# RECEIVED

JAN 3 1 2014

# LOBBYIST FILING AGREEMENT

STATE ETHICS COMMISSION

This Agreement, made this 21 day of JANVALY, 2014, by and between W. Minor Carter, lobbyist for Maryland Association of Mutual Insurance Companies ("MAMIC"), and William J. Colquhoun, Staff Counsel to the Maryland State Ethics Commission (hereinafter "Staff Counsel").

# RECITALS

The State Ethics Commission ("the Commission") is the executive agency of the State of Maryland established by Chapter 513, Acts of 1979 for the purpose of enforcing the Maryland Public Ethics Law (State Government Article, Title 15, Annotated Code of Maryland, hereinafter the Ethics Law) including the provisions of Subtitle 7, the lobbying disclosure program.

W. Minor Carter ("the filer") is an individual whose lobbying activities on behalf of MAMIC ("the employer"), for the period November 1, 2011 and October 31, 2012 required him to register as a lobbyist with the State Ethics Commission.

The filer did not timely register on behalf of the employer as required by the Md. Code. Ann., State Gov't. Art., §15-703(d)(1)(Supp. 2013). The filer subsequently registered on January 9, 2014.

The filer was required to submit a Lobbying Activity Report by May 31, 2012 for the period of November 1, 2011 through April 30, 2012, and a Lobbying Activity Report by November 30, 2012 for the period of May 1, 2012 through October 31, 2012 as required by § 15-704(a)(i) of the Public Ethics Law, and failed to submit the required reports in a timely manner. The filer submitted the delinquent Lobbying Activity Reports on January 9, 2014.

The filer is voluntarily entering into this Agreement to admit his failure to timely file a lobbyist registration and corresponding activity reports with the Commission and to pay a sum of money in lieu of potential late filing fees and other fines pursuant to Section 15-405 of the Ethics Law.

**NOW THEREFORE,** in consideration of the submission by the filer of the required lobbyist registration form and corresponding lobbyist activity reports on January 9, 2014, and the admissions and agreements herein contained, the filer and Staff Counsel stipulate and agree as follows:

- 1. The filer did not timely file his lobbyist registration form on behalf of the employer for the period November 1, 2011 and October 31, 2012, as required by §15-703(d)(1) of the Ethics Law.
- 2. The filer was notified of his delinquency on December 20, 2013. He filed his registration form and corresponding activity reports on January 9, 2014 (copies of which

have been attached hereto and made a part hereof).

- 3. The filer understands that failure to comply with the lobbying disclosure provisions of the Ethics Law may subject him to a formal complaint by the Commission and, upon finding of a violation, late fees and the possibility of civil fines.
- 4. Based on the facts stated in this Agreement, the filer agrees to pay as settlement of the late filing matter the amount of SEVEN HUNDRED AND FIFTY and no/100 Dollars (\$750.00) at the time of the execution of this Agreement in lieu of a potential late fees and in lieu of civil fines for the above admitted late registration statement (paragraph 1).
- 5. The Staff Counsel will, upon execution of this Agreement by the filer, recommend that the Commission not institute any proceedings on his failure to timely register. The filer understands that the Commission is under no obligation to accept this Agreement and may decide to take other action, including issuing a complaint.
- 6. The filer waives a formal hearing on this matter (if the Agreement is accepted by the Commission) to which he would be entitled if a complaint were issued, and he understands that this Agreement and materials relating to this matter are not subject to the confidentiality provisions of the Ethics law, and will be public information unless otherwise protected.
  - 7. The filer understands a copy of this Agreement will be mailed to his employer.
- 8. The filer and the Staff Counsel have entered into this Agreement for the sole purpose of resolving the late submission of a lobbyist registration and for the payment of late fees and other fines and for no other purpose.

IN WITNESS WHEREOF, W. Minor Carter and William J. Colquhoun, Staff Counsel to the State Ethics Commission, have hereunto set their hands.

