

OREGON GOVERNMENT ETHICS COMMISSION

MEETING MINUTES

March 10, 2017

9:00 a.m.

(:01)

Chair Dan Golden called the meeting to order at 9:00 a.m. The meeting was held in the 2nd Floor Conference Room of the Morrow Crane Building at 3218 Pringle Rd SE Salem, Oregon. Other Commissioners present were Marilyn Cover, Kenny Montoya, Chuck Tauman, Mary Kremer, and Richard Burke. Alison Kean and Chuck Lee were excused from attendance. Staff present were OGE Council Amy Alpaugh, Executive Director Ron Bersin, Program Manager Virginia Lutz, Compliance and Training Coordinator Marie Scheffers, Investigator Diane Gould, Investigator Michael Thornicroft, Trainer Haley Weedn and Administrative Specialist Kathy Daniel.

(:10)

AGENDA ITEM 1, Approval of the minutes of the January 27, 2017 Commission meeting. Chair Golden called for approval of the minutes of the January 27, 2017 Commission meeting. The minutes were approved without correction.

CONSENT CALENDAR

(1:45)

Tauman requested removal of Agenda Item 2 for discussion. Montoya moved for the approval of the Consent Calendar items and the staff recommendation on each as follows:

Reports of Investigation

None.

Lobbyist Penalty Correspondence

AGENDA ITEM 3, Leland Berger, 4th qtr 2016, Letter of Education

AGENDA ITEM 4, Lena Spadacene, 4th qtr 2016, Letter of Education

AGENDA ITEM 5, Henry O'Keeffe, 4th qtr 2016, Letter of Education

AGENDA ITEM 6, Loyd Henion, 4th qtr 2016, Letter of Education

AGENDA ITEM 7, Alex Cuyler, 4th qtr 2016, Letter of Education

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Lobbyist Client Penalty Correspondence

AGENDA ITEM 8, Counter Brands, LLC, 4th qtr 2016, Letter of Education

AGENDA ITEM 9, Partnership for Safety and Justice, 4th qtr 2016, Letter of Education

AGENDA ITEM 10, Lane County, 4th qtr 2016, Letter of Education

AGENDA ITEM 11, Dept of Land Conservation & Devel, 4th qtr 2016, Letter of Ed

AGENDA ITEM 12, Oregon Alliance for Gun Safety, 4th qtr 2016, Letter of Education

AGENDA ITEM 13, Compact of Free Assoc Alliance National Network, 4th qtr 2016, Letter of Education

AGENDA ITEM 14, Kevin L Mannix, PC, 4th qtr 2016, Letter of Education

AGENDA ITEM 15, Partnership for Safety & Justice, 4th qtr 2016, Letter of Education

AGENDA ITEM 16, Broadway Cab, 4th qtr 2016, Letter of Education

AGENDA ITEM 17, City of Springfield, 4th qtr 2016, Letter of Education

Statement of Economic Interest Correspondence

None.

Consent Calendar roll call vote was taken as follows: Kremer, aye; Cover, aye; Tauman, aye; Burke, aye; Montoya, aye; Golden, aye. Motion passed unanimously.

End of Consent Calendar

Reports of Investigation

(4:10)

AGENDA ITEM 2, 16-139EMT, Rene Brouse. City of Sherwood Councilor. Scheffers reviewed the case. Ms. Brouse did not address the Commission. Kremer moved that the Commission find that the information before the Commission is insufficient to infer a violation of ORS Chapter 244.120(2) or warrant further investigation and that this complaint be dismissed.

Roll call vote was taken as follows: Kremer, aye; Cover, aye; Tauman, aye; Burke, aye; Montoya, aye; Golden, aye. Motion passed unanimously.

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The Commission convened into executive session at 9:07 a.m. to consider Preliminary Reviews pursuant to ORS 244.260(4)(d) and to consider possible own motion reviews pursuant to ORS 244.260(2)(d) and ORS 171.778(2)(d).

EXECUTIVE SESSION CONSENT CALENDAR

Reports of Preliminary Review

None.

End of Executive Session Consent Calendar.

OTHER ITEMS

Reports of Preliminary Review (removed from consent calendar)

(6:15)

AGENDA ITEM 64, 17-101EMS, Heidi Williams, Chief Operating Officer, Oregon Educators Benefit Board. Williams and Counsel, Diane Sykes, were present and addressed the Commission. Montoya moved that the Commission find that there is a substantial, objective basis for believing that Heidi Williams may have violated ORS 244.025, 244.040 and ORS 244.120(1) and that the Commission should investigate accordingly. Roll call vote was taken as follows: Kremer, aye; Cover, nay; Tauman, aye; Burke, aye; Montoya, aye; Golden, aye. Motion passed 5-1.

(24:27)

AGENDA ITEM 65, 17-102EDG Laura Roach, Director of Secondary/Post-Secondary Transitions, Dept. of Education. Roach was present and addressed the Commission. Tauman moved that the Commission find that there is a substantial, objective basis for believing that Laura Roach may have violated ORS 244.040 and ORS 244.120 and that the Commission should investigate accordingly. Roll call vote was taken as follows: Kremer, aye; Cover, aye; Burke, aye; Tauman, aye; Montoya, aye; Golden, aye. Motion passed unanimously.

Own Motion Reviews

(39:10)

AGENDA ITEM 70, Possible Own Motion Preliminary Review re John Wykoff, Lobbyist. Wykoff and Counsel, Arden Olson, were present and addressed the Commission. The Commission offered no motion and took no action.

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(51:35)

AGENDA ITEM 69, Possible Own Motion Preliminary Review re Andrea Henderson, Lobbyist. Henderson and Counsel, Arden Olson, were present and addressed the Commission. The Commission offered no motion and took no action.

OTHER ITEMS

Reports of Preliminary Review
(removed from consent calendar)

(55:32)

AGENDA ITEM 66, 17-103EDG, Ted Heath, Curry Co Sheriff's Office Deputy. Heath participated by telephone. Gould summarized the case. The Commission offered no motion and took no action.

(105:49)

AGENDA ITEM 67, 17-104EDG, John Ward, Curry County Sheriff. Ward participated by telephone. Gould summarized the case. The Commission offered no motion and took no action.

Own Motion Reviews

(1:09:06)

AGENDA ITEM 68, Possible Own Motion Preliminary Review re James Copfer, City of Sherwood, Statement of Economic Interest Filer. Mr. Copfer did not address the Commission. Montoya moved that the Commission conduct a preliminary review to determine if there is cause to investigate whether James Copfer has violated ORS Chapter 244.050. Roll call vote was taken as follows: Kremer, aye; Cover, aye; Burke, aye; Tauman, aye; Montoya, aye; Golden, aye. Motion passed unanimously.

Other Items

(non-action informational only items)

(1:13:00)

AGENDA ITEM 71, Summary of Pending Cases. The Commission reviewed the list of pending cases without comment.

The Commission recessed at 10:14 a.m. and reconvened into regular session at 10:23 a.m.

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Lobbyist Penalty Correspondence

(:15) Recording timed out during break.

AGENDA ITEM 18, Mario Parker-Milligan, 3rd qtr 2016, Letter of Education. 4th qtr 2016, \$50 penalty. The Commission generally discussed the matter. Montoya moved to issue a Letter of Education for the late filing of the 3rd qtr 2016 Lobbyist Expenditure Report, and reduce penalty to \$50 for the 4th qtr 2016 late filing. Roll call vote was taken as follows: Kremer, aye; Cover, aye; Burke, aye; Tauman, aye; Montoya, aye; Golden, aye. Motion passed unanimously.

Lobbyist/Client Penalty Correspondence

(1:42)

AGENDA ITEM 19, Oregon Mutual Insurance, 4th qtr 2016, no action. The Commission generally discussed the matter. Kremer moved to take no action and waive the penalty for the late filing of the 4th qtr 2016 Lobbyist/Client Expenditure Report. Roll call vote was taken as follows: Kremer, aye; Cover, aye; Burke, aye; Tauman, aye; Montoya, aye; Golden, aye. Motion passed unanimously.

(3:30)

AGENDA ITEM 20, Union Pacific Railroad, 3rd qtr 2016, Letter of Education. 4th qtr 2016, \$100 penalty. The Commission generally discussed the matter. Burke moved to issue a Letter of Education for the late filing of the 3rd qtr 2016 Lobbyist Client Expenditure Report, and reduce penalty to \$100 for the 4th qtr 2016 late filing. Roll call vote was taken as follows: Kremer, aye; Cover, aye; Burke, aye; Tauman, aye; Montoya, aye; Golden, aye. Motion passed unanimously.

STIPULATED FINAL ORDERS

(5:08)

AGENDA ITEM 21, 16-118SDG, Cary Clarke, City of Sumpter Planning Commission. Mr. Clarke did not address the Commission. Gould summarized the case. The Commission generally discussed the matter. Cover moved that the Commission approve the proposed stipulated final order as the final order in this matter and that the Chairperson be authorized to sign it as such. Roll call vote was taken as follows: Kremer, aye; Cover, aye; Burke, aye; Tauman, aye; Montoya, aye; Golden, aye. Motion passed unanimously.

(6:19)

AGENDA ITEM 22, 16-135EDG, Dana Smith, City of Silverton Council. Ms. Smith did not address the Commission. Gould summarized the case. The Commission generally discussed the matter. Cover moved that the Commission approve the proposed

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stipulated final order as the final order in this matter and that the Chairperson be authorized to sign it as such. Roll call vote was taken as follows: Kremer, aye; Cover, aye; Burke, aye; Tauman, aye; Montoya, aye; Golden, aye. Motion passed unanimously.

(7:30)

AGENDA ITEM 22-A, 16-126XMS, David Cacka

AGENDA ITEM 22-B, 16-127XMS, Greg Carleton

Klamath Irrigation District Board of Directors. Scheffers summarized the matters. The Commission generally discussed the matter. Kremer moved that the Commission approve the proposed stipulated final orders as the final orders in these matters and that the Chairperson be authorized to sign them as such. Roll call vote was taken as follows: Kremer, aye; Cover, aye; Burke, aye; Tauman, aye; Montoya, aye; Golden, aye. Motion passed unanimously.

DEFAULT FINAL ORDERS

None.

CONTESTED CASE PROPOSED FINAL ORDERS

None.

REPORTS OF INVESTIGATION

(11:15)

AGENDA ITEM 28, 16-138EMT, John Phelan, Yamhill County Public Works Director.

Thornicroft summarized the case. Phelan was present and addressed the Commission. The Commission generally discussed the matter. Tauman moved that the Commission find that there is sufficient evidence to find a violation of ORS Chapter 244.040 and 244.120(1)(c) by John Phelan, if this evidence is not rebutted by contrary evidence, and that this public official be offered a contested case proceeding. Roll call vote was taken as follows: Kremer, aye; Cover, aye; Burke, aye; Tauman, aye; Montoya, aye; Golden, aye. Motion passed unanimously.

(21:46)

AGENDA ITEM 23, 16-123XMS, Brent Cheyne

AGENDA ITEM 24, 16-124XMS, Grant Knoll

AGENDA ITEM 25, 16-125XMS, Kenneth Smith

Klamath Irrigation District Board of Directors. The respondents did not address the Commission. Scheffers summarized the cases. The Commission generally discussed the matters. Kremer moved that the Commission find that there is sufficient evidence to find violations of ORS 192.660(2) by Brent Cheyne, Grant Knoll, and Kenneth Smith, if

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this evidence is not rebutted by contrary evidence, and that these public officials be offered a contested case proceeding. Roll call vote was taken as follows: Kremer, aye; Cover, aye; Tauman, aye; Montoya, aye; Golden, aye. Motion passed unanimously.

STATEMENT OF ECONOMIC INTEREST FAIL TO FILE

(31:25)

AGENDA ITEM 29, 17-105SMS, Gail Vansickel, Baker City Planning Comm, 2013

AGENDA ITEM 30, 17-106SMS, Jake Pieper, Brookings Council, 2013

AGENDA ITEM 31, 17-107SMS, Bill Quier, Burns Planning Comm, 2013 - 2015

AGENDA ITEM 32, 17-108SMS, Jeff Lorton, Carlton Planning Comm, 2013 - 2015

AGENDA ITEM 33, 17-109SMS, Bobby Walker, Cascade Locks Council, 2013 - 2015

AGENDA ITEM 35, 17-112SMS, Marisa Alvarez, Lowell Council, 2013

AGENDA ITEM 36, 17-114SMS, Donald Hill, Millersburg Planning Comm, 2013

AGENDA ITEM 37, 17-115SMS, Jake Burrough, Molalla Planning Comm, 2013, 2014

AGENDA ITEM 38, 17-116SDG, Angela Hanke, Nehalem Council, 2013, 2014

AGENDA ITEM 39, 17-117SDG, Ray Corwin, Pilot Rock Council, 2013, 2014, 2015

AGENDA ITEM 40, 17-118SDG, Celia Claybourn, Powers Planning Comm, 2013

AGENDA ITEM 41, 17-119SDG, Henry Goslin, Prairie City Council, 2013, 2014, 2015

AGENDA ITEM 42, 17-120SDG, Viola Rose, Prairie City Council, 2013, 2015

AGENDA ITEM 43, 17-121SDG, Erin McRae, Scotts Mills Council, 2013, 2014, 2015

AGENDA ITEM 44, 17-122SDG, Katie Munson, Scotts Mills Council, 2013

AGENDA ITEM 45, 17-123SDG, James Copfer, Sherwood Planning Comm, 2013, 2015

AGENDA ITEM 46, 17-124SDG, Dean Walker, Talent Planning Comm, 2013

AGENDA ITEM 47, 17-125SMT, Michael Dennis, Turner Council, 2013, 2014

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AGENDA ITEM 48, 17-126SMT, Mark Kujala, Warrenton Council, 2013, 2015

AGENDA ITEM 49, 17-127SMT, Scott Miller, Wasco Mayor, 2013, 2014

AGENDA ITEM 50, 17-130SMT, David Lee, Umatilla Co Planning Comm, 2013 - 2015

AGENDA ITEM 51, 17-131SMT, Don Wysocki, Umatilla Co Planning Comm, 2013-2015

Burke moved that the Commission find that there is sufficient evidence to find a violation of ORS Chapter 244.050 by the above named public officials, if this evidence is not rebutted by contrary evidence, and that these public officials be offered contested case proceedings. Roll call vote was taken as follows: Kremer, aye; Burke, aye; Cover, aye; Tauman, aye; Montoya, aye; Golden, aye. Motion passed unanimously.

Late Filings Received With Explanation

(36:00)

AGENDA ITEM 57, 17-134SMT, Michael Thomson, Albany Hospital Facility Authority, 2013. Thornicroft summarized the issue. Thomson was present and addressed the Commission. The Commission generally discussed the matter. Tauman moved that the Commission find that there is sufficient evidence to find a violation of ORS Chapter 244.050 by Michael Thomson, if this evidence is not rebutted by contrary evidence, and that this public official be offered a contested case proceeding. Roll call vote was taken as follows: Kremer, nay; Burke, nay; Cover, nay; Tauman, aye; Montoya, aye; Golden, aye. Motion failed 3 to 3.

(44:30)

AGENDA ITEM 56, 17-133SMT, Sue Folden, Albany Hospital Facility Authority, 2013. Ms. Folden did not address the Commission. Thornicroft summarized the issue. The Commission generally discussed the matter. Tauman moved that the Commission find that there is sufficient evidence to find a violation of ORS Chapter 244.050 by Sue Folden, if this evidence is not rebutted by contrary evidence, and that this public official be offered a contested case proceeding. Roll call vote was taken as follows: Kremer, nay; Burke, nay; Cover, nay; Tauman, aye; Montoya, aye; Golden, aye. Motion failed 3 to 3.

Late Filings Received Without Explanation

(47:00)

AGENDA ITEM 53, 17-113SMS, Frank Segarra, Lowell Municipal Judge, 2013, 2014. Scheffers summarized the matter. Segarra participated by telephone and addressed the Commission. The Commission generally discussed the matter. Tauman moved that the Commission find that there is sufficient evidence to find a violation of ORS Chapter 244.050 by Frank Segarra, if this evidence is not rebutted by contrary evidence, and that

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this public official be offered a contested case proceeding. Roll call vote was taken as follows: Kremer, aye; Burke, aye; Cover, aye; Tauman, aye; Montoya, aye; Golden, aye. Motion passed unanimously.

STATEMENT OF ECONOMIC INTEREST FAIL TO FILE

(51:00)

AGENDA ITEM 34, 17-111SMS, Eric Epperson, Gearhart Planning Comm, 2013

AGENDA ITEM 52, 17-132SMT, Mace Cadwell, Union Co Plan Comm, 2013 – 2016.

Late Filings Received Without Explanation

AGENDA ITEM 54, 17-129SMT, Matt Allen, Yoncalla Council, 2013

Late Filings Received With Explanation

AGENDA ITEM 55, 17-110SMS, Tim Parks, Enterprise Council, 2013, 2014

Burke moved that the Commission find that there is sufficient evidence to find a violation of ORS Chapter 244.050 by the above named public officials, if this evidence is not rebutted by contrary evidence, and that these public officials be offered contested case proceedings. Roll call vote was taken as follows: Kremer, aye; Burke, aye; Cover, aye; Tauman, aye; Montoya, aye; Golden, aye. Motion passed unanimously.

ADVISORY OPINIONS

(54:00)

AGENDA ITEM 58, 17-001A, Jessica Brubaker, Oregon State University Assistant General. Counsel re conflicts of interest for Board of Trustees in setting tuition rates and fees. Kremer moved that the Commission adopt the Advisory Opinion as presented with corrections. Roll call vote was taken as follows: Kremer, aye; Burke, aye; Cover, aye; Tauman, aye; Montoya, aye; Golden, aye. Motion passed unanimously.

CORRESPONDENCE RECEIVED/RESPONSES

Staff Opinions

None.

Staff Advice

(non-action informational only items)

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(56:00)

AGENDA Item 59, Secretary of State Dennis Richardson re public officials participating in a leadership course offered by center for Community Innovation.

AGENDA Item 60, Jeff Aeschliman, State Farm Insurance Co, re invitation offered to public officials to attend sponsored event.

Other Correspondence
(non-action informational only items)

None.

MISCELLANEOUS ITEMS

(56:50)

AGENDA ITEM 61, Review of Advisory Opinions to be rescinded. Bersin summarized the request to rescind. Tauman moved that the Commission rescind the listed advisory opinions. Roll call vote was taken as follows: Kremer, aye; Cover, aye; Burke, aye; Tauman, aye; Montoya, aye; Golden, aye. Motion passed unanimously.

(59:00)

AGENDA ITEM 62, Trainers' Report. Weedn summarized the training activities. Bersin announced this as Weedn's last Commission meeting as she has accepted a position with the Employment Department.

The Commission recessed for a working lunch at 11:30 a.m. and reconvened into regular session at 11:42 a.m.

(:01) Recording timed out during the break.

AGENDA ITEM 63, Director's Report.

Bersin discussed the status of:

- Reporting System: Q4 2016 Lobbyist (6) and Client (1) remaining to report. The SEI filings open March 15, 2017 and will prepopulate with 2016 information for those who filed in 2016. HB 2577 proposes changes that would require lobbyists to report issues they are lobbying on.
- Budget: 2015-2017 came in well under budget.
- Legislation: HB 2298 and 2299 and SB 43, 44 will be in public hearings scheduled 2/20/17 and 3/13/17.

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- Case Management System: Phase 1 of the CMS is done. Advice and case final dispositions are now available and searchable on line.
- Other:

New Commission member, Nathan Sosa, will be confirmed March 15. Search under way for replacing vacancies that will be left upon Kremer, Cover and Montoya's departures.

