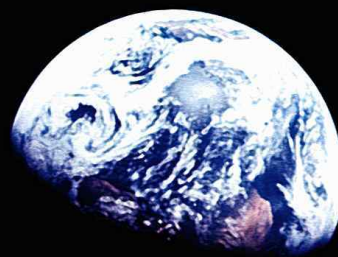


# VOSTOK:

## EARTH'S FIRST SPACESHIP

NEW YORK 12 APRIL 2011



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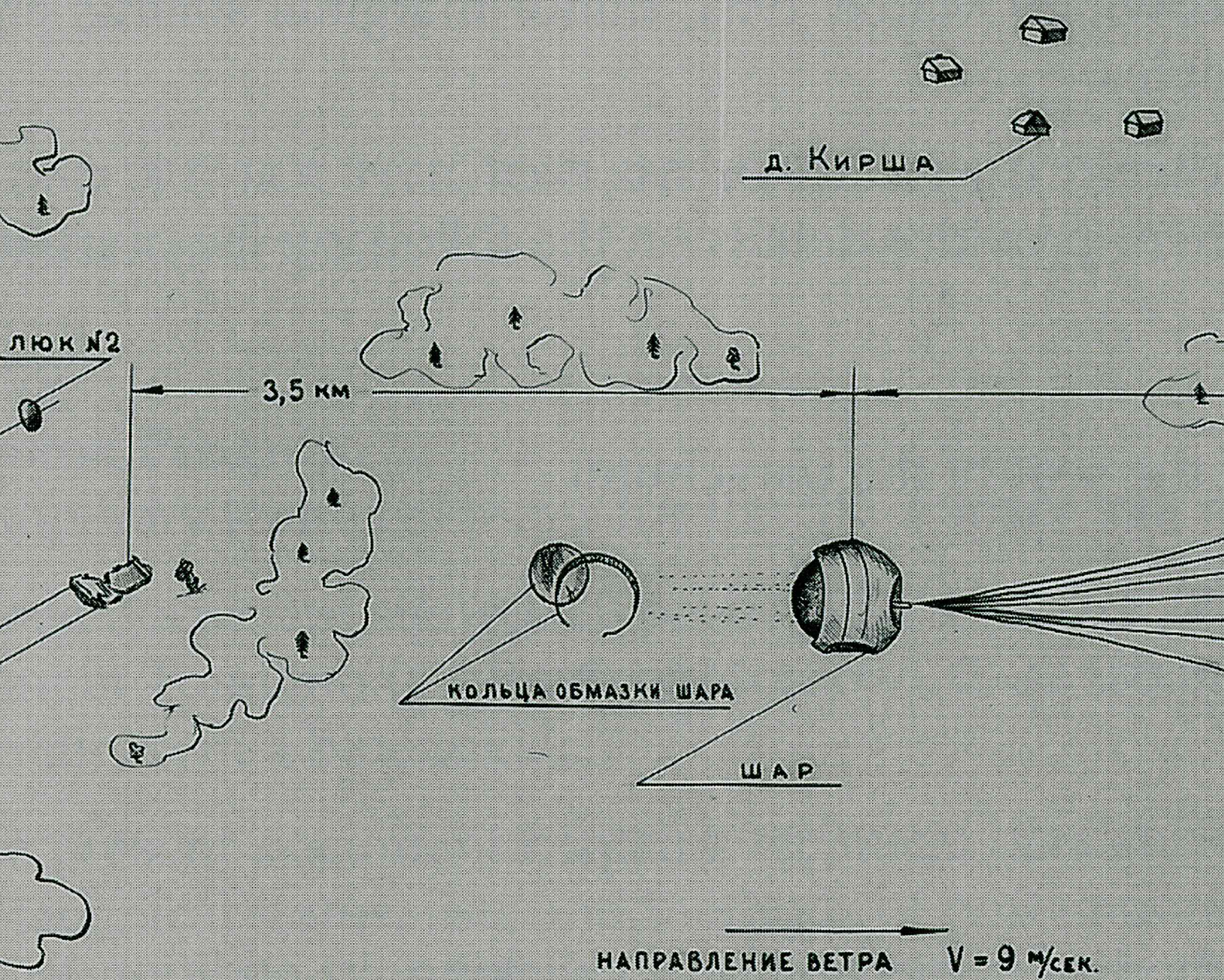
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Front Cover Credit: NASA

This page: A diagram of the landing system of  
Vostok 3KA-2, part of a post-flight report by Zvezda.

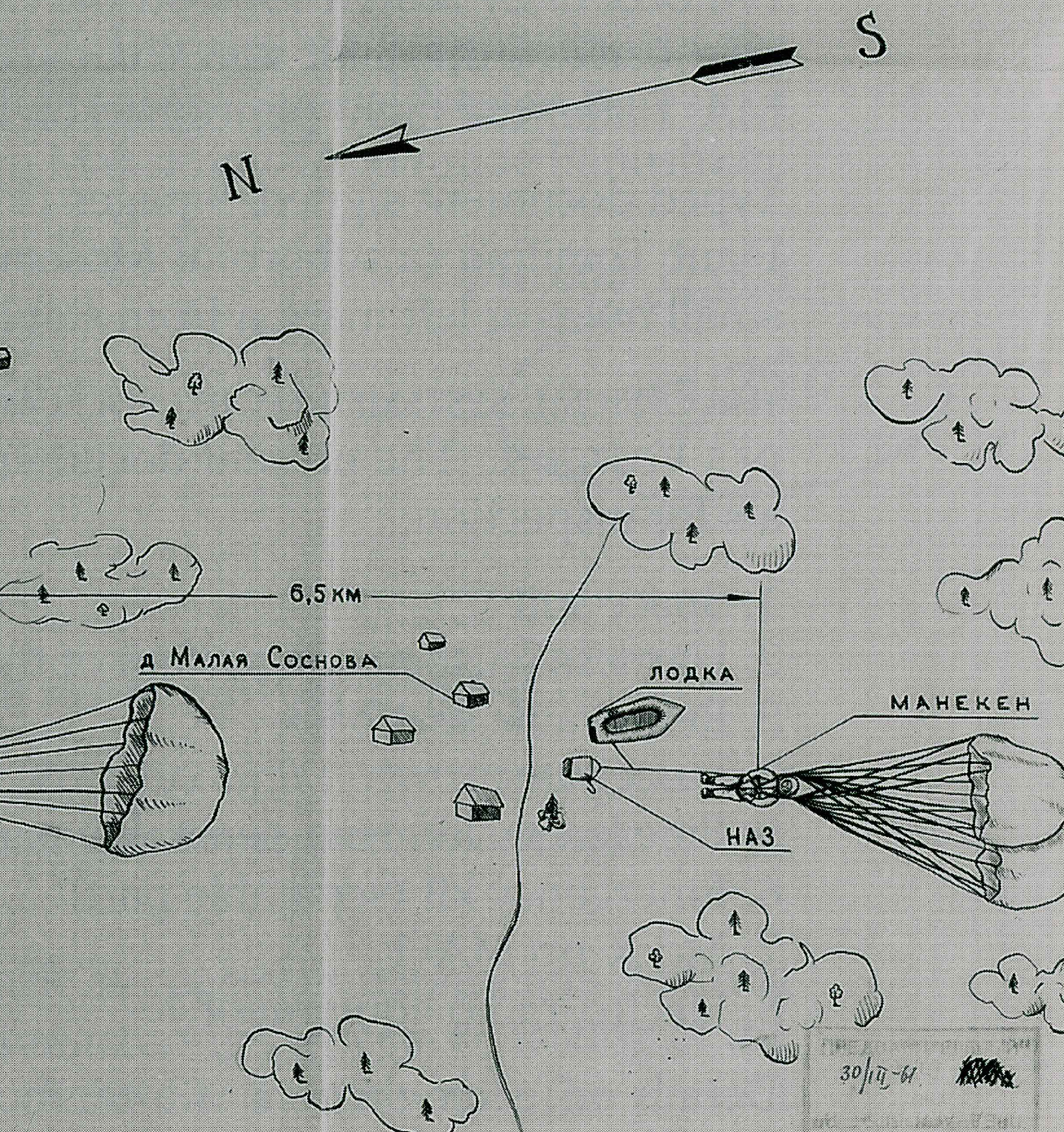
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# VOSTOK:

## EARTH'S FIRST SPACESHIP

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**VOSTOK**  
EARTH'S FIRST

WITH THE FIRST SPACE





## LOT 1

# THE VOSTOK 3KA-2 SPACESHIP

The Vostok spaceship flown with the cosmonaut-mannequin Ivan Ivanovich, 25 March 1961, as the final fail-safe and test mission prior to Yuri Gagarin's first manned space flight just eighteen days later.