William J. Colquhoun, Staff Counsel State Ethics Commission

45 Calvert Street, 3<sup>rd</sup> Floor Annapolis, MD 21401

(410) 260-7770

W. Minor Carter Lobbyist for MAMIC

State of Maryland County of:, to wit:
Before me, the undersigned, a Notary Public in and for the State and County aforesaid, personally appeared W. Minor Carter, who made oath on this 31 day of 2014 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.
Notary Public
My Commission Expires: 7   14   15
State of Maryland, County of: Anne Annall, 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 31 day of 1010 and 1014, 2014 in due form of law that he executed this agreement for the purposes set forth herein.
My Commission Expires:  Notary Public  Notary Public
Accepted by the Commission
Paul Vettori, Chair
for the Commission

Page 4 Carter Lobbyist Filing Agreement

# MARYLAND STATE ETHICS COMMISSION

45 Calvert Street, 3rd Floor Annapolis, Maryland 21401 410-260-7770 Toll Free 1-877-669-6085

# **GENERAL LOBBYING ACTIVITY FORM (Form #4)**

Read instructions carefully before completing this form. If you had reportable expenses or compensation during the reporting period, complete Parts A, B, C, D, E, F and G of the Activity Report. If you had no reportable compensation or expenses during the reporting period, but were registered to engage in lobbying, check here \_\_\_\_\_ and complete Parts A, E, F, and G. If additional forms are required for this employer, those forms should be attached to and made part of this filing.

triose form	S SIIC	build be attached to and made part of this filling.		
Activity Re	port	for reporting period: November 15, 2010 through April 30, 2011		
Termination Termination		port: Yes No _ <u>x</u> te:		
PART A	Ideı	ntification of Regulated Lobbyist (Registration and Employer)		
A. 1)		ntifying Information (complete all blanks, compare to registration form, and explain any erences)		
	a)	Name: W. Minor Carter		
	b)	Permanent Address (Include firm name if applicable): Firm Name: VanScoyoc Associates, Inc.		
		Address: 39 Southgate Avenue Annapolis, MD 21401		
	c)	Business telephone: <u>410-269-7954</u>		
		Cell phone: <u>410-991-0374</u>		
	d)	What is your occupation or type of business? Other		
		If other: <u>attorney</u>		
A. 2)	Identification of others required to register:			
-	a)	Was any other person required to register as a lobbyist on behalf of the filer? Yes $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ X		
	b)	If the answer to a) is "Yes", identify each such person below and give their name and address:		
A. 3)	Ide	ntification of employer (complete only if registrant acts on behalf of another):		
•		Did you engage in lobbying activity on behalf of a person or entity other than yourself? Yesx No		
		Name: Maryland Association of Mutual Insurance Company (MAMIC)		
		Permanent Address: c/o Timothy J. Swartz, Baltimore Equitable Insurance		
		One Charles Center; 100 N. Charles Street Suite 640		
		Baltimore , MD 21201-3808		
		Business Telephone: 410-727-1794		
		Nature of business: <u>Property and casualty insurance.</u>		
		Website of employer:		
	b)	Did you represent any other person or entity with regard to the matters covered by this registration? Yes $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ X		
A. 4)	Prin	nary purpose of the organization:		
-		Is your employer, or you if there was no employer, organized and operated for the primary purpose of attempting to influence any legislative or executive action? Yes $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ X		
A. 5)	Reg	istration Information:		

a) For what period of registration did you engage in lobbying activity for this employer, or for yourself if you did not have an employer? November 15, 2010 to October 31, 2011 b) What were the matters on which you or someone in your employ engaged in lobbying activity during the registration period covered by this report? Other - Property/Casualty insurance including taxation, regulation and corporate governance. c) If known include the bill number(s) of the matter(s) on which you lobby SB 483 & 599; HB 388, 434; 457; 647 Did the employer claim the status of exempt employer on the registration form? If that exemption is no longer claimed or should be amended, please provide an explanation for the change in the field below. Yes <u>x</u> No If the exemption claimed differs from the registration form, please explain in writing: **PART B Compensation and Expenses** Did you provide any meals and beverages for officials or employees or their immediate families? Yes No x If yes, what was the exact amount? B-1 \$0.00 Did you incur any expenses for special events, including dinners and receptions, entertainment and other functions to which all members of the General Assembly, either house thereof, all members of any standing committee or all members of a formally recognized (for ethics purposes) county or regional delegation have received written invitations. Yes \_ No \_<u>\_x</u>\_ If yes, list date, location, group of invitees who benefited and total expenses for each event. \$0.00 Expenses Did you incur any expenses for food, lodging, or scheduled entertainment of officials and employees for a meeting which were given in return for participation in a panel or speaking engagement at a meeting? \_ No \_\_<u>x</u> If yes, list date, location, and total expense for each meeting. If the total amount in expenses on any one official or employee is \$200 or more for any meeting, also include the person's name and the amount expended for the person at the meeting. Total B-3 \$0.00 Expenses Did you incur any expenses for food and beverages received by any member(s) of the General Assembly at approved legislative organization meetings? No <u>x</u> If yes, list location, name of legislative organization, date and total expense for each meeting.