OGEC received the "Gold Star Award" for timely fiscal accounting.

A computer, sound board, and monitor will be installed in the Conference Room for remote participation.

SEI filings will open on March 15.

Chuck Tauman was presented with a plaque and words of thanks from Chair Golden for his years of service.

Chair Golden adjourned the meeting at 12:10 p.m.

The next scheduled meeting date of the Oregon Government Ethics Commission is set for Friday, April 21, 2017, at 9:00 a.m. The meeting will be held in the 2nd Floor Conference Room of the Morrow Crane Building at 3218 Pringle Rd SE, Suite 220, in Salem, Oregon.

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Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE, Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

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Website: www.oregon.gov/ogec

April 5, 2017

Carter Smith
610 SW Alder St., Ste 800
Portland OR 97205

Dear Mr. Smith:

The written explanation of why your Q4 lobbyist expenditure report was filed late has been received and will be submitted to the Oregon Government Ethics Commission (Commission) for consideration at a regular meeting. The next meeting will be held on Friday, April 21, 2017, at 9:00 a.m. The Commission will consider the matter at that time and then waive all, some, or no part of the penalty based on the explanation. Commission meetings are open to the public and you are welcome to attend. The meeting will be held in the Morrow Crane Building at 3218 Pringle Road, SE, Room 220, Salem, Oregon 97302.

The due date for the \$650 penalty will be extended to coincide with the April 21st meeting date. You will be notified of the outcome and will be given additional instructions regarding the penalty, if any, in writing after the meeting. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Commission Staff



Lobbyist Activity

Q4 2016

Lobbyist Code: 1139
User Name: csmith1
Email: csmith@thornrun.com

Q4 2016 Filing: 2/9/2017
Q4 2016 Expended: \$0.00
Q4 2016 Penalty: \$650.00

Carter Smith
610 SW Alder Street, Suite 800
Portland, OR 97205

Activity Log - Q4 2016 to Date

10/05/16 09:26:51.857 - User Successfully Authenticated -
10/05/16 09:27:45.550 - Lobbyist Report Submitted - Lobbyist Report Submitted for Q3 2016
10/31/16 12:37:33.743 - User Successfully Authenticated -
12/16/16 01:01:27.393 - User Successfully Authenticated -
12/19/16 02:31:39.417 - Lobbyist Client Registration Accepted - The lobbyist/client registration was accepted.
01/05/17 10:59:00.467 - User Successfully Authenticated -
01/09/17 08:04:53.067 - User Profile Created - User profile created for Carter Smith
01/09/17 08:05:04.633 - User Profile Created - A new user profile was created.
01/09/17 08:05:04.677 - Lobbyist Profile Created - A new lobbyist profile was created.
01/15/17 04:42:34.067 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/15/17 06:11:06.850 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 01:35:41.200 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 06:20:05.177 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/17/17 01:33:53.053 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/18/17 01:30:33.337 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/19/17 01:30:27.140 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/20/17 01:30:28.717 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/21/17 01:30:26.133 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/22/17 01:30:32.100 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/23/17 01:30:14.823 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/24/17 01:30:15.577 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/25/17 01:30:17.053 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/26/17 01:30:15.203 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/27/17 01:30:22.263 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/28/17 01:30:20.137 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/29/17 01:30:19.587 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/30/17 01:30:19.557 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/31/17 01:30:19.990 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/01/17 01:30:24.543 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/02/17 01:30:15.870 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/03/17 01:30:20.207 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/04/17 01:30:19.807 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/05/17 01:30:18.603 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/06/17 01:30:23.273 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/07/17 01:30:15.780 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/08/17 01:30:17.647 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/09/17 01:30:19.103 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/09/17 03:52:54.507 - User Successfully Authenticated -
02/09/17 04:15:45.397 - User Successfully Authenticated -
02/09/17 04:18:04.127 - Lobbyist Report Submitted - Lobbyist Report Submitted for Q4 2016
02/09/17 04:30:28.077 - User Successfully Authenticated -
02/09/17 08:25:02.500 - User Successfully Authenticated -
02/09/17 08:32:38.700 - User Successfully Authenticated -
02/10/17 12:23:30.123 - Lobbyist Client Registration Accepted - The lobbyist/client registration was accepted.
02/28/17 01:36:55.470 - User Successfully Authenticated -
03/03/17 11:03:14.550 - User Successfully Authenticated -
03/06/17 11:00:02.747 - User Successfully Authenticated -
03/28/17 07:18:48.040 - User Successfully Authenticated -
03/28/17 10:59:07.160 - User Successfully Authenticated -

Past Violations: NONE
Recommendation:

Letter dated
AD

KathyD April 5th, 2017 at 8:29 AM
2/27/2017 Letter of Explanation received.
4/5/2017 Letter of Acknowledgement sent.

Dear members of the Oregon Government
Ethics Commission,

I am writing to appeal my recent
accrual of \$650.00 in fines for 2016
Q4 reporting period. I have not been
receiving emails or notifications
regarding OGEC obligations or
other topics. I am currently an
intern Thorn Run Partners and began
working there in mid September. A
colleague, while terminating a client/lobbyist
relationship online, noticed the charges
on 2/9/17 and I immediately called an
OGEC administrator. In conversation,
I discovered there had been two accounts
set up under my name. The administrator
merged the accounts while we were on the phone
and I have since been receiving the email
notifications and look forward to meeting
the deadline of every future quarter
that I am registered. I hope you will
take these circumstances into consideration
and forgive the assessment of fines.

Thanks so much for your help,
Carter Smith

(

(

(



Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE, Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Website: www.oregon.gov/ogec

April 5, 2017

Holly Mercer
Dept of Geology and Mineral Industries
800 NE Oregon St. Ste 965
Portland OR 97232

Dear Ms. Mercer:

The written explanation of why the Q4 lobbyist expenditure report was filed late has been received and will be submitted to the Oregon Government Ethics Commission (Commission) for consideration at a regular meeting. The next meeting will be held on Friday, April 21, 2017, at 9:00 a.m. The Commission will consider the matter at that time and then waive all, some, or no part of the penalty based on the explanation. Commission meetings are open to the public and you are welcome to attend. The meeting will be held in the Morrow Crane Building at 3218 Pringle Road, SE, Room 220, Salem, Oregon 97302.

The due date for the \$1,700 penalty will be extended to coincide with the April 21st meeting date. You will be notified of the outcome and will be given additional instructions regarding the penalty, if any, in writing after the meeting. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Commission Staff



Lobbyist Activity

Q4 2016

Lobbyist Code: 938
User Name: HollyMercer
Email: holly.mercer@dogami.state.or.us

Q4 2016 Filing: 3/2/2017
Q4 2016 Expended: \$0.00
Q4 2016 Penalty: \$1,700.00

Holly Mercer
800 NE Oregon St. Ste 965
Portland, OR 972322162

Activity Log - Q4 2016 to Date

10/04/16 08:57:32.733 - User Failed to Authenticate -
10/04/16 08:57:42.353 - User Failed to Authenticate -
10/04/16 08:58:00.087 - User Failed to Authenticate -
10/04/16 08:58:13.783 - User Successfully Authenticated -
10/05/16 07:49:29.123 - User Successfully Authenticated -
10/05/16 07:51:25.663 - Lobbyist Report Submitted - Lobbyist Report Submitted for Q3 2016
01/15/17 04:42:34.020 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/15/17 06:11:05.477 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 01:35:30.547 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 06:20:04.270 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/17/17 01:33:47.173 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/18/17 01:30:32.540 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/19/17 01:30:26.797 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/20/17 01:30:27.797 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/21/17 01:30:25.683 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/22/17 01:30:31.347 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/23/17 01:30:14.667 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/24/17 01:30:15.313 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/25/17 01:30:16.523 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/26/17 01:30:14.937 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/27/17 01:30:22.030 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/28/17 01:30:19.543 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/29/17 01:30:19.353 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/30/17 01:30:19.103 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/31/17 01:30:19.773 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/01/17 01:30:24.107 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/02/17 01:30:15.760 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/03/17 01:30:19.970 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/04/17 01:30:19.433 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/05/17 01:30:18.417 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/06/17 01:30:22.803 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/07/17 01:30:15.330 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/08/17 01:30:17.133 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/09/17 01:30:18.637 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/10/17 01:30:20.470 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/11/17 01:30:17.137 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/12/17 01:30:12.370 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/13/17 01:30:12.533 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/14/17 01:30:11.453 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/15/17 01:30:16.797 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/16/17 01:30:19.443 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/17/17 01:30:18.670 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/18/17 01:30:19.233 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/19/17 01:30:13.207 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/20/17 01:30:15.820 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/21/17 01:30:12.200 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/22/17 01:30:13.920 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/23/17 01:30:17.110 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/24/17 01:30:12.413 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/25/17 01:30:20.630 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/26/17 01:30:17.250 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/27/17 01:30:15.500 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/28/17 01:30:12.247 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/01/17 01:30:12.710 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/02/17 01:30:12.460 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/02/17 06:48:01.417 - User Successfully Authenticated -

Lobbyist Activity

Q4 2016

Lobbyist Code: 938
User Name: HollyMercer
Email: holly.mercer@dogami.state.or.us

Q4 2016 Filing: 3/2/2017
Q4 2016 Expended: \$0.00
Q4 2016 Penalty: \$1,700.00

Holly Mercer
800 NE Oregon St. Ste 965
Portland, OR 972322162

03/02/17 06:58:10.207 - User Successfully Authenticated -
03/02/17 09:45:51.123 - User Successfully Authenticated -
03/02/17 09:48:42.180 - Lobbyist Report Submitted - Lobbyist Report Submitted for Q4 2016
03/08/17 01:40:34.707 - User Successfully Authenticated -

Past Violations: **NONE**
Recommendation:

KathyD April 5th, 2017 at 8:39 AM

3/09/2017 Letter of Explanation received.

4/5/2017 Letter of Acknowledgement sent.

KathyD March 2th, 2017 at 9:43 AM

3/2/17 Holly called and explained she is now back part-time with DOGOMI and sees in her email all the F to F notifications...much to her surprise as she terminated 10/4/17. I suggested she file today to stop the penalty accrual then submit a Letter of Explanation to the Commission.

RECEIVED

MAR 09 2017



Oregon

Kate Brown, Governor

Department of Geology and Mineral Industries

ETHICS COMMISSION Administrative Offices

800 NE Oregon Street, Suite 965

Portland, OR, 97232-2162

(971) 673-1555

(971) 673-1562

www.oregongeology.org

March 9, 2017

Oregon Government Ethics Commission
3218 Pringle Rd SE
Salem, OR 97302

Commissioners:

This letter is a request for reconsideration of a \$1700.00 penalty for failure to file a quarterly report.

Due to management changes at the Department of Geology and Mineral Industries (DOGAMI) in the summer of 2016, Brad Avy, Director/State Geologist of DOGAMI requested that in my role as Assistant Director, I assist with budget and policy development for the upcoming 2017 legislative session. Our previous legislative coordinator had been laid off in the spring and the agency needed my expertise in filling that gap until a new legislative coordinator could be assigned. As required, I completed the lobbyist registration on July 1, 2016. In late summer 2016, after eleven years of state service, I announced my retirement effective December 31, 2016. Subsequently a new legislative coordinator was assigned and I terminated my lobbyist role on October 4, 2016. Knowing that I needed to file a final report, I completed the third quarter report and filed it on October 5, 2016. Since I was retiring from state service and did not practice as a professional lobbyist, I did not believe that I would need to provide my personal email address to the Commission.

In February 2017, at the request of Director Avy, I returned to DOGAMI as a temporary worker effective March 1st. At that time, my previous DOGAMI email address was reinstated and I learned that I was being assessed daily penalties because I failed to file the fourth quarter report for the four days in October 2016 when I was registered as a lobbyist.

I do not dispute that I was registered as a lobbyist for four days in October 2016 and that those four days fell in the 4th quarter of 2016. I am requesting the Commission consider the circumstances related to the late filing of the report and waive the assessed penalty.

Thank you for your consideration and I would be happy to provide additional information or answer any questions.

Sincerely,

Holly Mercer
Policy Assistant
Cell: (503) 407-4356

Cc: Brad Avy, Director

Letter of Ed (with initials in a circle)

DANIEL Kathy * OGEC

From: MERCER Holly * DGMI
Sent: Thursday, March 09, 2017 12:56 PM
To: OGEC Mail * OGEC
Cc: DANIEL Kathy * OGEC; AVY Brad * DGMI
Subject: Request for Reconsideration
Attachments: OGEC Letter 03_09_2017.pdf

RECEIVED
MAR 09 2017
OREGON GOVERNMENT
ETHICS COMMISSION

Good afternoon Commissioners,

Attached is a letter requesting reconsideration of an assessed penalty for late reporting.

Last week, when I discovered that I was being assessed daily penalties for late reporting, I called the Commission office and spoke with Kathy Daniel. I was very impressed with Kathy's calm demeanor and her incredible patience in walking me through the process. I would personally like to thank Kathy for her outstanding customer service.

As I stated in the letter, please let me know if I may provide additional information.

Thanks,
Holly

Holly Mercer
Policy Assistant
Department of Geology and Mineral Industries
800 NE Oregon St. Ste 965
Portland, OR 97232-2162
Mobile: (503) 407-4356
Holly.MERCER@oregon.gov

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Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE, Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Website: www.oregon.gov/ogec

April 5, 2017

Portland Community College
Attn: Rob Wagner
CC 243
12000 SW 49th Ave.
Portland OR 97219

Dear Mr. Wagner:

The written explanation of why the Lobbyist and Client expenditure reports were filed late has been received and will be submitted to the Oregon Government Ethics Commission (Commission) for consideration at a regular meeting. The next meeting will be held on Friday, April 21, 2017, at 9:00 a.m. The Commission will consider the matter at that time and then waive all, some, or no part of the penalty based on the explanation. Commission meetings are open to the public and you are welcome to attend. The meeting will be held in the Morrow Crane Building at 3218 Pringle Road, SE, Room 220, Salem, Oregon 97302.

The due date for the penalties will be extended to coincide with the April 21st meeting date. You will be notified of the outcome and will be given additional instructions regarding the penalty, if any, in writing after the meeting. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Commission Staff



Lobbyist Activity

Q4 2016

Lobbyist Code: 579
User Name: robert.wagner3@pcc.edu
Email: robert.wagner3@pcc.edu

Robert Wagner
CC 243
Portland, OR 97219

Q4 2016 Filing: 1/18/2017
Q4 2016 Expended: \$0.00
Q4 2016 Penalty: \$30.00

Activity Log - Q4 2016 to Date

10/10/16 03:34:02.713 - User Successfully Authenticated -
10/10/16 03:35:45.700 - Lobbyist Report Submitted - Lobbyist Report Submitted for Q3 2016
10/10/16 03:37:16.977 - User Failed to Authenticate -
01/15/17 04:42:33.227 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/15/17 06:10:51.423 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 01:33:42.237 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 06:19:56.877 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/17/17 01:32:52.167 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/18/17 01:30:26.220 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/18/17 01:01:30.757 - User Successfully Authenticated -
01/18/17 01:02:23.323 - Lobbyist Report Submitted - Lobbyist Report Submitted for Q4 2016
01/19/17 10:43:48.220 - User Successfully Authenticated -
01/19/17 10:46:58.687 - User Successfully Authenticated -

KathyD April 5th, 2017 at 8:48 AM
3/14/2017 Letter of Explanation received.
4/5/2017 Letter of Acknowledgement sent.

Past Violations: NONE
Recommendation:

Written by Ed
(R)

KathyD January 25th, 2017 at 9:59 AM

1/24/17 Note: The Letter of Explanation said he's attaching \$70, however he did not as it was an email attachment.

KathyD January 25th, 2017 at 9:55 AM

1/24/17 Letter of Explanation received.
1/25/17 Letter of Acknowledgement sent.

RECEIVED

14 March 2017

Oregon Government Ethics Commission
3218 Pringle Rd. SE, Suite 220
Salem, OR 97302-1544

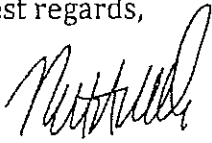
MAR 14 2017
OREGON GOVERNMENT
ETHICS COMMISSION

Dear OGEC,

Earlier this year I accrued \$70 in fines for late filing on quarterly ethics reporting. I would kindly ask for a one time excuse to wave this fee for the following reasons: first, I had an unfortunate staffing transition in my office, which left us short-staffed and without the institutional knowledge to process this request; second, as I work at Portland Community College, we lost several days to both college closure over the winter break and several more to the untimely weather in January. I was unable to access my secure passwords for logging into the OGEC website due to campus closure.

If you can't wave the fee, I understand.

Kindest regards,



Rob Wagner

Lobbyist
29 \$30
~~Client~~ \$40

HUNTER David * OGEC

From: Thomas Worth <thomas.worth@pcc.edu>
Sent: Tuesday, March 14, 2017 3:06 PM
To: HUNTER David * OGEC
Subject: Re: Portland Community College Letter
Attachments: PCC OGEC Letter.pdf

Hello David,

We were actually told not to pay the fee. Sorry for the confusion. Attached is an updated letter.

Please let me know if there's anything else I need to do.

Thank you,
Thomas

Thomas Worth
Interim Executive Assistant
PCC College Advancement
thomas.worth@pcc.edu
w. 971.722.4378
c. 541.806.6610
(preferred gender pronouns: he/him/his)

On Tue, Mar 14, 2017 at 2:44 PM, HUNTER David * OGEC <David.HUNTER@oregon.gov> wrote:

Mr. Worth,

The next Commission meeting is April 21st. As I review your letter of explanation, you mention a remittance of \$70 for the late filing penalty.

I don't think we received the \$70 in the first place.

So if you could please re-word your letter of explanation and send that in, email is fine, then it would be easier for the Commission to understand and review your request.

Best Regards...

David R Hunter

Oregon Government Ethics Commission

3218 Pringle Rd SE STE 220

Salem OR 97302-1544



Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE, Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Website: www.oregon.gov/ogec

April 5, 2017

Jeff Heatherington
825 NE Multnomah St, Ste 1400
Portland OR 97232

Dear Mr. Heatherington:

The written explanation of why the Q4 lobbyist expenditure report for Heather Raeburn was filed late has been received and will be submitted to the Oregon Government Ethics Commission (Commission) for consideration at a regular meeting. The next meeting will be held on Friday, April 21, 2017, at 9:00 a.m. The Commission will consider the matter at that time and then waive all, some, or no part of the penalty based on the explanation. Commission meetings are open to the public and you are welcome to attend. The meeting will be held in the Morrow Crane Building at 3218 Pringle Road, SE, Room 220, Salem, Oregon 97302.