*Vostok 3KA-2* is not a prototype but an exact twin of Gagarin's *Vostok 3KA-3* capsule, which was later designated *Vostok 1*.

*Vostok 3KA-2* was a critical linchpin of the world's first manned space program, not only providing the "green light" for the first manned space flight, but afterwards serving for training at the Cosmonaut Training Center, Star City, and later providing the design model for Zenit and other spy satellites manufactured at the Central Specialized Design Bureau in Kuybyshev.

This is the only Vostok spaceship outside of Russia and the only one in private hands; all other surviving Vostok capsules are in permanent Russian museum collections.

*Description of capsule:* Of spherical form, *Vostok 3KA-2* is constructed of aluminum alloy, with three large circular hatches, the "operations" hatch (now missing), through which technical work would be accomplished on the ground, the "cosmonaut" hatch, through which, in manned flight, the cosmonaut would both board and be ejected in descent, and the "parachute" hatch (now missing), from which the massive descent parachute would be deployed. The shell of the capsule is further pierced by a single porthole (two additional portholes were situated in hatch lids), and completely clothed in a thick layer of ablative thermal protection material, which ranges in thickness from 3 cm to 18 cm. The interior of the capsule originally contained nearly 1,800 pounds of instrumentation, consisting of some 6,000 transistors, 56 electrical motors, and 800 relays and switches, but in 1967, the interior of *Vostok 3KA-2* was stripped as a security measure. The spaceship was then placed on exhibition at the Kuybyshev Training Institute, but it retained a "Secret" classification until 1986. The seat on which Ivan Ivanovich reclined survives with the capsule, as do two large fragments from the capsule's parachute.

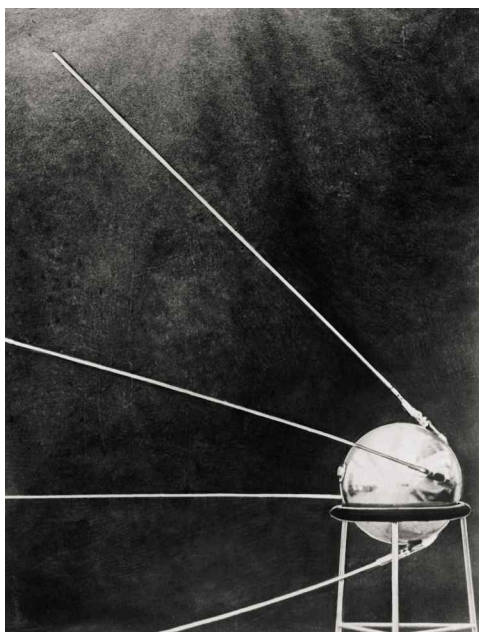
*Diameter of capsule:* 7.26 feet (2.3 meters). *Interior volume of the capsule:* 1.6 cubic meters.

ESTIMATE \$2,000,000-10,000,000

**"The earth is the cradle of humanity, but mankind cannot stay in the cradle forever."**

— Konstantin Tsiolkovsky





This official photo released by Moscow shows the Soviet satellite *Sputnik 1* resting on a metal stand before it was put into the launching device and sent hurtling into outer space. The four projecting rods are the satellite's antennae. © BETTMANN/CORBIS



Portrait photograph of the six Vostok cosmonauts, left to right: Pavel Popovich, Yuri Gagarin, Valentina Tereshkova, Valery Bykovsky, Andrian Nikolayev, and Gherman Titov.

Well, I don't know, but I've been told  
The streets in heaven are lined with gold  
I ask you how things could get much worse  
If the Russians happen to get up there first  
Wowee! pretty scary!  
— Bob Dylan, "I Shall Be Free No. 10"

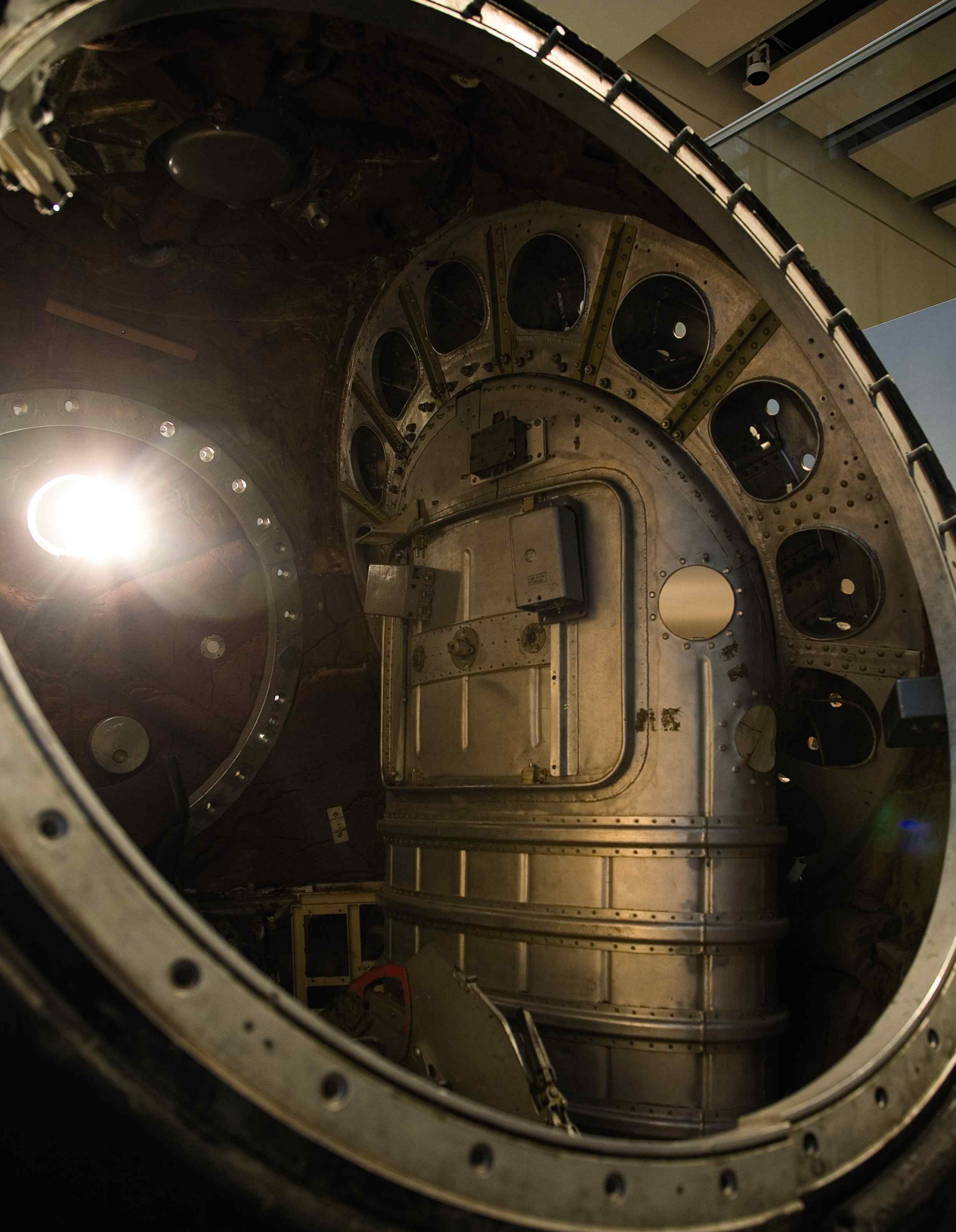
## 1: THE RACE FOR SPACE

The Russians—or, more accurately, the Soviets—did get to the heavens first, and while Bob Dylan may have been singing sardonically, it was a pretty scary time for many Americans. The USSR inaugurated the space age with the launch of the first manmade satellite, *Sputnik 1*, on 4 October 1957. The Soviet Union followed that startling success by putting the first living creature, the martyred rescue dog Laika, into orbit; launching *Luna 1*, the first manmade object to orbit the sun; crashing *Luna 2* into the moon, the first the manmade object to impact another celestial body; sending *Luna 3* into lunar orbit and taking the first photographs of the far side of the moon; returning from orbit the spacecraft *Vostok 1K-2* and her canine passengers Belka and Strelka, the first successful recovery of a satellite from space; launching and recovering from orbit a fully prepared manned-type spacecraft, *Vostok 3KA-2*, carrying the cosmonaut-mannequin Ivan Ivanovich and the dog Zvezdochka; blasting the first man, Yuri Alekseevich Gagarin, into space and safely returning him after a single orbit of the earth in the spaceship *Vostok 3KA-3* (later renumbered as *Vostok 1*); maintaining cosmonaut Gherman Stepanovich Titov aboard *Vostok 2* in orbit for more than a day while American astronauts were still flying sub-orbital missions; flying the first team mission in space, with *Vostok 3* and *Vostok 4* in orbit at the same time; sending the first woman into space, Valentina Vladimirovna Tereshkova; launching *Voskhod 1*, the first spaceship with a multi-person crew; and taking the first spacewalk, in the person of cosmonaut Alexei Arkhipovich Leonov aboard *Voskhod 2*.