B. 4)

Total B-4 \$0.00 Expenses

B. 5) Did you incur any expense for a ticket or free admission to any members of the General Assembly to attend charitable, cultural or political events to which the event holder invited all members of a legislative unit? No x

> If yes, list the name of the event, location, date, name of legislative unit and total expense for each event.

> > Total B-5 \$0.00 Expenses

Did you give any gifts to or for officials or employees or their immediate families other than B. 6) those that were reported in B-1 through B-5? (not including sums reported in B-1, B-2, B-3, B-4 and B-5)

No <u>x</u> Yes

A. 6)

B. 1)

B. 2)

B. 3)

If yes, list the amount:

B-6 \$0.00

# Subtotal of Items B-1 through B-6 - \$0.00

B. 7) What was the total compensation paid to you, not including any sums reported in any other section Section B of this report?

B-7 \$12,000.00

	Was the amount prorated because you were compensated for service lobbying activities? Yes $\underline{x}$ No $\underline{\underline{x}}$	ces in addition to	
B. 8)	What was the total for salaries, compensation and reimbursed expenses you paid to your staff related to lobbying services for this employer?	B-8	\$0.00
B. 9)	Did you incur any additional office expenses not reported in B-7 or Yes $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ X	B-8?	
	If yes, list the amount:	B-9	<u>\$0.00</u>
B. 10)	Did you incur any cost for professional and technical research and a in B-7 or B-8? Yes No _x_	issistance not rep	orted
	If yes, list the amount:	B-10	<u>\$0.00</u>
B. 11)	Did you incur any expenses for publications or expenses related to persons to communicate with officials or employees? Yes $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ X	expressly encour	aging
	If yes, list the amount:	B-11	<u>\$0.00</u>
B. 12)	Did you pay any fees or incur any expenses for witnesses who were behalf of your employer? Yes No $\underline{x}$	engaged to appo	ear on
	If yes, list the name and amount for each.		
	. •	tal B-12 penses	<u>\$0.00</u>
B. 13)	Did you incur any other expenses for this employer not otherwise a report? If yes, list the amount and provide an explanation. Yes No $\underline{x}$	ccounted for in th	nis
	If yes, list the amount:	B-13	\$0.00
	Please provide an explanation: N/A		
		TOTAL \$12	2,000.00
c.	Did you give any gifts or participate in the giving of any gifts with a cumulative value of \$75 or more? (Forms 13C and 13D, Section 15-704(c)) Yes No _x_		
D.	Did you give any gifts or participate in the giving of any gifts of meals and beverages to elected Executive Officials? (Forms 13A and 13B, Section 15-705) Yes No $\underline{x}$		
Ε.	Did you engage in any business transactions with officials during the reporting period? (Form 21, Section 15-706) Yes No $\underline{x}$		
F.	During the reporting period, did you make any political contributions, either directly or indirectly, for the benefit of the Governor, Lt Governor, Attorney General, Comptroller member of the General Assembly or a candidate for election to any of those offices? Yes No $\underline{x}$		
Please pro	vide any narrative that you may wish with regard to any of the figures or re	esponses in the r	eport:

# **PART G Signature and Oath**

- (d) Development of electronic filing procedures. The Ethics commission shall develop procedures under which a statement under this subtitle may be filed electronically and without additional cost to the individual who files the statement.
- (e) Oath or affirmation for electronically filed statements. (1) If the Activity Form (Form #4) filed electronically under subsection (d) of this section is required to be made under oath or affirmation, the oath or affirmation shall be made by a signed statement that:
  - i. is in the Activity Form (Form #4) or attached to and made part of the Activity Form (Form #4); and
  - ii. is made expressly under the penalties for perjury.
- (2) A signed statement made under paragraph (1) of this subsection subjects the individual making it to the penalties for perjury to the same extent as an oath or affirmation made before an individual authorized to administer oaths.
- \_x\_ I have read and I understand that by submission of this electronically filed Activity Form (Form #4), I hereby swear or affirm that the information contained in it is complete and accurate to the best of my knowledge and belief.

### MARYLAND STATE ETHICS COMMISSION

45 Calvert Street, 3rd Floor Annapolis, Maryland 21401 410-260-7770 Toll Free 1-877-669-6085

# LOBBYIST DISCLOSURE - REPORT OF CONTRIBUTORS FORM (Form #12)

Read the Instructions carefully before completing this form. This form applies only to regulated lobbyist, other than an individual, that is organized and operated for the primary purpose of attempting to influence legislative or executive action. See the Public Ethics Law, Md. Code Ann., State Gov't § 15-704(d) (Supp. 2001). First, on Ethics Commission Form No. 4, the person or organization completing the form must report in Section A-4, that the organizational employer (or the registration organization) is organized and operated for the primary purpose of attempting to influence any legislative or executive action as defined in the Public Ethics Law § 15-102(l) and (v).

#### PART A. General Information.

This is a 12-month period, ending on the ending date reported on the lobbying activity report being submitted.

November 01, 2011 through October 31, 2012

# PART B. Identification of Reporting Organization or Entry

a) Name: W. Minor Carter

**b)** Permanent Address:

Firm Name: VanScoyoc Associates, Inc.

Address:

39 Southgate Avenue Annapolis, MD 21401

c) Business telephone: <u>410-269-7954</u>

Cell phone: 410-991-0374

### PART C. Name and Permanent Address(es) of Contributors

List the name and permanent address of each person or entity who provided at least 5% of the reporting entity's total receipt in the preceding twelve-month period ending with the last day of the organization's registration period covered by this report.

#### Name of Contributing person or Entity

**Permanent Address** 

Harford Mutual Insurance Company

200 E. Main Street Bel Air , MD 21014-3544 Phone: Fmail:

#### **PART D. Signature and Oath.**

- (d) Development of electronic filing procedures. The Ethics commission shall develop procedures under which a statement under this subtitle may be filed electronically and without additional cost to the individual who files the statement.
- (e) Oath or affirmation for electronically filed statements. (1) If the Contributors Form (Form #12) filed electronically under subsection (d) of this section is required to be made under oath or affirmation, the oath or affirmation shall be made by a signed statement that:
  - i. is in the Contributors Form (Form #12) or attached to and made part of the Contributors Form (Form #12); and
  - ii. is made expressly under the penalties for perjury.
- (2) A signed statement made under paragraph (1) of this subsection subjects the individual making it to the penalties for perjury to the same extent as an oath or affirmation made before an individual authorized to administer oaths.
- <u>x</u> I have read and I understand that by submission of this electronically filed Contributors Form (Form #12), I hereby swear or affirm that the information contained in it is complete and accurate to the best of my knowledge and belief.

Date:	01/13/2014	

MARYLAND STATE ETHICS COMMISSION
45 Calvert Street, 3rd Floor
Annapolis, Maryland 21401
410-260-7770
Toll Free 1-877-669-6085

# **GENERAL LOBBYING ACTIVITY FORM (Form #4)**

Read instructions carefully before completing this form. If you had reportable expenses or compensation
during the reporting period, complete Parts A, B, C, D, E, F and G of the Activity Report. If you had no
reportable compensation or expenses during the reporting period, but were registered to engage in lobbying,
check here and complete Parts A, E, F, and G. If additional forms are required for this employer,
those forms should be attached to and made part of this filing.

