

In the Matter of  
Nathaniel Oaks  
Respondent

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Before the  
State Ethics Commission  
Complaint No. C-25-15

### ORDER

At its September 10, 2015 meeting, the State Ethics Commission reviewed the above captioned Complaint to determine whether further proceedings were necessary. The State Ethics Commission determined that the matter complained of herein has been settled by execution of a Stipulation of Settlement Agreement, attached hereto and made a part hereof, and payment in accord with Paragraph C of the Stipulation of Settlement Agreement of the sum of Two Hundred and Fifty Dollars (\$250).

ORDERED, that the Respondent is reprimanded, that this Order and Stipulation of Settlement Agreement are public documents and will be transmitted to the Speaker of the House of Delegates.

STATE ETHICS COMMISSION

Date: 9-10-15

  
Paul M. Vettori, Chair

### CERTIFICATE OF SERVICE

I hereby certify that on this 10<sup>th</sup> day of September, 2015, a copy of the foregoing Order in State Ethics Commission proceeding C-23-15, was forwarded via regular mail, postage prepaid, to the Respondent, Honorable Nathaniel Oaks, 3443 Edmondson Avenue, 2nd floor, Baltimore, MD 21229, and was hand delivered to William J. Colquhoun, Staff Counsel for the State Ethics Commission, 45 Calvert Street, 3<sup>rd</sup> Floor, Annapolis, MD 21401.

  
Jennifer K. Allgair, General Counsel

RECEIVED

In the Matter of:

NATHANIEL OAKS

Respondent

Before the State Ethics Commission SEP 08 2015

Complaint No.: C-25-15

STATE ETHICS COMMISSION

**STIPULATION OF SETTLEMENT AGREEMENT**

This Stipulation of Settlement Agreement (hereinafter the "Agreement") made this 8 day of September 2015 by and between Nathaniel Oaks, Respondent and William J. Colquhoun, Staff Counsel of the Maryland State Ethics Commission (hereinafter the "Staff Counsel").

***STIPULATIONS***


1. Respondent is a member of the House of Delegates and as a State official is required to file an annual Financial Disclosure Statement by no later than April 30<sup>th</sup> in non-election years.
2. The State Ethics Commission (hereinafter the "Commission") is an executive agency of the State of Maryland established by Chapter 513, Acts of 1979 for the purpose of enforcing the Maryland Public Ethics Law (Title 5, General Provisions Article, Annotated Code of Maryland) (hereinafter the "Ethics Law").
3. On July 15, 2015, the Commission issued a Complaint alleging that the Respondent failed to file a properly completed Financial Disclosure Statement by April 30, 2015 for the reporting period covering calendar year 2014.
4. Respondent admits that he was a State official required to file Financial Disclosure Statements pursuant to § 5-601 of the Ethics Law and that the statement was not filed in a timely manner.
5. Respondent has been advised as to the opportunity to be represented by counsel pursuant to the regulations of the Commission and has decided not to be represented by counsel.
6. Respondent is voluntarily entering into this Agreement to admit his failure to timely file and to accept certain sanctions.

**NOW THEREFORE**, in consideration of the admissions and agreements herein contained, Respondent and Staff Counsel stipulate as follows:


- A. That Respondent admits he did not timely file the required Financial Disclosure Statement for calendar year 2014.

- B. The Respondent understands that failure to comply with the financial disclosure provisions of the Ethics Law may subject him to late fees, civil fines, reprimand or the recommendation of removal from office. The Respondent acknowledges that he may file his financial disclosure annually beginning January 1<sup>st</sup> but no later than April 30<sup>th</sup>. Respondent agrees that his future filings will be timely.
- C. That Respondent understands a filing violation of the Ethics Law can subject an official to late fees of \$5 per day for each late day not to exceed \$500 and to fines for each violation pursuant to § 5-405(g)(2) and § 5-902(b)(1)(i) of the Ethics Law respectively. Respondent hereby agrees to pay, as a settlement, the amount of \$250.00 in lieu of adjudicated late fees and fines for the above admitted filing violation of the Ethics Law. Respondent agrees that \$250.00 will be paid by check or money order to the State of Maryland in care of the Commission at the time of the execution of this agreement.
- D. That Respondent accepts that the Commission, pursuant to § 5-405 of the Ethics Law, will issue a reprimand for the late filing, effective the date of the Final Order in this matter, and the reprimand will be transmitted to the Speaker of the House of Delegates.
- E. That Respondent waives any formal proceedings and hearing in this matter, if the Commission accepts this Agreement, and agrees that acceptance of this Agreement by the Commission constitutes a final action and finding of violation by the Commission.
- F. That the Respondent further agrees that this Agreement and materials related to this matter are not subject to the confidentiality provisions of the Ethics Law and will be public information unless otherwise protected.
- G. That upon execution of this Agreement by the Respondent, Staff Counsel will recommend that the Commission suspend any further proceedings against the Respondent and recommend further that the Commission issue a Final Order consistent with the terms of this Agreement. Should the Respondent fail to comply with the terms of this Agreement, and after written notice is issued to him, the Commission reserves the right to issue a further order regarding this matter or to schedule a hearing in this matter.
- H. That in the event the Commission declines to accept this Agreement, both the Respondent and Staff Counsel are relieved of their respective obligations, and neither this Agreement, nor any admission it may contain, shall be admissible in any subsequent proceeding by the Commission.
- I. That the Respondent and Staff Counsel are entering into this Agreement for the sole purpose of resolving this matter and for no other purpose.

**IN WITNESS WHEREOF**, Nathaniel Oaks, Respondent, and William J. Colquhoun, Staff Counsel, State Ethics Commission, have hereunto set their hands.



William J. Colquhoun  
Staff Counsel  
45 Calvert Street, 3<sup>rd</sup> Floor  
Annapolis, Maryland 21401  
(410) 260-7770



Nathaniel Oaks  
Respondent

State of Maryland

County of: Baltimore, to wit:

Before me, the undersigned, a Notary Public in and for the State and County aforesaid, personally appeared Nathaniel Oaks, who made oath on this 8<sup>th</sup> day of September, 2015, in due form of law that the matters and facts hereinabove set forth are true to the best of his knowledge, information and belief, and are his voluntary act, and that he executed this document for the purpose set forth herein.

[Redacted Signature]  
Notary Public

My Commission Expires: 03/07/2018

State of Maryland

County of: Baltimore, to wit:

Before me, the undersigned, a Notary Public in and for the State and County aforesaid, personally appeared William J. Colquhoun, Staff Counsel to the State Ethics Commission, who made oath on this 8<sup>th</sup> day of September, 2015, in due form of law, and that he executed this agreement for the purposes set forth herein.

[Redacted Signature]  
Notary Public

My Commission Expires: 12-22-18



Accepted by the Commission

[Redacted Signature]  
Paul M. Vettori, Chair  
for the Commission

Date: 9/10/15