Alexei Leonov returning to the spaceship *Voskhod 2* following the first spacewalk or EVA (extra-vehicular activity). According to an official Soviet source, this view of the floating cosmonaut was taken by the ship's commander Pavel Belyayev. © BETTMANN/CORBIS









Wernher von Braun at Cape Kennedy, with an Apollo rocket in the background. © CORBIS

The United States responded to these Soviet successes, of course. It is no coincidence that President Eisenhower established the National Aeronautics and Space Administration (NASA) less than a year after *Sputnik* sent shockwaves around the nation. Eisenhower's successor, John F. Kennedy, addressed a special joint session of the Congress just four months after his inauguration and proclaimed "that this nation should commit itself to achieving the goal, before this decade is out, of landing a man on the moon and returning him safely to the earth."

Eisenhower and Kennedy—and the Congress and the American people, for that matter—recognized that America was losing the space race. Soviet Premier Nikita Khrushchev wouldn't let any of them forget it. The United States program advanced more cautiously than the Soviets', but it steadily drew even, advancing from sub-orbital Mercury flights, through orbiting manned vessels, to Gemini spacewalks. With the Apollo program, NASA finally eclipsed its Soviet counterparts and achieved one of the great prizes of the first phase of space exploration: landing men on the moon.

While James Webb was the Administrator of NASA from February 1961 through October 1968, the man who came to epitomize the American space program was someone very different from that career bureaucrat. Wernher von Braun was a minor aristocrat from Germany, a former SS officer sought after the War by all of the Allied powers—not for his possible culpability in war crimes, but for his expertise in rocket science.

While still a teenager, von Braun read Hermann Oberth's pioneering *Rocket into Interplanetary Space* and joined a mix of engineers and science-fiction enthusiasts called the Society for Space Travel. At about the same time he enrolled at the Technical College of Berlin, studying mechanical engineering; he eventually took a doctorate with a dissertation on certain aspects of liquid-fueled rocketry. Von Braun was recruited to lead the Nazi missile-development program, and while he later maintained that throughout this period his only true interest was space travel, he spent the next decade designing weapons for Hitler, culminating with the devastating V-2 rockets built at the infamous slave-labor camp Mittelbau-Dora.

As the armies of the United States, the Soviet Union, and Great Britain raced to secure their Yalta-established zones in Germany, von Braun arranged to surrender himself and hundreds of his co-workers to the Americans. Once in custody, he prepared a report on the importance and potential of rocket science, boldly predicting the development of spy satellites, space stations, and even interplanetary travel.

Brilliant and charismatic, von Braun was also controversial and mistrusted by many of his Army handlers. Frustrated at being kept away from the fledgling United States space program and set to work, once again, on military rockets, he became an eager popularizer of space exploration. As early as 1952 he published a series of articles in *Collier's* magazine confidently titled "Man Will Conquer Space Soon!" Two years later he began serving as technical advisor for a series of Walt Disney Studio television programs about space. Von Braun even dabbled, largely without success, with writing science fiction about manned flights to Mars.

Even after *Sputnik*, von Braun's opponents kept him away from the planned United States response until a softball-sized satellite carried by a Navy-designed Vanguard rocket blew up on its Cape Canaveral launch pad, inspiring a roster of derisory nicknames, including Dudnik and Kaputnik. Politicians, editorial writers, and the public demanded better, and any lingering misgivings that NASA's predecessor agency, the National Advisory Committee for Aeronautics, might have had about von Braun's background were put aside. He and his team from the Army's Aviation and Missile Command of Redstone Arsenal in Huntsville, Alabama, were allotted a launch time at Cape Canaveral for a modified version of one of their massive Jupiter C rockets, and on 31 January 1958, the United States officially entered the space race with the successful launch of the *Explorer 1* satellite into orbit.

**Wernher von Braun was almost as well known behind the Iron Curtain as he was in the United States. Sergei Korolev worked in anonymity: he was known only as the "chief designer," and was never mentioned by name or interviewed by the press.**



Von Braun was invited to a celebration at the White House, and shortly afterwards President Eisenhower travelled to Huntsville to tour Missile Command with the designer. In 1960, von Braun's facility was subsumed by NASA and became known as the Marshall Space Flight Center. Almost immediately, he began work on the mammoth Saturn rockets that would eventually launch the Apollo capsules to the moon, and Presidents Kennedy and Johnson both followed Ike's lead in making pilgrimages to Huntsville. Not everyone was sanguine about the leading role that von Braun was playing in American space exploration: he was the subject of one of Tom Lehrer's satiric songs ("A man whose allegiance is ruled by expedience"), and the 1960 biographical film of his life, *I Aim At the Stars*, quickly acquired the sub-title, "But Sometimes I Hit London." But in the context of one of the hottest periods of the Cold War, most Americans were happy that von Braun was one of "our Germans." Von Braun was happy that he was building rockets.

Ironically, von Braun was almost as well known behind the Iron Curtain as he was in the United States. His exploits were closely monitored by his nearest counterpart in the Soviet space program, a mystery man whose very existence was hidden as far as possible from the West. And the enigmatic "chief designer" was not one of "their Germans," although the Soviets had captured their share of engineers and scientists from Pennemünde, notably Helmut Gröttrup, as well as many components of the V-2 rocket. Rather, he was a Ukrainian-born survivor of Stalin's gulags who managed by force of will and his extraordinary astronaut acumen to keep the Soviet Union, a nation shattered by the twin devastations of Stalin's Terror and World War II, ahead of the United States in the scramble for space. Only after his death would NASA overtake the Soviets—and only after his death was his name revealed to the world by Leonid Brezhnev, General Secretary of the Communist Party of the Soviet Union: Sergei Pavlovich Korolev.

## 2:

### **SERGEI KOROLEV AND VOSTOK, THE FIRST MANNED SPACE PROGRAM**

The life of Sergei Pavlovich Korolev rivals that of Wernher von Braun in terms of drama, fortune, and intrigue, and if not for his untimely death in January 1966 at the age of fifty-nine, his life's work as an aerospace engineer and spacecraft designer might ultimately have eclipsed that of the German-American rocketeer.

The United States beat the USSR to von Braun, and von Braun beat the Soviets to the moon, but for the two decades between von Braun's initial posting to Fort Bliss in West Texas and Korolev's death, the American space program lagged behind the Russians. Like the hare of the fable, the Soviet Union led the (space) race for all but the final steps. The Soviet Union's long priority in space exploration was due almost entirely to the herculean efforts of Korolev, the shadowy "chief designer" of the Soviet space program, who labored without the financial support and public notoriety that von Braun attracted.



Sergei Pavlovich Korolev wearing his two decorations as a Hero of the Soviet Union. © BETTMANN/CORBIS

Nikita Khrushchev delighted in his role as chief promoter of Soviet space supremacy. Yuri Gagarin and other early cosmonauts became national, and international, heroes. But Sergei Korolev worked in anonymity: referred to only as the "chief designer of carrier rockets and spacecraft," never mentioned by name, never interviewed by the press, seldom photographed or seen in public—and not identified when he was. His emergence as the man who would lead the USSR's quest to put a man on the moon was, if possible, even less likely than von Braun's improbable route to NASA.

Like von Braun, Korolev was interested in aviation as a youth and quickly became fascinated by rocketry and the idea of space travel. He attended Kiev Polytechnic Institute and Baumann Higher Technical School in Moscow. Korolev was captivated by the writings of Konstantin Eduardovich Tsiolkovsky, the founder of modern rocket science and cosmo- (or astro-) nautics. Korolev was inspired by Tsiolkovsky's vision of space travel as much as by his engineering

**"When he showed us one of his rockets, we thought it looked like nothing but a huge cigar-shaped tube, and we didn't believe it would fly. ... [But] we had absolute confidence in Comrade Korolev."** — Nikita Khrushchev









Entrance to the cosmonaut training facility at Star City. PHOTO BY DAVID REDDEN

sketches and mathematical formulae. Fifty years before Gagarin's flight, Tsiolkovsky had already predicted to the Russian engineer Voris Vorobiev that "Mankind will not remain on the Earth forever, but in pursuit of light and space, we will, timidly at first, overcome the limits of the atmosphere, and then conquer all the area around the Sun." Korolev came to embrace this prophecy, but adapted it to the Cold War, proclaiming that the purpose of his research was "to ensure that a Soviet man be the *first* to fly a rocket [and that] Soviet rockets and Soviet spaceships are the *first* to master the limitless space of the cosmos." (Interestingly, von Braun's mentor, Hermann Oberth, also fell under the spell of Tsiolkovsky, and wrote to him in 1929, "You have ignited the flame. We shall not permit it to be extinguished; we shall make every effort so that the greatest dream of mankind might be fulfilled.")

