

Client/Employer Activity

Q2 2016

Client Code: 1275
User Name: cannabis
Email: amy.margolis@gmlaw.com

Q2 2016 Filing: 7/27/2016
Q2 2016 Expended: \$0.00
Q2 2016 Penalty: \$110.00

Oregon Cannabis Association
Attn: Amy Margolis
111 SW 5th Ave., US Bancorp Tower, Suite 2080
Portland, OR 97204

01/26/17 01:30:17.130 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/26/17 11:31:23.743 - Admin User Reset Initiated - An admin user reset was initiated.
01/26/17 11:31:42.907 - Admin User Password Reset Completed - A user reset their password using an admin reset.
01/26/17 11:31:51.300 - User Successfully Authenticated -
01/26/17 11:40:11.233 - User Profile Updated - User profile updated for Amy Margolis
01/26/17 11:40:19.670 - User Profile Updated - The user's main profile was updated.
01/26/17 11:47:46.850 - User Profile Updated - User profile updated for Amy Margolis
01/26/17 11:47:55.307 - User Profile Updated - The user's main profile was updated.
01/26/17 11:55:47.387 - User Successfully Authenticated -
01/26/17 11:57:17.767 - Client Report Submitted - Client Report Submitted for Q4 2016
01/26/17 12:01:52.393 - User Profile Updated - The user's main profile was updated.
01/26/17 12:01:56.660 - User Profile Updated - User profile updated for Amy Margolis
04/04/17 03:30:38.347 - User Successfully Authenticated -
04/04/17 03:31:33.987 - Client Report Submitted - Client Report Submitted for Q1 2017
04/04/17 03:54:38.170 - User Successfully Authenticated -
04/04/17 03:59:18.207 - User Successfully Authenticated -
04/04/17 04:00:04.523 - User Profile Updated - User profile updated for Amy Margolis
04/04/17 04:00:14.420 - User Profile Updated - The user's main profile was updated.
04/11/17 04:34:58.757 - User Successfully Authenticated -
04/11/17 04:45:17.330 - User Successfully Authenticated -
04/11/17 04:47:55.643 - User Successfully Authenticated -

Client/Employer Activity

Q3 2016

Client Code: 1275
User Name: cannabis
Email: amy.margolis@gmlaw.com

Q3 2016 Filing: 11/3/2016
Q3 2016 Expended: \$0.00
Q3 2016 Penalty: \$350.00

Oregon Cannabis Association
Attn: Amy Margolis
111 SW 5th Ave., US Bancorp Tower, Suite 2080
Portland, OR 97204

Activity Log - Q3 2016 to Date

07/16/16 01:30:28.717 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/16/16 01:30:28.983 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/17/16 01:30:28.113 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/17/16 01:30:28.457 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/18/16 01:30:26.203 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/18/16 01:30:26.420 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/19/16 01:30:28.957 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/19/16 01:30:29.190 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/20/16 01:30:27.287 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/20/16 01:30:27.537 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/21/16 01:30:32.820 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/21/16 01:30:33.087 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/22/16 01:30:31.703 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/22/16 01:30:31.907 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/23/16 01:30:28.827 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/23/16 01:30:29.107 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/24/16 01:30:50.807 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/24/16 01:30:51.073 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/25/16 01:30:29.547 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/25/16 01:30:29.763 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/26/16 01:30:31.257 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/26/16 01:30:31.507 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/26/16 11:21:33.887 - User Failed to Authenticate -
07/26/16 11:21:43.590 - User Successfully Authenticated -
07/26/16 11:24:00.097 - Client Report Submitted - Client Report Submitted for Q2 2016
07/26/16 11:26:36.267 - User Successfully Authenticated -
07/26/16 11:34:47.540 - User Successfully Authenticated -
07/26/16 11:37:42.947 - User Successfully Authenticated -
07/26/16 11:51:19.923 - User Successfully Authenticated -
07/26/16 01:26:00.020 - User Successfully Authenticated -
07/26/16 04:03:02.717 - User Successfully Authenticated -
07/26/16 04:06:37.133 - Client Report Submitted - Client Report Submitted for Q1 2016
07/26/16 04:07:53.977 - Client Report Submitted - Client Report Submitted for Q2 2016
07/27/16 10:11:14.997 - User Successfully Authenticated -
07/27/16 10:12:11.423 - Client Report Submitted - Client Report Submitted for Q2 2016
10/16/16 01:30:13.573 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/16/16 01:30:13.760 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/17/16 01:30:13.377 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/17/16 01:30:13.563 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/18/16 01:30:13.460 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/18/16 01:30:13.507 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/19/16 01:30:14.127 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/19/16 01:30:14.187 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/20/16 01:30:14.310 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/20/16 01:30:14.373 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/21/16 01:30:14.067 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
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10/23/16 01:30:11.850 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/23/16 01:30:11.883 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/24/16 01:30:15.233 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/24/16 01:30:15.280 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/25/16 01:30:12.280 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/25/16 01:30:12.327 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3

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Q3 2016 Filing: 11/3/2016
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Q3 2016 Penalty: \$350.00

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Portland, OR 97204

10/26/16 01:30:22.063 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/26/16 01:30:22.577 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/27/16 01:30:23.053 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
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10/31/16 01:30:22.407 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/01/16 01:30:21.123 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/01/16 01:30:21.577 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/02/16 01:30:21.367 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/02/16 01:30:21.740 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/03/16 01:30:21.627 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/03/16 01:30:21.953 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/03/16 10:09:16.743 - Admin User Reset Initiated - An admin user reset was initiated.
11/03/16 10:09:41.180 - Admin User Reset Initiated - An admin user reset was initiated.
11/03/16 10:24:15.330 - Admin User Password Reset Completed - A user reset their password using an admin reset.
11/03/16 10:24:32.623 - User Successfully Authenticated -
11/03/16 10:25:00.643 - User Password Reset - The user's password was reset from the "My Profile" page.
11/03/16 10:25:00.737 - User Profile Updated - The user's main profile was updated.
11/03/16 10:25:04.820 - User Profile Updated - User profile updated for amy margolis
11/03/16 10:42:58.917 - User Profile Updated - The user's main profile was updated.
11/03/16 10:43:03.117 - User Profile Updated - User profile updated for Amy Margolis
11/03/16 10:46:20.067 - User Failed to Authenticate -
11/03/16 10:47:45.230 - Admin User Reset Initiated - An admin user reset was initiated.
11/03/16 05:16:22.130 - Admin User Password Reset Completed - A user reset their password using an admin reset.
11/03/16 05:16:46.813 - User Successfully Authenticated -
11/03/16 05:20:54.223 - Client Report Submitted - Client Report Submitted for Q3 2016
01/15/17 04:42:37.030 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/15/17 06:11:57.073 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 01:40:15.007 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
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04/04/17 03:30:38.347 - User Successfully Authenticated -
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Client/Employer Activity

Q4 2016

Client Code: 1275
User Name: cannabis
Email: amy.margolis@gmlaw.com

Q4 2016 Filing: 1/26/2017
Q4 2016 Expended: \$0.00
Q4 2016 Penalty: \$110.00

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April 13, 2017

Oregon Government Ethics Commission
3218 Pringle Rd. SE, #220
Salem, OR 97302-1544
Via email to: OGEC.mail@oregon.gov

RECEIVED
APR 24 2017
OREGON GOVERNMENT
ETHICS COMMISSION

Dear Commissioners,

I am writing this letter to you to address two accounts/registered in my name with the State of Oregon. These accounts are for the Oregon Cannabis Association and Amy T. Margolis registered lobbyist client/employer. During the calendar year of 2016 I was delinquent in filing my quarterly reports. I was not receiving email reminders of due dates and trusted an untrained employee to file such reports on my behalf. All 2016 filings were completed, though not on time.

Q2, Q3, Q4
\$570

Q2, Q3, Q4 2016
\$840

Due to an email hiccup, I was out of the loop on all communication from your office until January 23rd, 2017. On that date I, along with my new administrative assistant, called your office to sort out the accounts in question. In addition to updating my information I added a failsafe email to which reminders are now sent, and myself and my employee received training from a helpful representative from your office; Kathy Daniel. Under her direction we have implemented a new system to ensure that the reports are filed, and have filed the 2017 Q1 reports appropriately and early.

Ms. Daniel directed me to write a letter to the OGEC to take accountability for the late filings in 2016, and to see if the commission would consider dismissal or a reduction of penalties on both accounts given the training and management previously described.

Please let me know if you require more information to make your decision.

Sincerely,

Amy T. Margolis



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

May 5, 2017

Frontier TeleNet
Attn: Rob Myers
PO Box 616
Condon, OR 97823

Dear Mr. Myers:

The written explanation of why your 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, June 2, 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 June 2nd 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 May 1th, 2017 at 2:23 PM

5/1/2017 Letter of Explanation received.

5/5/2017 Letter of Acknowledgement sent.

KathyD April 27th, 2017 at 2:29 PM

4/27/2017 I spoke in depth with Mr. Myers today...educated him on the system, helped him with password resets, and he got all past delinquent reports filed. He will write a letter of explanation.

KathyD April 26th, 2017 at 3:35 PM

4/26/17 Chris is rep for Frontier TeleNet that hasn't filed for Q3, 4, 2016 and Q1 2017. LM for Chris as well as Lobbyist Robert Myers to see if he has contact info for Chris.

VIOLATIONS: Failure to file 2016 quarters 2, 3, 4. 2017 Q1 filed late. All have been filed now.

RECOMMENDATION: *No recommendation No consent calendar*

Q1 120
Q4 4500
Q3 5000
Q2 160

\$9,780.00

Client/Employer Activity

Q1 2017

Client Code: 506
User Name: Chris Perry
Email: rob@remyers.org

Q1 2017 Filing: 4/27/2017
Q1 2017 Expended: \$2,500.00
Q1 2017 Penalty: \$120.00

Frontier TeleNet
Attn: Rob Myers
P.O. Box 616
Condon, OR 97823

Activity Log - Q1 2017 to Date

01/01/17 01:43:03.757 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/02/17 01:30:22.217 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/03/17 01:30:18.180 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/04/17 01:30:18.340 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/05/17 01:30:17.510 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/06/17 01:30:14.560 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/07/17 01:30:14.177 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/08/17 01:30:18.853 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/09/17 01:30:14.203 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/10/17 01:30:17.777 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/11/17 01:30:15.287 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/12/17 01:30:22.083 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/13/17 01:30:21.103 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/14/17 01:30:18.600 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/15/17 01:30:19.637 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/15/17 04:42:31.993 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/15/17 04:42:35.657 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/15/17 06:10:29.747 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/15/17 06:11:27.517 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 01:30:28.573 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/16/17 01:37:08.800 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/16/17 06:19:41.407 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/16/17 06:20:19.697 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/17/17 01:30:20.230 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/17/17 01:36:10.007 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/18/17 01:30:18.060 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/18/17 01:30:46.200 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/19/17 01:30:17.967 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/19/17 01:30:31.427 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/20/17 01:30:19.373 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/20/17 01:30:33.740 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/21/17 01:30:19.353 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/21/17 01:30:29.517 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/22/17 01:30:23.990 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/22/17 01:30:37.327 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/23/17 01:30:12.467 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/23/17 01:30:16.040 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/24/17 01:30:12.240 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/24/17 01:30:17.247 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/25/17 01:30:12.440 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/25/17 01:30:19.577 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/26/17 01:30:12.480 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/26/17 01:30:16.337 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/27/17 01:30:19.830 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/27/17 01:30:23.450 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/28/17 01:30:14.147 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/28/17 01:30:22.803 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/29/17 01:30:17.207 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/29/17 01:30:20.520 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/30/17 01:30:15.437 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/30/17 01:30:21.473 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q4
01/31/17 01:30:16.830 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
01/31/17 01:30:20.923 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4
02/01/17 01:30:20.457 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
02/01/17 01:30:26.243 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q4