The due date for the \$3,350 penalty will be extended to coincide with the April 21st meeting date. You will be notified of the outcome and will be given additional instructions regarding the penalty, if any, in writing after the meeting. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Commission Staff



Lobbyist Activity

Q4 2016

Lobbyist Code: 164
User Name: Heather Raeburn
Email: heatherr@familycareinc.org

Q4 2016 Filing: 4/4/2017
Q4 2016 Expended: \$0.00
Q4 2016 Penalty: \$3,350.00

Heather Raeburn
825 NE Multnomah St Suite 1400
Portland, OR 97232

Activity Log - Q4 2016 to Date

10/13/16 01:09:17.373 - User Successfully Authenticated -
10/13/16 01:15:50.863 - Lobbyist Report Submitted - Lobbyist Report Submitted for Q3 2016
10/26/16 11:02:29.123 - User Successfully Authenticated -
01/15/17 04:42:32.540 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/15/17 06:10:37.203 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 01:31:20.680 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 06:19:47.487 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/17/17 01:31:29.957 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/18/17 01:30:21.767 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/19/17 01:30:19.730 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/20/17 01:30:20.607 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/21/17 01:30:20.473 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/22/17 01:30:25.287 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/23/17 01:30:12.967 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/24/17 01:30:12.960 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/25/17 01:30:13.327 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/26/17 01:30:16.483 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/27/17 01:30:20.623 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/28/17 01:30:16.220 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/29/17 01:30:17.783 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/30/17 01:30:16.483 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/31/17 01:30:18.387 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/01/17 01:30:21.453 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/02/17 01:30:14.357 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/03/17 01:30:18.737 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/04/17 01:30:18.127 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/05/17 01:30:16.157 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/06/17 01:30:19.290 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/07/17 01:30:12.537 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/08/17 01:30:14.357 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/09/17 01:30:15.630 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/10/17 01:30:17.710 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/11/17 01:30:15.407 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/12/17 01:30:10.810 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/13/17 01:30:11.503 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/14/17 01:30:09.863 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/15/17 01:30:14.007 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/16/17 01:30:17.083 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/17/17 01:30:16.300 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/18/17 01:30:16.033 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/19/17 01:30:11.183 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/20/17 01:30:12.683 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/21/17 01:30:10.670 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/22/17 01:30:11.190 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/23/17 01:30:16.097 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/24/17 01:30:10.747 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/25/17 01:30:17.603 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/26/17 01:30:14.710 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/27/17 01:30:14.440 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/28/17 01:30:10.550 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/01/17 01:30:10.880 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/02/17 01:30:09.763 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/03/17 01:30:09.567 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/04/17 01:30:21.403 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/05/17 01:30:09.953 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/06/17 01:30:10.100 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4

Lobbyist Activity

Q4 2016

Lobbyist Code: 164
User Name: Heather Raeburn
Email: heatherr@familycareinc.org

Q4 2016 Filing: 4/4/2017
Q4 2016 Expended: \$0.00
Q4 2016 Penalty: \$3,350.00

Heather Raeburn
825 NE Multnomah St Suite 1400
Portland, OR 97232

03/07/17 01:30:10.673 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/08/17 01:30:10.873 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/09/17 01:30:12.083 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/10/17 01:30:10.807 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/11/17 01:30:11.297 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/12/17 01:30:13.013 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/13/17 01:30:10.990 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/14/17 01:30:10.970 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/15/17 01:30:10.463 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/16/17 01:30:11.317 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/17/17 01:30:15.707 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/18/17 01:30:38.793 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/19/17 01:30:11.410 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/20/17 01:30:14.247 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/21/17 01:30:11.357 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/22/17 01:30:10.997 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/23/17 01:30:11.947 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/24/17 01:30:20.000 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/25/17 01:30:14.870 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/26/17 01:30:09.140 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/27/17 01:30:12.490 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/28/17 01:30:09.460 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/29/17 01:30:11.150 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/30/17 01:30:10.027 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/31/17 01:30:10.203 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
04/01/17 01:46:14.083 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
04/02/17 01:30:11.803 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
04/03/17 01:30:11.830 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
04/04/17 01:30:10.143 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
04/04/17 10:33:54.570 - Lobbyist Report Submitted - Lobbyist Report Submitted for Q4 2016

Past Violations: NONE
Recommendation: /

Letter of Explanation
(Signature)

KathyD April 5th, 2017 at 9:15 AM
4/04/2017 Letter of Explanation received.
4/5/2017 Letter of Acknowledgement sent.

KathyD April 4th, 2017 at 10:38 AM

4/4/2017 Report filed with assistance from KD. Lobbyist termed 10/26/17. Heatherington told to send in letter of explanation.

DANIEL Kathy * OGEC

From: Jeff Heatherington <JeffH@familycareinc.org>
Sent: Tuesday, April 04, 2017 11:53 AM
To: DANIEL Kathy * OGEC
Cc: Lisa Jones
Subject: OGEC Penalties

RECEIVED

APR 04 2017

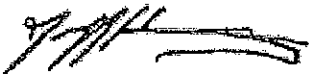
OREGON GOVERNMENT
ETHICS COMMISSION

Dear Oregon Government Ethics Commission,

It came to my attention today FamilyCare has been accruing penalties associated with failing to file a 2016 fourth quarter report for a former employee. Heather Raeburn terminated employment with FamilyCare on 10/26/16. I just learned we should have filed a report for her from 10/1/16 – 10/26 and because we failed to do so, have accumulated penalties of approximately \$3,000.00. I am writing to ask for a waiver of these penalties. I understand it is our responsibility for file quarterly reports for our lobbyists and will pay closer attention to making sure reports are filed for terminated employees in the future.

Thank you for your consideration in waiving these penalties. It is very much appreciated.

Sincerely,



Jeff Heatherington
President & CEO
825 NE Multnomah St., Suite 1400
Portland, OR 97232
Phone 503-471-2102
[Facebook](#) | [Twitter](#) | [App](#)



This message is intended for the sole use of the individual and entity to which it is addressed and may contain information that is privileged, confidential and exempt from disclosure under applicable law. If you are not the intended addressee, nor authorized to receive for the intended addressee, you are hereby notified that you may not use, copy, disclose or distribute to anyone the message or any information contained in the message. If you have received this message in error, please immediately advise the sender by reply email and delete the message. Thank you.

DANIEL Kathy * OGEC

From: Lisa Jones <LisaJ@familycareinc.org>
Sent: Tuesday, April 04, 2017 11:55 AM
To: DANIEL Kathy * OGEC
Subject: Letter to OGEC

RECEIVED

APR 04 2017

OREGON GOVERNMENT
ETHICS COMMISSION

Hi Kathy,

We just sent the letter requesting a waiver of the penalties. Please let me know if there is anything further we need to do.

Thank you very much for all of your assistance.

Lisa

Lisa Jones
Executive Office Administrator
& Assistant Corporate Secretary
825 NE Multnomah St., Suite 1400
Portland, OR 97232
Phone 503-471-2103
[Facebook](#) | [Twitter](#) | [App](#)



FamilyCare
Health



This message is intended for the sole use of the individual and entity to which it is addressed and may contain information that is privileged, confidential and exempt from disclosure under applicable law. If you are not the intended addressee, nor authorized to receive for the intended addressee, you are hereby notified that you may not use, copy, disclose or distribute to anyone the message or any information contained in the message. If you have received this message in error, please immediately advise the sender by reply email and delete the message. Thank you.

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Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE, Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Website: www.oregon.gov/ogec

April 5, 2017

Confederated Tribes of the Umatilla Indian Reservation

Attn: Jane Hill

46411 Timine Way

Pendleton OR 97801

Dear Ms. Hill,

The written explanation of why the Client expenditure report was filed late has been received and will be submitted to the Oregon Government Ethics Commission (Commission) for consideration at a regular meeting. The next meeting will be held on Friday, April 21, 2017, at 9:00 a.m. The Commission will consider the matter at that time and then waive all, some, or no part of the penalty based on the explanation. Commission meetings are open to the public and you are welcome to attend. The meeting will be held in the Morrow Crane Building at 3218 Pringle Road, SE, Room 220, Salem, Oregon 97302.

The due date for the penalties will be extended to coincide with the April 21st meeting date. You will be notified of the outcome and will be given additional instructions regarding the penalty, if any, in writing after the meeting. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Commission Staff



Client/Employer Activity

Q4 2016

Client Code:	360	Q4 2016 Filing:	1/16/2017
User Name:	CTUIR	Q4 2016 Expended:	\$14,051.26
Email:	janehill@ctuir.org	Q4 2016 Penalty:	\$10.00

Confederated Tribes of the Umatilla Indian Reservation
Attn: Mary Hill
46411 Timine Way
Pendleton, OR 97801

Activity Log - Q4 2016 to Date

10/05/16 08:25:40.807 - User Successfully Authenticated -
10/05/16 12:17:03.767 - User Successfully Authenticated -
10/05/16 03:02:53.630 - User Successfully Authenticated -
10/05/16 03:12:09.250 - Client Report Submitted - Client Report Submitted for Q3 2016
10/05/16 03:16:56.000 - Client Report Submitted - Client Report Submitted for Q2 2016
10/05/16 03:33:16.017 - User Profile Updated - The user's main profile was updated.
10/05/16 03:33:18.140 - User Profile Updated - User profile updated for Charles Sams
10/05/16 03:33:53.627 - User Profile Updated - User profile updated for Mary Hill
10/05/16 03:33:58.823 - User Profile Updated - The user's main profile was updated.
10/05/16 03:34:21.387 - Admin User Reset Initiated - An admin user reset was initiated.
10/05/16 03:36:04.650 - Admin User Password Reset Completed - A user reset their password using an admin reset.
10/05/16 03:36:14.710 - User Successfully Authenticated -
10/05/16 03:36:55.690 - User Profile Updated - The user's main profile was updated.
10/05/16 03:36:57.820 - User Profile Updated - User profile updated for Mary Hill
10/10/16 02:55:08.323 - User Failed to Authenticate -
10/10/16 02:55:18.860 - User Successfully Authenticated -
01/15/17 04:42:35.313 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/15/17 06:11:22.040 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 01:36:43.697 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 10:56:08.997 - User Successfully Authenticated -
01/16/17 11:06:35.860 - Client Report Submitted - Client Report Submitted for Q4 2016
01/17/17 01:35:24.187 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/17/17 08:26:59.047 - User Successfully Authenticated -
03/07/17 10:12:51.703 - User Successfully Authenticated -

Past Violations: **NONE**

Recommendation:

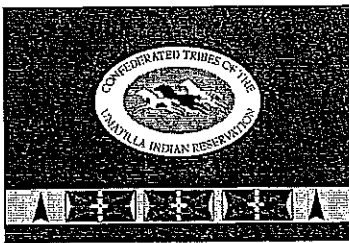
KathyD April 5th, 2017 at 8:36 AM
3/07/2017 Letter of Explanation received.
4/5/2017 Letter of Acknowledgement sent.

KathyD October 5th, 2016 at 3:35 PM

10/5/16 Jane Hill called to change contact info from Sams to herself. I sent her password reset.

Confederated Tribes *of the*
Umatilla Indian Reservation

Communications Office



46411 Timine Way
Pendleton, OR 97801

www.ctuir.org
Phone 541-429-7010

email: info@ctuir.org
Fax: 541-429-7010

March 6, 2017

Ron Bersin
Executive Director
Oregon Government Ethics Commission
3218 Pringle Road SE, Room 220
Salem, Oregon 97302-1544

Dear Mr. Bersin & Commissioners:

I am writing to request a waiver of the \$10 fee that was assessed for the filing of our lobbyist client/employer report with confirmation number HT2B44T.

Thank you for your consideration.

Best regards,

Jane Hill
Interim Communications Director

RECEIVED
MAR 07 2017
OREGON GOVERNMENT
ETHICS COMMISSION

HUNTER David * OGEC

From: Jane Hill <JaneHill@ctuir.org>
Sent: Tuesday, March 07, 2017 10:52 AM
To: OGEC Mail * OGEC
Subject: Letter to Executive Director & Commissioners
Attachments: Waiver request 3.6.17.docx

Follow Up Flag: Follow up
Flag Status: Flagged

Attached you will find a letter requesting a waiver for a fee assessed to the CTUIR account.

Thank you for your consideration.

Jane

Jane Hill
Legislative Affairs Manager & Interim Communications Director
Confederated Tribes of the Umatilla Indian Reservation
46411 Timine Way
Pendleton, Oregon 97801
541-429-7392 (o)
541-215-2895 (c)
janehill@ctuir.org
www.ctuir.org



Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE, Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Website: www.oregon.gov/ogec

April 5, 2017

Lane County Medical Society
Attn: Marshall Wilde
990 W. 7th Ave.
Eugene OR 97402

Dear Mr. Wilde:

The written explanation of why the Client expenditure report was filed late has been received and will be submitted to the Oregon Government Ethics Commission (Commission) for consideration at a regular meeting. The next meeting will be held on Friday, April 21, 2017, at 9:00 a.m. The Commission will consider the matter at that time and then waive all, some, or no part of the penalty based on the explanation. Commission meetings are open to the public and you are welcome to attend. The meeting will be held in the Morrow Crane Building at 3218 Pringle Road, SE, Room 220, Salem, Oregon 97302.

The due date for the penalties will be extended to coincide with the April 21st meeting date. You will be notified of the outcome and will be given additional instructions regarding the penalty, if any, in writing after the meeting. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Commission Staff



Client/Employer Activity

Q4 2016

Client Code: 1310
User Name: executivedirector@lcmcdsociety.com
Email: info@lcmcdsociety.com

Q4 2016 Filing: 4/4/2017
Q4 2016 Expended: \$0.00
Q4 2016 Penalty: \$3,350.00

Lane County Medical Society
Attn: Marshall Wilde
990 W 7th Ave
Eugene, OR 97402

Activity Log - Q4 2016 to Date

12/22/16 10:14:07.710 - User Profile Created - User profile created for Marshall Wilde
12/22/16 10:14:15.570 - User Profile Created - A new user profile was created.
12/22/16 10:14:15.750 - Client Profile Created - The client profile was created.
01/15/17 04:42:37.077 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/15/17 06:11:58.307 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 01:40:20.890 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 06:20:35.417 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/17/17 01:40:18.180 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/18/17 01:30:57.787 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/19/17 01:30:39.120 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/20/17 01:30:42.443 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/21/17 01:30:34.257 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/22/17 01:30:42.213 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/23/17 01:30:17.207 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/24/17 01:30:25.970 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/25/17 01:30:22.943 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/26/17 01:30:17.520 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/27/17 01:30:24.603 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/28/17 01:30:25.970 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/29/17 01:30:21.720 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/30/17 01:30:23.783 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/31/17 01:30:22.093 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/01/17 01:30:25.970 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/02/17 01:30:16.960 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/03/17 01:30:21.627 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/04/17 01:30:21.410 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/05/17 01:30:20.007 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/06/17 01:30:26.257 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/07/17 01:30:17.997 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/08/17 01:30:19.783 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/09/17 01:30:21.020 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/10/17 01:30:22.260 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/11/17 01:30:17.887 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/12/17 01:30:13.070 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/13/17 01:30:13.327 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/14/17 01:30:12.157 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/15/17 01:30:17.967 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/16/17 01:30:20.710 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/17/17 01:30:20.043 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/18/17 01:30:20.857 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/19/17 01:30:14.000 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/20/17 01:30:17.393 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/21/17 01:30:12.917 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/22/17 01:30:15.557 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/23/17 01:30:17.780 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/24/17 01:30:13.117 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/25/17 01:30:21.453 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/26/17 01:30:18.623 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/27/17 01:30:16.030 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/28/17 01:30:12.947 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/01/17 01:30:13.390 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/02/17 01:30:13.710 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/03/17 01:30:11.597 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/04/17 01:30:31.980 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/05/17 01:30:12.090 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4

Client/Employer Activity

Q4 2016

Client Code: 1310
User Name: executivedirector@lcmedsociety.com
Email: info@lcmedsociety.com

Q4 2016 Filing: 4/4/2017
Q4 2016 Expended: \$0.00
Q4 2016 Penalty: \$3,350.00

Lane County Medical Society
Attn: Marshall Wilde
990 W 7th Ave
Eugene, OR 97402

03/06/17 01:30:12.127 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/07/17 01:30:14.010 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/08/17 01:30:13.230 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/09/17 01:30:14.463 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/10/17 01:30:13.020 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/11/17 01:30:15.927 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/12/17 01:30:15.430 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/13/17 01:30:13.280 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/14/17 01:30:13.137 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/15/17 01:30:14.317 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/16/17 01:30:14.737 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/17/17 01:30:13.707 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/18/17 01:30:41.057 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/19/17 01:30:15.620 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/20/17 01:30:18.203 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/21/17 01:30:13.103 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/22/17 01:30:12.953 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/23/17 01:30:16.123 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/24/17 01:30:22.353 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/25/17 01:30:33.743 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/26/17 01:30:11.103 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/27/17 01:30:16.873 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/28/17 01:30:11.533 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/29/17 01:30:15.203 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/30/17 01:30:12.423 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/31/17 01:30:12.587 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
04/01/17 01:46:16.217 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
04/02/17 01:30:33.050 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
04/03/17 01:30:14.443 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
04/04/17 01:30:14.790 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
04/04/17 01:08:01.097 - User Failed to Authenticate -
04/04/17 01:11:04.740 - User Failed to Authenticate -
04/04/17 01:20:01.363 - User Successfully Authenticated -
04/04/17 01:23:03.457 - Client Report Submitted - Client Report Submitted for Q4 2016
04/04/17 01:23:54.483 - Client Report Submitted - Client Report Submitted for Q1 2017
04/04/17 02:19:15.037 - User Failed to Authenticate -
04/04/17 02:19:24.443 - User Successfully Authenticated -
04/04/17 02:35:36.367 - User Successfully Authenticated -
04/04/17 02:36:29.430 - Client Report Submitted - Client Report Submitted for Q4 2016
04/05/17 09:19:10.013 - User Profile Updated - User profile updated for Marshall Wilde
04/05/17 09:19:19.900 - User Profile Updated - The user's main profile was updated.

Past Violations: NONE

Recommendation: *Letter of Exp*

KathyD April 4th, 2017 at 1:53 PM

4/4/2017 Mr Wilde emailed with questions as to why he continues to received late filing penalties. In researching his accounts, I see he filed timely for his lobbyist account but did not file for Client. I suggested he file today for the past two quarters, which he did, then send in a Letter of Explanation.

4/4/2017 L of Exp received and will go to the 4/21/17 Commission meeting.

RECEIVED

APR 04 2017

OREGON GOVERNMENT
ETHICS COMMISSION

Lane County Medical Society

990 West 7th Avenue, Eugene, OR 97402
(541) 686-0995 || (541) 687-1554

April 4, 2017

Oregon Government Ethics Commission
3218 Pringle Rd. SE, Suite 220
Salem, OR 97302-1544

RE: Lobbying Penalties

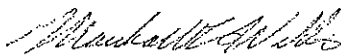
Dear OGEC:

Please accept my humble apologies for my errors in filing my lobbyist reports. We are a small professional association new to lobbying in late 2016. In essence, I am the sole lobbyist, and my compensation for those activities I estimate to be about \$1,000 per month, exclusively on the behalf of my employer, the Lane County Medical Society, a 501(c)(6) nonprofit. We have not incurred any other sort of expenses for lobbying.

As you can see from the history, I filed a lobbyist report as soon as it was available for Q4 2016. I did not file an employer report, misunderstanding the requirement. I received a response for my lobbyist report, as well as OGEC's repeated notices that there was a problem with the system for Q4 2016 and we should ignore warning notices about failure to file. Unfortunately, this caused me to fail to notice the requirement to file as an employer as well. When I received a new notice in Q1 2017, I became concerned again and inquired of the OGEC staff. When I was informed of the requirement, I promptly filed.

My sincere apologies for the confusion. In light of the innocent nature of our error, our nonprofit status, and the complication of the OGEC computer system error, I hope that OGEC can see its way clear to waiving the accumulated penalties.

Sincerely,



Marshall L. Wilde
Executive Director



Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE, Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Website: www.oregon.gov/ogec

April 5, 2017

Secretary of State
Attn: Eric Jorgensen
900 Court St. NE, Room 136
Salem OR 97301

Dear Mr. Jorgensen:

The written explanation of why the Client expenditure report was filed late has been received and will be submitted to the Oregon Government Ethics Commission (Commission) for consideration at a regular meeting. The next meeting will be held on Friday, April 21, 2017, at 9:00 a.m. The Commission will consider the matter at that time and then waive all, some, or no part of the penalty based on the explanation. Commission meetings are open to the public and you are welcome to attend. The meeting will be held in the Morrow Crane Building at 3218 Pringle Road, SE, Room 220, Salem, Oregon 97302.