As a young engineer in the aircraft industry, Korolev joined a club headed by Fridrikh Tsander, the Group for the Study of Reactive Propulsion, that was studying rocket propulsion and designing and launching its own small liquid-propelled rockets. Here he first met Valentin Petrovich Glushko, the rocket engineer who was to be his colleague and nemesis until the end of his life. And just as the Nazi Army took notice of von Braun and his rocketry club, the Soviet military recognized the implication of Korolev's amateur rocket research for missile development. Tsander's Group was converted into an official missile research center in 1933, and Korolev was commissioned as a General-Engineer. By 1938, the Stalinist foment of paranoia and

uncertainty reached the Red Army armament ministry, and Korolev and many of his colleagues were denounced and imprisoned in the Kolyma gulag along the Siberian coast.

Korolev was eventually transferred to a special prison near Moscow, where he and other engineers and scientists were able to continue their researches under close supervision. After the Second World War, Korolev was released from prison—though not yet officially rehabilitated—and sent to Germany to study captured rocket sites and equipment and to interview German technicians and engineers.

After Stalin's death in 1953, Korolev was finally rehabilitated (and he may have done another stint in the gulag prior to that) and taken under the protection of Nikita Khrushchev, who succeeded Stalin as First Secretary of the Communist Party of the Soviet Union. Korolev's determination and confidence mesmerized the ambitious politician, and he funded Korolev's space program for the next decade, even at the expense of the Soviet defense budget. Khrushchev later recalled his first meeting with the chief designer: "When he showed us one of his rockets, we thought it looked like nothing but a huge cigar-shaped tube, and we didn't believe it would fly. ... [But] we had absolute confidence in Comrade Korolev. When he expounded his ideas, you could see passion burning in his eyes, and his reports were always models of clarity. He had unlimited energy and determination, and he was a brilliant organizer."

By 1957, Khrushchev had taken control of almost every aspect of the Soviet government, and he seized on the advent of the International Geophysical Year as a means to demonstrate to the world the supremacy of Russian science and technology. Korolev and his team



Cosmonaut training centrifuge at Star City. PHOTO BY DAVID REDDEN

**The success of *Sputnik* forced the Russians to confront the question of which aspect of their space program had priority: manned space flight or intelligence gathering.**





This poster celebrates the Soviet space program, proclaiming "Motherland! You first of all ignited the star of progress and peace above the earth. Glory to science, glory to labor! Glory to the Soviet regime!"



A Soviet model of a Vostok 3KA-type spaceship, ca. 1970s.

were ordered to put an artificial satellite into orbit before the Americans did. Remarkably, in just six weeks Korolev's Design Bureau OKB-1 designed and built a spherical satellite, 23 inches in diameter, with four long whip aerials, to be launched by one of their R-7 rockets. James Oberg's pioneering study of the Russian space program, *Red Star in Orbit*, described *Sputnik* as "a radio transmitter hooked up to a thermometer and powered by a pack of chemical batteries. The object was affectionately known as the 'PS,' the preliminary satellite—and this caused some confusion among many newly arrived engineers, since Korolev himself was known to his men as 'old SP,' for Sergei Pavlovich. The two nicknames ... were often mixed together indiscriminately in those weeks, their intimate relationship blending in the minds of the workers into one entity. It was Korolev, or a significant part of him, who would be riding on that rocket."

*Sputnik* was a great triumph that ignited the world's imagination. Launched on 4 October 1957, the satellite orbited the earth for three months, and for its first three weeks in space it transmitted a simple radio signal back to its home planet. The success of *Sputnik* forced the

Russians to confront the question of which aspect of their space program had priority: manned space flight or intelligence gathering. For Korolev, this was an easy decision.

Less than a year after launching *Sputnik*, Korolev began to crystallize his plans to put a man into space. In 1958 his Design Bureau produced a groundbreaking research paper: "Report: Materials from a Preliminary Study for a Manned-Earth Satellite (Object OD-2)." OD-2 was the code name for this new and massive "satellite"; after much discussion and testing, Korolev decided the manned satellite should be spherical. The aerodynamics of a circular form were easy to predict, and simple alterations in flight characteristics could be made by shifting the center of gravity. A sphere was also the most economical shape, providing the greatest possible proportion of volume to surface area. Initially Korolev intended only a portion of the capsule to be pressurized, but he soon decided to make the entire capsule airtight. A parachute was chosen as the most practical means of descent, but only after Korolev had toyed with the idea of a helicopter-type descent rotor. (Helicopter designers offered little encouragement for this idea.)





An exhibition gallery at Zvezda featuring a Vostok capsule. PHOTO BY DAVID REDDEN

In 1959, prototype Vostok-like balls were made, and a total of five were dropped from high altitude airplanes, and the last of the drops carried a cargo of animals.

By 1960, Korolev was ready to space-test his OD-2, now called Vostok, or East, presumably because he would be sending men to where the sun rose. It was at this time that the Cosmonaut Corps was also formed, that a Training Center was built for them at Star City, a bespoke suburb of Moscow, and that a vast and secret launch cosmodrome was constructed. This launch site was located near Tyuratam in Kazakhstan, but for security reasons, it was called Baikonur, after a town some 250 miles distant.

Of greatest uncertainty to Korolev was the design of the braking rocket, or "TDU," which was necessary to slow the orbiting spacecraft and so allow it to re-enter the atmosphere. The first space test of a Vostok spaceship took place on 15 May 1960. This craft, named *Vostok-1KP*, had no heat shield. Interestingly, this was done so that the capsule would disintegrate on reentry and so not fall into "the hands of our competitors," as the cosmonaut-engineer

Konstantin Feoktistov later revealed. Over Africa the TDU was activated, but to Korolev's dismay the spacecraft actually increased its speed, climbing to a higher orbit. On analysis, it was determined that the orientation of the craft had to be incorrect due to a failed sensor. This set-back would continue to hang like a Sword of Damocles over Gagarin's flight less than a year later—had a man been aboard the *Vostok-1KP*, he would have died an isolated death in an irrecoverable orbit. After nearly two and a half years in space, *Vostok-1KP* was destroyed by natural orbital decay. Still, Korolev was able to see the bright side. "This means we are gaining experience in maneuvering in space," he said.

A new version of the Vostok capsule was next prepared, incorporating a heat shield and intended to be returned to earth from orbit. However, this next-generation capsule was also equipped with a secrecy-preserving self-destruct mechanism capable of being activated should the spacecraft wander off course. Four Vostok 1K spaceships were built and launched in 1960. The results could not have been encouraging for Korolev and his team at Design Bureau OKB-1.

**Less than a year after launching *Sputnik*, Korolev began to crystallize his plans to put a man into space.**









A 2-Kopek stamp issued by the USSR to commemorate Vostok 3KA-2 and Zvezdochka.

A first-stage booster rocket on *Vostok 1K-1* malfunctioned just seventeen seconds after its launch on 15 July. The entire launch vehicle was destroyed in the resulting explosion and two dogs onboard, Chaika and Lisichka, were killed. *Vostok 1K-3* was launched on 1 December, carrying canines Pchelka and Mushka and other biological payload, and orbited successfully, but its re-entry rocket misfired, directing it towards a landing outside of its planned recovery zone. The self-destruction system was activated and the spaceship and its passengers were lost. Three weeks later, 22 December, *Vostok 1K-4* aborted shortly after lift-off due to an ignition failure. The capsule, with its requisite pair of dogs, Shutka and Kometa, separated successfully and was recovered in Siberia. The dogs survived only because in this flight the self-destruct apparatus did not function properly.

In the midst of these demoralizing failures, however, Korolev achieved one great success. *Vostok 1K-2* lifted off from Baikonur on 19 August, carrying the dogs Belka and Strelka, a dozen mice, and other biological and agricultural specimens. *Vostok 1K-2* completed eighteen orbits in a



Zvezdochka (Little Star), the canine passenger of Vostok 3KA-2. © BETTMANN/CORBIS

The cosmonaut-mannequin  
Ivan Ivanovich.  
PHOTO BY DAVID REDDEN





**At this point, some 7,000 engineers and technicians representing 123 organizations and 36 factories were working on the Vostok project, all under the direction of Korolev and his OKB-1 Bureau.**

flight of a little over 26 hours; the reentry rockets fired perfectly, and the capsule landed within six miles of its designated target. This was the first time a man-made object of any kind was successfully recovered from orbit—and obviously also the first time that living creatures had been successfully returned to earth from orbit. *Vostok 1K-2* was one of Korolev's crowning achievements, a triumph that gave him the courage and confidence—despite the other 1K failures—to proceed with the next phase of the Vostok program: testing a craft capable of carrying a man into space.