Client/Employer Activity

Q3 2016

Client Code: 506
User Name: Chris Perry
Email: rob@remyers.org

Q3 2016 Filing: 4/27/2017
Q3 2016 Expended: \$2,500.00
Q3 2016 Penalty: \$5,000.00

Frontier TeleNet
Attn: Rob Myers
P.O. Box 616
Condon, OR 97823

Activity Log - Q3 2016 to Date

07/16/16 01:30:28.560 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/17/16 01:30:27.910 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/18/16 01:30:26.000 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/19/16 01:30:28.767 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/20/16 01:30:27.177 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/21/16 01:30:32.680 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/22/16 01:30:31.517 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/23/16 01:30:28.670 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/24/16 01:30:50.697 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/25/16 01:30:29.420 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/26/16 01:30:31.083 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
08/03/16 01:30:11.497 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q2
08/03/16 08:36:53.207 - User Failed to Authenticate -
08/03/16 08:45:46.350 - Admin User Reset Initiated - An admin user reset was initiated.
08/03/16 09:03:38.613 - Admin User Password Reset Completed - A user reset their password using an admin reset.
08/03/16 09:04:10.170 - User Successfully Authenticated -
08/03/16 09:06:04.773 - Client Report Submitted - Client Report Submitted for Q2 2016
10/16/16 01:30:13.353 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/17/16 01:30:13.157 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/18/16 01:30:13.367 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/19/16 01:30:14.080 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/20/16 01:30:14.233 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/21/16 01:30:13.990 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/22/16 01:30:11.717 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/23/16 01:30:11.757 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/24/16 01:30:15.187 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/25/16 01:30:12.233 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/26/16 01:30:21.033 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/27/16 01:30:22.153 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/28/16 01:30:22.800 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/29/16 01:30:21.500 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/30/16 01:30:24.113 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/31/16 01:30:21.127 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/01/16 01:30:20.330 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/02/16 01:30:20.540 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/03/16 01:30:20.833 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/04/16 01:30:19.510 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/05/16 01:30:21.250 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/06/16 01:30:49.827 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/07/16 01:30:20.110 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/08/16 01:30:17.940 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/09/16 01:30:17.287 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/10/16 01:30:17.967 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/11/16 01:30:19.260 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/12/16 01:30:18.140 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/13/16 01:30:21.740 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/14/16 01:30:18.877 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/15/16 01:30:18.060 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/16/16 01:30:15.643 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/17/16 01:30:16.687 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/18/16 01:30:15.560 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/19/16 01:30:19.167 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/20/16 01:30:16.787 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/21/16 01:30:15.647 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/22/16 01:30:19.093 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3

Client/Employer Activity

Q2 2016

Client Code: 506
User Name: Chris Perry
Email: rob@remyers.org

Q2 2016 Filing: 8/3/2016
Q2 2016 Expended: \$0.00
Q2 2016 Penalty: \$160.00

Frontier TeleNet
Attn: Rob Myers
P.O. Box 616
Condon, OR 97823

Activity Log - Q2 2016 to Date

05/05/16 09:34:56.007 - Admin User Reset Initiated - An admin user reset was initiated.
05/11/16 02:33:19.707 - User Failed to Authenticate -
05/11/16 02:52:50.327 - User Failed to Authenticate -
05/26/16 10:43:29.843 - Admin User Reset Initiated - An admin user reset was initiated.
05/26/16 10:45:07.543 - Client Report Saved - Client Report Saved
05/26/16 10:52:53.097 - Client Report Submitted - Client Report Submitted
07/16/16 01:30:28.560 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/17/16 01:30:27.910 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/18/16 01:30:26.000 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/19/16 01:30:28.767 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/20/16 01:30:27.177 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/21/16 01:30:32.680 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/22/16 01:30:31.517 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/23/16 01:30:28.670 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/24/16 01:30:50.697 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/25/16 01:30:29.420 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
07/26/16 01:30:31.083 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q2
08/03/16 01:30:11.497 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q2
08/03/16 08:36:53.207 - User Failed to Authenticate -
08/03/16 08:45:46.350 - Admin User Reset Initiated - An admin user reset was initiated.
08/03/16 09:03:38.613 - Admin User Password Reset Completed - A user reset their password using an admin reset.
08/03/16 09:04:10.170 - User Successfully Authenticated -
08/03/16 09:06:04.773 - Client Report Submitted - Client Report Submitted for Q2 2016
10/16/16 01:30:13.353 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/17/16 01:30:13.157 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/18/16 01:30:13.367 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/19/16 01:30:14.080 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/20/16 01:30:14.233 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/21/16 01:30:13.990 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/22/16 01:30:11.717 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/23/16 01:30:11.757 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/24/16 01:30:15.187 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/25/16 01:30:12.233 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/26/16 01:30:21.033 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/27/16 01:30:22.153 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/28/16 01:30:22.800 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/29/16 01:30:21.500 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/30/16 01:30:24.113 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2016 Q3
10/31/16 01:30:21.127 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/01/16 01:30:20.330 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/02/16 01:30:20.540 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/03/16 01:30:20.833 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/04/16 01:30:19.510 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/05/16 01:30:21.250 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/06/16 01:30:49.827 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/07/16 01:30:20.110 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/08/16 01:30:17.940 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/09/16 01:30:17.287 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/10/16 01:30:17.967 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/11/16 01:30:19.260 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/12/16 01:30:18.140 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/13/16 01:30:21.740 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/14/16 01:30:18.877 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/15/16 01:30:18.060 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3
11/16/16 01:30:15.643 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q3

RECEIVED

MAY 01 2017

OREGON GOVERNMENT
ETHICS COMMISSION

April 27, 2017

For Client

TO: Oregon Government Ethics Commission
FROM: Rob Myers
Frontier TeleNet
SUBJECT: Letter of Explanation and Request For Mitigation

Frontier TeleNet incurred substantial penalties and late fees due to late client filings beginning in the fall of 2016, and extending to the present, when Kathy Daniel contacted me to see if we could resolve the situation.

Though I was and remain the lobbyist for Frontier TeleNet, since my reporting obligations don't extend to Frontier TeleNet client reports, Kathy's phone call was the first time I was aware of a problem. The previous Frontier TeleNet board chair was Chris Perry, the then-sitting Wheeler County judge, who was responsible for filing the client reports. Judge Perry was recalled in September 2016, and unbeknownst to the remaining board members or to me, made no arrangements to file any client reports subsequent to his removal from office – the result of which was that the reports were not filed.

Thanks entirely to Kathy's help and patience, I was able to get Frontier TeleNet current in its report status, which is where we stand today.

Because the circumstances were beyond my or Frontier's control, and because county judges are typically recalled under tumultuous conditions, we were retrospectively unprepared to deal with ensuring that the quarterly reports were filed in a timely manner.

The simple fact remains, of course, that the reports were not filed, which is just as undeniably Frontier TeleNet's responsibility. We're not asking for absolution of fault, but we would respectfully ask for the mitigation of penalties and fees that we did not know were accumulating. Had we been aware of the situation, we most certainly would have dealt with it months ago to avoid such accumulation.

Frontier TeleNet provides internet access to all the schools in Gilliam, Sherman and Wheeler counties, mission-critical communications services to all law enforcement and emergency services agencies in the same three counties, interconnectivity between our County Sheriffs' departments and OSP, and provides mission-critical communications services to the only four-county Public Safety Answering Point in the state of Oregon. To the extent possible, we would appreciate the Commission's consideration of our request for mitigation.

Thank You –
Rob

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Dennis Richardson
SECRETARY OF STATE

RECEIVED
MAY 22 2017
OREGON GOVERNMENT
ETHICS COMMISSION

May 21, 2017

Chairman Don Golden
Government Ethics Commission
3218 Pringle Road SE #220
Salem, OR 97302—1544

RE: Letter of Education dated April 21, 2017

Dear Mr. Chairman,

Throughout January, my Special Assistant Eric Jorgensen was in contact with Kathy Daniel of your staff, and my Chief of Staff Debra Royal was in contact with Laura Hutchins formerly of Secretary of State Jeanne Atkins' staff and currently of Governor Brown's staff.

Mr. Jorgensen reached out to Ms. Daniel well before the January 15 deadline to inquire about the 4Q lobbying report. Ms. Daniel informed him that there was no need for our office to provide the filing as it fell under the prior administration's tenure. Additionally, for several days after the deadline expired, Ms. Daniel told Mr. Jorgensen to disregard your office's computer generated "Failure to File Quarterly Reports" email notices as your computer program was generating inaccurate notices. However, five days after the deadline, Ms. Daniel, again, contacted Mr. Jorgensen but with conflicting instructions. The new procedure was that this office was responsible for the previous administration's filing and that Ms. Daniel would provide us with a new password to file the required report. This password reset took several days because Ms. Daniel was forwarding the notifications to the wrong email address. Once this was realized, Ms. Daniel changed the default email address in your system and Mr. Jorgensen received the password reset information. (See attached email thread.)

On January 9, Ms. Royal became aware of a computer generated email from your office addressed to Ms. Hutchins that came into the generic Secretary of State email box. Ms. Royal immediately forwarded the email to Ms. Hutchins asking for guidance. Ms. Hutchins responded, "I did not removed myself as the 'jurisdictional contact' for the office of SoS intentionally, so that I could complete the 2016 4Q reporting on behalf of the office...." (See attached email thread.)

As soon as it became clear that Ms. Daniel had given my staff inaccurate information and that Ms. Hutchins had failed to follow-through on submitting Secretary Atkins' 4Q filing as she said was her responsibility, my office submitted the required documents.

In conclusion, it appears the problem stemmed from the brief period of transition. Regardless as to who is to blame, the matter has been resolved and it will not reoccur. After you have had time to review this letter and its attachments, I am hopeful that you will grant my request to rescind the Letter of Education.

Thank you for your time and consideration.

Sincerely,

Dennis Richardson
Attachments

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KathyD *April 21rd, 2017 at 3:26 PM*

4/21/2017 Commissioners issued a Letter of Education and waived penalty.

KathyD *April 5rd, 2017 at 8:46 AM*

3/14/2017 Letter of Explanation received.

4/5/2017 Letter of Acknowledgement sent.

KathyD *January 31rd, 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 20rd, 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 17rd, 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.



