(7); or (4) any institution chartered under the Farm Credit Act of 1971, 12 U.S.C. § 2001 *et seq.*, Respondent shall be fined not more than \$1,000,000, imprisoned for not more than 5 years, or both. *See* 12 U.S.C. § 1818(j). Violation of this order may result in additional action, including the assessment of civil money penalties, pursuant to 12 U.S.C. § 1818(i).**

### **OPPORTUNITY TO REQUEST AN INFORMAL HEARING**

**Respondent has the right to request in writing, to be received by the OCC within 30 (thirty) days from the date Respondent was served with this Order, an informal hearing as provided in 12 U.S.C. § 1818(g)(3) and 12 C.F.R. § 19.111. The written request must state specifically the relief desired and the grounds on which that relief is based and be sent by certified mail to, or served personally with a signed receipt on, Michael R. Brickman, Deputy Comptroller for Specialty Supervision, Office of the Comptroller of the Currency, 400 7th Street SW, Washington, DC 20219. A copy of the request should also be sent by email to [REDACTED].**

**IT IS SO ORDERED.**

//s// Digitally Signed, Dated: 2023.11.08

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Monica A. Freas  
Deputy Comptroller  
Large Bank Supervision

EXHIBIT A

Judgment in a Criminal Case

**IN THE UNITED STATES DISTRICT COURT  
FOR THE DISTRICT OF ARIZONA**

**United States of America**

v.

**Carlos Antonio Vasquez**

**JUDGMENT IN A CRIMINAL CASE**

(For Offenses Committed On or After November 1, 1987)

**No. CR-19-02741-001-TUC-JAS (JR)**

Joshua Fisher Hamilton (CJA)

Attorney for Defendant

USM#: 25744-508

**THE DEFENDANT ENTERED A PLEA OF** guilty on 5/18/2021 to Count 5 of the Indictment.

**ACCORDINGLY, THE COURT HAS ADJUDICATED THAT THE DEFENDANT IS GUILTY OF THE FOLLOWING OFFENSE(S):** violating 18 U.S.C. § 1956(h), 18 U.S.C. § 1956(a)(2)(B)(i), Conspiracy to Commit Money Laundering, a Class C Felony offense, as charged in Count 5 of the Indictment.

**IT IS THE JUDGMENT OF THIS COURT THAT** the defendant is committed to the custody of the Bureau of Prisons for a term of **THIRTY (30) MONTHS**, with credit for time served. Upon release from imprisonment, the defendant shall be placed on supervised release for a term of **THREE (3) YEARS**.

**IT IS ORDERED** that all remaining counts are dismissed on motion of the United States.

**CRIMINAL MONETARY PENALTIES**

The defendant shall pay to the Clerk the following total criminal monetary penalties:

**SPECIAL ASSESSMENT: \$100.00    FINE: WAIVED    RESTITUTION: N/A**

The Court finds the defendant does not have the ability to pay a fine and orders the fine waived.

The defendant shall pay a special assessment of \$100.00 which shall be due immediately.

If incarcerated, payment of criminal monetary penalties are due during imprisonment at a rate of not less than \$25 per quarter and payment shall be made through the Bureau of Prisons' Inmate Financial Responsibility Program. Criminal monetary payments shall be made to the Clerk of U.S. District Court, Attention: Finance, Suite 130, 401 West Washington Street, SPC 1, Phoenix, Arizona 85003-2118. Payments should be credited to the various monetary penalties imposed by the Court in the priority established under 18 U.S.C. § 3612(c). The total special assessment of \$100.00 shall be paid pursuant to Title 18, United States Code, Section 3013 for Count 5 of the Indictment.

Payments shall be applied in the following order: (1) assessment, (2) restitution principal, (3) restitution interest, (4) AVAA assessment, (5) fine principal, (6) fine interest, (7) community restitution, (8) JVTA assessment, (9) penalties, (10) costs, including cost of prosecution and court costs.

Any unpaid balance shall become a condition of supervision and shall be paid within 90 days prior to the expiration of supervision. Until all restitutions, fines, special assessments and costs are fully paid, the defendant shall immediately notify the Clerk, U.S. District Court, of any change in name and address. The Court hereby waives the imposition of interest and penalties on any unpaid balances.

### **SUPERVISED RELEASE**

It is ordered that while on supervised release, the defendant must comply with the mandatory and standard conditions of supervision as adopted by this court, in General Order 17-18, which incorporates the requirements of USSG §§ 5B1.3 and 5D1.2. Of particular importance, the defendant must not commit another federal, state, or local crime during the term of supervision. Within 72 hours of sentencing or release from the custody of the Bureau of Prisons the defendant must report in person to the Probation Office in the district to which the defendant is released. The defendant must comply with the following conditions:

### **MANDATORY CONDITIONS**

- 1) You must not commit another federal, state or local crime.
- 2) You must not unlawfully possess a controlled substance. The use or possession of marijuana, even with a physician's certification, is not permitted.
- 3) You must refrain from any unlawful use of a controlled substance. The use or possession of marijuana, even with a physician's certification, is not permitted. Unless suspended by the Court, you must submit to one drug test within 15 days of release from imprisonment and at least two periodic drug tests thereafter, as determined by the court.