At this point, some 7,000 engineers and technicians representing 123 organizations and 36 factories were working on the Vostok project, all under the direction of Korolev and his OKB-1 Bureau. The capsule was again refined, this time in order to accommodate a human passenger. This new Vostok spacecraft was designated the 3KA. Three vessels were built, all available for test runs prior to putting a man in space.

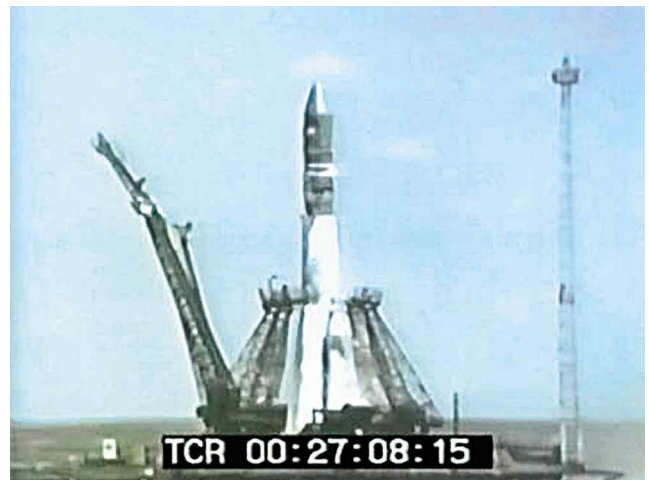
V. P. Efimov, an engineer with Zvezda, later explained the purpose of the test flights: "All the Vostok systems, including the ejections unit with its cascade of parachute devices, and the spacesuit, with its life-support system and its emergency stock kit, were tested for reliability. At the same time it was important to test not only the serviceability of all the systems, but also the interactions of the launching and flight tracking services, as well as of the whole complex of the search and rescue operations. That is why the launching of the rocket from the Baikonur launch site was performed precisely at the same time of day as scheduled for the upcoming manned space flight."

Unlike the 1K missions, the performance of the Vostok 3KA capsules was nearly flawless. The first blasted off on 9 March carrying a single dog, Chernuska, as well as mice, guinea pigs, reptiles, and other specimens. Also aboard was a mannequin, wearing a regulation cosmonaut spacesuit. *Vostok 3KA-1* executed a single orbit, fired its retro-rockets, and returned to earth, with both the mannequin (later destroyed) and Chernuska safely recovered.

### **3: VOSTOK 3KA-2**

For once, however, Korolev moved cautiously, as the enormous responsibility of deciding when to launch a man outside of the earth's atmosphere began to weigh on him. Recalling the failed 1K flights of 1960, Korolev insisted on one last "dress rehearsal" before a manned flight. The horrible training accident of cosmonaut Valentin Bondarenko also argued for prudence. On 23 March 1961, Bondarenko, the youngest member of the first cosmonaut team, was completing a ten-day stay in the isolation chamber, when he inadvertently tossed a cotton swab soaked in alcohol onto a hotplate. The oxygen-rich chamber instantly burst into flames, and Bondarenko died from his burns a few hours later.

But just two days after Bondarenko's death, Korolev proceeded with the launch of *Vostok 3KA-2*, the spaceship offered here. On board was another life-size cosmonaut-mannequin, which acquired the nickname



Still photographs taken from a Soviet film of the takeoff of *Vostok 3KA-2* © 2011 THE RUSSIAN STATE ARCHIVE OF SCIENTIFIC AND TECHNICAL DOCUMENTS









Still photographs taken from a Soviet film of the recovery of Ivan Ivanovich, Zvezdochka, and Vostok 3KA-2. © 2011 THE RUSSIAN STATE ARCHIVE OF SCIENTIFIC AND TECHNICAL DOCUMENTS

"Ivan Ivanovich." (Ivan Ivanovich was consigned to Sotheby's by Zvezda and sold in our Russian Space History auction, 11 December 1993, lot 10. The mannequin has been on exhibition at the Smithsonian National Air and Space Museum since 1997.) Ivan Ivanovich, dressed in a full Vostok spacesuit, shared the spaceship with one dog, Zvezdochka (Little Star), and the usual rodent-heavy payload. Vostok 3KA-2 was the first space launch actually witnessed by the cosmonaut corps, which did not yet know which of them would be the first man in space.

Vostok 3KA-2 rocketed into space on a single-orbit flight lasting 100 minutes. Once again, the return-rockets performed perfectly, and the spaceship and "crew" returned safely to a snow-bound Russia. Ivan Ivanovich, like Yuri Gagarin eighteen days later, was separated after reentry by ejection from the Vostok space capsule. The capsule, ejection seat, and cosmonaut-mannequin (or cosmonaut) all then descended separately on individual parachutes.

The landing site was near to the city of Izhevsk, but almost impossible to reach because of deep snow. Thirty paratroopers had been sent to guard the weather-bound site, where the ground lay under almost five feet of snow. The rescue party of engineers required a ski plane, and in

an ultimate irony, a peasant's horse-drawn sleigh to reach the landing site. Engineer Efimov recalled the difficulty of finding the spaceship with other members of Zvezda.

"It was already around 2 pm, and we were warned on radio transmitter, that 'Ivan Ivanovich' had landed in the area of the village of Bolshaya Sosnovka, some eighty km from the city of Izhevsk, behind the Votkinskaya Hydroelectric station. But because of the heavy snowstorm, helicopters of the search and rescue service could not make their way to us. Meanwhile to provide for the safety of the recovery site, thirty paratroopers—extremely brave and dedicated men—landed. Supplies parachuted to them were scattered through the woods by the stormy blizzard, and their recovery was impossible. The blizzard stormed the whole day. Everyone was in an awful mood. The Secretary of the Izhevsk regional party committee did his utmost to keep up the good spirits of the team. Only on the morning of 24 March was it possible to send in a four-seater monoplane. But still there were problems—on take-off the left skid of the plane plunged into a deep snow drift and the propeller broke off. The plane was urgently substituted by another one, and a team of three rescue workers proceeded to the landing location. The plane successfully landed on its







## "Now man can fly in space."

— Konstantin Feoktistov

skis in the neighborhood of the village of Bolshaya Sosnovka. The snow was one and a half meters deep under the plane, and, below the drifts, the snow was melting—an early sign of the coming spring."

The rocket scientists could not figure out how to reach the capsule, but Efimov's narrative explains the solution: "A peasant's brain sometimes proves to be a good match for a clever academic. After some hesitation a villager harnessed his horse to a country sleigh, and drew the sleigh close to the plane. Thus, by sleigh, the rescue team reached the landing place of the descent capsule. Half scorched, slightly bent over the ground, it seemed an enormous animal driven too hard, lying in a narrow snow-covered gully, the snow melting around the charred and still hot body of the unit. Attached to it by slings, lay sprawling the voluminous canopy of the parachute. One of the rescuers stayed with the unit, while the other two proceeded to the landing place of 'Ivan Ivanovich.' The search did not take long. A short distance from the village outskirts, where fields began, was a streaming brook. Water from the early melting snow was gathering its strength, as if readying itself for an uncompromising fight with Siberian winter. On the other side of the brook there was a forest, cut by a short narrow opening. In the middle of that opening stood a big fir tree, with thick forest bedding. The Earth seemed to have been expecting this to happen, to have the chance to embrace the wonder created by man's intellect. Centenarian trees looked as if they had just parted to leave a small clearing, and in its

middle, slightly reclining on one side, in deep snow, *there* was the orange-colored hero. One would think it was an exhausted traveler, frozen dead for having lost his fight with invincible Nature. But there were many puzzling things about this picture: the queer orange-colored suit with a mysterious helmet on his head; the multitude of slings stretching out from his shoulders towards a large bright colored canopy, its apex sitting right under the crown of the great fir tree. The weather was cloudless and calm after the blizzard that had lasted so many days, and there was a special magic about the whole picture.

"But in the distance there were several men, wearing caps with earflaps, heavy long sheepskin jackets and worn out mittens. They stood together gloomily, their brows knitted sternly. The residents of that village were apparently 'old believers'—people sullen and intolerant of any injustice. It turned out that the majority of them were demonstrating their anger against the paratroopers who stood guarding the landing place.

"The villagers had asked the paratroopers to let them go to that person in the spacesuit who lay frozen in the snow, so that they could provide him with any aid at their disposal. But the guardian paratroopers kept telling them about a mannequin named 'Ivan Ivanovich,' who was wearing that spacesuit. The incident was settled after the crowd of 'old believers' delegated their senior, who, showing an extreme dignity, walked unhurriedly across the paratrooper-trampled ground, toward

Damage to the exterior  
of Vostok 3KA-2, sustained  
during landing.