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

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

LETTER OF EDUCATION

Re: Client/Employer Late Filing Penalty

Dear Mr. Richardson:

This letter is being issued to educate you regarding the requirements of ORS 171.750 and 171.752 because of your failure to timely file a Client/Employer Expenditure Report with the Oregon Government Ethics Commission.

Your organization is listed as a client or employer of a lobbyist who has registered with the Oregon Government Ethics Commission to represent you. Statute requires that you submit a lobbying expenditure report by the 15th of the month following each quarter, even if there were no expenses to report, and for any portion of a reporting period prior to the filing of a termination form.

A valid lobbying registration was on file for your organization during the 4th quarter reporting period of October 1 through December 31, 2016, which required the filing of an expenditure report. You were notified by email through the Electronic Filing System that your report was due by January 15, 2017. After the required filing date passed, you were again notified by email that penalties had begun to accrue. You violated ORS 171.745 and 171.752 by failing to submit your report by the due date.

The Commission may impose a civil penalty for this violation or it may issue a letter of education in lieu of a civil penalty as provided in 171.992(5). This letter of education is the sanction chosen by the Commission in this matter because we found no previous record of delinquent report filing and because of the proactive measures you have taken by accepting responsibility for the error and taking steps to avoid future problems. Additional violations, however, may carry increased penalties. If you have questions about any of the processes, please contact commission staff.

Sincerely,

Dan Golden
Commission Chair

RECEIVED

APR 27 2017

SECRETARY OF STATE



From: "JORGENSEN Eric" <erijor@sos.state.or.us>
Sent: Sat, 28 Jan 2017 12:40:20 -0800
To: "ROYAL Debra" <debroy@sos.state.or.us>
Cc: "CUMMINGS Leslie" <lescum@sos.state.or.us>
Subject: FW: Failure to File Quarterly Report

Let's talk through this on Monday. I am really not sure how we are supposed to go about doing this.

Also, there is no need to get Dennis involved at this time, unless for some reason we can't resolve this ourselves.

Best wishes,

Eric Jorgensen
Special Assistant to the Secretary of State
Secretary of State Dennis Richardson
(503) 934-0941

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

From: DANIEL Kathy * OGEC [mailto:Kathy.DANIEL@oregon.gov]
Sent: Friday, January 27, 2017 8:43 AM
To: JORGENSEN Eric <erijor@sos.state.or.us>
Subject: RE: Failure to File Quarterly Report

Great! Now it is important that you get the Q4 information and accurately complete the report by requesting that from the predecessors. I'm not sure how you will acquire it, but that is a responsibility of the Secretary of State's office now.

Do not send in a check. Once you get the information and file, the penalties will stop accruing and a letter from SOS explaining why the filing is late would be the next step, and that will be presented to the Ethics Commission for consideration.

Great! Now it is important that you get the Q4 information and accurately complete the report by requesting that from the predecessors. I'm not sure how you will acquire it, but that is a responsibility of the Secretary of State's office now.

Do not send in a check. Once you get the information and file, the penalties will stop accruing and a letter from SOS explaining why the filing is late would be the next step, and that will be presented to the Ethics Commission for consideration.

Kathy Daniel
OR Government Ethics Commission
3218 Pringle Rd SE, Suite 220
Salem OR 97302-1544
Ph: 503-378-2170 Fx: 503-373-1456

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

From: JORGENSEN Eric [mailto:eric.jorgensen@state.or.us]
Sent: Thursday, January 26, 2017 11:02 PM
To: DANIEL Kathy * OGEC <Kathy.DANIEL@oregon.gov>
Subject: RE: Failure to File Quarterly Report

Hello Kathy,

I logged in finally. Thank you! :)

I looked at the previous quarter's report and there appears to be information needed if we are to accurately report the compensation, itemized expenditures and/or additional contributors that occurred during the 4th Quarter of 2016 within the Secretary of State's Office.

I am not sure how to get that kind of information since neither of the two individuals that were list in the Q3 report, were working for the SOS as of Jan 2nd, when Sec. Richardson assumed office.

It seems that what he is being asked to do is, either file a blank report saying there is nothing to report for Q4, or that this needs to be filed by Secretary Atkins since the Lobbyist activities that took place in Q4 were handled under her administration.

I am more than happy to put a check in the box to complete this process, but from an ethical perspective, I don't see how that is the right thing to do.

I look forward to your thoughts. Thanks!

Best wishes,

Eric Jorgensen
Special Assistant to the Secretary of State Secretary of State
Dennis Richardson
(503) 934-0941

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

From: DANIEL Kathy * OGEC [mailto:Kathy.DANIEL@oregon.gov]
Sent: Thursday, January 26, 2017 9:11 AM
To: JORGENSEN Eric <erijor@sos.state.or.us>
Subject: RE: Failure to File Quarterly Report

Hi Eric. I have changed the email address to yours for the Client account. It's very important you keep the User Name and Password for this account handy.

User Name: oregonosos
Password: (Purposefully removed)

I'm not sure what other accounts you are referring to. It may be easier to clarify if you call me. Thanks,

Kathy Daniel
OR Government Ethics Commission
3218 Pringle Rd SE, Suite 220
Salem OR 97302-1544
Ph: 503-378-2170 Ex: 503-373-1456

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

From: JORGENSEN Eric [mailto:eric.jorgensen@state.or.us]
Sent: Wednesday, January 25, 2017 5:28 PM
To: DANIEL Kathy * OGEC <Kathy.DANIEL@oregon.gov>
Subject: RE: Failure to File Quarterly Report

Hello Kathy,

Thank you so much for your email. My email is currently the backup email address for the SOS and SOS Oregon is the current default email. Please make my email the primary email address.

Thank you!

Best wishes,

Eric Jorgensen
Special Assistant to the Secretary of State Secretary of State
Dennis Richardson
(503) 934-0941

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

From: DANIEL Kathy * OGEC [mailto:Kathy.DANIEL@oregon.gov]
Sent: Tuesday, January 24, 2017 1:43 PM
To: JORGENSEN Eric <erijor@sos.state.or.us>
Subject: RE: Failure to File Quarterly Report

I can make the email address change but I need you to send me an email requesting the change detailing the reason why so I can put the request in the account notes.

Kathy Daniel
OR Government Ethics Commission
3218 Pringle Rd SE, Suite 220
Salem OR 97302-1544
Ph: 503-378-2170 Fx: 503-373-1456

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

From: JORGENSEN Eric [mailto:eric.jorgensen@state.or.us]
Sent: Tuesday, January 24, 2017 1:22 PM
To: DANIEL Kathy * OGEC <Kathy.DANIEL@oregon.gov>
Subject: RE: Failure to File Quarterly Report

Good afternoon Kathy,

Thank you! I don't have access to that email box. Any way it can go to me?

Eric

From: DANIEL Kathy * OGEC [Kathy.DANIEL@oregon.gov]
Sent: Monday, January 23, 2017 4:14 PM
To: JORGENSEN Eric
Subject: RE: Failure to File Quarterly Report

Good morning Eric. I have just sent a password reset which bypasses the security questions. It was sent to email on file: oregon.sos@state.or.us. I see that I also sent password resets on January 9th and 13th. Please keep this written down somewhere along with the User Name: oregonsos so there will be less frustration when trying to access the system. Remember that these are space and case-sensitive.

I'm here all day so call if you need me. Thanks !

Kathy Daniel
OR Government Ethics Commission
3218 Pringle Rd SE, Suite 220
Salem OR 97302-1544
Ph: 503-378-2170 Fx: 503-373-1456

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

From: JORGENSEN Eric [mailto:eric.jorgensen@state.or.us]
Sent: Sunday, January 22, 2017 10:41 PM
To: DANIEL Kathy * OGEC <kathy.daniel@state.or.us>
Subject: RE: Failure to File Quarterly Report

Hi Kathy,

I have been trying to reset the password for the OregonSOS account, but with no luck, I know this needs to be taken care of, can you please assist?

Thanks!

Eric

From: JORGENSEN Eric
Sent: Saturday, January 21, 2017 5:24 AM
To: DANIEL Kathy * OGEC
Subject: RE: Failure to File Quarterly Report

OK, that is new from when you and I spoke last time. So I have just been ignoring the messages while the penalties accrue.

I will chat with you on Monday to take care of this, or if you have the instructions of how to do it, feel free to send them over and I will take care of it.

Eric

From: DANIEL Kathy * OGEC [Kathy.DANIEL@oregon.gov]
Sent: Friday, January 20, 2017 5:50 PM
To: JORGENSEN Eric
Subject: RE: Failure to File Quarterly Report

I just left a message regarding this as well.

The Secretary of State's office is required to file a Q4 report as there was an active lobbyist registration for the time period. I understand Mr. Richardson was not in office then, but it is the SOS client account that has to file. I have spoken to another woman (can't remember her name) from the office and explained this as well. Please call me so we can get this done. Thanks,

Kathy Daniel
OR Government Ethics Commission
3218 Pringle Rd SE, Suite 220
Salem OR 97302-1544
Ph: 503-378-2170 Fx: 503-373-1456

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

From: JORGENSEN Eric [mailto:eric.jorgensen@state.or.us]
Sent: Friday, January 20, 2017 9:05 AM
To: DANIEL Kathy * OGEC <kathy.daniel@state.or.us>
Subject: FW: Failure to File Quarterly Report

Hi Kathy,

We are still receiving these notices for Sec. Richardson although as you and I discussed, there are no reports for him to have signed for from last year.

Let me know how to proceed. Thanks!

Eric

From: ogec.notification@egov.com [ogec.notification@egov.com]
Sent: Friday, January 20, 2017 9:30 AM
To: SOS Oregon

C

Cc: JORGENSEN Eric
Subject: Failure to File Quarterly Report

Dear Dennis Richardson,

You were registered with the Oregon Government Ethics Commission in the role of Client. You were notified on 1/1/2017 that the reporting window for the 2016 Q4 reporting period was open and you were reminded again on 1/10/2017 and 1/15/2017.

You must file a report even if you have no activity to report during the reporting period, and you must file a report for any portion of a reporting period prior to a termination or expiration. There is no grace period or allowance for extensions.

We have not yet received your filing, and as such, a civil penalty is now accruing at the rate of \$10 per day for the first 14 days and \$50 per day thereafter until the filing is made or the maximum of \$5000 is reached. Your civil penalty accrual as of today is \$40.00.

Please access the Electronic Filing System now by visiting:
<https://apps.oregon.gov/OGEC/EFS/Home/SignIn>

Please remember to update your profile if you have changes to your email address or other personal information. If you have any questions regarding this process, please contact the Oregon Government Ethics Commission office at 503-378-5105 or by email at ogec.mail@oregon.gov.

Please do not reply to this email as replies will not be delivered to the Commission.

Thank you,

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

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JORGENSEN Eric

From: DANIEL Kathy * OGEC <Kathy.DANIEL@oregon.gov>
Sent: Thursday, January 26, 2017 9:11 AM
To: JORGENSEN Eric
Subject: RE: Failure to File Quarterly Report

Hi Eric. I have changed the email address to yours for the Client account. It's very important you keep the User Name and Password for this account handy.