### **STANDARD CONDITIONS**

- 1) You must report to the probation office in the federal judicial district where you are authorized to reside within 72 hours of sentencing or your release from imprisonment, unless the probation officer instructs you to report to a different probation office or within a different time frame.
- 2) After initially reporting to the probation office, you will receive instructions from the court or the probation officer about how and when you must report to the probation officer, and you must report to the probation officer as instructed.
- 3) You must not knowingly leave the federal judicial district where you are authorized to reside without first getting permission from the court or the probation officer.
- 4) You must answer truthfully the questions asked by your probation officer.
- 5) You must live at a place approved by the probation officer. If you plan to change where you live or anything about your living arrangements (such as the people you live with), you must notify the probation officer at least 10 days before the change. If notifying the probation officer in advance is not possible due to unanticipated circumstances, you must notify the probation officer within 72 hours of becoming aware of a change or expected change.

- 6) You must allow the probation officer to visit you at any time at your home or elsewhere, and you must permit the probation officer to take any items prohibited by the conditions of your supervision that he or she observes in plain view.
- 7) You must work full time (at least 30 hours per week) at a lawful type of employment, unless the probation officer excuses you from doing so. If you do not have full-time employment you must try to find full-time employment, unless the probation officer excuses you from doing so. If you plan to change where you work or anything about your work (such as your position or your job responsibilities), you must notify the probation officer at least 10 days before the change. If notifying the probation officer at least 10 days in advance is not possible due to unanticipated circumstances, you must notify the probation officer within 72 hours of becoming aware of a change or expected change.
- 8) You must not communicate or interact with someone you know is engaged in criminal activity. If you know someone has been convicted of a felony, you must not knowingly communicate or interact with that person without first getting the permission of the probation officer.
- 9) If you are arrested or questioned by a law enforcement officer, you must notify the probation officer within 72 hours.
- 10) You must not own, possess, or have access to a firearm, ammunition, destructive device, or dangerous weapon (*i.e.*, anything that was designed, or was modified for, the specific purpose of causing bodily injury or death to another person such as nunchakus or tasers).
- 11) You must not act or make any agreement with a law enforcement agency to act as a confidential human source or informant without first getting the permission of the court.
- 12) If the probation officer determines that you pose a risk to another person (including an organization), the probation officer may require you to notify the person about the risk and you must comply with that instruction. The probation officer may contact the person and confirm that you have notified the person about the risk.
- 13) You must follow the instructions of the probation officer related to the conditions of supervision.

### **SPECIAL CONDITIONS**

The following special conditions are in addition to the conditions of supervised release or supersede any related standard condition:

- 1) You must provide the probation officer with access to any requested financial information and authorize the release of any financial information. The probation office may share financial information with the U.S. Attorney's Office.
- 2) You must cooperate in the collection of DNA as directed by the probation officer.



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**THE COURT FINDS** that you have been sentenced in accordance with the terms of the plea agreement and that you have waived your right to appeal and to collaterally attack this matter. The waiver has been knowingly and voluntarily made with a factual basis and with an understanding of the consequences of the waiver.

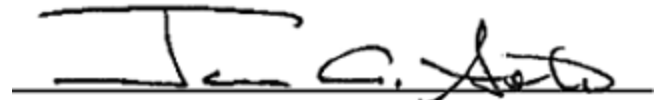
The Court may change the conditions of probation or supervised release or extend the term of supervision, if less than the authorized maximum, at any time during the period of probation or supervised release. The Court may issue a warrant and revoke the original or any subsequent sentence for a violation occurring during the period of probation or supervised release.

The Court orders commitment to the custody of the Bureau of Prisons and recommends that the defendant be placed in an institution in or near Southern Arizona.

**Defendant shall self-surrender to the United States Marshal Service by noon on 10/1/2021.**

Date of Imposition of Sentence: **Wednesday, September 01, 2021**

Dated this 1st day of September, 2021.

  
\_\_\_\_\_  
Honorable James A. Soto  
United States District Judge

**RETURN**

I have executed this Judgment as follows: \_\_\_\_\_, the institution  
defendant delivered on \_\_\_\_\_ to \_\_\_\_\_ at \_\_\_\_\_  
designated by the Bureau of Prisons with a certified copy of this judgment in a Criminal case.

\_\_\_\_\_  
United States Marshal By: \_\_\_\_\_  
Deputy Marshal