Yuri Gagarin wearing his pressurized space suit just prior to boarding *Vostok 3KA-3*. © BETTMANN/CORBIS

the reclining figure, and touched, through the open helmet of the spacesuit, the rubbery, cold face of the dummy-cosmonaut. Fully assured now that any help of theirs would be irrelevant, the villagers started slowly to leave the place and to return to their routine."

The spaceship, Ivan Ivanovich, and Zvezdochka were subjected to thorough examination, and as with *Vostok 3KA-1*, the performance of all systems was judged excellent. Efimov's summation of the significance of *Vostok 3KA-2* must certainly have been shared by Sergei Korolev: "THIS FLIGHT MADE THOSE WHO HAD BEEN WORKING ON THE FINAL PREPARATIONS FOR THE WORLD'S FIRST MANNED SPACE FLIGHT GREATLY CONFIDENT OF THE DAY TO COME." Konstantin Feoktistov, the engineer in Korolev's design bureau who later joined the cosmonauts corps, had a similar but simpler reaction to the success of *Vostok 3KA-2*: "NOW MAN CAN FLY IN SPACE."

*Vostok 3KA-2* can truly be said to have given the green light for Gagarin's flight, or, in the phrase of James Oberg, to have been the key that opened the door for the first cosmonaut. Nine days after its flight, a conference at Star City on 3 April 1961 reached the decision to put a

man in space. The man, though, had not yet been chosen, and Gherman Titov had his advocates, as well as Yuri Gagarin. Korolev, however, favored Gagarin and he was part of the State Commission that on 8 April named Gagarin the cosmonaut for the first manned orbit, with Titov selected as his back-up. Four days later, Gagarin boarded *Vostok 3KA-3*, an exact twin of the present capsule, and executed a textbook orbital flight and return.

Less than fifty years after the Wright Brothers made the first powered aircraft flight of 12 seconds in duration and 120 feet in distance, Sergei Korolev had sent a man into outer space. Of all of the subsequent achievements of the Russian space program both with and after Korolev—and including the extraordinary achievements of the American space program—putting the first man in space still stands as perhaps the most unexpected and astonishing accomplishment.

Yuri Gagarin was instantly transformed into a national hero and an international celebrity. After his post-landing debriefing, he was escorted to Moscow by seven fighter jets for a huge parade. The patriotic fervor and national pride that swept the Soviet Union had not





The first man in space and the chief designer the day after Gagarin's historic flight. © SOTHEBY'S

been seen since Victory Day following World War II. Khrushchev declared that Gagarin's feat had granted him immortality, and the cosmonaut became known as the "Columbus of the Cosmos." Ironically, the state decided that Gagarin had become too significant to risk in another space flight, and he travelled across the Soviet Union, and around the world, promoting the Soviet space program, meeting world leaders ranging from Fidel Castro to Harold Macmillan.

Tsiolkovsky, Korolev's greatest inspiration, famously said that "The earth is the cradle of humanity, but mankind cannot stay in the cradle forever." Neil Armstrong's first step on the moon may have been a giant leap for mankind, but man's first halting steps beyond earth's cradle were directed by Sergei Pavlovich Korolev.

With *Vostok 3KA-3* (later designated *Vostok 1*) in the Energia Museum near Moscow, *Vostok 3KA-2* is the closest one can ever come to the first spacecraft flown by man.

## CODA

The cosmonauts and engineers of the Soviet space program followed the Apollo program closely, and many gathered together to watch the *Apollo 11* lunar landing. When the television screens displayed images of Neil Armstrong stepping on the moon, according to Alexei Leonov, the first man to walk in space, the Soviet viewing room burst into applause. "Everyone forgot that we were all citizens of different countries on Earth," he wrote. "That moment really united the human race."

There is no doubt that after Gagarin's safe return from orbit American astronauts and NASA engineers would have applauded Sergei Korolev—if only they had known who he was.



## EXHIBITION HISTORY, VOSTOK 3KA-2

Kuybyshev Training Institute, Russia, 1967–1995 (admission largely restricted to cosmonauts, space program engineers, and political dignitaries)

The International Space Symposium, Washington, D.C., November 2000

The National Space Symposium, Colorado Springs, April 2001

Science Museum Oklahoma at Omniplex, Oklahoma City, June 2004–September 2005

The World Space Expo, Kennedy Space Center Visitor Complex, November 2007–July 2008

Lyndon Baines Johnson Presidential Library and Museum, August 2008–August 2009

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A heroic statue of Yuri Gagarin in the Moscow Space Museum. PHOTO BY DAVID REDDEN



# PRELIMINARY CENSUS: VOSTOK CAPSULES AND VOSTOK-TYPE CAPSULES

**VOSTOK 1K** 15 May 1960 — Unmanned capsule; retro rockets failed. Fragments fell near Manitowoc, Wisconsin, 5 September 1962.  
This capsule had no heat shield and was never intended to be recovered.  
DESTROYED IN FLIGHT

**VOSTOK 1K-1** 28 July 1960 — Launch vehicle exploded less than a minute into flight, killing canine passengers Chaika and Lisichka.  
DESTROYED IN FLIGHT

**VOSTOK 1K-2** 19 August 1960 — Returned with dogs Belka and Strelka.  
RKK ENERGIA MUSEUM, KOROLEV, RUSSIA

**VOSTOK 1K-3** 1 December 1960 — Capsule burned up during reentry, killing canine passengers Pchelka and Mushka.  
DESTROYED IN FLIGHT

**VOSTOK 1K-4** 22 December 1960 — Returned with dogs Kometa & Shutka.  
LOCATION UNKNOWN

**VOSTOK 3KA-1** 9 March 1961 — Returned with mannequin and dog Chernuska.  
LOCATION UNKNOWN

**VOSTOK 3KA-2** 23 March 1961 — returned with Ivan Ivanovich and dog Zvezdochka.  
IN PRIVATE HANDS, NOW BEING OFFERED AT SOTHEBY'S

**VOSTOK 3KA-3** 12 April 1961 — (Gagarin's flight, now known as *Vostok 1*). First manned space flight. Successfully returned.  
RKK ENERGIA MUSEUM, KOROLEV, RUSSIA

**VOSTOK 2** 6 August 1961 — Returned with Crew: Titov.  
RKK ENERGIA MUSEUM, KOROLEV, RUSSIA

**VOSTOK 3** 11 August 1962 — Returned with Crew: Nikolayev. Joint flight with *Vostok 4*.  
SHORSHELSKY COSMONAUTICS MUSEUM, CHUVASH REGION

**VOSTOK 4** 12 August 1962 — Returned with Crew: Popovich. Converted to represent *Voskhod 2*.  
NPO ZVEZDA MUSEUM, MOSCOW, RUSSIA

**VOSTOK 5** 14 June 1963 — Returned with Crew: Bykovsky.  
TSIOLKOVSKY MUSEUM, KALUGA, RUSSIA

**VOSTOK 6** 16 June 1963 — Returned with Crew: Tereshkova. First woman in space.  
RKK ENERGIA MUSEUM, KOROLEV, RUSSIA

## VOSTOK-TYPE CAPSULE (converted to accommodate multiple crew)

**Voskhod 1** 12 October 1964 — Crew: Komarov, Yegorov, Feoktistov. First 3-man capsule.  
RKK ENERGIA MUSEUM, KOROLEV, RUSSIA

**Voskhod 2** 18 March 1965 — Crew: Leonov and Belyayev. First space walk (Leonov).  
RKK ENERGIA MUSEUM, KOROLEV, RUSSIA



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Lots with this symbol may, in our opinion, require special handling or shipping services due to size or other physical considerations. Bidders are advised to inspect the lot and to contact Sotheby's prior to the sale to discuss any specific shipping requirements.

### 2. BEFORE THE AUCTION

**The Catalogue** A catalogue prepared by Sotheby's is published for every scheduled live auction and is available prior to the sale date. The catalogue will help familiarize you with property being offered at the designated auction. Catalogues may be purchased at Sotheby's or by subscription in any categories. For information, please call +1 212 606 7000 or visit [sothebys.com](http://sothebys.com). Prospective bidders should also consult [sothebys.com](http://sothebys.com) for the most up to date cataloguing of the property in this catalogue.

**Estimates** Each lot in the catalogue is given a low and high estimate, indicating to a prospective buyer a range in which the lot might sell at auction. When possible, the estimate is based on previous auction records of comparable pieces. The estimates are determined several months before a sale and are therefore subject to change upon further research of the property, or to reflect market conditions or currency fluctuations. Estimates should not be relied upon as a representation or prediction of actual selling prices.

**Provenance** In certain circumstances, Sotheby's may print in the catalogue the history of ownership of a work of art if such information contributes to scholarship or is otherwise well known and assists in distinguishing the work of art. However, the identity of the seller or previous owners may not be disclosed for a variety of reasons. For example, such information may be excluded to accommodate a seller's request for confidentiality or because the identity of prior owners is unknown given the age of the work of art.