User Name: [REDACTED]
Password: [REDACTED]

I'm not sure what other accounts you are referring to. It may be easier to clarify if you call me. Thanks,

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OR Government Ethics Commission
3218 Pringle Rd SE, Suite 220
Salem OR 97302-1544
Ph: 503-378-2170 Fx: 503-373-1456

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From: JORGENSEN Eric [mailto:eric.jorgensen@state.or.us]
Sent: Wednesday, January 25, 2017 5:28 PM
To: DANIEL Kathy * OGEC <Kathy.DANIEL@oregon.gov>
Subject: RE: Failure to File Quarterly Report

Hello Kathy,

Thank you so much for your email. My email is currently the backup email address for the SOS and SOS Oregon is the current default email. Please make my email the primary email address.

Thank you!

Best wishes,

Eric Jorgensen
Special Assistant to the Secretary of State Secretary of State Dennis Richardson
(503) 934-0941

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Subject: RE: Failure to File Quarterly Report

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OR Government Ethics Commission
3218 Pringle Rd SE, Suite 220
Salem OR 97302-1544
Ph: 503-378-2170 Fx: 503-373-1456

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I'm here all day so call if you need me. Thanks !

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Salem OR 97302-1544
Ph: 503-378-2170 Fx: 503-373-1456

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Sent: Sunday, January 22, 2017 10:41 PM
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Thanks!

Eric

From: JORGENSEN Eric
Sent: Saturday, January 21, 2017 5:24 AM
To: DANIEL Kathy * OGEC
Subject: RE: Failure to File Quarterly Report

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I will chat with you on Monday to take care of this, or if you have the instructions of how to do it, feel free to send them over and I will take care of it.

Eric

From: DANIEL Kathy * OGEC [Kathy.DANIEL@oregon.gov]
Sent: Friday, January 20, 2017 5:50 PM
To: JORGENSEN Eric
Subject: RE: Failure to File Quarterly Report

I just left a message regarding this as well.

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Kathy Daniel
OR Government Ethics Commission
3218 Pringle Rd SE, Suite 220
Salem OR 97302-1544
Ph: 503-378-2170 Fx: 503-373-1456

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

From: JORGENSEN Eric [mailto:eric.jorgensen@state.or.us]
Sent: Friday, January 20, 2017 9:05 AM
To: DANIEL Kathy * OGEC <kathy.daniel@state.or.us>
Subject: FW: Failure to File Quarterly Report

Hi Kathy,

We are still receiving these notices for Sec. Richardson although as you and I discussed, there are no reports for him to have signed for from last year.

Let me know how to proceed. Thanks!

Eric

From: ogec.notification@egov.com [ogec.notification@egov.com]
Sent: Friday, January 20, 2017 9:30 AM
To: SOS Oregon
Cc: JORGENSEN Eric
Subject: Failure to File Quarterly Report

Dear Dennis Richardson,

You were registered with the Oregon Government Ethics Commission in the role of Client. You were notified on 1/1/2017 that the reporting window for the 2016 Q4 reporting period was open and you were reminded again on 1/10/2017 and 1/15/2017.

You must file a report even if you have no activity to report during the reporting period, and you must file a report for any portion of a reporting period prior to a termination or expiration. There is no grace period or allowance for extensions.

We have not yet received your filing, and as such, a civil penalty is now accruing at the rate of \$10 per day for the first 14 days and \$50 per day thereafter until the filing is made or the maximum of \$5000 is reached. Your civil penalty accrual as of today is \$40.00.

Please access the Electronic Filing System now by visiting: <https://apps.oregon.gov/OGEC/EFS/Home/SignIn>

Please remember to update your profile if you have changes to your email address or other personal information. If you have any questions regarding this process, please contact the Oregon Government Ethics Commission office at 503-378-5105 or by email at ogec.mail@oregon.gov.

Please do not reply to this email as replies will not be delivered to the Commission.

Thank you,

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

ROYAL Debra

From: ROYAL Debra
Sent: Wednesday, January 25, 2017 12:43 PM
To: LESS Trish
Subject: RE: Failure to File Quarterly Report

Trish,

There is a snafu in their E system and these letters keep being generated. It's been taken care of and they said to disregard these, however, just keep sending them to me so I know there's still a problem.

Thanks much!

Debra Royal
Chief of Staff
Secretary of State Dennis Richardson
503-986-2361

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

From: SOS Oregon
Sent: Wednesday, January 25, 2017 8:08 AM
To: ROYAL Debra <debroy@sos.state.or.us>
Subject: FW: Failure to File Quarterly Report

I am not sure how to respond to this email. Could you please take a look at it and instruct me in the next step?
Thank you.

Trish

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

From: ogec.notification@egov.com [mailto:ogec.notification@egov.com]
Sent: Wednesday, January 25, 2017 1:30 AM
To: SOS Oregon
Cc: JORGENSEN Eric
Subject: Failure to File Quarterly Report

Dear Dennis Richardson,

You were registered with the Oregon Government Ethics Commission in the role of Client. You were notified on 1/1/2017 that the reporting window for the 2016 Q4 reporting period was open and you were reminded again on 1/10/2017 and 1/15/2017.

You must file a report even if you have no activity to report during the reporting period, and you must file a report for any portion of a reporting period prior to a termination or expiration. There is no grace period or allowance for extensions.

We have not yet received your filing, and as such, a civil penalty is now accruing at the rate of \$10 per day for the first 14 days and \$50 per day thereafter until the filing is made or the maximum of \$5000 is reached. Your civil penalty accrual as of today is \$90.00.

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Please remember to update your profile if you have changes to your email address or other personal information. If you have any questions regarding this process, please contact the Oregon Government Ethics Commission office at 503-378-5105 or by email at ogec.mail@oregon.gov.

Please do not reply to this email as replies will not be delivered to the Commission.

Thank you,

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

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ROYAL Debra

From: ROYAL Debra
Sent: Tuesday, January 17, 2017 5:32 PM
To: JORGENSEN Eric
Subject: RE: Failure to File Quarterly Report

Thank you!

Debra Royal
Chief of Staff
Secretary of State Dennis Richardson
503-986-2361

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

From: JORGENSEN Eric
Sent: Tuesday, January 17, 2017 3:54 PM
To: ROYAL Debra <debroy@sos.state.or.us>
Subject: RE: Failure to File Quarterly Report

I already took care of this. This email is a mistake.

Best wishes,

Eric Jorgensen
Special Assistant to the Secretary of State Secretary of State Dennis Richardson
(503) 934-0941

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

From: ROYAL Debra
Sent: Tuesday, January 17, 2017 12:02 PM
To: JORGENSEN Eric <erijor@sos.state.or.us>
Subject: FW: Failure to File Quarterly Report

Hi,

Do you have the password for this? As of today we owe \$20 as a fine.

Deb

Debra Royal
Chief of Staff
Secretary of State Dennis Richardson
503-986-2361

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

From: SOS Oregon
Sent: Tuesday, January 17, 2017 8:29 AM
To: RICHARDSON Dennis <denric@sos.state.or.us>
Cc: ROYAL Debra <debroy@sos.state.or.us>; JORGENSEN Eric <erijor@sos.state.or.us>
Subject: FW: Failure to File Quarterly Report

Please see below.

Thank you,

Andrea Harris
Administrative Assistant to the Secretary of State Oregon Secretary of State Andrea.Harris@state.or.us
503-986-1523

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

From: ogec.notification@egov.com [mailto:ogec.notification@egov.com]
Sent: Monday, January 16, 2017 1:40 AM
To: SOS Oregon
Cc: JORGENSEN Eric
Subject: Failure to File Quarterly Report

Dear Dennis Richardson,

You were registered with the Oregon Government Ethics Commission in the role of Client. You were notified on 1/1/2017 that the reporting window for the 2016 Q4 reporting period was open and you were reminded again on 1/10/2017 and 1/15/2017.

You must file a report even if you have no activity to report during the reporting period, and you must file a report for any portion of a reporting period prior to a termination or expiration. There is no grace period or allowance for extensions.

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Please do not reply to this email as replies will not be delivered to the Commission.

Thank you,

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

ROYAL Debra

From: Laura Hutchings <lauralelynn@gmail.com>
Sent: Tuesday, January 10, 2017 8:31 AM
To: ROYAL Debra
Subject: Re: FW: Lobbyist Client/Employer Quarterly Report Available

Hi Deb!

Yes, this is one of the items that I knew I would need to complete later on behalf of the Atkins team. I did not remove myself as the "jurisdictional contact" for the office of SoS intentionally, so that I could complete the 2016 Q4 reporting on behalf of the office (as client/employer) and also see to the filing of the Q4 report for the "lobbyist" on our payroll, which was Molly Woon (as the designated legislative contact). I have terminated Molly within the system effective with the New Year but will still need to submit the client/employer report for Q4 which will report out the % of Molly's time that was spent on "lobbying activity."

It would be helpful to identify who on your team should replace me as the main jurisdictional contact for the "client/employer" reports - I believe that would be you? Also, anyone who will be performing "lobbying" activities on Secretary Richardson's behalf will need to register as a "lobbyist." Steve Elzinga seems to be the clear contact in this regard, but there may be others based on level of involvement with legislators.

Happy to explain this more in person, it is a bit confusing at the start but once you get properly set up, it's not that bad. :-)

~ Laura

On Mon, Jan 9, 2017 at 6:43 PM, ROYAL Debra <debra.royal@state.or.us> wrote:
Hi Laura,

I assume you need to complete this form and officially withdraw as a lobbyist on behalf of the Secretary of State. Your guidance would be appreciated.

Thanks,

Debra Royal
Chief of Staff
Secretary of State Dennis Richardson
503-986-2361

*****CONFIDENTIALITY NOTICE*****

This e-mail may contain information that is privileged, confidential, or otherwise exempt from disclosure under applicable law. If you are not the addressee or it appears from the context or otherwise that you have received this e-mail in error, please advise me immediately by reply e-mail, keep the contents confidential, and immediately delete the message and any attachments from your system.

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

From: JORGENSEN Eric
Sent: Monday, January 09, 2017 6:37 PM
To: ROYAL Debra <debroy@sos.state.or.us>
Subject: FW: Lobbyist Client/Employer Quarterly Report Available

Do you know if we need to do this and/or who should take care of this?

Best wishes,

Eric Jorgensen
Special Assistant to the Secretary of State Secretary of State Dennis Richardson

*****CONFIDENTIALITY NOTICE*****

This e-mail may contain information that is privileged, confidential, or otherwise exempt from disclosure under applicable law. If you are not the addressee or it appears from the context or otherwise that you have received this e-mail in error, please advise me immediately by reply e-mail, keep the contents confidential, and immediately delete the message and any attachments from your system.

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

From: SOS Oregon
Sent: Tuesday, January 03, 2017 8:42 AM
To: ROYAL Debra <debroy@sos.state.or.us>; JORGENSEN Eric <erijor@sos.state.or.us>
Subject: FW: Lobbyist Client/Employer Quarterly Report Available

I'm not sure whom within the transition team will be handling office expenditures, but I am forwarding the message below along so that the Q4 reporting is taken care of.