The due date for the penalties will be extended to coincide with the April 21st meeting date. You will be notified of the outcome and will be given additional instructions regarding the penalty, if any, in writing after the meeting. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Commission Staff



Client/Employer Activity

Q4 2016

Client Code: 1112
User Name: oregonos
Email: eric.jorgensen@state.or.us

Q4 2016 Filing: 1/31/2017
Q4 2016 Expended: \$1,657.11
Q4 2016 Penalty: \$200.00

Secretary of State
Attn: Dennis Richardson
900 Court Street
Salem, OR 97301

Activity Log - Q4 2016 to Date

10/05/16 10:55:37.380 - User Successfully Authenticated -
10/14/16 10:20:35.670 - User Successfully Authenticated -
10/14/16 10:38:33.340 - Client Report Submitted - Client Report Submitted for Q3 2016
01/04/17 11:27:24.860 - User Successfully Authenticated -
01/09/17 02:17:56.860 - User Profile Updated - User profile updated for Dennis Richardson
01/09/17 02:18:04.913 - User Profile Updated - The user's main profile was updated.
01/09/17 02:19:48.410 - Admin User Reset Initiated - An admin user reset was initiated.
01/09/17 02:19:55.227 - Admin User Reset Initiated - An admin user reset was initiated.
01/13/17 03:54:15.940 - User Profile Updated - The user's main profile was updated.
01/13/17 03:54:24.753 - User Profile Updated - User profile updated for Dennis Richardson
01/13/17 04:08:22.013 - User Failed to Authenticate -
01/13/17 04:10:41.050 - Admin User Reset Initiated - An admin user reset was initiated.
01/13/17 04:12:52.027 - Admin User Password Reset Completed - A user reset their password using an admin reset.
01/13/17 04:13:04.170 - User Successfully Authenticated -
01/15/17 04:42:36.717 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/15/17 06:11:50.957 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 01:39:52.713 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 06:20:30.707 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/17/17 01:39:34.383 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/17/17 01:23:09.537 - User Failed to Authenticate -
01/17/17 01:33:07.083 - User Failed to Authenticate -
01/18/17 01:30:53.613 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/19/17 01:30:36.047 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/20/17 01:30:39.620 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/21/17 01:30:32.293 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/22/17 01:30:40.363 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/23/17 01:30:16.490 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/23/17 08:11:20.130 - Admin User Reset Initiated - An admin user reset was initiated.
01/24/17 01:30:18.197 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/25/17 01:30:21.477 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/26/17 01:30:16.897 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/26/17 08:48:57.437 - Admin User Reset Initiated - An admin user reset was initiated.
01/26/17 08:51:49.267 - Admin User Password Reset Completed - A user reset their password using an admin reset.
01/26/17 08:52:08.763 - User Successfully Authenticated -
01/26/17 08:52:35.190 - User Profile Updated - User profile updated for Dennis Richardson
01/26/17 08:52:44.303 - User Profile Updated - The user's main profile was updated.
01/26/17 10:48:56.660 - User Successfully Authenticated -
01/27/17 01:30:24.133 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/28/17 01:30:24.630 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/29/17 01:30:21.237 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/30/17 01:30:22.830 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/30/17 10:50:56.187 - User Successfully Authenticated -
01/31/17 01:30:21.627 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
01/31/17 04:49:37.093 - User Successfully Authenticated -
01/31/17 04:57:57.093 - Client Report Saved - Client Report Saved for Q4 2016
01/31/17 04:58:40.687 - Client Report Submitted - Client Report Submitted for Q4 2016
03/14/17 10:37:34.330 - User Successfully Authenticated -
03/14/17 10:54:27.333 - User Successfully Authenticated -
03/29/17 10:35:11.090 - User Successfully Authenticated -

Past Violations: **NONE**

Recommendation:

Letter of Ed
ED

KathyD *April 5th, 2017 at 8:46 AM*
3/14/2017 Letter of Explanation received.
4/5/2017 Letter of Acknowledgement sent.

KathyD *January 31th, 2017 at 9:29 AM*

1/31/16 Laura Hutchings called (she's the one I spoke with earlier from the last administration) and I directed her to send the information that should be reported on the Q4 Expenditure Report to Eric Jorgensen. I told her that once the report is filed, then the Commission can review the mitigation.

KathyD *January 20th, 2017 at 9:53 AM*

1/20/17 Email from Eric wondering why they are receiving late filing notices. I spoke a few days ago to someone in SOS office regarding this as well and she asked me how they would do this as the Richardson administration just took over in Jan 2017. I told her that having an active lobbyist in Q4 2016 for SOS office requires a filing and they need to file.

KathyD *January 17th, 2017 at 11:56 AM*

1/13/17 Spoke with Eric and he requested Dennis Richardson's name be the contact. I changed it and then sent a password reset for the account.

RECEIVED
MAR 14 2017
OREGON GOVERNMENT
ETHICS COMMISSION

March 14, 2017

Oregon Government Ethics Commission
Re: Quarterly Report Filing Penalty

Dear Commissioners,

I thank you for the opportunity to explain the reasons as to why we were late in our 4th Quarter 2016 quarterly report filings. I am hopeful that once it is clear as to why this happened, you will agree that removing the penalty is the appropriate course of action.

When we began receiving notifications informing us we needed to file a quarterly report, we were new to the Secretary of State's office and didn't have any employees from our staff that had worked in the office during the 4th quarter of 2016 and didn't think it was applicable.

We continued receiving the notifications and then I received a generic email informing us that there was a computer glitch and to ignore the penalty notification emails.

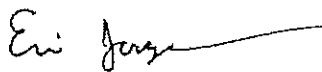
A couple days later I spoke with someone from the OGEC that informed me that we did need to fill out the 4th quarter report, but it took us a few days to get the password reset issue resolved, because we didn't have access to the email address where the password reset emails were being sent.

Once we finally were able to login, we saw the two names of SOS staff from the previous administration that we needed to report on, and so I reached out to Laura Hutchings, former Executive Assistant for Sec. Atkins. Laura provided me with an update on the lobbyist actions of the two former employees, one of which was no longer with the SOS Office 4th quarter of 2016. We then were able to file accurate information for the 4th quarter filing report.

It was a perfect storm of misunderstanding, miscommunication, and mishap that delayed our completion of the 4th quarter report, and had nothing to do with a lack of desire for transparency nor a lackadaisical attitude toward OGEC.

We are very committed to the mission of OGEC and will be prompt in all of our filings from here on out.

Thank you again for your understanding and patience.



Eric Jorgensen
Special Assistant to the Secretary of State



Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE, Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Website: www.oregon.gov/ogec

April 5, 2017

Portland Community College
Attn: Rob Wagner
CC 243
12000 SW 49th Ave.
Portland OR 97219.

Dear Mr. Wagner:

The written explanation of why the Lobbyist and Client expenditure reports were filed late has been received and will be submitted to the Oregon Government Ethics Commission (Commission) for consideration at a regular meeting. The next meeting will be held on Friday, April 21, 2017, at 9:00 a.m. The Commission will consider the matter at that time and then waive all, some, or no part of the penalty based on the explanation. Commission meetings are open to the public and you are welcome to attend. The meeting will be held in the Morrow Crane Building at 3218 Pringle Road, SE, Room 220, Salem, Oregon 97302.

The due date for the penalties will be extended to coincide with the April 21st meeting date. You will be notified of the outcome and will be given additional instructions regarding the penalty, if any, in writing after the meeting. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Commission Staff



Client/Employer Activity

Q4 2016

Client Code: 1196
User Name: robert.wagner3
Email: robert.wagner3@pcc.edu

Q4 2016 Filing: 1/19/2017
Q4 2016 Expended: \$0.00
Q4 2016 Penalty: \$40.00

Portland Community College
Attn: Rob Wagner
CC 243
Portland, OR 97219

Activity Log - Q4 2016 to Date

10/10/16 03:37:26.187 - User Failed to Authenticate -
10/10/16 03:37:48.670 - User Successfully Authenticated -
10/10/16 03:38:38.530 - Client Report Submitted - Client Report Submitted for Q3 2016
01/15/17 04:42:36.887 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/15/17 06:11:54.127 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 01:40:06.317 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 06:20:31.520 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/17/17 01:39:56.833 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/18/17 01:30:54.313 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/18/17 01:03:54.223 - User Successfully Authenticated -
01/19/17 01:30:36.483 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/19/17 10:44:53.477 - User Successfully Authenticated -
01/19/17 10:45:34.627 - Client Report Submitted - Client Report Submitted for Q4 2016
01/23/17 11:24:33.673 - User Successfully Authenticated -
01/23/17 11:26:00.907 - User Profile Updated - The user's main profile was updated.
01/23/17 11:26:05.140 - User Profile Updated - User profile updated for Rob Wagner
01/23/17 11:35:04.713 - Lobbyist Client Registration Updated - The lobbyist/client registration was updated by an administrator.
01/23/17 11:38:44.153 - Lobbyist Client Registration Updated - The lobbyist/client registration was updated by an administrator.

KathyD April 5th, 2017 at 9:03 AM

4/4/2017 Letter of Explanation received.

4/5/2017 Letter of Acknowledgement sent.

Past Violations: **NONE**

Recommendation:

Kathy D
4/5/17

RECEIVED

MAR 14 2017

OREGON GOVERNMENT
ETHICS COMMISSION

14 March 2017

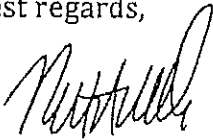
Oregon Government Ethics Commission
3218 Pringle Rd. SE, Suite 220
Salem, OR 97302-1544

Dear OGEC,

Earlier this year I accrued \$70 in fines for late filing on quarterly ethics reporting. I would kindly ask for a one time excuse to wave this fee for the following reasons: first, I had an unfortunate staffing transition in my office, which left us short-staffed and without the institutional knowledge to process this request; second, as I work at Portland Community College, we lost several days to both college closure over the winter break and several more to the untimely weather in January. I was unable to access my secure passwords for logging into the OGEC website due to campus closure.

If you can't wave the fee, I understand.

Kindest regards,



Rob Wagner

HUNTER David * OGEC

From: Thomas Worth <thomas.worth@pcc.edu>
Sent: Tuesday, March 14, 2017 3:06 PM
To: HUNTER David * OGEC
Subject: Re: Portland Community College Letter
Attachments: PCC OGEC Letter.pdf

Hello David,

We were actually told not to pay the fee. Sorry for the confusion. Attached is an updated letter.

Please let me know if there's anything else I need to do.

Thank you,
Thomas

Thomas Worth
Interim Executive Assistant
PCC College Advancement
thomas.worth@pcc.edu
w. 971.722.4378
c. 541.806.6610
(preferred gender pronouns: he/him/his)

On Tue, Mar 14, 2017 at 2:44 PM, HUNTER David * OGEC <David.HUNTER@oregon.gov> wrote:

Mr. Worth,

The next Commission meeting is April 21st. As I review your letter of explanation, you mention a remittance of \$70 for the late filing penalty.

I don't think we received the \$70 in the first place.

So if you could please re-word your letter of explanation and send that in, email is fine, then it would be easier for the Commission to understand and review your request.

Best Regards...

David R Hunter

Oregon Government Ethics Commission

3218 Pringle Rd SE STE 220

Salem OR 97302-1544

Direct 503-378-5105

Fax 503-373-1456

From: Thomas Worth [mailto:thomas.worth@pcc.edu]
Sent: Tuesday, March 14, 2017 1:51 PM
To: HUNTER David * OGEC <David.HUNTER@oregon.gov>
Subject: Re: Portland Community College Letter

Good afternoon David,

I just wanted to reach out to see if a decision had been made on Rob Wagner's fines for late filing of the quarterly report in January.

All the best,

Thomas

Thomas Worth

Interim Executive Assistant
PCC College Advancement

thomas.worth@pcc.edu

w. 971.722.4378

c. 541.806.6610

(preferred gender pronouns: he/him/his)

On Tue, Jan 24, 2017 at 3:44 PM, Thomas Worth <thomas.worth@pcc.edu> wrote:

Hello David,

Thank you for explaining the fine waiver process to me earlier. Attached is the letter from Rob Wagner from PCC.

Many thanks,

Thomas Worth

Executive Assistant
PCC College Advancement

thomas.worth@pcc.edu

w. 971.722.4378

c. 541.806.6610

(preferred gender pronouns: he/him/his)



Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE, Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Website: www.oregon.gov/ogec

April 10, 2017

Oregon Council of Presidents, WOU
Attn: Dana Richardson
345 N. Monmouth Ave, Admin Bldg #202
Monmouth OR 97361

Dear Ms. Richardson:

The written explanation of why the Q4 Client expenditure report for Western Oregon University was filed late has been received and will be submitted to the Oregon Government Ethics Commission (Commission) for consideration at a regular meeting. The next meeting will be held on Friday, April 21, 2017, at 9:00 a.m. The Commission will consider the matter at that time and then waive all, some, or no part of the penalty based on the explanation. Commission meetings are open to the public and you are welcome to attend. The meeting will be held in the Morrow Crane Building at 3218 Pringle Road, SE, Room 220, Salem, Oregon 97302.

The due date for the \$3,050 penalty will be extended to coincide with the April 21st meeting date. You will be notified of the outcome and will be given additional instructions regarding the penalty, if any, in writing after the meeting. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Commission Staff



Client/Employer Activity

Q4 2016

Client Code: 1314
User Name: RicharDdExecDir
Email: richardsond@wou.edu

Q4 2016 Filing: 3/29/2017
Q4 2016 Expended: \$429.00
Q4 2016 Penalty: \$3,050.00

Oregon Council of Presidents
Attn: Dana Richardson
345 N. Monmouth Avenue
Monmouth, OR 97361

Activity Log - Q4 2016 to Date

12/29/16 02:27:46.500 - User Profile Created - A new user profile was created.
12/29/16 02:27:46.677 - Client Profile Created - The client profile was created.
12/29/16 02:27:53.810 - User Profile Created - User profile created for Dana Richardson
01/15/17 04:42:37.090 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/15/17 06:11:58.757 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 01:40:21.340 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 06:20:35.887 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/17/17 01:30:18.667 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/18/17 01:30:58.283 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/19/17 01:30:39.570 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/20/17 01:30:42.913 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/21/17 01:30:23.410 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/22/17 01:30:42.667 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/23/17 01:30:17.350 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/24/17 01:30:19.333 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/25/17 01:30:23.410 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/26/17 01:30:17.720 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/27/17 01:30:24.837 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/28/17 01:30:26.500 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/29/17 01:30:21.970 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/30/17 01:30:24.187 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/31/17 01:30:22.327 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/01/17 01:30:28.053 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/02/17 01:30:17.087 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/03/17 01:30:21.847 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/04/17 01:30:21.643 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/05/17 01:30:20.223 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/06/17 01:30:26.680 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/07/17 01:30:18.370 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/08/17 01:30:20.220 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/09/17 01:30:21.473 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/10/17 01:30:22.707 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/11/17 01:30:18.167 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/12/17 01:30:13.227 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/13/17 01:30:13.563 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/14/17 01:30:12.403 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/15/17 01:30:18.403 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/16/17 01:30:21.150 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/17/17 01:30:20.493 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/18/17 01:30:21.387 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/19/17 01:30:14.283 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/20/17 01:30:17.847 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/21/17 01:30:13.103 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/22/17 01:30:15.963 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/23/17 01:30:17.937 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/24/17 01:30:13.333 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/25/17 01:30:21.703 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/26/17 01:30:18.967 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/27/17 01:30:16.140 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/28/17 01:30:13.180 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/01/17 01:30:13.603 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/02/17 01:30:14.163 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/03/17 01:30:11.767 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/04/17 01:30:32.217 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/05/17 01:30:12.323 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4

Client/Employer Activity

Q4 2016

Client Code: 1314
User Name: RicharDdExecDir
Email: richardsond@wou.edu

Q4 2016 Filing: 3/29/2017
Q4 2016 Expended: \$429.00
Q4 2016 Penalty: \$3,050.00

Oregon Council of Presidents
Attn: Dana Richardson
345 N. Monmouth Avenue
Monmouth, OR 97361

03/06/17 01:30:12.343 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/07/17 01:30:14.340 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/08/17 01:30:13.430 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/09/17 01:30:14.680 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/10/17 01:30:13.300 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/11/17 01:30:16.380 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/12/17 01:30:15.773 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/13/17 01:30:13.477 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/14/17 01:30:13.387 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/15/17 01:30:14.767 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/16/17 01:30:15.190 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/17/17 01:30:18.110 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/18/17 01:30:41.307 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/19/17 01:30:16.120 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/20/17 01:30:18.787 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/21/17 01:30:13.367 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/22/17 01:30:13.140 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/23/17 01:30:16.687 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/24/17 01:30:22.600 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/25/17 01:30:36.100 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/26/17 01:30:11.320 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/27/17 01:30:17.343 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/28/17 01:30:11.830 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/29/17 01:30:15.813 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/29/17 03:17:17.200 - Admin User Reset Initiated - An admin user reset was initiated.
03/29/17 03:18:44.410 - Admin User Password Reset Completed - A user reset their password using an admin reset.
03/29/17 03:48:13.557 - User Successfully Authenticated -
03/29/17 04:39:00.330 - User Successfully Authenticated -
03/29/17 09:02:16.190 - User Successfully Authenticated -
03/29/17 09:16:41.247 - Client Report Submitted - Client Report Submitted for Q4 2016

KathyD April 10th, 2017 at 12:37 PM
4/7/2017 Letter of Explanation received.
4/10/2017 Letter of Acknowledgement sent.

Past Violations: NONE

Recommendation: Letter dtd [Signature]

David H March 29th, 2017 at 10:22 AM

Admin Assistant called 3/29/2017. Her Director (Richardson) indicated she is receiving daily emails due to our system problems.

Informed that Richardson has a Lobby account and a Client account. Quarterly filings on the Lobby side look good.

No Quarterly filings on the Client side have been submitted and daily penalties have been accruing since January.

Informed that Director Richardson needs to file the Q4 report and submit in writing a letter of explanation to the Commission to be received no later than April 7, 2017.

April 5, 2017

Oregon Government Ethics Commission
3218 Pringle Road SE, Suite 220
Salem, OR 97302-1544

RECEIVED
APR 07 2017
OREGON GOVERNMENT
ETHICS COMMISSION

To Whom It May Concern,

Thank you for the opportunity to provide information and documentation regarding two issues related to my registration as a lobbyist and as an employer of a lobbyist. I take the ethics reporting requirements very seriously and make every effort to comply with these responsibilities.

Registration as a Client

With regard to the issue of registering as a client, I first registered as a lobbyist in 2014. I had never been an employer of a lobbyist and was not aware until the last week of March 2017 that there was an obligation to report as a client of a lobbyist. Upon becoming aware that additional reporting was required as a client, I filed a Q4 2016 report on March 30, 2017.

I am employed by Western Oregon University on behalf of the Oregon Council of Presidents (OCOP), a recently formed, voluntary association of the presidents of public universities in Oregon. At the time I began my employment as the OCOP Executive Director in September 2016, it was not known how much or if I would perform lobbying activities. It was determined some time in November or December 2016 that my duties would include some lobbying activities. Therefore, I now perform lobbying activities on behalf of OCOP, OCOP is also the client for whom I lobby. As stated earlier, I was unaware of my reporting obligations as a client.