**Specialist Advice** Prospective bidders may be interested in specific information not included in the catalogue description of a lot. For additional information, please contact either a Sotheby's specialist in charge of the sale (all of whom are listed in the front of the catalogue), or Sotheby's Client Services Department. You may also request a condition report from the specialist in charge.

**The Exhibition** An exhibition of the auction property will be held the week prior to the auction on the days listed in the front of the catalogue. There you will have the opportunity to view, inspect and evaluate the property yourself, or with the help of a Sotheby's specialist.

**Salesroom Notices** Salesroom notices amend the catalogue description of a lot after our catalogue has gone to press. They are posted in the viewing galleries and salesroom or are announced by the auctioneer. Please take note of them.

### 3. DURING THE AUCTION

**The Auction** Auctions are open to the public without any admission fee or obligation to bid. The auctioneer introduces the objects for sale — known as "lots" — in numerical order as listed in the catalogue. Unless otherwise noted in the catalogue or by an announcement at the auction, Sotheby's acts as agent on behalf of the seller and does not permit the seller to bid on his or her own

property. It is important for all bidders to know that the auctioneer may open the bidding on any lot by placing a bid on behalf of the seller. The auctioneer may further bid on behalf of the seller, up to the amount of the reserve, by placing responsive or consecutive bids for a lot. The auctioneer will not place consecutive bids on behalf of the seller above the reserve.

**Bidding in Person** If you would like to bid, you must register for a paddle upon entering the salesroom. The paddle is numbered so as to identify you to the auctioneer. To register, you will need a form of identification such as a driver's license, a passport or some other type of government issued identification. If you are a first-time bidder, you will also be asked for your address, phone number and signature in order to create your account. If you are bidding for someone else, you will need to provide a letter from that person authorizing you to bid on that person's behalf. Issuance of a bid paddle is in Sotheby's sole discretion.

Once the first bid has been placed, the auctioneer asks for higher bids, in increments determined by the auctioneer. To place your bid, simply raise your paddle until the auctioneer acknowledges you. You will know when your bid has been acknowledged; the auctioneer will not mistake a random gesture for a bid.

**Bidding by Noortman Master Paintings** Bidders agree that Noortman Master Paintings, an independently managed subsidiary of Sotheby's ("Noortman"), may bid for and/or purchase any lot. Sotheby's accepts no responsibility to other bidders in connection with permitting Noortman to bid and/or purchase any lot. Noortman has had no access through Sotheby's or any of its affiliates or subsidiaries to any confidential information relating to the sale of any property.

**Absentee Bidding** If it is not possible for you to attend the auction in person, you may place your bid ahead of time. In the back of every catalogue there is an absentee bid form, which you can use to indicate the item you wish to bid on and the maximum bid you are willing to make. Return the completed absentee bid form to Sotheby's either by mail or fax. When the lot that you are interested in comes up for sale, a Sotheby's representative will execute the bid on your behalf, making every effort to purchase the item for as little as possible and never exceeding your limit. This service is free and confidential. For detailed instructions and information, please see the Absentee Bid Form and Guide for Absentee Bidders instructions at the back of this catalogue.

**Telephone Bidding** In some circumstances, we offer the ability to place bids by telephone live to a Sotheby's representative on the auction floor. Please contact the Bid Department prior to the sale to make arrangements or to answer any questions you may have. Telephone bids are accepted only at Sotheby's discretion and at the caller's risk. Calls may also be recorded at Sotheby's discretion. By bidding on the telephone, prospective buyers consent thereto.

**Online Bidding via BIDnow** If you cannot attend the auction, it may be possible to bid online via BIDnow for selected sales. This service is free and confidential. For information about registering to bid via BIDnow, please see [www.sothebys.com](http://www.sothebys.com). Bidders utilizing the BIDnow service are subject to the Additional Terms and Conditions for Live Online Bidding via BIDnow, which can be viewed at [www.sothebys.com](http://www.sothebys.com), as well as the relevant Conditions of Sale.



**Employee Bidding** Sotheby's employees may bid in a Sotheby's auction only if the employee does not know the reserve and if the employee fully complies with Sotheby's internal rules governing employee bidding.

**US Economic Sanctions** The United States maintains economic and trade sanctions against targeted foreign countries, groups and organizations. There may be restrictions on the import into the United States of certain items originating in sanctioned countries, including Burma, Cuba, Iran, North Korea and Sudan. The purchaser's inability to import any item into the US or any other country as a result of these or other restrictions shall not justify cancellation or rescission of the sale or any delay in payment. Please check with the specialist department if you are uncertain as to whether a lot is subject to these import restrictions, or any other restrictions on importation or exportation.

**Hammer Price and the Buyer's Premium** For lots which are sold, the last price for a lot as announced by the auctioneer is the hammer price. A buyer's premium will be added to the hammer price and is payable by the purchaser as part of the total purchase price. The buyer's premium will be the amount stated in the Conditions of Sale.

**Currency Board** As a courtesy to bidders, a currency board is operated in many salesrooms. It displays the lot number and current bid in both U.S. dollars and foreign currencies. Exchange rates are approximations based on recent exchange rate information and should not be relied upon as a precise invoice amount. Sotheby's assumes no responsibility for any error or omission in foreign or United States currency amounts shown.

**Results** Successful absentee bidders will be notified after the sale. Absentee bidders will receive a list of sale results if they enclose a stamped self-addressed envelope with their absentee bid form. Printed lists of auction prices are available at our galleries approximately three weeks following each auction and are sent on request to catalogue purchasers and subscribers. Results may also be obtained by contacting the 24-hour Recorded Information Results Line, or online at [sothebys.com](http://sothebys.com).

**International Auctions** If you need assistance placing bids, obtaining condition reports or receiving auction results for a Sotheby's sale outside the United States, please contact our International Client Services Department.

#### 4. AFTER THE AUCTION

**Payment** If your bid is successful, you can go directly to Post Sale Services to make payment arrangements. Otherwise, your invoice will be mailed to you. The final price is determined by adding the buyer's premium to the hammer price on a per-lot basis. Sales tax, where applicable, will be charged on the entire amount. Payment is due in full immediately after the sale. However, under certain circumstances, Sotheby's may, in its sole discretion, offer bidders an extended payment plan. Such a payment plan may provide an economic benefit to the bidder. Credit terms should be requested at least one business day before the sale. However, there is no assurance that an extended payment plan will be offered. Please contact Post Sale Services or the specialist in charge of the sale for information on credit

arrangements for a particular lot. Please note that Sotheby's will not accept payments for purchased lots from any party other than the purchaser, unless otherwise agreed between the purchaser and Sotheby's prior to the sale.

**Payment by Cash** It is against Sotheby's general policy to accept single or multiple related payments in the form of cash or cash equivalents in excess of the local currency equivalent of US \$10,000. It is Sotheby's policy to request any new clients or purchasers preferring to make a cash payment to provide: verification of identity (by providing some form of government issued identification containing a photograph, such as a passport, identity card or driver's license), confirmation of permanent address and identification of the source of the funds.

**Payment by Credit Cards** Sotheby's does not accept payment by credit card for auction purchases.

**Payment by Check** To pay for a purchase by check, please see our cashier and fill out a Check Acceptance Account form. Until approved, you will not be permitted to remove purchases before the check has cleared. Check acceptance privileges are reviewed from time to time by Sotheby's and may be granted or withdrawn at our sole discretion. Checks should be made payable to Sotheby's. Certified checks, banker's drafts and cashier's checks are accepted at Sotheby's discretion and provided they are issued by a reputable financial institution governed by anti-money laundering laws. Instruments not meeting these requirements will be treated as "cash equivalents" and subject to the constraints noted in the prior paragraph titled "Payment By Cash".

#### **Payment by Wire Transfer**

Payment by wire transfer should be directed to:

J.P. Morgan Chase Bank NA  
4 New York Plaza, New York, NY 10004  
Sotheby's Inc. Account #865356836  
ABA routing: 021000021  
SWIFT Code: CHASUS33

Please include your account number and sale and lot numbers.

**Sales and Use Tax** New York sales tax is charged on the hammer price, buyer's premium and any other applicable charges on any property picked up or delivered in New York State, regardless of the state or country in which the purchaser resides or does business. Please refer to "Information on Sales and Use Tax Related to Purchases at Auction" in the back of the catalogue.

#### **Collection and Delivery**

Post Sale Services  
+1 212 606 7444  
FAX: +1 212 606 7043  
[uspostsaleservices@sothebys.com](mailto:uspostsaleservices@sothebys.com)

Once your payment has been received and cleared, property may be released. Unless otherwise agreed by Sotheby's, all purchases must be removed by the 30th calendar day following a sale.