Thank you,

Andrea Harris
Administrative Assistant to Secretary Atkins Oregon Secretary of State Andrea.Harris@state.or.us
[503-986-1523](tel:503-986-1523)

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

From: ogec.notification@egov.com [<mailto:ogec.notification@egov.com>]
Sent: Sunday, January 01, 2017 1:42 AM
To: SOS Oregon
Subject: Lobbyist Client/Employer Quarterly Report Available

Dear Laura Hutchings at Secretary of State,

Our records indicate that you were registered with the Oregon Government Ethics Commission as a lobbyist client/employer during the 2016 Q4 reporting period. As such, you are required to submit a quarterly expenditure report by 1/15/2017.

Please do not disregard this notice. If you fail to submit your quarterly expenditure report by the due date, penalties will begin to accrue until the filing is made. There is no grace period or allowance for extensions, so please be sure to file by the due date.

Please access the Electronic Filing System by visiting: <https://apps.oregon.gov/OGEC/EFS/Home/SignIn>

Please remember to update your profile if you have changes to your email address or other personal information. If you have any questions regarding this process, please contact the Oregon Government Ethics Commission office at [503-378-5105](tel:503-378-5105) or by email at ogec.mail@oregon.gov.

Please do not reply to this email as replies will not be delivered to the Commission.

Thank you,

Oregon Government Ethics Commission
3218 Pringle Rd. SE, #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

May 10, 2017

Diane Essig
255 Winchester Ave.
Reedsport OR 97467

Re: 2017 SEI Penalty

Dear Ms. Essig:

The written explanation of why your 2017 Statement of Economic Interest 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, June 2, 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 \$10 penalty will be extended to coincide with the June 2nd 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



SEI Activity

2017

SEI Code: 1014
User Name: rose842
Email: leapfrog255@frontier.com

2017 Filing: 5/7/2017
2017 Penalty: \$10.00

Diane Essig
255 Winchester Ave.
Reedsport, OR 97467

2017 Offices Held

No data to report.

Activity Log - 2017 to Date

- 03/15/17 06:03:52.887 - User Successfully Authenticated -
- 04/13/17 07:21:25.433 - User Successfully Authenticated -
- 05/07/17 01:30:35.380 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2017
- 05/07/17 06:51:38.483 - User Successfully Authenticated -
- 05/07/17 06:58:25.743 - Late SEI Report Filed - SEI Report Filed Late for year 2017

PAST VIOLATIONS: NONE

RECOMMENDATION:

No ~~penalty~~ violation
①

at consent extension

DANIEL Kathy * OGEC

From: leapfrog255@frontier.com
Sent: Sunday, May 07, 2017 7:13 AM
To: OGEC Mail * OGEC
Subject: penalty for late filing

RECEIVED
MAY 08 2017
OREGON GOVERNMENT
ETHICS COMMISSION

Good morning

I received my notice of failure to report and am a bit confused. I had filled out the form and submitted it and got a response it had been filed. Between that time and now, my life has taken a slightly different path, besides being a pancreatic cancer patient. I fell and spent almost a week in the hospital with dehydration and an infection. During that time, I was confused and afraid of every thing. I know this sounds like an excuse but the officials at the City knew my condition.

Thank you for listening and I will send a check when I hear from you.

Respectfully,

Diane K. Essig



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

May 10, 2017

Patricia Smith
23825 NE Treehill Drive
Wood Village OR 97060

Re: 2017 SEI Penalty

Dear Ms. Smith:

The written explanation of why your 2017 Statement of Economic Interest 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, June 2, 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 \$20 penalty will be extended to coincide with the June 2nd 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



SEI Activity

2017

SEI Code: 3928
User Name: Patriciasmith
Email: patricia.s@lovettservices.com

2017 Filing: 5/9/2017
2017 Penalty: \$20.00

Patricia smith
23825 NE Treehill Drive
Wood Village, OR 97060

2017 Offices Held

No data to report.

Activity Log - 2017 to Date

05/05/17 10:28:56.470 - User Profile Updated - User profile updated for Patricia smith
05/05/17 10:29:07.287 - User Profile Updated - The user's main profile was updated.
05/07/17 01:30:38.290 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2017
05/09/17 01:30:13.723 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2017
05/09/17 08:55:59.713 - Admin User Reset Initiated - An admin user reset was initiated.
05/09/17 08:57:08.080 - Admin User Password Reset Completed - A user reset their password using an admin reset.
05/09/17 08:57:31.660 - User Successfully Authenticated -
05/09/17 08:57:54.143 - User Profile Updated - User profile updated for Patricia smith
05/09/17 08:58:05.153 - User Profile Updated - The user's main profile was updated.
05/09/17 08:58:28.267 - Admin User Reset Initiated - An admin user reset was initiated.
05/09/17 09:02:13.510 - Admin User Password Reset Completed - A user reset their password using an admin reset.
05/09/17 09:03:38.453 - User Successfully Authenticated -
05/09/17 09:09:56.727 - Late SEI Report Filed - SEI Report Filed Late for year 2017

PAST VIOLATIONS: NONE

RECOMMENDATION:

~~None~~ No violation off course
PA

DANIEL Kathy * OGEC

From: Patricia Smith <patricia.s@lovettservices.com>
Sent: Tuesday, May 09, 2017 9:43 AM
To: OGEC Mail * OGEC
Subject: My Statement of Economic Interest 2017 #0AGGB2

RECEIVED

MAY 09 2017

OREGON GOVERNMENT
ETHICS COMMISSION

Follow Up Flag: Follow up
Flag Status: Flagged

I have been monitoring a Meningioma tumor on my brain for the last two years. This year, my doctor decided it was time to take it out and my surgery was scheduled on 4/25. Unfortunately, I did not see the reminders for filing my statement of economic interest. My surgery was a success and I filed the statement today. I am asking that the \$20 penalty for non-filing would be waived, because of my health issues. Thank you for your consideration in this matter.

Patricia Smith

Lovett Dispatch
(503) 548-0039
Patricia.s@lovettservices.com

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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

Web Site: www.oregon.gov/ogec

May 19, 2017

Doug Dewar
313 Good Ave.
Nyssa OR 97913

Re: 2017 SEI Penalty

Dear Mr. Dewar:

The written explanation of why your 2017 Statement of Economic Interest 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, June 2, 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 \$70 penalty will be extended to coincide with the June 2nd 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



SEI Activity

2017

SEI Code: 1348
User Name: Scotty's93
Email: dewar@fmtc.com

2017 Filing: 5/16/2017
2017 Penalty: \$70.00

Doug Dewar
313 Good Ave
Nyssa, OR 97913

2017 Offices Held

No data to report.

Activity Log - 2017 to Date

03/20/17 11:03:50.287 - User Failed to Authenticate -
03/20/17 11:03:54.397 - User Failed to Authenticate -
03/20/17 11:32:34.500 - User Successfully Authenticated -
03/20/17 11:47:37.427 - User Password Reset - The user's password was reset from the "My Profile" page.
03/20/17 11:47:37.567 - User Profile Updated - The user's main profile was updated.
03/20/17 11:47:45.003 - User Profile Updated - User profile updated for Doug Dewar
03/20/17 12:10:54.890 - User Failed to Authenticate -
03/20/17 12:11:06.567 - User Successfully Authenticated -
04/21/17 07:43:15.287 - User Failed to Authenticate -
04/21/17 07:44:35.980 - User Failed to Authenticate -
04/21/17 07:45:49.823 - User Failed to Authenticate -
04/21/17 07:49:37.400 - User Successfully Authenticated -
05/07/17 01:30:35.503 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2017
05/09/17 01:30:12.337 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2017
05/10/17 03:13:47.103 - User Profile Updated - User profile updated for Doug Dewar
05/10/17 03:13:58.163 - User Profile Updated - The user's main profile was updated.
05/11/17 01:30:12.887 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2017
05/12/17 02:20:01.007 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2017
05/14/17 01:30:10.443 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2017
05/15/17 01:30:13.677 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2017
05/16/17 01:30:11.623 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2017
05/16/17 10:07:07.817 - Late SEI Report Filed - SEI Report Filed Late for year 2017

PAST VIOLATIONS: NONE

RECOMMENDATION:

No violations
no consent
(PR)



RECEIVED
MAY 16 2017
OREGON GOVERNMENT
ETHICS COMMISSION

City of Nyssa

301 Main Street
Nyssa, OR 97913
Phone: 541-372-2264
Fax: 541-372-3737

05/16/17

To Whom It May Concern:

Doug Dewar who serves on our Planning Commission came into my office to verify his filing had gone through, I went online to the State website and on his name it said his information had gone through and processed correctly, then on this date he receives a letter stating that it is not, why?

Mr. Dewar has done his part in meeting the requirements and we feel there has been a mistake made on the website to check on verifying their filings. Please make the necessary corrections and release him from all responsibilities.

Thank You

City of Nyssa
Marla Roberts

City Recorder, CMC

The City of Nyssa is an Affirmative Action/Equal Opportunity Employer and complies with Section 504 of the Rehabilitation Act of 1973.
The City of Nyssa is an Equal Opportunity Provider and Employer. We do not discriminate on the basis of race, religion, color, sex, age, national origin.



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 15, 2017

Antone Minthorn
52006 Cayuse Rd
Adams OR 97810

Re: 2017 SEI Penalty

Dear Mr. Minthorn:

The written explanation of why your 2017 Statement of Economic Interest 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, June 2, 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 \$70 penalty will be extended to coincide with the June 2nd 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



SEI Activity

2017

SEI Code: 5124
User Name: Minthorn
Email: antone.minthorn@aol.com

2017 Filing: 5/10/2017
2017 Penalty: \$20.00

Antone Minthorn
52006 Cayuse Rd
Adams, OR 97810

2017 Offices Held

No data to report.

Activity Log - 2017 to Date

05/07/17 01:30:42.913 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2017
05/09/17 01:30:15.113 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2017
05/10/17 02:29:19.993 - Late SEI Report Filed - SEI Report Filed Late for year 2017

PREVIOUS VIOLATIONS: 2016 late, \$50

RECOMMENDATION:

No recommendation (KQ)

KathyD May 16th, 2017 at 10:57 AM

5/10/17 Letter of Explanation received.

5/15/17 Letter of Acknowledgement sent.

KathyD May 5th, 2017 at 9:59 AM

5/5/17 Reminder emailed.

Also reminded him that \$50 is still due from 2016...penalty assessed by Commission.