Although I received notices from OGEC indicating my obligation to file information as a client, I failed to distinguish the one word difference ("Client" v. "Lobbyist") between those notices, from the erroneous notices that I received on a daily basis from OGEC regarding filing obligations. Due to the erroneous notifications, I inquired into the status of my filing requirements on January 17, 2017 and received confirmation of meeting the filing requirements and instruction to disregard future notices. As you can see in the attached email, dated January 18, 2017, in response to my question of whether I had met filing requirements for Q4 2016, Mr. David Hunter verified that I had met the filing requirements and that delinquent notices may be disregarded. He did not indicate that additional filing was required of me as a client.

After receiving this information from Mr. Hunter, I continued to receive automated delinquency notices on a daily basis until March 30, 2017, the day following my receipt of information about duties to report as a client. I do not know on what date the OGEC's problem of sending daily erroneous filing notices was resolved nor do I know when the notices I received ceased being erroneous and began indicating an actual, possible penalty. Therefore, while I acknowledge responsibility for failing to file as a client and disregarding notices to file, I would request that my penalty be waived in whole or in part.

Timely Registration as a Lobbyist

As indicated above, I was aware of my obligation to register as a lobbyist if and when it was determined that I would perform lobbying activities during my employment at OCOP. I terminated registration with

my previous employer, the Higher Education Coordinating Commission (HECC), in August 2016. In December 2016, when I went to report my OCOP lobbying activities for Q4 2016, I learned that my previous registration with the HECC had not been terminated and that my registration for OCOP had not occurred as I had thought. Upon discovering this issue, I immediately went through the steps of terminating my registration with the HECC, registering as a lobbyist for OCOP, and filing a report for Q4 2016. This was completed on December 29, 2016. Since my registration at the HECC had not been terminated, I continued to be a registered lobbyist throughout Q4 although my limited lobbying activities in Q4 were on behalf of a different client (OCOP rather than the HECC). My failure to file a timely registration as a lobbyist on behalf of OCOP was unintentional and inadvertent as I thought I had terminated my previous registration and that I had re-registered under my new employer. I would request that any sanction be waived or reduced for this reason.

I am happy to provide additional information and appreciate your consideration of my requests.

Sincerely,

Dana Richardson

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Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE, Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Website: www.oregon.gov/ogec

April 5, 2017

Alyssa Romane *RE SARAH LUKIN*
OSPIRG
1536 SE 11TH Ave. Ste A
Portland OR 97214

Dear Ms. Romane:

The written explanation of why the Q3 and Q4 lobbyist expenditure reports for Sarah Lukin was filed late has been received and will be submitted to the Oregon Government Ethics Commission (Commission) for consideration at a regular meeting. The next meeting will be held on Friday, April 21, 2017, at 9:00 a.m. The Commission will consider the matter at that time and then waive all, some, or no part of the penalty based on the explanation. Commission meetings are open to the public and you are welcome to attend. The meeting will be held in the Morrow Crane Building at 3218 Pringle Road, SE, Room 220, Salem, Oregon 97302.

The due date for the \$8,400 penalty will be extended to coincide with the April 21st meeting date. You will be notified of the outcome and will be given additional instructions regarding the penalty, if any, in writing after the meeting. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Commission Staff



Lobbyist Activity

Q3 2016

Lobbyist Code: 722
User Name: sarahlu92
Email: sarah@ospirgstudents.org

Q3 2016 Filing: 4/4/2017
Q3 2016 Expended: \$0.00
Q3 2016 Penalty: \$5,000.00

Sarah Lukins
1536 SE 11th Ave. Suite A
Portland, OR 97214

Activity Log - Q3 2016 to Date

07/15/16 03:53:33.367 - User Failed to Authenticate -
07/15/16 03:55:01.833 - User Failed to Authenticate -
07/15/16 03:58:30.340 - User Failed to Authenticate -
07/15/16 03:58:46.690 - User Failed to Authenticate -
07/15/16 03:59:07.297 - User Failed to Authenticate -
07/15/16 04:05:37.520 - Admin User Reset Initiated - An admin user reset was initiated.
07/15/16 04:08:19.257 - Admin User Password Reset Completed - A user reset their password using an admin reset.
07/15/16 04:09:08.963 - User Successfully Authenticated -
07/15/16 04:10:12.880 - Lobbyist Report Submitted - Lobbyist Report Submitted for Q2 2016
10/16/16 01:30:12.527 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/17/16 01:30:12.567 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/18/16 01:30:13.053 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/19/16 01:30:13.767 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/20/16 01:30:14.013 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/21/16 01:30:13.723 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/22/16 01:30:11.483 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/23/16 01:30:11.540 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/24/16 01:30:15.017 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/25/16 01:30:12.060 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/26/16 01:30:17.913 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/27/16 01:30:18.860 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/28/16 01:30:19.420 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/29/16 01:30:18.903 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/30/16 01:30:20.057 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/31/16 01:30:18.007 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/01/16 01:30:17.617 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/02/16 01:30:17.920 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/03/16 01:30:17.930 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/04/16 01:30:18.843 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/05/16 01:30:18.883 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/06/16 01:30:47.547 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/07/16 01:30:17.177 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/08/16 01:30:15.833 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/09/16 01:30:14.773 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/10/16 01:30:15.450 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/11/16 01:30:16.567 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/12/16 01:30:15.897 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/13/16 01:30:17.357 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/14/16 01:30:16.067 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/15/16 01:30:15.690 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/16/16 01:30:14.287 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/17/16 01:30:14.870 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/18/16 01:30:13.937 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/19/16 01:30:17.497 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/20/16 01:30:15.430 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/21/16 01:30:14.307 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/22/16 01:30:17.767 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/23/16 01:30:14.377 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/24/16 01:30:15.700 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/25/16 01:30:14.577 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/26/16 01:30:14.053 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/27/16 01:30:14.307 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/28/16 01:30:16.213 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/29/16 01:30:16.530 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/30/16 01:30:12.937 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
12/01/16 01:30:13.960 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3

Lobbyist Activity

Q3 2016

Lobbyist Code: 722
User Name: sarahlu92
Email: sarah@ospirgstudents.org

Q3 2016 Filing: 4/4/2017
Q3 2016 Expended: \$0.00
Q3 2016 Penalty: \$5,000.00

Sarah Lukins
1536 SE 11th Ave. Suite A
Portland, OR 97214

03/02/17 01:30:11.103 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/03/17 01:30:10.550 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/04/17 01:30:22.370 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/05/17 01:30:10.873 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/06/17 01:30:10.940 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/07/17 01:30:11.607 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/08/17 01:30:11.917 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/09/17 01:30:13.070 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/10/17 01:30:11.820 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/11/17 01:30:13.090 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/12/17 01:30:14.103 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/13/17 01:30:12.040 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/14/17 01:30:11.860 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/15/17 01:30:11.947 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/16/17 01:30:12.590 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/17/17 01:30:16.723 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/18/17 01:30:39.903 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/19/17 01:30:12.827 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/20/17 01:30:15.817 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/21/17 01:30:11.920 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/22/17 01:30:11.890 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/23/17 01:30:13.630 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/24/17 01:30:21.043 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/25/17 01:30:20.423 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/26/17 01:30:09.997 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/27/17 01:30:14.283 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/28/17 01:30:10.300 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/29/17 01:30:12.693 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/30/17 01:30:11.130 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
03/31/17 01:30:11.190 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
04/01/17 01:46:14.910 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
04/02/17 01:30:12.770 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
04/03/17 01:30:13.277 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
04/04/17 01:30:11.903 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
04/04/17 10:58:48.997 - Lobbyist Report Submitted - Lobbyist Report Submitted for Q3 2016
04/05/17 01:30:11.323 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
04/05/17 09:08:20.463 - Lobbyist Report Submitted - Lobbyist Report Submitted for Q4 2016

Lobbyist Activity
Q4 2016

Lobbyist Code: 164
 User Name: Heather Raeburn
 Email: heatherr@familycareinc.org

Q4 2016 Filing: 4/4/2017
 Q4 2016 Expended: \$0.00
 Q4 2016 Penalty: \$3,350.00

Heather Raeburn
 825 NE Multnomah St Suite 1400
 Portland, OR 97232

03/07/17 01:30:10.673 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/08/17 01:30:10.873 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/09/17 01:30:12.083 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/10/17 01:30:10.807 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/11/17 01:30:11.297 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/12/17 01:30:13.013 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/13/17 01:30:10.990 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/14/17 01:30:10.970 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/15/17 01:30:10.463 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/16/17 01:30:11.317 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/17/17 01:30:15.707 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/18/17 01:30:38.793 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/19/17 01:30:11.410 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/20/17 01:30:14.247 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/21/17 01:30:11.357 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/22/17 01:30:10.997 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/23/17 01:30:11.947 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/24/17 01:30:20.000 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/25/17 01:30:14.870 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/26/17 01:30:09.140 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/27/17 01:30:12.490 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/28/17 01:30:09.460 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/29/17 01:30:11.150 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/30/17 01:30:10.027 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 03/31/17 01:30:10.203 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 04/01/17 01:46:14.083 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 04/02/17 01:30:11.803 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 04/03/17 01:30:11.830 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 04/04/17 01:30:10.143 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
 04/04/17 10:33:54.570 - Lobbyist Report Submitted - Lobbyist Report Submitted for Q4 2016

KathyD April 5th, 2017 at 9:15 AM
 4/04/2017 Letter of Explanation received.
 4/5/2017 Letter of Acknowledgement sent.

Past Violations:

Q3 2016

Q4 2016

Recommendation:

*Letter of Explanation received
 \$3,350.00 Q4*

KathyD April 4th, 2017 at 10:38 AM

4/4/2017 Report filed with assistance from KD. Lobbyist termed 10/26/17. Heatherington told to send in letter of explanation.

DANIEL Kathy * OGEC

To: Alyssa Romane
Subject: RE: Penalty Mitigation Request from Oregon Student Public Interest Research Group

RECEIVED

APR 04 2017

Hi Kathy,

OREGON GOVERNMENT
ETHICS COMMISSION

Below is my letter requesting the penalties assessed against Sarah Lukin's be forgiven. Please let me know if there is anything else I can do.

Thanks,
Alyssa

Dear Oregon Government Ethics Commission,

I, the Financial Administrator for the Oregon Student Public Interest Research Group, am writing to request a penalty waiver for the penalties assessed on Sarah Lukins' lobbyist registration account.

Sarah Lukins was terminated in early April 2016. I terminated her as a lobbyist for the Oregon Student Public Interest Research Group when she left staff. The email reminders for her to file a lobbyist report for the second quarter of 2016 went to an email that was no longer working because she was no longer on staff.

I am asking to mitigate the penalties on this account since Oregon Student Public Interest Research Group did not know that penalties were being assessed. I did not find out penalties were being assessed until a staff member of the Commission called me today, April 4, to let me know. She filed the missing quarterly report for Sarah Lukins while I was on the phone with her to stop further penalties. I assure you that had I known, I would have called the Commission to get this cleared up right away.

Thank you for your consideration,

Alyssa

Alyssa Romane, Financial Administrator

Oregon Student Public Interest Research Group

1536 SE 11th Ave, Suite A

Portland, OR 97214

Work: 503-231-4181 x315, Cell: 971-227-0820

*Letter Added Q3
Q4 - \$350 =*



Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE, Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Website: www.oregon.gov/ogec

April 10, 2017

John Wykoff, Deputy Director
Oregon Community College Assoc
260 13th St. NE
Salem OR 97301

Dear Mr. Wykoff:

The written explanation of why the 2016 quarters 1, 2, 3, and 4 lobbyist expenditure reports were filed late has been received and will be submitted to the Oregon Government Ethics Commission (Commission) for consideration at a regular meeting. The next meeting will be held on Friday, April 21, 2017, at 9:00 a.m. The Commission will consider the matter at that time and then waive all, some, or no part of the penalty based on the explanation. Commission meetings are open to the public and you are welcome to attend. The meeting will be held in the Morrow Crane Building at 3218 Pringle Road, SE, Room 220, Salem, Oregon 97302.

The due date for the penalties will be extended to coincide with the April 21st meeting date. You will be notified of the outcome and will be given additional instructions regarding the penalty, if any, in writing after the meeting. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Commission Staff



Addendum 1

January 31, 2017

Oregon Government Ethics Commission
3218 Pringle Rd. SE, Suite 220
Salem, OR 97302-1544

Dear Commissioners:

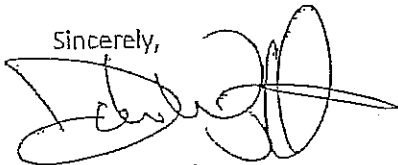
I would like to offer my sincere apologies for failing to make multiple personal ethics filings for my employment as the Deputy Director at the Oregon Community College Association. In my capacity as Deputy Director, I would like to further apologize that we concurrently failed to make ethics filings for our organization..

While I've only been in my role as Deputy Director for about 6 months, I've been the association's primary lobbyist for almost 9 years and should have noticed that we had not been sending in our required ethics filings, after having done so for many years. It was an unintentional, though unacceptable, oversight. I realize my personal ethics filings are no one's responsibility but my own.

We are taking steps internally, including adding this to our "OCCA Office Policies and Procedures" document so it is explicit that ethics reports must be filed in compliance with all Oregon Government Ethics Commission requirements.

Thank you for your attention to this matter.

Sincerely,



John Wykoff
Deputy Director
Oregon Community College Association



Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE, Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Website: www.oregon.gov/ogec

April 10, 2017

Andrea Henderson, Executive Director
Oregon Community College Assoc
260 13th St. NE
Salem OR 97301

Dear Ms. Henderson:

The written explanation of why the 2016 quarters 1, 2, 3, and 4 lobbyist expenditure reports were filed late has been received and will be submitted to the Oregon Government Ethics Commission (Commission) for consideration at a regular meeting. The next meeting will be held on Friday, April 21, 2017, at 9:00 a.m. The Commission will consider the matter at that time and then waive all, some, or no part of the penalty based on the explanation. Commission meetings are open to the public and you are welcome to attend. The meeting will be held in the Morrow Crane Building at 3218 Pringle Road, SE, Room 220, Salem, Oregon 97302.

The due date for the penalties will be extended to coincide with the April 21st meeting date. You will be notified of the outcome and will be given additional instructions regarding the penalty, if any, in writing after the meeting. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Commission Staff



Addendum 2

January 31, 2017

Oregon Government Ethics Commission
3218 Pringle Rd. SE, Suite 220
Salem, OR 97302-1544

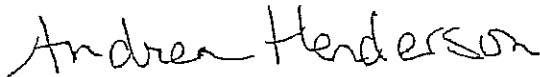
Dear Commissioners:

My profound apologies for missing multiple files of both my personal ethics report and the association's ethics report. As someone who educates our presidents and staff on their duty to report I am more than a little embarrassed that I neglected my own. I will be reporting my negligence to my board.

All I can say in my defense is that I had become complacent in responding to the mailed quarterly reports and did not notice that a year had passed without filing.

Thank you for your consideration.

Sincerely,



Andrea Henderson
Executive Director
Oregon Community College Association



Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE, Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Website: www.oregon.gov/ogec

April 10, 2017

Oregon Community College Assoc
Attn: Andrea Henderson
260 13th St NE
Salem OR 97301

Dear Ms. Henderson:

The written explanation of why your Lobbyist and Client expenditure reports were filed late has been received and will be submitted to the Oregon Government Ethics Commission (Commission) for consideration at a regular meeting. The next meeting will be held on Friday, April 21, 2017, at 9:00 a.m. The Commission will consider the matter at that time and then waive all, some, or no part of the penalty based on the explanation. Commission meetings are open to the public and you are welcome to attend. The meeting will be held in the Morrow Crane Building at 3218 Pringle Road, SE, Room 220, Salem, Oregon 97302.

The due date for the penalties will be extended to coincide with the April 21st meeting date. You will be notified of the outcome and will be given additional instructions regarding the penalty, if any, in writing after the meeting. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Commission Staff





January 31, 2017

Oregon Government Ethics Commission
3218 Pringle Rd. SE, Suite 220
Salem, OR 97302-1544

RECEIVED

FEB 16 2017

OREGON GOVERNMENT
ETHICS COMMISSION

Dear Commissioners:

I am writing to request your consideration regarding the late filing of 2016 quarterly lobby reports by the Oregon Community College Association.

Background

In December 2015, OCCA received notice by mail that lobbyist registration and reporting would switch to an electronic filing system starting in January 2016. The OCCA office manager at that time began the process of registering OCCA and the two lobbyists (John Wykoff and Andrea Henderson) on the Oregon Government Ethics Commission website. It appears that the office manager did some preliminary work but that the registrations for the lobbyists were never confirmed and the registration for OCCA as the client employer was never completed. In addition, some information was entered into the profiles incorrectly (including email addresses). The following month, the office manager was terminated from OCCA and unbeknownst to us, the process was never completed. This meant that OCCA was not receiving any reminder emails to file lobbying reports, as the two OCCA lobbyists were shown as "inactive" in the OGEC system.

Around this same time, OCCA's general counsel, Karen Smith, who reviews the information for the lobbying reports before they are submitted, was diagnosed with cancer and out on medical leave. She was out on medical leave or working reduced hours during the balance of the year and did not realize that the electronic filing was never completed and that no one at OCCA was receiving notices from OGEC.

Because of staff turnover and medical leave, the quarterly filing duties fell off the office radar. Because of their inactive status, neither John nor Andrea received any emails reminding them to file their quarterly reports last year and because OCCA was never correctly set up as the client employer, no OCCA staff members received email reminders to file the reports. However, OCCA acknowledges that those circumstances are no excuse for failure to file and that each lobbyist should be responsible for remembering to file at the end of every quarter. (Please see Addendums 1 and 2 for individual letters from the OCCA lobbyists.) In the years prior to this, all OCCA quarterly reports were filed promptly and without issue.

Current Status

To rectify the situation, Megan Jensen, Director of Member Services, contacted OGEC on January 19, 2017, to discuss the issue and find out what was needed to file back reports and move forward. Kathy Daniel was very helpful and walked Megan through the process of setting up the online profiles correctly for OCCA and the lobbyists. On January 27, 2017, all delinquent reports were filed online for OCCA and lobbyists John Wykoff and Andrea Henderson.

The delinquent reports were an oversight due to a combination of issues and OCCA recognizes the need to implement a more secure procedure to ensure that the quarterly lobby reports are filed in a timely manner in the future. An electronic reminder has been scheduled to send reminder emails to OCCA staff at the end of every quarter and a resource document has been created for staff outlining the filing processes. Future filings will happen on time, every time. OCCA appreciates your consideration of this request and is hopeful that the commission will waive any penalty fees owed by OCCA in this instance.

Sincerely,

Andrea Henderson

Andrea Henderson
Executive Director
Oregon Community College Association

(

(

(



Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE, Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Website: www.oregon.gov/ogec

April 6, 2017

John Skipper
Don William Legal Expense Trust Fund
1733 NW 34th Street
Lincoln City OR 97302

Dear Mr. Skipper:

The written explanation of why the Q4 2016 trust fund expenditure report was filed late has been received and will be submitted to the Oregon Government Ethics Commission (Commission) for consideration at a regular meeting. The next meeting will be held on Friday, April 21, 2017, at 9:00 a.m. The Commission will consider the matter at that time and then waive all, some, or no part of the penalty based on the explanation. Commission meetings are open to the public and you are welcome to attend. The meeting will be held in the Morrow Crane Building at 3218 Pringle Road, SE, Room 220, Salem, Oregon 97302.

The due date for the \$50 penalty will be extended to coincide with the April 21st meeting date. You will be notified of the outcome and will be given additional instructions regarding the penalty, if any, in writing after the meeting. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Commission Staff



KathyD April 6th, 2017 at 9:54 AM
4/06/2017 Letter of Explanation received.
4/06/2017 Letter of Acknowledgement sent.