those form	s sho	ould be attached to and made part of this filing.	
Activity Re	port	for reporting period: May 01, 2012 through October 31, 2012	
Termination Termination		port: Yes No <u>x</u> te:	
PART A	Ideı	ntification of Regulated Lobbyist (Registration and Employer)	
A. 1)		ntifying Information (complete all blanks, compare to registration form, and explain any erences)	
	a)	Name: W. Minor Carter	
	b)	Permanent Address (Include firm name if applicable): Firm Name: <u>VanScoyoc Associates, Inc.</u>	
		Address: 39 Southgate Avenue Annapolis, MD 21401	
	c)	Business telephone: 410-269-7954	
		Cell phone: <u>410-991-0374</u>	
	d)	What is your occupation or type of business? Other	
		If other: attorney	
A. 2)	Identification of others required to register:		
/··· <b>_</b> /		Was any other person required to register as a lobbyist on behalf of the filer?	
	•	Yes No <u>x</u>	
	b)	If the answer to a) is "Yes", identify each such person below and give their name and address	
A. 3)	Ide	ntification of employer (complete only if registrant acts on behalf of another):	
<b>.</b> ,	a)	Did you engage in lobbying activity on behalf of a person or entity other than yourself? Yes $\underline{x}$ No $\underline{\hspace{1cm}}$	
		Name: Maryland Association of Mutual Insurance Company (MAMIC)	
		Permanent Address:	
		<u>c/o Sharon Woodward, Baltimore Equitable Insurance</u> <u>One Charles Center; 100 N. Charles Street</u>	
		Suite 640	
		Baltimore , MD 21201-3808	
		Business Telephone: 410-727-1794	
		Nature of business: Property and casualty insurance.	
		Website of employer:	
	b)	Did you represent any other person or entity with regard to the matters covered by this registration? Yes Nox_	
A. 4)	Prin	nary purpose of the organization:	
•		Is your employer, or you if there was no employer, organized and operated for the primary purpose of attempting to influence any legislative or executive action?  Yesx No	
A. 5)	Reg	gistration Information:	

- a) For what period of registration did you engage in lobbying activity for this employer, or for yourself if you did not have an employer? November 01, 2011 to October 31, 2012 b) What were the matters on which you or someone in your employ engaged in lobbying activity during the registration period covered by this report? Other - Matters relating to property casualty insurance and domestic mutual insurers. c) If known include the bill number(s) of the matter(s) on which you lobby Did the employer claim the status of exempt employer on the registration form? If that exemption is no longer claimed or should be amended, please provide an explanation for the change in the field below. Yes <u>x</u> No If the exemption claimed differs from the registration form, please explain in writing: **PART B Compensation and Expenses** Did you provide any meals and beverages for officials or employees or their immediate families? No x B-1 \$0.00 If yes, what was the exact amount? Did you incur any expenses for special events, including dinners and receptions, entertainment and other functions to which all members of the General Assembly, either house thereof, all members of any standing committee or all members of a formally recognized (for ethics purposes) county or regional delegation have received written invitations. No <u>x</u> Yes If yes, list date, location, group of invitees who benefited and total expenses for each event. Total B-2 \$0.00 Expenses Did you incur any expenses for food, lodging, or scheduled entertainment of officials and employees for a meeting which were given in return for participation in a panel or speaking engagement at a meeting? Yes No <u>x</u> If yes, list date, location, and total expense for each meeting. If the total amount in expenses on any one official or employee is \$200 or more for any meeting, also include the person's name and the amount expended for the person at the meeting. Total B-3 \$0.00 Expenses Did you incur any expenses for food and beverages received by any member(s) of the General Assembly at approved legislative organization meetings? No <u>x</u> If yes, list location, name of legislative organization, date and total expense for each meeting. Total B-4 \$0.00 **Expenses** Did you incur any expense for a ticket or free admission to any members of the General Assembly to attend charitable, cultural or political events to which the event holder invited all members of a legislative unit? Yes No x If yes, list the name of the event, location, date, name of legislative unit and total expense for each event. Total B-5 \$0.00
- Did you give any gifts to or for officials or employees or their immediate families other than B. 6) those that were reported in B-1 through B-5? (not including sums reported in B-1, B-2, B-3, B-4 and B-5)

\_\_ No \_\_<u>x</u>\_\_ Yes

A. 6)

B. 1)

B. 2)

B. 3)

B. 4)

B. 5)

If yes, list the amount:

B-6 \$0.00

Expenses

#### Subtotal of Items B-1 through B-6 - \$0.00

B. 7) What was the total compensation paid to you, not including any sums reported in any other section Section B of this report?