SEI Activity

2016

SEI Code: 5124
User Name: Minthorn
Email: antone.minthorn@aol.com

2016 Filing: 5/10/2017
2016 Penalty: \$50.00

Antone Minthorn
52006 Cayuse Rd
Adams, OR 97810

2016 Offices Held

COLUMBIA RIVER GORGE COMM (State), COLUMBIA RIVER GORGE COMM - Appointed 03/09/16

Activity Log - 2016 to Date

06/08/16 04:11:43.190 - User Profile Created - User profile created for Antone Minthorn
06/08/16 04:11:43.297 - User Profile Created - A new user profile was created.
06/08/16 04:11:43.343 - SEI Assigned to Seat - SEI Assigned to Seat
06/14/16 01:30:28.167 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q0
06/14/16 08:19:33.860 - User Successfully Authenticated -
06/15/16 01:30:27.980 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q0
06/16/16 01:30:27.920 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q0
06/17/16 01:30:29.223 - Automated Late Fee Applied - Late fee of amount \$50.00 applied for reporting requirement 2016 Q0
06/17/16 08:00:13.497 - User Successfully Authenticated -
06/17/16 08:11:27.047 - User Successfully Authenticated -
06/17/16 08:52:32.533 - SEI Report Draft Saved - SEI Report Draft Saved for year 2016
06/17/16 08:57:39.347 - Late SEI Report Filed - SEI Report Filed Late for year 2016
05/07/17 01:30:42.913 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2017
05/09/17 01:30:15.113 - Automated Late Fee Applied - Late fee of amount \$10.00 applied for reporting requirement 2017
05/10/17 02:29:19.993 - Late SEI Report Filed - SEI Report Filed Late for year 2017

DANIEL Kathy * OGEC

From: Antone Minthorn <AntoneMinthorn@ctuir.org>
Sent: Wednesday, May 10, 2017 2:52 PM
To: OGEC Mail * OGEC
Subject: FW: Statement of Economic Interest Filing

RECEIVED

MAY 10 2017

OREGON GOVERNMENT
ETHICS COMMISSION

OR Ethics Commission,

Re: corrected email address – ogec.mail@oregon.gov

That is all. Antone.

From: Antone Minthorn
Sent: Wednesday, May 10, 2017 2:42 PM
To: 'ogec.mail@oregon.gov'
Subject: Statement of Economic Interest Filing

Oregon Ethics Commission,

I am requesting a waiver of penalty fees for 2016 & 2017. I have difficulty using the computer format for providing the data and information. However, I thank your office for helping me comply with the State ethics policy.

That is all. Antone.

The opinions expressed by the author are his or her own and are not necessarily those of the Confederated Tribes of the Umatilla Indian Reservation. The information, contents and attachments in this email are Confidential and Private.

BEFORE THE OREGON GOVERNMENT ETHICS COMMISSION

In the Matter of)
)
)

JOHN PHELAN)
)
)
)
)
)
_____)

STIPULATED FINAL ORDER

CASE NO. 16-138EMT

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 John Phelan.
2. JURISDICTION: At all material times, Mr. Phelan was the Director of Yamhill County's Public Works Department (Director). As a public official, Yamhill County employees are subject to Government Ethics law under ORS Chapter 244.
3. STIPULATED FACTS:
 - A. John Phelan, as the Director, is a public official as defined in ORS 244.020(15), subject to Oregon Government Ethics law.
 - B. On 6/30/2015, Mr. Phelan, as the Director, had his personal vehicle worked on at the County's shop by himself and two other county employees. One of the employees was an hourly employee; the other employee was a salaried employee.

- C. An internal review conducted by Yamhill County determined that the employees were not "off the clock" when the repairs were made.
- D. The cost of these repairs, had they been performed at a private dealership, is \$290.00.
- E. As the Director, Mr. Phelan used county resources for his benefit. But for Mr. Phelan's position as Director, this opportunity would not have been available to him.
- F. ORS 244.040 prohibits a public official from using his or her official position or office to obtain financial gain or avoidance of financial detriment for the public official or any business with which the public official or is associated, if the financial gain or avoidance of financial detriment would not otherwise be available but for the public official's holding of the official position or office.
- G. Mr. Phelan, in his official capacity as Director, routinely approved payments to his spouse's company, Safe Conduct, LLC, for drug and alcohol testing services the company rendered to Yamhill County's Public Works Department between 7/22/12 and 7/22/16.
- H. A statutory conflict of interest issue arises when a public official takes any action in their official capacity, the effect of which would or could be to the private pecuniary benefit of themselves, a relative, or a business with which they or a relative are associated. When met with a statutory conflict of interest, a public official such as Mr. Phelan must notify his appointing authority in writing of the nature of his conflict and request that they dispose of the matter giving rise to the conflict. [ORS 244.020(1) and (13), and ORS 244.120(1)(c)]

- I. Mr. Phelan did not make written disclosures to the County of these recurring conflicts of interest, thereby failing to comply with the disclosure and disposition requirements of ORS 244.120 on the occasions after 7/22/12 that he authorized payments to his spouse's company, Safe Conduct, LLC.
- J. ORS 244.260(10) limits the Commission's jurisdiction to a public official's conduct that occurred within the four years prior to the filing of a complaint.
- K. ORS 244.350(1)(a) authorizes the Commission to assess civil penalties of up to \$5,000 for each of the aforementioned violations of ORS 244, Government Ethics law.
- L. 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 244.040 and ORS 244.047.

4. TERMS OF SETTLEMENT:

The parties agree as follows:

- A. On 9/23/2016, the Commission moved to open an investigation after considering the information developed in the preliminary review phase.
- B. Mr. Phelan has indicated that he wishes to conclude this matter by agreeing to the terms and conditions in this order, thereby waiving his right to a hearing under the Administrative Procedures Act.
- C. Mr. Phelan will pay a fine of \$100.00, as authorized by ORS 244.350, to settle and compromise this matter.

D. The Commission releases, settles and compromises any and all claims, which have been or could be asserted against John Phelan within the scope of the above-referenced proceedings.

E. John Phelan 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, John Phelan 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, John Phelan agrees to waive his right to obtain judicial review of this order as provided in ORS 183.482.

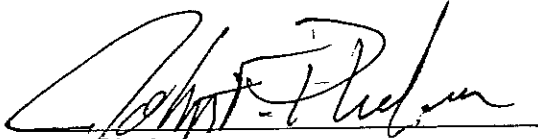
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///

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



John Phelan

4-20-2017
Date

Dan Golden, Chair
Oregon Government Ethics Commission

Date

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(

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(

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(

3. Mr. Tresidder failed to file timely his quarterly statement of expenditure for the third quarter of 2014, due October 15, 2014. This statement of expenditure was received by the Commission postmarked July 23, 2015.
4. Mr. Tresidder failed to file timely his quarterly statement of expenditure for the first quarter of 2015, due April 15, 2015. This statement of expenditure was received by the Commission postmarked July 23, 2015.

ULTIMATE FINDINGS OF FACT

1. Alan Tresidder failed to file his lobbyist quarterly statement of expenditure as required by ORS 171.745 on October 15, 2014.
2. Alan Tresidder failed to file his lobbyist quarterly statement of expenditure as required by ORS 171.745 on April 15, 2015.

CONCLUSION OF LAW

1. Alan Tresidder violated ORS 171.745 when he failed to file his lobbyist quarterly statement of expenditure as required on October 15, 2014.
2. Alan Tresidder violated ORS 171.745 when he failed to file his lobbyist quarterly statement of expenditure as required on April 15, 2015.

ORDER

Alan Tresidder committed 2 violations of ORS 171.745.

The Commission orders that Alan Tresidder be assessed a civil penalty of \$7840, for 2 violation, pursuant to ORS 171.992.

NOTICE

You are entitled to judicial review of the Final Order. Judicial review may be obtained by filing a petition for review within 60 days. Judicial review is pursuant to the provisions of ORS 183.482.

Date

Daniel T. Golden, Chairperson
Oregon Government Ethics Commission

Date of Mailing: _____

OREGON GOVERNMENT ETHICS COMMISSION
INVESTIGATION

CASE NO: 16-147EDG

DATE: May 25, 2017

RESPONDENT: ELLIOTT, Taner, City Councilor, City of The Dalles

COMPLAINANT: WOOD, John

RECOMMENDED ACTION: Make a Preliminary Finding of 2 Violations of ORS 244.040(1) and 2 violations of ORS 244.120(2)

1 **SYNOPSIS:** Taner Elliot was a city councilor for City of The Dalles during the period
2 relevant to this investigation. The focus of this investigation was to determine if there was
3 a preponderance of evidence to indicate that violations of the conflict of interest and use of
4 office provisions of ORS Chapter 244 were committed by Mr. Elliott.

5
6 Mr. Elliott took office as a city councilor on 1/12/15. He is an owner/manager of a
7 business, Elk Horn Development, LLC, that was actively developing property in The Dalles
8 before and during the relevant time period. Mr. Elliott participated in meetings of the city
9 council when property development guidelines for The Dalles were being adopted that
10 could or would have financially affected Elk Horn Development, LLC.

11
12 Information indicates that Mr. Elliott used or attempted to use his position as city councilor
13 to avoid a financial detriment when he proposed through the City staff and placed on the
14 city council's agenda, a request that the City's gravel street renovation and corner lot relief
15 policies be applied to his property in novel ways, creating a policy exception that benefitted
16 only his company's development. Also, Mr. Elliott availed himself of the services of the

1 City's attorney in responding to this complaint, thereby avoiding the financial detriment of
2 hiring a private attorney.

3
4 A preponderance of evidence indicates that Mr. Elliott was met with conflicts of interest and
5 failed to comply with the disclosure and disposition requirements of ORS 244.120(2) when
6 taking official actions and used or attempted to use his official position to avoid a financial
7 detriment for himself and his business in violation of ORS 244.040(1).

8
9 **RELEVANT STATUTES:** The following Oregon Revised Statutes are applicable to the
10 issues addressed herein:

11
12 **244.020 "Definitions.** As used in this chapter, unless the context requires
13 otherwise:

14
15 244.020(1) 'Actual conflict of interest' means any action or any decision or
16 recommendation by a person acting in a capacity as a public official, the effect of
17 which would be to the private pecuniary benefit or detriment of the person or the
18 person's relative or any business with which the person or a relative of the person is
19 associated unless the pecuniary benefit or detriment arises out of circumstances
20 described in subsection (13) of this section."

21
22 244.020(2) "'Business' means any corporation, partnership, proprietorship, firm,
23 enterprise, franchise, association, organization, self-employed individual and any
24 other legal entity operated for economic gain but excluding any income-producing
25 not-for-profit corporation that is tax exempt under section 501(c) of the Internal
26 Revenue Code with which a public official or a relative of the public official is
27 associated only as a member or board director or in a nonremunerative capacity."

28
29 244.020(3) "'Business with which the person is associated' means:

30
31 (a) "Any private business or closely held corporation of which the person or

1 the person's relative is a director, officer, owner or employee, or agent or any
2 private business or closely held corporation in which the person or the
3 person's relative owns or has owned stock, another form of equity interest,
4 stock options or debt instruments worth \$1,000 or more at any point in the
5 preceding year; ..."

6
7 244.020(13) "'Potential conflict of interest' means any action or any decision or
8 recommendation by a person acting in a capacity as a public official, the effect of
9 which could be to the private pecuniary benefit or detriment of the person or the
10 person's relative, or a business with which the person or the person's relative is
11 associated, unless the pecuniary benefit or detriment arises out of the following:"

12
13 (a) "An interest or membership in a particular business, industry, occupation
14 or other class required by law as a prerequisite to the holding by the person
15 of the office or position.

16
17 (b) Any action in the person's official capacity which would affect to the same
18 degree a class consisting of all inhabitants of the state, or a smaller class
19 consisting of an industry, occupation or other group including one of which or
20 in which the person, or the person's relative or business with which the
21 person or the person's relative is associated, is a member or is engaged...."