KathyD January 23th, 2017 at 1:50 PM

1/23/17 Received an email from Ross Smith explaining that they didn't have an invitation code to file. (not necessary) I let him know that the account has accumulated a \$50 penalty.

KathyD January 20th, 2017 at 11:54 AM

1/20/17 Call from John Skipper. Ross Smith is preparing the filing and should have it done by days end. Smith has my contact information should he need my help with the EFS.

KathyD January 17th, 2017 at 3:54 PM

1/17/17 I spoke with Mr. Skipper. He said the filing was emailed in on 1/13/17, however I do not find it. I've emailed him the log in credentials again and asked him to resend the filing.

KathyD January 13th, 2017 at 12:29 PM

1/13/17 I spoke with John and he said the person he delegated this to was supposed to have it filed. He will get in touch with him this afternoon.

KathyD December 29th, 2016 at 2:28 PM

12/29/16 I spoke with J Skipper and confirmed he received information on the EFS. He will call with any questions.

KathyD December 29th, 2016 at 2:21 PM

12/23/16 Sent email with details and left a message on his work phone to call me.

Past Violations: **NONE**

Recommendation:

No recommendation

RECEIVED
APR 06 2017
OREGON GOVERNMENT
ETHICS COMMISSION

1733 NW 34th St.
Lincoln City, OR 97367

April 5, 2017

Ronald A. Bersin, Executive Director
Oregon Government Ethics Commission
3218 Pringle Rd. SE, Suite 220
Salem, OR 97302-1544

Via email: ron.a.bersin@oregon.gov

Re: Don Williams Legal Expense Trust Fund

Dear Mr. Bersin,

I respectfully request that the \$50.00 penalty I received on 1/20/17 be waived. I submitted the required Q4 2016 report to your office via fax on Fri. 1/13/17, Unfortunately, we discovered after the fact, that your office required we submit the information electronically. We immediately attempted to do that, but the system required a token which we did not have access to at the time. Additionally, there was no way to request the token online. Once we contacted your staff, and we were able to work around this issue, we immediately re-filed the required paperwork on 1/20/17.

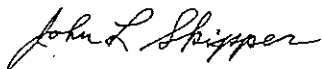
Please note that due to this issue, I have changed my email address to a gmail account, as my Charter account receives almost 100 spams a day. That is why I didn't see your original emails alerting me to the new online reporting requirements.

Also, I promptly filed our Q1 2017 report electronically on 4/2/17, which was very easy to do. Kudos for providing such an easy to use site.

If you have any questions, concerns, or need any clarification, please don't hesitate to call me at 541.992.4208, or email me at johnskipper4933@gmail.com.

Thank you for this consideration and your service to our state.

Sincerely yours,



John Skipper, Treasurer
Don Williams Legal Expense Trust Fund

ccs:

1. Don Williams - Mayor - Lincoln City
2. Ross Smith

BEFORE THE OREGON GOVERNMENT ETHICS COMMISSION

In the Matter of)

ERIC R. EPPERSON)

) STIPULATED FINAL ORDER

) CASE NO. 17-111SMS

- _____)
1. PURPOSE: The purpose of this stipulated final order is to settle any and all claims, allegations and charges by the Oregon Government Ethics Commission (Commission) against Eric R. Epperson.

 2. JURISDICTION: At all material times, Eric R. Epperson was a member of the Gearhart Planning Commission. Eric R. Epperson was a public official subject to the jurisdiction of the Commission pursuant to ORS Chapter 244.

 3. STIPULATED FACTS:
 - A. As a member of the Gearhart Planning Commission, Eric R. Epperson was required by ORS 244.050(1)(k) to file an annual verified statement of economic interest on or before April 15 of each year.

 - B. Eric R. Epperson failed to file the required statement in a timely fashion on April 15, 2013. The statement was filed on March 8, 2017.

 - C. The action described in paragraph B above constituted a violation of ORS 244.050.

 - D. ORS 244.350 authorizes the Commission to assess civil penalties of up to \$5000 for each late filing of an annual verified statement of economic

interest, for a total of \$5000 in civil penalties for the late filing described in paragraph B above.

- E. The results of the Commission investigation, if submitted through exhibits and testimony at a contested case hearing, would establish a preponderance of evidence in support of a post-hearing order to find violations of ORS 244.050.

4. TERMS OF SETTLEMENT:

The parties agree as follows:

- A. On March 10, 2017, the Commission acted to find a violation of ORS 244.050 and move to a negotiated settlement or a contested case hearing. The March 10, 2017 action was a preliminary finding of violations of Oregon Government Ethics law, as a prelude to a stipulated settlement or a contested case hearing, and not a final conclusion regarding a violation of Oregon Government Ethics law by Eric R. Epperson.
- B. Eric R. Epperson will receive a letter of education, as authorized by ORS 244.350, to settle and compromise this matter.
- C. The Commission releases, settles and compromises any and all claims, which have been or could be asserted against Eric R. Epperson within the scope of the above-referenced proceedings.
- D. Eric R. Epperson will initiate no claims, litigation or other action against the Commission as a result of these proceedings.

5. REVIEW BY COUNSEL:

All of the parties hereto acknowledge that this agreement has been entered into by their own free will and with full understanding of the contents herein. Each of the parties further acknowledges that each has had the opportunity to seek the advice of counsel in comparing and reviewing this agreement.

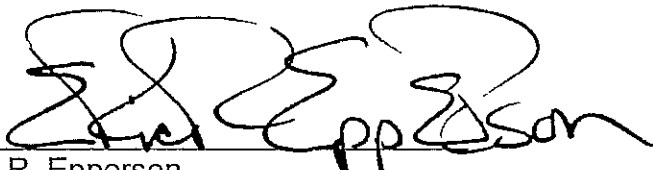
6. EFFECT:

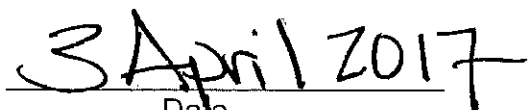
This agreement is subject to the final approval of the Commission. Once approved, this agreement shall be the final disposition of the matter and shall be binding upon all parties.

By signing this agreement, Eric R. Epperson agrees to waive his right to a contested case hearing as provided in ORS Chapter 183 and ORS 244.370. This order shall be the final order and all information in the Commission files on this matter shall become part of the record.

By signing this agreement, Eric R. Epperson agrees to waive his right to obtain judicial review of this order as provided in ORS 183.482.

IN WITNESS WHEREOF, the parties have entered into and signed this stipulated final order on the dates set forth below.


Eric R. Epperson


Date

Daniel T. Golden, Chairperson
Oregon Government Ethics Commission

Date

(

(

(



Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE, Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Website: www.oregon.gov/ogec

April 13, 2017

Alan Tressider
State Street Solutions
15191 Bangy Rd, #116
Lake Oswego, OR 97035

Re: Alan Tressider
Case No. 17-151LMS

Dear Mr. Tressider:

Oregon Government Ethics Commission (Commission) records indicate that on October 15, 2014 and April 15, 2015 you were required to file lobbyist statements of expenditure for the third quarter of 2014 and the first quarter of 2015 respectively. Both of those reports were received by the Commission postmarked July 23, 2015.

The Commission previously imposed fines of \$5000 for the late filing of the third quarter 2014 report and \$2840 for the late filing of the first quarter 2015 report.

At the Commission meeting to be held on Friday, April 21, 2017 at 9:00 am, 3218 Pringle Rd SE, Suite 220, Salem OR 97302, the Commission will determine whether or not to make two preliminary findings of violation of ORS 171.745 based on your late filings of the statements of expenditure listed above. Pursuant to ORS 171.992(2)(b), failure to file the required statement in a timely fashion is prima facie evidence of a violation of ORS 171.745. The Commission has the authority to impose penalties of up to \$5,000 for each late filing, based on the number of days the filing was late.

You are invited to provide any additional materials or information that you believe would assist the Commission in its determination of whether or not to make preliminary findings of violation. If you choose not to provide information, the Commission decision will be based on the information otherwise available to the Commission.

You may attend the Commission meeting on April 21, 2017. Because the proceeding is not a hearing, the Commission will not permit lengthy presentations. With the consent of the Chair, you may be permitted to make a brief oral statement. You may wish to review OAR 199-001-0010 to acquaint yourself with the Commission's meeting procedures.

Please contact Marie Scheffers, marie.scheffers@oregon.gov, if you would like clarification concerning Commission procedures.

Sincerely,

Ronald A. Bersin
Executive Director

RAB/ms



Lobbyist Activity

Lob Code: 0231

3rd qtr 2014 Filing: 7/27/2015

Alan Tresidder

3rd qtr 2014 Expend: \$0.00

State Street Solutions

3rd qtr 2014 Penalty \$5,000.00

15171 Bangy Rd #116

Lake Oswego, OR 97035

3rd qtr 2014 Comments:

9/15/14 - expenditure report mailed with 10/15/14 due date.

10/20/14 - reminder letter mailed with final due date of 11/14/14.

11/19/14 - penalty accrual notice mailed

KD - USPS returning mail at the above address as not deliverable. Sent email 12/15/14 and 1/2/15 and attached scanned form and letter. Kd

1/5/15 USPS returned mail with new Bangy Rd address.

7/22/15 - VL spoke with Mr. Tresidder re: late filings and past due penalties; informed him that he could write explanation letter requesting mitigation; missing reports (Q3 2014 and Q1 2015) emailed along with copies of past due correspondence.

7/27/15 - completed expenditure report received with ck #323 for past due penalties (Q3, Q4 2012 and Q1 2014).

7/28/15 - \$5000 penalty letter mailed with 8/28/15 due date.

2/1/16 - past due penalty letter mailed with 3/1/16 due date.

3/4/16 - explanation letter requesting mitigation received.

3/7/16 - acknowledgement letter mailed notifying of 4/8/16 commission meeting date.

3/10/16 - RB sent letter to lobbyist recommending he come and address the commission.

Previous violations: 3rd qtr 2012 \$340 paid, 4th qtr 2012 \$120 paid, 1st qtr 2014 \$80 paid.

Staff has no recommendation.

Lobbyist Activity

Code: 0231

1st qtr 2015 Filing: 7/27/2015

Alan Tresidder

1st qtr 2015 Expend: \$0.00

State Street Solutions

1st qtr 2015 Penalty \$2,840.00

15171 Bangy Rd #116

Lake Oswego, OR 97035

1st qtr 2015 Comments:

3/13/15 - form mailed with 4/15/15 due date.

4/23/15 - reminder letter mailed with final due date of 5/15/15.

5/21/15 - penalty accrual notice mailed

7/22/15 - VL spoke with Mr. Tresidder re: late filings and past due penalties; informed him that he could write explanation letter requesting mitigation. missing reports (Q4 2014 and Q1 2015) emailed along with copies of past due correspondence.

7/27/15 - completed expenditure report received with ck #323 for past due penalties (Q3, Q4 2012 and Q1 2014).

7/28/15 - \$2840 penalty letter mailed with 8/28/15 due date.

2/1/16 - past due penalty letter mailed with 3/1/16 due date.

3/4/16 - explanation letter requesting mitigation received.

3/7/16 - acknowledgement letter mailed notifying of 4/8/16 commission meeting date.

3/10/16 - RB sent letter to lobbyist recommending he come and address the commission in person.

Previous violations: 3rd qtr 2012 \$340 paid, 4th qtr 2012 \$120 paid, 1st qtr 2014 \$80 paid; 4th qtr 2014 \$5000 unpaid (also requesting mitigation)

Staff has no recommendation.



Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE, Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Web Site: www.oregon.gov/ogec

July 25, 2016

Alan Tresidder
State Street Solutions
15171 Bangy Rd #116
Lake Oswego, OR 97035

Dear Mr. Tresidder

At its meeting on May 20, 2016, the Oregon Government Ethics Commission (Commission) reviewed your request to reconsider the assessment of \$7840 in penalties, which accrued as a result of the late filings of your 3rd quarter 2014 and your 1st quarter 2015 Lobbyist Expenditure Reports. Following review and discussion of your filing history and consideration of your comments, the Commission took no action to reduce or waive the penalties it previously imposed.

You were instructed to remit payment in full to this office, to be received not later than August 31, 2016. On July 18, 2016, an email was received in our office from you requesting an additional 90 days to pay the full penalty. That request has been reviewed and approved.

Payment in full must be received by this office in the amount of \$7840 by November 29, 2016. Please make your check or money order payable to the Oregon Government Ethics Commission. You may feel free to contact this office if you have additional questions concerning this matter.

Sincerely,

Ronald A. Bersin
Executive Director

vl/lobby



VOLD Michelle * OGEC

From: Alan Tresidder <alan@statestreetsolutions.com>
Sent: Monday, July 18, 2016 11:38 AM
To: VOLD Michelle * OGEC
Subject: Payment of fine

Michelle. I am respectfully asking the Commission for a 90-day extension of the time required to pay my outstanding fine

Due to heavy tax burden and other debts I am unable to pay the fine at this time. I appreciate your assistance.

Thank you.

Alan R Tresidder
President
State Street Solutions
15171 SW Bangy Road, Suite 116
Lake Oswego OR 97035
Alan@StateStreetSolutions.com
WWW.StateStreetSolutions.com
503 931 8209



Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Web Site: www.oregon.gov/ogec

May 24, 2016

Alan Tresidder
State Street Solutions
15171 Bangy Rd #116
Lake Oswego, OR 97035

Dear Mr. Tresidder

At its meeting on May 20, 2016, the Oregon Government Ethics Commission (Commission) reviewed your request to reconsider the assessment of \$7840 in penalties, which accrued as a result of the late filings of your 3rd quarter 2014 and your 1st quarter 2015 Lobbyist Expenditure Reports. Following review and discussion of your filing history and consideration of your comments, the Commission took no action to reduce or waive the penalties it previously imposed.

Please remit the full amount of \$7840 to this office, to be received not later than August 31, 2016, which should accommodate your request for time to make payments. Please make your check or money order payable to the Oregon Government Ethics Commission. You may feel free to contact this office if you have additional questions concerning this matter.

Sincerely,

Ronald A. Bersin
Executive Director

v1/lobby



LUTZ Virginia * OGEC

From: Alan Tresidder <alan@statestreetsolutions.com>
Sent: Tuesday, May 10, 2016 1:17 PM
To: LUTZ Virginia * OGEC
Subject: Reconsideration

Ms Lutz Thank you for your phone call. I do appreciate it.

I request to personally appear before the Commission, next Friday May 20. I would request that the Commission reconsider the penalty they imposed

Thank you and I look forward to appearing.

Regards

Alan R Tresidder
President
State Street Solutions
15171 SW Bangy Road, Suite 116
Lake Oswego OR 97035
Alan@StateStreetSolutions.com
WWW.StateStreetSolutions.com
503 931 8209

LUTZ Virginia * OGEC

From: VOLD Michelle * OGEC
nt: Monday, May 09, 2016 12:06 PM
o: LUTZ Virginia * OGEC
Cc: BERSIN Ron A * OGEC
Subject: FW: Solutions

Virginia,

On Tuesday, will you please provide me guidance on how would you like me to respond? Would Ron prefer to send correspondence again or speak with him?

Thank you.
Michelle

Michelle Vold
Administrative Specialist
Oregon Government Ethics Commission
3218 Pringle Rd SE Ste 220
Salem, OR 97302-1544
PH: 503-378-2170 FX: 503-373-1456
michelle.vold@oregon.gov

-----Original Message-----

From: Alan Tresidder [mailto:alan@statestreetsolutions.com]
Sent: Monday, May 09, 2016 10:57 AM
o: VOLD Michelle * OGEC <Michelle.VOLD@oregon.gov>
Subject: Solutions

Michelle. I am in receipt of Chuck Tauman's letter which notes that the OGEC failed to reduce the penalty that was assessed for my failure to make timely reports

To say the least I am stunned. But I have a couple of questions. May I pay the \$7,840 penalty in two or three payments ?

Will I considered to be in "good standing" while making such payments? Has any other registrant ever been fined this month for failing to make a timely report?

Thank you for your assistance.

Regards

Alan

Alan R Tresidder
President
State Street Solutions
15171 SW Bangy Road, Suite 116
Lake Oswego OR 97035
Alan@StateStreetSolutions.com
WWW.StateStreetSolutions.com
503 931 8209



Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Web Site: www.oregon.gov/ogec

April 8, 2016

0231

Alan Tresidder

State Street Solutions

15171 Bangy Rd #116

Lake Oswego, OR 97035

Dear Mr. Tresidder,

At its meeting on April 8, 2016, the Oregon Government Ethics Commission (Commission) considered your request to waive or reduce the penalty of \$5000 that accrued as a result of the late filing of your 3rd quarter 2014 Lobbyist Expenditure Report and the \$2840 penalty that accrued as a result of the late filing of your 1st quarter 2015 Lobbyist Expenditure Report. After reviewing your filing history and discussion regarding your correspondence, the Commission elected not to reduce the penalties.

Please remit your payment for the full combined amount of \$7840 on or before May 9, 2016. Please make your check or money order payable to the Oregon Government Ethics Commission. You may feel free to contact this office if you have additional questions concerning this matter.

Sincerely,

Charles S. Tauman
Commission Chair



RECEIVED

MAR 04 2016

OREGON GOVERNMENT
ETHICS COMMISSION

0231

Alan Tresidder
State Street Solutions
15171 Bangy Rd #116
Lake Oswego, Or 97035

March 4, 2016

Michelle Vold
Government Ethics Commission
3218 Pringle Rd SE Ste 220
Salem, OR 97302-1544

Re: Past Due Penalties

Dear Ms. Vold,

First, and foremost, please accept my sincere apology for submitting my Lobbyist Expenditure Reports from both the third quarter of 2014 and the first quarter of 2015 late. Over the last two years, the business structure of State Street Solutions changed and we no longer employ the business manager who used to submit our Lobbyist Expenditure Reports. Upon his departure, these forms, as well as the notices of the pending fees managed to slip through the cracks.

This change in our business structure is by no means an excuse for my late submittal of the two forms, but I hope that my past record demonstrates that I strictly follow Oregon's Ethics Laws. In my 38 years as a registered lobbyist in the State of Oregon, I have never submitted a report late. I take these laws very seriously and believe in the importance of transparency.

Since these late submissions, I have set up personal checks and balances to ensure that my forms are always submitted on time. In addition, the new electronic filing system will provide me with further reminders to ensure that I submit my quarterly reports on time.

Today, I ask that you and the Commission take my past history and new efforts to comply on time into consideration before determining that I owe \$5000 for the third quarter of 2014, and \$2840 for the first quarter of 2015. As soon as I realized that I neglected to submit those forms, I submitted them immediately. Therefore, I ask that you please consider waiving, or at least, reducing these penalties.

Again, please accept my apology and thank you for the opportunity to submit a letter and for your time and consideration.

Sincerely,

Alan Tresidder



Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Web Site: www.oregon.gov/ogec

March 10, 2016

Alan Tresidder
Attn: State Street Solutions
15171 Bangy Rd #116
Lake Oswego, OR 97035

Re: Request for mitigation of accrued penalties

Dear Mr. Tresidder:

You were recently advised that the Oregon Government Ethics Commission (Commission) is scheduled on Friday, April 8, 2016, to review your request for mitigation of the penalties that accrued as a result of the late filing of your 3rd quarter 2014 and 1st quarter 2015 lobbyist expenditure reports. The meeting will be held in the Morrow Crane Building at 3218 Pringle Road, SE, Suite 220, Salem, Oregon at 9:00 a.m.