B-7 \$12,000.00

	Was the amount prorated because you were compensated for service lobbying activities? Yes $\underline{x}$ No $\underline{\underline{x}}$	ces in addition to	
B. 8)	What was the total for salaries, compensation and reimbursed expenses you paid to your staff related to lobbying services for this employer?	B-8	\$0.00
B. 9)	Did you incur any additional office expenses not reported in B-7 or Yes $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ X	B-8?	
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		TOTAL \$12	2,000.00
c.	Did you give any gifts or participate in the giving of any gifts with a cumulative value of \$75 or more? (Forms 13C and 13D, Section 15-704(c)) Yes No _x_		
D.	Did you give any gifts or participate in the giving of any gifts of meals and beverages to elected Executive Officials? (Forms 13A and 13B, Section 15-705) Yes No $\underline{x}$		
Ε.	Did you engage in any business transactions with officials during the reporting period? (Form 21, Section 15-706) Yes No $\underline{x}$		
F.	During the reporting period, did you make any political contributions, either directly or indirectly, for the benefit of the Governor, Lt Governor, Attorney General, Comptroller member of the General Assembly or a candidate for election to any of those offices? Yes No $\underline{x}$		
Please pro	vide any narrative that you may wish with regard to any of the figures or re	esponses in the r	eport:

# **PART G Signature and Oath**

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- (e) Oath or affirmation for electronically filed statements. (1) If the Activity Form (Form #4) filed electronically under subsection (d) of this section is required to be made under oath or affirmation, the oath or affirmation shall be made by a signed statement that:
  - i. is in the Activity Form (Form #4) or attached to and made part of the Activity Form (Form #4); and
  - ii. is made expressly under the penalties for perjury.
- (2) A signed statement made under paragraph (1) of this subsection subjects the individual making it to the penalties for perjury to the same extent as an oath or affirmation made before an individual authorized to administer oaths.
- \_x\_ I have read and I understand that by submission of this electronically filed Activity Form (Form #4), I hereby swear or affirm that the information contained in it is complete and accurate to the best of my knowledge and belief.

### MARYLAND STATE ETHICS COMMISSION

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# LOBBYIST DISCLOSURE - REPORT OF CONTRIBUTORS FORM (Form #12)

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#### PART A. General Information.

This is a 12-month period, ending on the ending date reported on the lobbying activity report being submitted.

November 01, 2011 through October 31, 2012

# PART B. Identification of Reporting Organization or Entry

a) Name: W. Minor Carter

**b)** Permanent Address:

Firm Name: VanScoyoc Associates, Inc.

Address:

39 Southgate Avenue Annapolis, MD 21401

c) Business telephone: <u>410-269-7954</u>

Cell phone: 410-991-0374

### PART C. Name and Permanent Address(es) of Contributors

List the name and permanent address of each person or entity who provided at least 5% of the reporting entity's total receipt in the preceding twelve-month period ending with the last day of the organization's registration period covered by this report.

#### Name of Contributing person or Entity

**Permanent Address** 

Harford Mutual Insurance Company

200 E. Main Street Bel Air , MD 21014-3544 Phone: Fmail:

#### **PART D. Signature and Oath.**

- (d) Development of electronic filing procedures. The Ethics commission shall develop procedures under which a statement under this subtitle may be filed electronically and without additional cost to the individual who files the statement.
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- (2) A signed statement made under paragraph (1) of this subsection subjects the individual making it to the penalties for perjury to the same extent as an oath or affirmation made before an individual authorized to administer oaths.
- <u>x</u> I have read and I understand that by submission of this electronically filed Contributors Form (Form #12), I hereby swear or affirm that the information contained in it is complete and accurate to the best of my knowledge and belief.

Date:	01/13/2014	