22
23 244.020 (15) "'Public official' means the First Partner and any person who, when an
24 alleged violation of this chapter occurs, is serving the State of Oregon or any of its
25 political subdivisions or any other public body as defined in ORS 174.109 as an
26 elected official, appointed official, employee or agent, irrespective of whether the
27 person is compensated for the services."

28
29 **244.040 "Prohibited use of official position or office; exceptions; other**
30 **prohibited actions.** (1) Except as provided in subsection (2) of this section, a
31 public official may not use or attempt to use official position or office to obtain

1 financial gain or avoidance of financial detriment for the public official, a relative or
2 member of the household of the public official, or any business with which the public
3 official or a relative or member of the household of the public official is associated, if
4 the financial gain or avoidance of financial detriment would not otherwise be
5 available but for the public official's holding of the official position or office."
6

7 "(2) Subsection (1) of this section does not apply to:

8 (a) Any part of an official compensation package as determined by the public
9 body that the public official serves.

10 (c) Reimbursement of expenses.

11 244.040(7) "The provisions of this section apply regardless of whether actual
12 conflicts of interest or potential conflicts of interest are announced or disclosed
13 under ORS 244.120."
14

15 **244.120 "Methods of handling conflicts; Legislative Assembly; judges;**
16 **appointed officials; other elected officials or members of boards.** (1) Except as
17 provided in subsection (2) of this section, when met with an actual or potential
18 conflict of interest, a public official shall:"
19

20 244.120(2) "An elected public official, other than a member of the Legislative
21 Assembly, or an appointed public official serving on a board or commission, shall:
22

23 (a) When met with a potential conflict of interest, announce publicly the
24 nature of the potential conflict prior to taking any action thereon in the
25 capacity of a public official; or
26

27 (b) When met with an actual conflict of interest, announce publicly the nature
28 of the actual conflict and:
29

30 (A) Except as provided in subparagraph (B) of this paragraph, refrain

1 from participating as a public official in any discussion or debate on
2 the issue out of which the actual conflict arises or from voting on the
3 issue.

4
5 (B) If any public official's vote is necessary to meet a requirement of a
6 minimum number of votes to take official action, be eligible to vote,
7 but not to participate as a public official in any discussion or debate on
8 the issue out of which the actual conflict arises.”

9
10 **244.130 “Recording of notice of conflict; effect of failure to disclose conflict.**

11 (1) When a public official gives notice of an actual or potential conflict of interest,
12 the public body as defined in ORS 174.109 that the public official serves shall
13 record the actual or potential conflict in the official records of the public body. In
14 addition, a notice of the actual or potential conflict and how it was disposed of may
15 in the discretion of the public body be provided to the Oregon Government Ethics
16 Commission within a reasonable period of time.

17
18 (2) A decision or action of any public official or any board or commission on which
19 the public official serves or agency by which the public official is employed may not
20 be voided by any court solely by reason of the failure of the public official to disclose
21 an actual or potential conflict of interest.”

22
23 **OAR 199-005-0035 Guidelines for compliance with ORS 244.020(6), 244.025,**
24 **244.040, 244.042 and 244.047**

25 (2) The term “official duties” means that the public official's actions are
26 directly related to serving the state of Oregon or any of its political
27 subdivisions or any other public body as a public official.

28 (3) An “official compensation package” means the wages and other benefits
29 provided to the public official. To be part of the public official's “official
30 compensation package”, the wages and benefits must have been specifically
31 approved by the public body in a formal manner, such as through a union

1 contract, an employment contract, or other adopted personnel policies that
2 apply generally to employees or other public officials. "Official compensation
3 package" also includes the direct payment of a public official's expenses by
4 the public body, in accordance with the public body's policies.

5 (4) As used in ORS 244.040(2)(c), "reimbursement of expenses" means the
6 payment by a public body to a public official serving that public body, of
7 expenses incurred in the conduct of official duties on behalf of the public
8 body. Any such repayment must comply with any applicable laws and
9 policies governing the eligibility of such repayment. Expenses paid by the
10 public body to their own public officials need not be reported by the public
11 official under ORS 244.060."
12

13 **INVESTIGATION:** The Oregon Government Ethics Commission (Commission) initiated a
14 preliminary review based on information in a signed complaint from John Wood on
15 10/11/16 (#PR1). Mr. Wood alleged that Taner Elliott, city councilor for the City of The
16 Dalles, may have violated Oregon Government Ethics law. The Commission found cause
17 to investigate on 12/16/16 after considering the information developed in the preliminary
18 review. The focus of the investigation was to determine if there is sufficient evidence to
19 indicate that Taner Elliott failed to comply with the conflict of interest and use of office
20 provisions of Oregon Government Ethics law when acting in his official capacity as city
21 councilor on matters affecting property in The Dalles that he and his development company
22 had a personal financial interest in. Mr. Elliott and Mr. Wood have been notified of the
23 Commission actions in this matter. Both have been invited to provide any information
24 which would assist the Commission in conducting this investigation.
25

26 Mr. Elliott was elected to the city council in November, 2014, and assumed office on
27 1/12/15. Mr. Elliott was a candidate for re-election in the general election held on 11/8/16.
28 When a complaint is received and a preliminary review opened by the Commission against
29 a person who is a candidate in an election that occurs within 61 days of the complaint's
30 receipt, the candidate may request a delay so that the preliminary review phase extends 30
31 days past the election. That occurred in this case. [ORS 244.260(4)(a)]

1 The complaint alleges that Mr. Elliott "used his position on the Dalles city council to change
2 land use laws and save himself \$80,000, then modified gravel street policy and saved
3 himself \$12,000..." (#PR1)

4
5 BACKGROUND

6 As background to the current investigation, the following excerpt from a 4/10/14 email
7 written by Mr. Gassman, Planning Director for The Dalles, to the Public Works Director and
8 City Attorney, is helpful. This email was written approximately 7 months before Taner
9 Elliott was elected to the city council.

10
11 "As you know, Taner started the Elkhorn project as a 5 lot subdivision on
12 Thompson. After getting preliminary subdivision approval he had second thoughts,
13 in part because of the LUDO [Land Use Development Ordinance] changes caused
14 by HB 3479, and in part because of all the requirements tied to the subdivision. He
15 decided to switch to a minor partition after the City changed the LUDO. We have
16 now granted preliminary approval for the minor partition. The whole project has
17 been complicated by a number of factors, including three street frontages (none of
18 which are fully improved), the potential City LID [local improvement district] on
19 Thompson, and the lack of storm water infrastructure. However, the biggest
20 immediate complication is the fact that after starting the subdivision Taner
21 demolished the one house on the property and built another. Our standard policy is
22 that if a house is voluntarily removed, the new house is subject to all the same
23 requirements as any other new house. However, we did not apply the normal
24 requirements for this new house since all those same requirements were in the
25 conditions of approval for the subdivision. Taner had the right to build a house
26 since he had a vacant lot, and we allowed him to build it without putting in all the
27 public improvements since he was already required to do so as part of the
28 subdivision. When he switched to a minor partition, he believed, and still believes,
29 that we could not require the public improvements due to HB 3479...." (#PR1)

30
31 Prior to becoming a city councilor, Mr. Elliott, on behalf of Elk Horn Development, LLC,

1 which he co-owns and manages, applied for development of a subdivision owned by the
2 business and later converted the application to a minor partition, which allowed him to
3 partition the land into four multiple single family lots for building. This property has frontage
4 on East 15th and Thompson Streets in The Dalles. (#PR1, #PR6 and #PR7)

5
6 Records available indicate that after 1/12/15, when Taner Elliott was sworn in as a city
7 councilor, he participated in several city council meetings in his official capacity when
8 issues that could affect his property were before the council. Those meetings are
9 documented in adopted written meeting minutes, staff reports, and audio recordings, as
10 summarized below. (#INV1 through #INV6)

11
12 NOTE: The Dalles City Council makes decisions by collective voice vote, rather than an
13 individual roll call. When a vote is unanimous, only that fact is recorded in the written
14 minutes. And, it is impossible to discern from the audio recordings whether a specific city
15 councilor actually voted or refrained from voting unless a separate announcement is made
16 to that effect.

17
18 1/26/15 City Council Meeting

19 During this meeting, the council held a public hearing to receive testimony regarding
20 "Residential Infill Development Recommendations from the Planning Commission (PC)",
21 followed by a council discussion. The hearing was to get citizen response to the PC's
22 development recommendations that were formulated in response to recent legislation
23 which apparently necessitated changes to the city's Land Use Development Ordinance
24 (LUDO). Several recommendations were provided by the PC, the foundational concept
25 being the designation of "Network Streets", selected for public improvements to provide
26 "enhanced accessibility for vehicular, pedestrian, and bicycle access." The staff report is
27 excerpted below:

28
29 "Public improvements have been required at the time of lot development for many
30 years. It has been the primary method for obtaining public improvements in
31 residential areas. In the past any development on any lot obligated the owner to put

1 in improvements, pay into the fund, or sign an agreement....The proposals by the
2 Planning Commission would further modify the LUDO by eliminating all public
3 improvement requirements [placed on lot developers] except on those streets
4 identified as Network Streets.”

5
6 “Identifying selected streets for enhanced improvement is the first part of the...
7 concept. The next part is to determine how, and when, and by whom, the
8 improvements would be made. The [PC] identified a list of potential methods for
9 installing the improvements...[and] listed the options in their preference, but has
10 deferred to the Council to select one.”

11
12 “It is important to remember that these policies would apply only to development of
13 single residential lots in residential zones. Multi-family development, subdivisions,
14 or any development on non-residential lots would be required to follow the existing
15 provisions in the LUDO.” (#INV1)

16
17 The City’s Planning Director suggested that the council begin by deciding on the issue of
18 accepting the concept of network streets before deciding on the remaining
19 recommendations. Thompson Street, on which Mr. Elliott’s business owned undeveloped
20 property, was one of the proposed network streets.

21
22 After public testimony from four citizens, the public hearing was closed. A city council
23 discussion ensued in which Councilor Elliott participated. Amendments to the PC’s
24 proposal were discussed. There was no notation in the meeting minutes, and no audio
25 record of Councilor Elliott announcing a conflict of interest or refraining from discussion or
26 votes during this meeting.

- 27
- 28 • Councilor Elliott is heard on the audio and recorded in the minutes as questioning
29 the policy of differential treatment of property owners depending on whether their
30 property is on a network street or not.
 - 31 • The written minutes and audio show a motion to “direct staff to remove the identified

1 waivers of remonstrance and delayed improvement agreements within 30 days,”
2 which passed by unanimous votes of the councilors present.

- 3 • Councilor Elliott is heard on the audio stating that if the following elements were
4 included in the proposed guidelines, he would be satisfied: that the City takes
5 financial responsibility for providing engineering costs, storm sewers, and curbs
6 when new development takes place on a network street.
- 7 • The written minutes state that it “was the consensus of the Council to direct staff to
8 prepare an ordinance approving amendments to the Land Use Development
9 Ordinance (LUDO) as recommended by the Planning Commission, including any
10 changes approved by the City Council, based on appropriate findings of fact and
11 conclusions of law, to be presented for adoption at a future Council meeting.”