The assertions in your letter do not match our records, as the records reflect several instances of late filings. Based upon those circumstances, I am unable to suggest a recommended action to the Commission. While attending the meeting is not required, you may want to consider attending the meeting to address the Commission regarding your mitigation request.

Thank you, in advance, for your attention to this matter. Please feel free to contact us if you have any questions prior to the meeting.

Sincerely,

Ronald A. Bersin
Executive Director



Oregon

Kate Brown, Governor

Government Ethics Commission
3218 Pringle Rd SE Ste 220
Salem, OR 97302-1544
Telephone: 503-378-5105
Fax: 503-373-1456
E-mail: ogec.mail@oregon.gov
Web Site: www.oregon.gov/ogec

February 1, 2016

0231

Alan Tresidder
State Street Solutions
15171 Bangy Rd #116
Lake Oswego, OR 97035

Re: Past Due Penalties

Dear Mr. Tresidder,

Upon review of our records, it has been noted that you still have outstanding penalties from the 3rd quarter of 2014 in the amount of \$5000.

If you choose, you may submit a letter of explanation to the commission regarding the late filing and/or to request mitigation of your penalties. Your correspondence will be presented to the commission for their review at the next commission meeting. The commission may elect at that time to waive some, all or none of the penalty.

If you elect to not submit a letter of explanation, you will need to remit payment immediately. Any penalties due need to be remitted to the Oregon Government Ethics Commission by March 1, 2016 to avoid potential collection action.

Copies of the original notices regarding the penalties have been included for your reference. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Michelle Vold

Commission Staff



Oregon

Kate Brown, Governor

Government Ethics Commission
3218 Pringle Rd SE Ste 220
Salem, OR 97302-1544
Telephone: 503-378-5105
Fax: 503-373-1456
E-mail: ogec.mail@oregon.gov
Web Site: www.oregon.gov/ogec

July 27, 2015

0231
Alan Tresidder
State Street Solutions
15171 Bangy Rd #116
Lake Oswego, OR 97035

Dear Mr. Tresidder,

Thank you for filing your Lobbyist Expenditure Report with the Oregon Government Ethics Commission (Commission) as required by ORS 171.745.

The Commission mailed your 3rd quarter, July 1 through September 30, 2014, expenditure report and instructions to you on September 15, 2014. The instructions stated clearly that the form was to be returned or postmarked not later than October 15, 2014. On October 20, 2014, the Commission sent you a reminder letter to advise you that if your completed expenditure report was not either postmarked or received by the Commission on November 14, 2014, a civil penalty of \$10 per day for the first 14 days and \$50 per day for each day thereafter would automatically accrue for each day after November 14, 2014 until the document was filed or postmarked. Your expenditure report form was received postmarked on July 23, 2015. Accordingly, a civil penalty of \$5000 has accrued. Please remit the full amount to this office to be received not later than August 28, 2015. Please make your check or money order payable to the Commission.

If you choose, you may submit a letter of explanation to the commission regarding the late filing. Your correspondence will be presented to the commission for their review at the next commission meeting. The commission may elect at that time to waive some, all or none of the penalty. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Commission Staff
v/lobby



Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Web Site: www.oregon.gov/ogec

February 1, 2016

0231

Alan Tresidder
State Street Solutions
15171 Bangy Rd #116
Lake Oswego, OR 97035

Re: Past Due Penalties

Dear Mr. Tresidder,

Upon review of our records, it has been noted that you still have outstanding penalties from the 1st quarter of 2015 in the amount of \$2840.

If you choose, you may submit a letter of explanation to the commission regarding the late filing and/or to request mitigation of your penalties. Your correspondence will be presented to the commission for their review at the next commission meeting. The commission may elect at that time to waive some, all or none of the penalty.

If you elect to not submit a letter of explanation, you will need to remit payment immediately. Any penalties due need to be remitted to the Oregon Government Ethics Commission by March 1, 2016 to avoid potential collection action.

Copies of the original notices regarding the penalties have been included for your reference. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Michelle Vold

Commission Staff



Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE Ste 220

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Web Site: www.oregon.gov/ogec

July 27, 2015

0231

Alan Tresidder

State Street Solutions

15171 Bangy Rd #116

Lake Oswego, OR 97035

Dear Mr. Tresidder,

Thank you for filing your Lobbyist Expenditure Report with the Oregon Government Ethics Commission (Commission) as required by ORS 171.745.

The Commission mailed your 1st quarter, January 1 through March 31, 2015 expenditure report and instructions to you on March 25, 2015. The instructions stated clearly that the form was to be returned or postmarked not later than April 15, 2015. On April 23, 2015 the Commission sent you a reminder letter to advise you that if your completed expenditure report was not either postmarked or received by the Commission before 5:00 p.m. on May 15, 2015, a civil penalty of \$10 per day for the first 14 days and \$50 per day for each day thereafter would automatically accrue for each day after May 15, 2015 until the document was filed or postmarked. Your expenditure report form was received postmarked on July 23, 2015. Accordingly, a civil penalty of \$2840 has accrued. Please remit the full amount to this office to be received not later than August 28, 2015. Please make your check or money order payable to the Commission.

If you choose, you may submit a letter of explanation to the commission regarding the late filing. Your correspondence will be presented to the commission for their review at the next commission meeting. The commission may elect at that time to waive some, all or none of the penalty. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Commission Staff

v/lobby



Oregon

John A. Kitzhaber, MD, Governor

Government Ethics Commission

3218 Pringle Rd SE Ste 220

Salem, OR 97302-1544

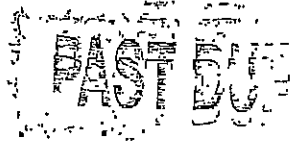
503-378-5105

E-mail: ogec.mail@state.or.us

Web Site: www.oregon.gov/ogec

December 17, 2012

0231
Alan Tressider
PO Box 2348
Lake Oswego, OR 97035



Dear Mr. Tressider:

Thank you for filing your Lobbyist Expenditure Report with the Oregon Government Ethics Commission (Commission) as required by ORS 171.745.

The Commission mailed your 3rd quarter, July through September, 2012 expenditure report and instructions to you on September 15, 2012. The instructions stated clearly that the form was to be returned or postmarked not later than October 15, 2012. On October 25, 2012 the Commission sent you a reminder letter to advise you that if your completed expenditure report was not either postmarked or received by the Commission before 5:00 p.m. on November 15, 2012, a civil penalty of \$10 per day for the first 14 days and \$50 per day for each day thereafter would automatically accrue for each day after November 15, 2012 until the document was filed or postmarked. Your expenditure report form was postmarked on December 4, 2012. Accordingly, a civil penalty of \$340 has accrued. Please remit the full amount to this office to be received not later than January 17, 2013. Please make your check or money order payable to the Commission.

If you choose, you may submit a letter of explanation to the commission regarding the late filing. Your correspondence will be presented to the commission for their review at the next commission meeting. The commission may elect at that time to waive some, all or none of the penalty. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Commission Staff
v/Lobby



Oregon

John A. Kitzhaber, MD, Governor

Government Ethics Commission

3218 Pringle Rd SE Ste 220

Salem, OR 97302-1544

503-378-5105

E-mail: ogec.mail@state.or.us

Web Site: www.oregon.gov/ogec

March 4, 2013

Alan Tresidder
PO Box 2348
Lake Oswego, OR 97035

Dear Mr. Tresidder:

Thank you for filing your Lobbyist Expenditure Report with the Oregon Government Ethics Commission (Commission) as required by ORS 171.745.

The Commission mailed your 4th quarter, October through December, 2012 expenditure report and instructions to you on December 15, 2012. The instructions stated clearly that the form was to be returned or postmarked not later than January 15, 2013. On January 29, 2013 the Commission sent you a reminder letter to advise you that if your completed expenditure report was not either postmarked or received by the Commission before 5:00 p.m. on February 15, 2013, a civil penalty of \$10 per day for the first 14 days and \$50 per day for each day thereafter would automatically accrue for each day after February 15, 2013 until the document was filed or postmarked. Your expenditure report form was postmarked on February 28, 2013. Accordingly, a civil penalty of \$120 has accrued. Please remit the full amount to this office to be received not later than April 5, 2013. Please make your check or money order payable to the Commission.

If you choose, you may submit a letter of explanation to the commission regarding the late filing. Your correspondence will be presented to the commission for their review at the next commission meeting. The commission may elect at that time to waive some, all or none of the penalty. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Commission Staff
v/lobby



Oregon

John A. Kitzhaber, MD, Governor

Government Ethics Commission

3218 Pringle Rd SE Ste 220

Salem, OR 97302-1544

503-378-5105

E-mail: ogec.mail@state.or.us

Web Site: www.oregon.gov/ogec

July 1, 2014

Alan Tresidder
PO Box 2348
Lake Oswego, OR 97035

Re: Past Due Penalties

Dear Lobbyist and/or Client/Employer:

Upon review of our records, it has been noted that you still have outstanding penalties from the 1st quarter of 2014 in the amount of \$80.

If you choose, you may submit a letter of explanation to the commission regarding the late filing and/or to request mitigation of your penalties. Your correspondence will be presented to the commission for their review at the next commission meeting. The commission may elect at that time to waive some, all or none of the penalty.

If you elect to not submit a letter of explanation, you will need to remit payment immediately. Any penalties due need to be remitted to the Oregon Government Ethics Commission by August 1, 2014 to avoid potential collection action.

Copies of the original notices regarding the penalties have been included for your reference. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Michelle Vold

Commission Staff



Oregon

John A. Kitzhaber, MD, Governor

Government Ethics Commission

3218 Pringle Rd SE Ste 220

Salem, OR 97302-1544

503-378-5105

E-mail: ogec.mail@state.or.us

Web Site: www.oregon.gov/ogec

May 27, 2014

0231

Alan Tresidder

PO Box 2348

Lake Oswego, OR 97035

Dear Mr. Tresidder:

Thank you for filing your Lobbyist Expenditure Report with the Oregon Government Ethics Commission (Commission) as required by ORS 171.745.

The Commission mailed your 1st quarter, January 1 through March 31, 2014 expenditure report and instructions to you on March 13, 2014. The instructions stated clearly that the form was to be returned or postmarked not later than April 15, 2014. On April 16, 2014 the Commission sent you a reminder letter to advise you that if your completed expenditure report was not either postmarked or received by the Commission before 5:00 p.m. on May 15, 2014, a civil penalty of \$10 per day for the first 14 days and \$50 per day for each day thereafter would automatically accrue for each day after May 15, 2014 until the document was filed or postmarked. Your expenditure report form was received postmarked on May 24, 2014. Accordingly, a civil penalty of \$80.00 has accrued. Please remit the full amount to this office to be received not later than June 27, 2014. Please make your check or money order payable to the Commission.

If you choose, you may submit a letter of explanation to the commission regarding the late filing. Your correspondence will be presented to the commission for their review at the next commission meeting. The commission may elect at that time to waive some, all or none of the penalty. You may feel free to contact this office if you have any questions concerning this matter.

Sincerely,

Commission Staff

v/lobby



Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE, Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105

Fax: 503-373-1456

E-mail: ogec.mail@oregon.gov

Website: www.oregon.gov/ogec

April 21, 2017

via email and USPS

Benjamin Souede
Office of the Governor
160 State Capitol
900 Court St NE
Salem OR 97301

Dear Mr. Souede,

At its April 21, 2017 meeting, the Oregon Government Ethics Commission (Commission) adopted the following advisory opinion in response to the request set forth in your letter to the Commission dated March 13, 2017.

OREGON GOVERNMENT ETHICS COMMISSION ADVISORY OPINION NO. 17-002A

SYNOPSIS OF FACTS AS PRESENTED TO THE COMMISSION:

The following factual information is derived from your letter to the Commission: Governor Kate Brown appointed former State Representative Peter Buckley to a position as Senior Advisor for Transportation and Budget Stability within the Office of the Governor on March 7, 2017. Prior to his appointment by Governor Brown, Mr. Buckley served as a member of the Oregon House of Representatives from January 2005 to January 9, 2017.

According to the Oregon State Legislature website, the 2017 Legislative Session began on February 1, 2017.

LEGAL BACKGROUND:

ORS 244.045(6) states:

A person who has been a member of the Legislative Assembly may not receive money or other consideration for lobbying as defined in ORS 171.725 performed during the period beginning on the date the person ceases to be a member of the Legislative Assembly and



ending on the date of adjournment sine die of the next regular session of the Legislative Assembly that begins after the date the person ceases to be a member of the Legislative Assembly.

Regular Session Period –

Article IV, section 10(1) of the Oregon Constitution states that the Legislative Assembly shall hold annual regular sessions. In odd-numbered years, the regular session may not, except as otherwise specified, exceed 160 days.

According to ORS 171.010, regular sessions of the Legislative Assembly begin on the first day of February each year. If the first day of February falls on a Thursday, Friday, Saturday or Sunday, the regular session begins on the following Monday. The 2017 regular session began on February 1, 2017.

Lobbying Defined –

Lobbying is defined in ORS 171.725(8) as “influencing, or attempting to influence, legislative action through oral or written communication with legislative officials, solicitation of executive officials or other persons to influence or attempt to influence legislative action or attempting to obtain the goodwill of legislative officials.”

Lobbyist Defined –

There are three types of lobbyists defined in ORS 171.725(9):

- (a) Any individual who agrees to provide personal services for money or any other consideration for the purposes of lobbying.
- (b) Any person not otherwise subject to paragraph (a) of this subsection who provides personal services as a representative of a corporation, association, organization or other group, for the purpose of lobbying.
- (c) Any public official who lobbies.

Under ORS 171.735, a person must register as a lobbyist if they agree to provide personal services for money or any other consideration for the purpose of lobbying, if they spend more than 24 hours engaged in lobbying in a calendar quarter, or if they spend more than a total of \$100 lobbying during a calendar quarter. ORS 171.735(4).

ANALYSIS:

ORS 244.045(6) prohibits a person who ceases to be a member of the Legislative Assembly from “receiving money or other consideration for lobbying” for the specified period. The question is whether a public official lobbying on behalf of their public agency employer receives money or other consideration for lobbying within the meaning of ORS 244.045(6).

ORS 244 does not define “money or other consideration for lobbying” or “consideration” for purposes of ORS 244.045(6). But two statutes regulating lobbying, which are closely related to ORS 244.045(6), use a substantially identical phrase. The first, ORS 171.725(9), defines “lobbyist.” Subsection (9)(a) of that provision defines what is commonly referred to as a “contract lobbyist” as an individual who agrees to provide personal services “for money or any other consideration for the purpose of lobbying.” The legislature did not consider public officials who lobby to be persons who agree to lobby “for money or any other consideration for the purposes of lobbying” under ORS 171.735(9)(a). Instead, they specified that public officials who lobby are lobbyists under ORS 171.725(9)(c). Had the legislature considered public officials who lobby to fall under subsection (a) because they receive salary or wages from their employer, the legislature would not have needed to enact subsection (9)(c).

The second relevant statute, ORS 171.735, contains the exemptions from lobbyist registration and reporting requirements. Section (4) of that provision exempts a person who does not spend more than 24 hours or \$100 lobbying in any calendar quarter as long so long as the person does not agree to provide personal services “for money or any other consideration for the purpose of lobbying.” In other words, persons who are lobbyists under ORS 171.725(9)(a) must register and report even if they do not spend more than 24 hours or \$100 lobbying in a calendar quarter. The Commission does not interpret public officials who lobby under ORS 171.725(9)(c) to be persons who agree to provide personal services “for money or any other consideration for the purpose of lobbying” such that they may not fall within the exemption in ORS 171.735(4).

Other pertinent context is provided by definitions in ORS 171.725. ORS 171.725 defines “compensation” and “consideration” to mean different things for purposes of the lobbying regulation statutes. “Consideration” is defined to “[include] a gift, payment, distribution, loan, advance or deposit of money or anything of value and includes a contract, promise or agreement, whether or not legally enforceable.” ORS 171.725(2). “Compensation,” on the other hand, is defined to have the meaning in ORS 292.951, which is “wages or salary.” Public officials who lobby on behalf of their public agency employers receive “compensation” for their employment, rather than “consideration for lobbying.”

Read in that context, a person who “receives money or other consideration for lobbying” for purposes of ORS 244.045(6) does not appear to mean a person who is employed by

a public agency and receives compensation for their employment with the agency, even if that person engages in lobbying on behalf of their public agency employer.

The Commission reached the same conclusion in a 2009 opinion. In that opinion, the Commission addressed whether the prohibition in ORS 244.045(6) applied to elected public officials engaging in lobbying on behalf of their public agency. The Commission concluded that it did not. The Commission observed that several state elected officials, including the Governor, and their identified senior staff are explicitly exempt from lobbyist registration and reporting requirements under ORS 171.735(5). The Commission found that exemption to be pertinent context to construing ORS 244.045(6). In addition, if ORS 244.045(6) were interpreted to apply to public officials who lobby, it would apply to elected public officials including the Governor. The statute would then thwart, for the prescribed period, a Governor who was a former legislator from carrying out her constitutional power under Article V, section 11, of the Oregon Constitution to recommend measures to the legislature. The Commission interprets ORS 244.045(6) in a manner that does not conflict with that constitutional provision.

Finally, we reviewed the legislative history surrounding the adoption of ORS 244.045(6) via Senate Bill 10 (2007) and found an exchange between Senator Ferrioli and Chair Brown to support the Commission's interpretation. Specifically, Senator Ferrioli recommended that the legislature expand the prohibition in ORS 244.045(6) prohibiting former legislators from becoming lobbyists within the "cooling off period" to also prohibit former legislatures from becoming administrators or other public officials. He was specifically concerned about former legislators who participated in approving an agency's budget from then becoming the head of that agency during the cooling off period. Chair Brown countered that doing so would create problems recruiting for the legislature. Senate Committee on Rules, Senate Bill 10 (2007), Public Hearing and Work Session, January 11, 2007, audio recording at 39:01. The definition was not expanded. This history supports interpreting the prohibition in ORS 244.045(6) to apply to the paid lobbyists defined in ORS 171.725(9)(a), rather than to public officials who lobby on behalf of the public agency by which they are employed.

Question: Would ORS 244.045(6)'s prohibition on lobbying activity apply to former State Representative Peter Buckley's actions taken as a public official in his capacity as a senior policy advisor within the Office of the Governor?

Answer: No. If Mr. Buckley engages in lobbying in his capacity as a senior policy advisor within the Office of the Governor, he will not be a person who receives money or any other consideration for lobbying within the meaning of ORS 244.045(6) and would not be prohibited from lobbying for the specified period.

**THIS OPINION IS ISSUED BY THE OREGON GOVERNMENT ETHICS COMMISSION
PURSUANT TO ORS 244.280. A PERSON SHALL NOT BE LIABLE UNDER ORS
CHAPTER 244 FOR ANY GOOD FAITH ACTION OR TRANSACTION CARRIED OUT**

IN ACCORDANCE WITH THIS OPINION. THIS OPINION IS LIMITED TO THE FACTS SET FORTH HEREIN.

Issued by Order of the Oregon Government Ethics Commission at Salem, Oregon on the 21th day of April 2017.

Daniel T. Golden, Chairperson



Amy E. Alpaugh, Assistant Attorney General

17-002A/ms

ADDENDUM

RELEVANT STATUTES AND ADMINISTRATIVE RULES: The following Oregon Revised Statutes (ORS) are applicable to the issues addressed in this opinion:

171.725 Definitions for ORS 171.725 to 171.785. As used in ORS 171.725 to 171.785, unless the context requires otherwise:

(1) "Compensation" has the meaning given that term in ORS 292.951.