**Shipping Services** Sotheby's offers a comprehensive shipping service to meet all of your requirements. If you received a shipping quotation or have any questions about the services we offer please contact us.

**Collecting your Property** As a courtesy to purchasers who come to Sotheby's to collect property, Sotheby's will assist in the packing of lots, although Sotheby's may, in the case of fragile articles, choose not to pack or otherwise handle a purchase.

If you are using your own shipper to collect property from Sotheby's, please provide a letter of authorization and kindly instruct your shipper that they must provide a Bill of Lading prior to collection. Both documents must be sent to Post Sale Services prior to collection.

The Bill of Lading must include: the purchaser's full name, the full delivery address including the street name and number, city and state or city and country, the sale and lot number.

Sotheby's will contact your shipper within 24 hours of receipt of the Bill of Lading to confirm the date and time that your property can be collected. Property will not be released with out this confirmation and your shipper must bring the same Bill of Lading that was faxed to Sotheby's when collecting. All property releases are subject to the receipt of cleared funds.

Please see the Conditions of Sale for further details.

**Endangered Species** Certain property sold at auction, for example, items made of or incorporating plant or animal materials such as coral, crocodile, ivory, whalebone, tortoiseshell, etc., irrespective of age or value, may require a license or certificate prior to exportation and additional licenses or certificates upon importation to another country. Sotheby's suggests that buyers check on their government wildlife import requirements prior to placing a bid. Please note that the ability to obtain an export license or certificate does not ensure the ability to obtain an import license or certificate in another country, and vice versa. It is the purchaser's responsibility to obtain any export or import licenses and/or certificates as well as any other required documentation. In the case of denial of any export or import license or of delay in the obtaining of such licenses, the purchaser is still responsible for making on-time payment of the total purchase price for the lot.

Although licenses can be obtained to export some types of endangered species, other types may not be exported at all, and other types may not be resold in the United States. Upon request, Sotheby's is willing to assist the purchaser in attempting to obtain the appropriate licenses and/or certificates. However, there is no assurance that an export license or certificate can be obtained. Please check with the specialist department or the Shipping Department if you are uncertain as to whether a lot is subject to these export/import license and certificate requirements, or any other restrictions on exportation.

**The Art Loss Register** As part of Sotheby's efforts to support only the legitimate art market and to combat the illegitimate market in stolen property, Sotheby's has retained the Art Loss Register to check all uniquely identifiable items offered for sale in this catalogue that are estimated at more than the equivalent of US\$1,500 against the Art Loss Register's computerized database of objects reported as stolen or lost. The Art Loss Register is pleased to provide purchasers with a certificate confirming that a search has been made. All inquiries regarding search certificates should be directed to

The Art Loss Register, First Floor, 63-66 Hatten Garden, London EC1N 8LE or by email at [artloss@artloss.com](mailto:artloss@artloss.com). The Art Loss Register does not guarantee the provenance or title of any catalogued item against which they search, and will not be liable for any direct or consequential losses of any nature howsoever arising. This statement and the ALR's service do not affect your rights and obligations under the Conditions of Sale applicable to the sale.

#### SELLING AT AUCTION

If you have property you wish to sell, Sotheby's team of specialists and client services representatives will assist you through the entire process. Simply contact the appropriate specialist (specialist departments are listed in the back of this catalogue). General Inquiries Department or a Sotheby's regional office representative for suggestions on how best to arrange for evaluation of your property.

**Property Evaluation** There are three general ways evaluation of property can be conducted:

##### **(1) In our galleries**

You may bring your property directly to our galleries where our specialists will give you auction estimates and advice. There is no charge for this service, but we request that you telephone ahead for an appointment. Inspection hours are 9:30 am to 5 pm, Monday through Friday.

##### **(2) By photograph**

If your property is not portable, or if you are not able to visit our galleries, you may bring in or send a clear photograph of each item. If you have a large collection, a representative selection of photographs will do. Please be sure to include the dimensions, artist's signature or maker's mark, medium, physical condition and any other relevant information. Our specialists will provide a free preliminary auction estimate subject to a final estimate upon first-hand inspection.

##### **(3) In your home**

Evaluations of property can also be made in your home. The fees for such visits are based on the scope and diversity of property, with travel expenses additional. These fees may be rebated if you consign your property for sale at Sotheby's. If there is considerable property in question, we can arrange for an informal "walkthrough."

Once your property has been evaluated, Sotheby's representatives can then help you determine how to proceed should you wish to continue with the auction process. They will provide information regarding sellers' commission rates and other charges, auction venue, shipping and any further services you may require.

#### SOTHEBY'S SERVICES

Sotheby's also offers a range of other services to our clients beyond buying and selling at auction. These services are summarized below. Further information on any of the services described below can be found at [sothebys.com](http://sothebys.com).

**Valuations and Appraisals** Sotheby's Valuations and Appraisals Services offers advice regarding personal property assets to trusts, estates, and private clients in order to help fiduciaries, executors, advisors, and collectors meet their goals. We provide efficient and confidential advice and assistance for all appraisal and auction services. Sotheby's can prepare appraisals to suit



a variety of needs, including estate tax and planning, insurance, charitable contribution and collateral loan. Our appraisals are widely accepted by the Internal Revenue Service, tax and estate planning professionals, and insurance firms. In the event that a sale is considered, we are pleased to provide auction estimates, sales proposals and marketing plans. When sales are underway, the group works closely with the appropriate specialist departments to ensure that clients' needs are met promptly and efficiently.

**Financial Services** Sotheby's offers a wide range of financial services including advances on consignments, as well as loans secured by art collections not intended for sale.

**Museum Services** Tailored to meet the unique needs of museums and nonprofits in the marketplace, Museum Services offers personal, professional assistance and advice in areas including appraisals, deaccessions, acquisitions and special events.

**Corporate Art Services** Devoted to servicing corporations, Sotheby's Corporate Art Services Department can prepare appraisal reports, advise on acquisitions and deaccessions, manage all aspects of consignment, assist in developing arts-management strategies and create events catering to a corporation's needs.

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## INFORMATION ON SALES AND USE TAX RELATED TO PURCHASES AT AUCTION

To better assist our clients, we have prepared the following information on Sales and Use Tax related to property purchased at auction.

**Why Sotheby's Collects Sales Tax** Virtually all State Sales Tax Laws require a corporation to register with the State's Tax Authorities and collect and remit sales tax if the corporation maintains a presence within the state, such as offices. In the states that impose sales tax, Tax Laws require an auction house, with a presence in the state, to register as a sales tax collector, and remit sales tax collected to the state. New York sales tax is charged on the hammer price, buyer's premium and any other applicable charges on any property picked up or delivered in New York, regardless of the state or country in which the purchaser resides or does business.

**Where Sotheby's Collects Sales Tax** Sotheby's is currently registered to collect sales tax in the following states: California, Connecticut, Florida, Illinois, Maryland, Massachusetts, Minnesota, New Jersey, New York, Pennsylvania, and Texas. For any property collected or received by the purchaser in New York City, such property is subject to sales tax at the existing New York State and City rate of 8.875%.

If the property is delivered into any of the states in which Sotheby's is registered, Sotheby's is required by law to collect and remit the appropriate sales tax in effect in the state where the property is delivered. Property collected from Sotheby's New York premises by common carriers on behalf of the purchaser for delivery to the purchaser at his address outside of New York is not subject to New York Sales Tax. If it is delivered by the common carrier to any of the states where Sotheby's is required to collect sales tax, applicable tax will be added to the purchase price.

**Where Sotheby's is Not Required to Collect Sales Tax** Sotheby's is not required to collect sales tax on property delivered to states other than those listed above. If the property is delivered to a state where Sotheby's is not required to collect sales tax, it is the responsibility of the purchaser to self-assess any sales or use tax and remit it to taxing authorities in that state.

Sotheby's is not required to collect sales tax for property delivered to the purchaser outside of the United States.

**Restoration and Other Services** Regardless of where the property is subsequently transported, if any framing or restoration services are performed on the property in New York, it is considered to be a delivery of the property to the purchaser in New York, and Sotheby's will be required to collect the 8.875% New York sales tax.

**Certain Exemptions** Most states that impose sales taxes allow for specified exemptions to the tax. For example, a registered re-seller such as a registered art dealer may purchase without incurring a tax liability, and Sotheby's is not required to collect sales tax from such re-seller. The art dealer, when re-selling the property, may be required to charge sales tax to its client, or the client may be required to self-assess sales or use tax upon acquiring the property.

**Local Tax Advisors** As sales tax laws vary from state to state, Sotheby's recommends that clients with questions regarding the application of sales or use taxes to property purchased at auction seek tax advice from their local tax advisors.

Photography:  
Richard Lee  
Bonnie Morrison

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