12 (#INV1 and #INV6)

13
14 4/13/15 City Council Meeting

15 The “Public Improvement Guidelines” considered at the 1/26/15 meeting were brought
16 back to the city council and proposed as Resolution 15-017 for adoption by the council.
17 These guidelines applied only to new construction of single family homes built on 17
18 streets or sections of streets designated as “network streets.” Other new developments
19 (commercial, multi-unit developments, or residential subdivisions) would still have to meet
20 the more extensive public improvement requirements in the city’s LUDO. (#INV2 and
21 #INV6)

22
23 Thompson Street was designated as a “network street”. Mr. Elliott participated in the
24 council's discussion of these guidelines and the council's amendment of Guideline #6:

25
26 Guideline #6, as originally proposed to the council on 4/13/15:

27 “For single family dwellings that abut a network street and placed on an individual lot
28 which are not part of a subdivision, the property owner shall be required to install a
29 sidewalk if the City has established a curb line. If no curb line has been established,
30 the property owner shall sign a delayed improvement agreement for the installation
31 of a sidewalk along the lot frontage on the network street. The delayed

1 improvement agreement will have a sunset clause set at 10 years from the date of
2 signing. This agreement shall be recorded at the property owner's expense. Except
3 for the sidewalk, no other public street improvements will be required.”

4
5 Guideline #6 as amended and adopted:

6 “For single family dwellings that abut a network street and placed on an individual lot
7 which are not part of a subdivision, the property owner shall be required to install a
8 sidewalk if the City has established a curb line.”

- 9
- 10 • Councilor Elliot spoke against any requirement for a delayed improvement
11 agreement (DIA) for property owners in these guidelines. The meeting minutes
12 record that Councilor Elliott said “he thought the Council had agreed to eliminate
13 any requirements for delayed development agreements.” Guideline #6 was
14 amended to remove any discussion of a possible delayed improvement agreement.
 - 15 • Elliott moved to adopt Resolution 15-017 as amended by Council. The voice vote
16 taken by the Council “passed unanimously.” The minutes contain no notation that
17 Councilor Elliott disclosed any conflict of interest prior to the discussion or vote, and
18 a review of the audio recording reveals no disclosure of a conflict. (#INV2)

19
20 This meeting also included a “Discussion Regarding Thompson Street Project”. The Mayor
21 had requested in the fall of 2014 (prior to Mr. Elliott becoming a city councilor) that the
22 feasibility of repaving Thompson Street be studied by staff and brought back to the council.
23 The staff report was presented as a discussion item on 4/13/15. The proposal was to have
24 the city repave Thompson Street, the 9 block long street where Mr. Elliott’s business
25 owned, and was developing, property. The repaving would necessitate some “utility work
26 including a new storm sewer line plan for this area”. Expenses were estimated in the
27 meeting minutes as approximately \$375,000. One councilor brought up the fact that this
28 project could contradict the City’s adopted goal of not building new streets for three years,
29 but only doing maintenance. Another councilor said that this was not building a new street,
30 just maintenance.

31 ///

- 1 • Discussion by council concerning repaving of Thompson Street, which would
2 include utility work and a new storm sewer plan. No notation in the meeting minutes
3 or other indication that Councilor Elliott announced a conflict of interest or refrained
4 from participation in that discussion.

5
6 7/27/15 City Council Meeting

7 The staff brought back the issue of "Thompson Street Improvements". The minutes record
8 that there was Council support for moving the project forward and council directed the staff
9 to make a full report on costs. Taner Elliott is listed as among the city councilors in
10 attendance. (#INV3 and #INV6)

11
12 The staff report states the following:

13 "If the project is approved, there would also be some utility work to be completed in
14 Thompson Street prior to the Street resurfacing project. It's proposed that a new
15 storm line be contractually constructed from 10th Street to 19th Street as identified in
16 the Storm Water Master Plan... Construction of the storm line would benefit the area
17 by providing a storm water collection system that does not currently exist, the lack of
18 which has posed challenges for new developments. In addition, water services and
19 sanitary sewer manholes should be upgraded by City crews ahead of paving. And
20 lastly, there may be some other utility upgrades (gas, telephone, power) that should
21 be completed before a new street surface is constructed. ...[T]he street
22 improvements for Thompson Street could be completed in spring 2016."

23
24 The Mayor can be heard on the audio recording stating that he originally proposed this
25 project in 2014 because Thompson Street has been a flashpoint, it needs to be improved
26 because of growth in the area, and deterioration of the road surface.

27
28 Minutes show that "[t]here was Council support for moving the project forward. The City
29 Council agreed they would like to have a full report on the cost, including surfacing, utilities,
30 labor, parts, and equipment." There was no notation in the minutes of Councilor Elliott
31 announcing a conflict of interest or refraining from participating in the discussion.

1 Audio of the meeting captured a question to the council following discussion, to the effect
2 of "Do we have consensus that we direct staff to move forward and bring back resolution
3 for transfer of budget funds?" Everyone appeared to agree. There were no objections or
4 abstentions heard on the audio.

5

- 6 • Councilor Elliott apparently participated in this discussion and joined in the council
7 consensus and there is no notation in the record, written or audio, that he
8 announced a conflict of interest.

9

10 9/28/15 City Council Meeting,

11 The Council revisited the project approved by consensus at the 7/27/15 council meeting
12 concerning the improvements of Thompson Street. (#INV4 and #INV6)

13

14 The staff report presented at the meeting is excerpted below:

15 "The cost of the storm water main has increased significantly since it was originally
16 designed in 2011 at \$475,000 rather than the original estimate of about
17 \$270,000....The reasons for this increase are largely due to the current need to
18 construct the storm water main deeper than originally anticipated to accommodate
19 new development on Thompson Street and address utility conflicts, the need to
20 construct additional manholes..."

21

22 The meeting minutes contain the following:

23 "Public Works Director Dave Anderson reviewed the staff report. He said the costs
24 of the storm water main had increased because it needed to be deeper than
25 anticipated...."

26

27 "It was moved by McGlothlin and seconded by Brown to proceed with a project to
28 construct a stormwater main and complete a maintenance repaving project on
29 Thompson Street. The motion carried, Elliott abstained."

30 ///

31 ///

1 The recording contains a question from a city councilor to the public works director as to
2 how many more buildable lots are on Thompson Street. He replied that he did not know.

- 3
4 • Councilor Elliott apparently abstained from this vote, although there is no record in
5 the written minutes or audio that he disclosed the nature of a conflict of interest.

6 7 Contact between Taner Elliott and City staff

8 The complaint included a series of emails between City staff (Planning Director, Public
9 Works Director, City Engineer and other staff), and Mr. Elliott concerning his property
10 development issues and requests before and after January 2015, when he became a city
11 councilor. Mr. Elliott's emails, both before and after he became a city councilor, seem to all
12 be from a private email account, rather than an official City email account. However, only
13 contacts occurring on or after 1/12/15 are relevant. (#PR1)

14
15 The complaint included a letter dated 8/27/15 to Councilor Elliott from the City's engineer,
16 responding to **Councilor Elliott's request** that the City improve 15th Street. This letter is
17 excerpted below:

18
19 "At your request, this letter is being prepared to outline the City's opinion regarding
20 the improvement of East 15th Street adjacent to your property located at the
21 intersection of E. 15th Street and Thompson Street."

22
23 "City Council adopted Resolution No. 15-017 on April 13, 2015....The newly
24 adopted Guidelines consisted of 8 bulleted items. Per these new guidelines, City
25 Staff has determined that with the proposed construction of a single family structure
26 on your lot of record, no street improvements will be required for the segment of E
27 15th Street that abuts the property. The City has based its decision and that
28 determination on the...Guideline items No. 7 and No. 8...[which] specifically state:

29
30 '7. If the lot where the new dwelling is constructed does not abut a network
31 street, then no street or sidewalk improvements are required.

1 8. Street engineering and construction and stormwater engineering and
2 construction on network streets shall be the responsibility of the City, the
3 timing and selection of projects at the City's discretion.'

4
5 "It has been determined that the section of East 15th Street that is being discussed
6 here, is not a network street. Therefore, based on the guidance as stated above,
7 'no street or sidewalk improvements are required' by the developer or the City."

8
9 "In addition to the [Resolution 15-017] Residential Street Public Improvement
10 Guidelines referenced above, City staff has received direction from City Council that
11 no new roads are to be constructed with City funds for the next 3 years per the City
12 Council Workplan adopted February 23, 2015."

13
14 "If the property owner/developer is interested in constructing street improvements at
15 their expense, they would be allowed to do so. Another option available to the
16 property owner/developer is they also have the ability to talk to adjacent property
17 owners and form a Local Improvement District (LID) to get any desired street
18 improvements installed and constructed. Both methods would require that the
19 proposed improvement be reviewed and approved by the City." (PR1)

20
21 An email string on 10/6/15 begins with an email from Taner Elliott to the Interim City
22 Manager which reads:

23
24 "Julie, I am personally wanting to pay for paving on east 15th of Thompson as part of
25 the gravel street policy. [Public Works Director] is requesting council directive. Can
26 you please add this to the agenda as a discussion item? Thanks Taner"

27
28 The Interim City Manager then forwarded Councilor Elliott's email to the Public Works
29 Director in a second email, asking him to compose a Staff report to be placed on the
30 10/26/15 city council meeting agenda, pursuant to Taner Elliott's request.

31 ///

1 The Public Works Director replied, saying that he would write up the report, and asking:
2 "Given Thompson St process, should we have it as an Action Item?" (#PR1)

3
4 The City of The Dalles Council Rules state that an item may be placed on the agenda by
5 four methods, including by a city councilor by advising the City Manager or Mayor.
6 (#INV12)

7
8 10/26/15 City Council Meeting

9 The Council considered, as an action item, the "Proposed East 15th Street Improvements
10 under the Gravel Street Policy". The City Staff report is excerpted below: (#INV5 and
11 #INV6)

12
13 "City has received a request from the owner of the Elk Horn residential
14 development, located along Thompson Street between 15th and 16th Streets, to
15 make improvements to East 15th Street under the Gravel Street Renovation Policy.
16 The Gravel Street Renovation Policy was developed as an expedited and cost-
17 effective process for paving of existing gravel streets and alleys within the
18 community short of forming a full-blown Local Improvement District (LID). Since it is
19 an abbreviated process, it requires consent of all property owners who may be
20 asked to contribute financially to the project. The Policy provides for a sharing of
21 project costs between property owners and the City wherein the property owners
22 pay for any concrete work needed for the project (curbs, sidewalks, retaining walls,
23 etc.) and the cost to purchase materials (rock and asphalt). The City provides the
24 tools, labor, and equipment to lay the pavement down in the right-of-way...."

25
26 With the recent revisions to the City's Land Use and Development Ordinance
27 (LUDO), developing residential property owners are no longer required to construct
28 street improvements along their frontage as they develop their properties. There is
29 also no requirement that the City construct these improvements. Therefore, Elk
30 Horn has requested that improvements to East 15th Street, extending west from
31 Thompson Street, be constructed under the Gravel Street Renovation Policy."