



## U.S. Department of Justice

Criminal Division

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*Acting Assistant Attorney General*

*Washington, DC 20530*

**March 7, 2024**

The Honorable James C. Dever III  
Chair, Advisory Committee on Criminal Rules  
United States Courthouse  
310 New Bern Ave.  
Raleigh, NC 27601

The Department of Justice (the Department) proposes an amendment to Rule 49.1 of the Federal Rules of Criminal Procedure to require that in all publicly available court filings, the parties refer to minors by pseudonyms.

1. Federal Rule of Criminal Procedure 49.1, titled “Privacy Protection for Filings Made with the Court,” provides in relevant part that “[u]nless the court orders otherwise,” court filings “that contain[] ... the name of an individual known to be a minor ... may include only ... the minor’s initials.” Fed. R. Crim. P. 49.1(a)(3). It has become clear in recent years, however, that referring to child victims and child witnesses by their initials—especially in crimes involving the sexual exploitation of a child—is insufficient to ensure the child’s privacy and safety. Project Safe Childhood prosecutors and victim witness personnel, for example, know that child-exploitation offenders sometimes track federal criminal filings and take other measures in an effort to uncover the identity of child victims and contact and harass—and thereby further victimize—the minors. And this is to say nothing of the increased shame, embarrassment, and fear that a child victim or witness may face if their identity as a victim or witness were to become publicly known.

In 2022, the Department of Justice issued The Attorney General Guidelines for Victim and Witness Assistance (the AG Guidelines). As most relevant here, the AG Guidelines state that “Department personnel should scrupulously protect children’s privacy in accordance with 18 U.S.C. § 3509(d), the AG Guidelines, and other Department policies.” 2022 AG Guidelines, Article III.L.1.d. Although the prior version of the Guidelines had permitted use of initials or an alias to identify children,<sup>1</sup> the 2022 AG Guidelines direct that

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<sup>1</sup> The 2011 Attorney General Guidelines for Victim and Witness Assistance provided that “[a] child’s name or other identifying information (other than *initials or an alias*) should not be

“[a] child’s name or other identifying information (*other than a pseudonym*) should not be reflected in court documents or other public records unless otherwise required by law.” 2022 AG Guidelines, Article III.L.1.d. (emphasis added). The 2022 AG Guidelines also caution that “Department personnel should be aware that information in multiple sources can be put together to trace the identity of victims or witnesses.” *Id.* at Art. II.D.1.

Federal courts have referred to minors by pseudonyms. *See, e.g., Paroline v. United States*, 572 U.S. 434, 439 (2014) (noting that the child victim “goes by the pseudonym ‘Amy’ for this litigation”); *United States v. Viarrial*, 730 F. App’x 694, 695 n.1 (10th Cir. 2018) (unpublished) (“To protect the privacy of those involved, this opinion refers to Mr. Viarrial’s child victims and his former partner with the pseudonyms [*e.g.*, Jane Doe] used in the indictment, jury instructions, and verdict form.”); *Brodit v. Cambra*, 350 F.3d 985, 995 n.1 (9th Cir. 2003) (Berzon, J., dissenting) (“The charging documents and much of the trial transcript refer to the child in this case by the pseudonym ‘Jane Doe.’ Accordingly, I will also use this pseudonym.”); *Collmorgen v. Lumpkin*, 2023 WL 6388551, at \*5 (S.D. Tex. 2023) (“To protect the child victim’s privacy, the [state] appellate court used pseudonyms to refer to him and his family members. This Court will do the same—referring to the child victim as Maxwell and referring to the State’s rebuttal witness as Kaitlyn.”); *Doe v. Avon Old Farms School, Inc.*, 2023 WL 2742330, at \*1 n.1 (D. Conn. 2023) (“I refer to the ... daughters with the ‘Jane Doe’ pseudonym throughout this opinion—as the parties do in their filings—because the girls are minors and this case includes sexual harassment and assault allegations.”); *United States v. Stivers*, 2020 WL 2804074, at \*1 n.1 (S.D. Ind. 2020) (“‘Vicky’ is a pseudonym for the actual minor victim depicted in the series, which the Court will adopt to refer to the victim in this Order. All of the references to ‘Vicky’ in this Order and in the other criminal cases discussed herein refer to the same person.”). These cases support the Department’s policy and practice as well as the Department’s recommendation to amend Rule 49.1.

Finally, amending Rule 49.1(a)(3) to change “the minor’s initials” to “a pseudonym” will not prejudice criminal defendants. To the extent that a defendant has the right to know the actual identity (*e.g.*, name) of a minor, that right can be protected through sealed filings that identify the child while making sure that publicly available filings use only the pseudonym. *See generally* 18 U.S.C. § 3509(d)(2); *see also* 2022 AG Guidelines, Art. II.D.1. In addition, and where appropriate, a party can seek a protective order to help ensure that information that should not be released publicly is in fact not released publicly. *See* 18 U.S.C. § 3509(d)(3); Fed. R. Crim. P. 49.1(e); 2022 AG Guidelines, Art. II.D.1.

2. For the reasons set forth above, the Department proposes to amend Rule 49.1(a) as follows (stricken text in red; proposed new text in blue):

**(a) Redacted Filings.** Unless the court orders otherwise, in an electronic or paper filing with the court that contains an individual’s social-security number,

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reflected in court documents or other public records unless otherwise required by law.” 2011 AG Guidelines, Article III.L.1.d (emphasis added).

taxpayer-identification number, or birth date, the name of an individual known to be a minor, a financial-account number, or the home address of an individual, a party or nonparty making the filing may include only:

- (1) the last four digits of the social-security number and taxpayer-identification number;
- (2) the year of the individual's birth;
- (3) ~~the minor's initials~~ in reference to a minor, a pseudonym;
- (4) the last four digits of the financial-account number; and
- (5) the city and state of the home address.

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We appreciate your assistance with this proposal, and we look forward to working with the Committee on this issue.

Sincerely,

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