(2) "Consideration" includes a gift, payment, distribution, loan, advance or deposit of money or anything of value, and includes a contract, promise or agreement, whether or not legally enforceable.

(3) "Executive agency" means a commission, board, agency or other body in the executive branch of state government that is not part of the legislative or judicial branch.

(4) "Executive official" means any member or member-elect of an executive agency and any member of the staff or an employee of an executive agency. A member of a state board or commission, other than a member who is employed in full-time public service, is not an executive official for purposes of ORS 171.725 to 171.785.

(5) "Judge" means an active judge serving on the Oregon Supreme Court, Court of Appeals, Oregon Tax Court, or an Oregon circuit court.

(6) "Legislative action" means introduction, sponsorship, testimony, debate, voting or any other official action on any measure, resolution, amendment, nomination, appointment, or report, or any matter that may be the subject of action by either house of the Legislative Assembly, or any committee of the Legislative Assembly, or the approval or veto thereof by the Governor.

(7) "Legislative official" means any member or member-elect of the Legislative Assembly, any member of an agency, board or committee that is part of the legislative branch, and any staff person, assistant or employee thereof.

(8) "Lobbying" means influencing, or attempting to influence, legislative action through oral or written communication with legislative officials, solicitation of executive officials or other persons to influence or attempt to influence legislative action or attempting to obtain the goodwill of legislative officials.

(9) "Lobbyist" means:

(a) Any individual who agrees to provide personal services for money or any other consideration for the purpose of lobbying.

(b) Any person not otherwise subject to paragraph (a) of this subsection who provides personal services as a representative of a corporation, association, organization or other group, for the purpose of lobbying.

(c) Any public official who lobbies.

(10) "Public agency" means a commission, board, agency or other governmental body.

(11) "Public official" means any member or member-elect of any public agency and any member of the staff or an employee of the public agency.

171.735 Exceptions to application of ORS 171.740 and 171.745. ORS 171.740 and 171.745 do not apply to the following persons:

(1) News media, or their employees or agents, that in the ordinary course of business directly or indirectly urge legislative action but that engage in no other activities in connection with the legislative action.

(2) Any legislative official acting in an official capacity.

(3) Any individual who does not receive compensation or reimbursement of expenses for lobbying, who limits lobbying activities solely to formal appearances to give testimony before public sessions of committees of the Legislative Assembly, or public hearings of state agencies, and who, when testifying, registers an appearance in the records of the committees or agencies.

(4) A person who does not:

(a) Agree to provide personal services for money or any other consideration for the purpose of lobbying;

(b) Spend more than an aggregate amount of 24 hours during any calendar quarter lobbying; and

(c) Spend an aggregate amount in excess of \$100 lobbying during any calendar quarter.

(5) The Governor, chief of staff for the Governor, deputy chief of staff for the Governor, legal counsel to the Governor, deputy legal counsel to the Governor, Secretary of State, Deputy Secretary of State appointed pursuant to ORS 177.040, State Treasurer, Deputy State Treasurer appointed pursuant to ORS 178.060, chief of staff for the office of the State Treasurer, Attorney General, Deputy Attorney General appointed pursuant to ORS 180.130, Deputy Superintendent of Public Instruction appointed pursuant to ORS 326.300, Commissioner of the Bureau of Labor and Industries, deputy commissioner of the Bureau of Labor and Industries appointed pursuant to ORS 651.060, members and staff of the Oregon Law Commission who conduct the law revision program of the commission or any judge.

244.045 Regulation of subsequent employment of public officials; lobbying by former members of Legislative Assembly.

(1) A person who has been a Public Utility Commissioner, the Director of the Department of Consumer and Business Services, the Administrator of the Division of Finance and Corporate Securities, the Administrator of the Insurance Division, the Administrator of the Oregon Liquor Control Commission or the Director of the Oregon State Lottery shall not:

(a) Within one year after the public official ceases to hold the position become an employee of or receive any financial gain, other than reimbursement of expenses, from any private employer engaged in the activity, occupation or industry over which the former public official had authority; or

(b) Within two years after the public official ceases to hold the position:

(A) Be a lobbyist for or appear as a representative before the agency over which the person exercised authority as a public official;

(B) Influence or try to influence the actions of the agency; or

(C) Disclose any confidential information gained as a public official.

(2) A person who has been a Deputy Attorney General or an assistant attorney general shall not, within two years after the person ceases to hold the position, lobby or appear before an agency that the person represented while employed by the Department of Justice.

(3) A person who has been the State Treasurer or the Deputy State Treasurer shall not, within one year after ceasing to hold office:

(a) Accept employment from or be retained by any private entity with whom the office of the State Treasurer or the Oregon Investment Council negotiated or to whom either awarded a contract providing for payment by the state of at least \$25,000 in any single year during the term of office of the treasurer;

(b) Accept employment from or be retained by any private entity with whom the office of the State Treasurer or the Oregon Investment Council placed at least \$50,000 of investment moneys in any single year during the term of office of the treasurer; or

(c) Be a lobbyist for an investment institution, manager or consultant, or appear before the office of the State Treasurer or Oregon Investment Council as a representative of an investment institution, manager or consultant.

(4) A public official who as part of the official's duties invested public funds shall not within two years after the public official ceases to hold the position:

(a) Be a lobbyist or appear as a representative before the agency, board or commission for which the former public official invested public funds;

(b) Influence or try to influence the agency, board or commission; or

(c) Disclose any confidential information gained as a public official.

(5)(a) A person who has been a member of the Department of State Police, who has held a position with the department with the responsibility for supervising, directing or administering programs relating to gaming by a Native American tribe or the Oregon State Lottery and who has been designated by the Superintendent of State Police by rule shall not, within one year after the member of the Department of State Police ceases to hold the position:

(A) Accept employment from or be retained by or receive any financial gain related to gaming from the Oregon State Lottery or any Native American tribe;

(B) Accept employment from or be retained by or receive any financial gain from any private employer selling or offering to sell gaming products or services;

(C) Influence or try to influence the actions of the Department of State Police; or

(D) Disclose any confidential information gained as a member of the Department of State Police.

(b) This subsection does not apply to:

(A) Appointment or employment of a person as an Oregon State Lottery Commissioner or as a Tribal Gaming Commissioner or regulatory agent thereof;

(B) Contracting with the Oregon State Lottery as a lottery game retailer;

(C) Financial gain received from personal gaming activities conducted as a private citizen; or

(D) Subsequent employment in any capacity by the Department of State Police.

(c) As used in this subsection, "Native American tribe" means any recognized Native American tribe or band of tribes authorized by the Indian Gaming Regulatory Act of October 17, 1988 (Public Law 100-497), 25 U.S.C. 2701 et seq., to conduct gambling operations on tribal land.

(6) A person who has been a member of the Legislative Assembly may not receive money or any other consideration for lobbying as defined in ORS 171.725 performed during the period beginning on the date the person ceases to be a member of the Legislative Assembly and ending on the date of adjournment sine die of the next regular session of the Legislative Assembly that begins after the date the person ceases to be a member of the Legislative Assembly.

292.951 Definitions for ORS 292.951 to 292.971. As used in ORS 240.190 and 292.951 to 292.971:

(2) "Compensation" means wages or salary.

KATE BROWN
GOVERNOR



March 13, 2017

Ron Bersin
Executive Director
Oregon Government Ethics Commission
3218 Pringle Rd. SE, Suite 220
Salem, OR 97302-1544

Re: Request for Advisory Opinion

Dear Mr. Bersin,

The Office of the Governor respectfully requests an Advisory Opinion from the Oregon Government Ethics Commission (OGEC), pursuant to the OGEC's authority under ORS 171.776 and ORS 244.28, regarding the scope of the lobbying "for money or any other consideration" prohibition established by ORS 244.045(6).¹

QUESTION PRESENTED

Would ORS 244.045(6)'s prohibition on lobbying activity apply to former State Representative Peter Buckley's actions taken as a public official in his capacity as a senior policy advisor within the Office of the Governor?

RELEVANT FACTS

Peter Buckley served Oregon House District 5 as a Representative in the Oregon House of Representatives from January 2005 until January 9, 2017. On March 7, 2017, Governor Kate Brown announced that she had appointed Mr. Buckley to the newly created position of Senior Advisor for Transformation and Budget Stability, a staff position within the Office of the Governor. Governor Brown also announced that in this official position, Mr. Buckley will serve the Office of the Governor by "focus[ing] on budget stability for the next three biennia, including major cost drivers in state government and potential state revenue changes."

¹ ORS 244.045(6) states: "A person who has been a member of the Legislative Assembly may not receive money or any other consideration for lobbying as defined in ORS 171.725 performed during the period beginning on the date the person ceases to be a member of the Legislative Assembly and ending on the date of adjournment sine die of the next regular session of the Legislative Assembly that begins after the date the person ceases to be a member of the Legislative Assembly."

Ron Bersin
March 13, 2017
Page 2

In his new position, Mr. Buckley is an official employee of the Office of the Governor. A copy of Mr. Buckley's executed job offer letter from the Office of the Governor is attached for your reference.

RELATED OGEC ADVISORY OPINION

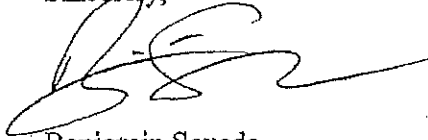
As it presents this Request, the Office of the Governor is mindful of OGEC Advisory Opinion 09A-1002 (2009 Advisory Opinion). The 2009 Advisory Opinion determined that the only lobbying excluded by ORS 244.045(6) is that covered by ORS 171.725(9)(a), which defines a "lobbyist" as "[a]ny individual who agrees to provide personal services for money or any other consideration for the purpose of lobbying." The 2009 Advisory Opinion concluded that ORS 244.045(6) therefore does not prohibit lobbying by a public official whose lobbying is performed as part of his or her official duties, as defined in ORS 171.725(9)(c), which defines a "lobbyist" as "[a]ny public official who lobbies."

CONCLUSION

By this Request, the Office of the Governor seeks an Advisory Opinion that clarifies whether the OGEC stands behind the reasoning and conclusion previously reached by the Commission in the 2009 Advisory Opinion, and if so, whether Mr. Buckley's work as a public official within the Office of the Governor is therefore outside the scope of ORS 244.045(6)'s proscription.

The Office of the Governor appreciates the OGEC's consideration of this Request for an Advisory Opinion. If any additional factual clarification or other information would be useful to the OGEC in its work, please let me know.

Sincerely,



Benjamin Souede
General Counsel
Office of the Governor



Kate Brown
GOVERNOR

March 3, 2017

Peter Buckley

Dear Mr. Buckley:

It is my pleasure to extend the following offer of employment to you on behalf of Governor Kate Brown.

Beginning on March 8, 2017 you will serve as Senior Advisor, Transformation and Budget Stability in the Governor's Office. This is a part-time limited-duration assignment expected to end June 30, 2017. At that time the position will be reevaluated for possible extension. This assignment will be 20 hours a week.

This position is unclassified (executive) service. You serve at the pleasure of the Governor in an "at-will" status, with no property interests connected to this position.

Your appointment is to the position of a Principal Executive Manager G, salary range 38X. Your monthly salary will be \$5,414 (based on full-time salary of \$16,828). As a part-time employee, your benefits listed below will be 50% based on your part-time status.

You will be reemployed to state service. Based on your recognized service date, your vacation leave accrual rate will be 6.67 hours per month and 4 hours of sick leave.

You will receive comprehensive medical (with vision), dental and basic life insurance; other optional insurance with group-based premiums; flexible spending accounts; membership in the Oregon Public Employees Retirement System; and an optional deferred compensation retirement program.

This appointment is contingent upon the outcome of a criminal records check. Any history of criminal activity will be reviewed and could result in the withdrawal of the offer of employment.

Thank you for accepting this appointment. The skills and talent you bring to the position will greatly assist this administration in achieving its goals.

Sincerely,

Nik Blosser
Chief of Staff

I accept this appointment

Signature

Date

3-6-17

THE STATE OF OREGON DEPARTMENT OF ADMINISTRATION OFFICE OF THE GOVERNOR



Oregon

Kate Brown, Governor

Government Ethics Commission

3218 Pringle Rd SE, Ste 220

Salem, OR 97302-1544

Telephone: 503-378-5105


Fax: 503-373-1456


E-mail: ogec.mail@oregon.gov

Website: www.oregon.gov/ogec

MEMORANDUM

DATE: April 11, 2017

TO: Ronald A. Bersin 
Executive Director

FROM: Diane Gould 
Investigator

RE: Request for Extension of Deadline on Commission Advisory Opinion
17-003A

The purpose of this memo is to request a 60 day extension to the deadline for the issuance of the above cited Commission Advisory Opinion, as allowed by statute.

Two attorneys representing three members of the Oregon Board of Maritime Pilots submitted a request for a Commission Advisory Opinion, which was received on 3/17/17.

ORS 244.280(2) provides that the Commission shall issue either an opinion or a written denial of the request within 60 days of the date the opinion request is received. Due to the timing of this request, the deadline for issuing this opinion is 5/15/17.

The Commission's next meeting is on 4/21/17, which does not allow enough time to obtain the necessary additional information from the requestors and finish analyzing the request.

ORS 244.280(2) allows the Commission, by vote of a majority of its members, to extend the 60-day deadline by one period not to exceed 60 days. A 60 day extension will allow the Commission to consider the opinion at its meeting on 6/2/17.



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Trainers' Report April 21, 2017

This report covers the time period of March 13, 2017, through April 21, 2017.

Completion of training:

- Association of Oregon Counties (AOC) County College – ORS 244 (Salem)
- Association of Oregon Counties (AOC) County Road Program – ORS 244 (Salem)
- State Agencies Directors Meeting – ORS 171 (Salem)
- Department of Human Services/Oregon Health Authority Fiscal & Operations Division – ORS 244 (Salem)
- City of Lincoln City – ORS 244, ORS 192 & SEI (Lincoln City)
- Oregon House of Democrats, New Employee Orientation SEI – ORS 244 (Salem)
- Oregon Health Authority, New Employee Orientation – ORS 244 (Salem)
- Department of Administration Foundational Management – ORS 244 (Salem)
- Institute of Internal Auditors – ORS 244 (Salem)

Upcoming Trainings:

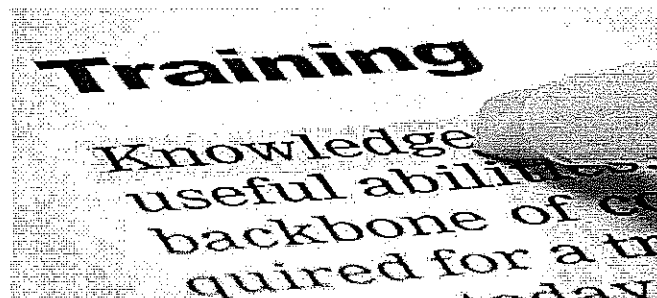
<u>Date</u>	<u>Time</u>	<u>Public Body (Topic)</u>	<u>Address</u>
4/25/2017	2:00 – 3:00 PM	Oregon Health Authority (OHA), New Employee Orientation (ORS 244)	Department of Human Services Training Center 3414 Cherry Avenue, Suite 150 Keizer, OR 97303
4/27/2017	9:15 – 10:15 AM	Oregon Dealer Advisory Committee (ODAC) (ORS 244)	1905 Lana Ave NE Salem, OR 97301
5/1/2017	1:00 – 3:30 PM	Oregon Youth Authority (ORS 244)	Oregon Youth Authority 530 Center St N.E. 5 th Floor Salem, OR 97301
5/18/2017	9:00 – 12:00 PM	Central Lincoln Electric Utility (ORS 244)	2129 N. Coast Hwy Newport, OR 97365

5/23/2017		Oregon Health Authority (OHA), New Employee Orientation (ORS 244)	Department of Human Services Training Center Wallowa Room 3414 Cherry Avenue, Suite 150 Keizer, OR 97303
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Upcoming Conferences

5/2 & 9/2017	1:30– 2:45 PM	Oregon State Fiscal Association Board (ORS 244)	Chemeketa Winema 4001 Winema Place NE Salem, OR 97305
7/26/2017	3:45 – 5:00 PM	Oregon Association of School Business Officials (OASBA) (ORS 244)	Riverhouse on the Deschutes Convention Center Center Highway 97 & Mt. Washington Drive Bend, OR 97703
9/11/2017	10:00 – 11:30 AM	Association of County Treasurers & Finance Officers (ORS 244)	5500 Running Y Road Klamath Falls, OR 97601

Training Staff: Tammy Hedrick 503-378-6802 tammy.r.hedrick@oregon.gov



April 2017

Oregon Government Ethics Commission AdobeConnect Webinar Training Calendar

Monday	Tuesday	Wednesday	Thursday	Friday
	<div style="border: 1px solid black; padding: 5px;"> Email ogec.training@oregon.gov to register for a webinar. </div>			1
3 New Employees: you're a public official, now what! 2:00 – 3:00 PM	4	5 Use of Position/Office 10:30 – 11:30 AM	6	7 Conflicts of Interest 10:30 – 11:30 AM
10	11	12	13	14
17	18 Lobby law 2:30 – 3:30 PM	19	20 Executive Session 10:00 – 11:00 AM	21 Commission Meeting
24 Gifts 2:00 – 3:00 PM	25	26	27	28

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May 2017

Oregon Government Ethics Commission AdobeConnect Webinar Training Calendar

Monday	Tuesday	Wednesday	Thursday	Friday
1	2 New Employees: you're a public official, now what! 10:00 – 11:00 AM	3	4	5
8 Use of Position/Office 10:30 – 11:30 AM	9	10	11	12 Conflicts of Interest 10:30 – 11:30 AM
15	16	17 Lobby law 9:30 – 10:30 AM	18	19
22	23 Gifts 2:00 – 3:00 PM	24	25 Executive Session 10:00 – 11:00 AM	26
29 Memorial Day- Office Closed	30	31	Email ogec.training@oregon.gov to register for a webinar.	

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Executive Director's Report

April 21, 2017

- Reporting System
 - SEI filing season going smoothly
 - Mainly, password resets
 - HB 2577 passed through House 57 ayes, 3 nays

- Budget
 - 2015-17 biennial budget
 - Agency completed audit for 2017-19 budget
 - Fund 4150, General Fund
 - Spending average of \$79,524.08 with \$118,717.85 to spend per month. A difference of \$39,193.77.
 - Fund 4160 Electronic Reporting System
 - Moneys in this fund have been spent in accordance with financial plan. The agency will not spend any other moneys in this fund.
 - Fund 4170 Case Management System
 - Spending an average of \$7,198.47 with \$25,276.65 to spend per month. A difference of \$18,078.18.
 - Fund 4180 Case Management System, Professional Services
 - \$310.75 surplus projected through 6/30/17.
 - 2017-19 biennial budget
 - Work session completed with Due Pass recommendation.
 - Only changes to budget was using \$200,000 saving from 2015-17 biennium to lessen assessment needed in 2017-19
 - Full Ways and Means to work bill on 4/14/17.

- Legislation
 - HB 2298 passed through House, awaiting hearing in Senate Rules
 - SB 44 passed through Senate, awaiting hearing in House Rules
 - SB 43 is awaiting amendments from legislative counsel
 - HB 2299, meeting with Rep. Williamson and McLane 4/26

- Case Management System
 - Phase 2 on-time for deployment.
 - Planning Phase 3 while we still have services of project manager.

- Other
 - New Commission member before Senate Rules April 26th.
 - Agency submitted fiscal impact on HB 2577
 - Computer and monitor is scheduled for installation.
 - Virginia received a Statewide Employee Recognition Award. She has been invited to the Governor's mansion to receive her award on May 10th

