In the Matter of:

W. MINOR CARTER

•				RECEIV	Porter Prom
Before	the	State	Ethics	Commission 29 20	) 11

Complaint No.: C-73 STATE ETHICS COMMISSION

Respondent

# STIPULATION OF SETTLEMENT AGREEMENT

On the 29 day of Jule, 2011, between W. Minor Carter, Respondent and William J. Colquhoun, Staff Counsel, agreed as follows:

#### STIPULATIONS

- 1. The State Ethics Commission ("Commission") is an executive agency of the State of Maryland established for the purpose of enforcing the Maryland Public Ethics Law (Title 15, State Government Article, Annotated Code of Maryland, hereinafter "the Ethics Law").
- 2. The Respondent timely registered as a lobbyist with the State Ethics Commission on behalf of City of Annapolis, Katcef Brothers Distributing Co., Liberty Mutual Group and Maryland Association of Mutual Insurance Company ("the employers") for the period of June 24, 2011 through June 24, 2011 as required by § 15-703(d)(1) of the Ethics Law.
- 3. The Respondent was required to submit a Lobbying Activity Report by May 31, 2011, for the period November 1, 2010 through April 30, 2011, as required by § 15-704(a)(i) of the Ethics Law, and failed to submit the required report in a timely manner.
- 4. On June 24, 2011, the Respondent submitted the delinquent Lobbying Activity Report for the period November 1, 2010 through April 30, 2011.
- 5. On June 15, 2011, the Commission issued a complaint against the Respondent alleging the failure to file, by May 31, 2011, a Lobbying Activity Report for the period of November 1, 2010 through April 30, 2011.
- 6. The Respondent is voluntarily entering into this Stipulation of Settlement Agreement to admit his failure to timely file the Lobbying Activity Report for the period November 1, 2010 through April 30, 2011 and to pay a sum of money in lieu of potential late filing fees and fines that could be assessed pursuant to § 15-405 of the Ethics Law.

NOW THEREFORE, in consideration of the agreements herein contained and effective on the Commission's acceptance of the terms of this Agreement, W. Minor Carter, Respondent, and William J. Colquboun, Staff Counsel agree as follows:

- A. Respondent admits that he did not timely file his Lobbying Activity Report on behalf of the employers for the period November 1, 2010 through April 30, 2011 by May 31, 2011, in violation of § 15-704(a)(ii) of the Ethics Law.
- B. Respondent subsequently filed the required Lobbying Activity Report with the Commission (a copy of which has been attached hereto and made a part hereof).
- C. Respondent understands that failure to comply with the lobbying disclosure provisions of the Ethics Law may subject him to the possibility of late fees, civil fines, reprimand, a suspension of his ability to lobby for compensation and other penalties. Respondent acknowledges that he has been advised that the filing deadlines for activity reports are May 31<sup>st</sup> for the period of November 1<sup>st</sup> to April 30<sup>th</sup> and November 30<sup>th</sup> for the period May 1<sup>st</sup> through October 31<sup>st</sup> if he is registered in those reporting periods. Respondent also acknowledges that future late filed activity reports could be viewed as knowing and willful violations of the Ethics Law.
- D. Based on the facts stated in this Stipulation of Settlement, the Respondent agrees to pay as settlement of the complaint, the amount of One Hundred Dollars (\$100.00) at the time of the execution of this agreement in lieu of potential late fees and in lieu of civil fines for the above admitted late activity report (paragraph 1).
- E. Respondent waives a formal hearing on this matter and agrees that acceptance of the Stipulation of Settlement by the Commission would constitute, based on his admission of violations of the Ethics Law, a final action and finding of violation by the Commission, and, pursuant to § 15-407 of the Ethics Law, 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.
- F. Staff Counsel, upon execution of this Agreement by the Respondent, will recommend that the Commission suspend further complaint proceedings against the Respondent and recommend further that the Commission issue a Final Order in accordance with the terms of this Agreement.
- F. The agreement, including any documents incorporated herein, and the Final Order will be transmitted to the employers.

Respondent and Staff Counsel have entered into this Agreement for the G. sole purpose of resolving the late submission of the Lobbying Activity Report, the payment in lieu of late fees and fines, to resolve the complaint now pending, and for no other purpose.

IN WITNESS WHEREFORE, W. Minor Carter, Respondent and William J. Colquhoun, Staff Counsel for the State Ethics Commission. have signed below.

# SIGNATURE APPEARS ON **ORIGINAL AGREEMENT**

William J. Colguloun, Staff Counsel State Ethics Commission 45 Calvert Street, 3<sup>rd</sup> Floor Annapolis, MD 21401 (410) 260-7770

# **SIGNATURE APPEARS ON ORIGINAL AGREEMENT**

W. Minor Carter Lobbyist

City of Annapolis, Katcef Brothers Distributing Co., Liberty Mutual Group and Maryland Association of Mutual Insurance Company

State of Maryland	
County of Saltemere, to	wit:
aforesaid, personally appeared W. Minor (, 2011, in due form	Carter, who made oath on this day of an of law that the matters and facts hereinabove by by ledge, information and belief, and are his current for the purpose set forth herein.
(	SIGNATURE APPEARS ON ORIGINAL AGREEMENT
My Commission Expires: 12-22-7	wit:  Otary Public in and for the State and County Colquboun, Staff Counsel to the State Ethics  day of Turn I and the State In the Sta
State of Maryland	PUBLIC
County of: DANI Annall, to	wit:
aforesaid, personally appeared William J.	for the purposes set forth herein.
of law, and that he executed this agreement	SIGNATURE APPEARS ON ORIGINAL AGREEMENT Notary Public
My Commission Tappires: 2 (0124/12	
THE TOUNDEL COUNTY	3

Accepted by the Commission

SIGNATURE APPEARS ON ORIGINAL AGREEMENT

Robert F. Scholz, Chairman for the Commission

Date: <u>July 14</u>, 2011

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 filling.

Activity Rep	ort for reporting period: November 01, 2010 through April 30, 2011
Termination Termination	Report: Yes Nox_ Date:
PART A I	dentification of Regulated Lobbyist (Registration and Employer)
A 1)	dentifying Information (complete all blanks, compare to registration form, and explain any lifferences)
•	Name: W. Minor Carter
	Permanent Address (Include firm name if applicable): Firm Name: VanScoyoc Associates, Inc.
	Address: 39 Southgate Avenue Annapolis, MD 21401
•	Business telephone: <u>410-269-7954</u>
	Cell phone: 410-991-0374
(	What is your occupation or type of business? Other
	If other: attorney
A. 2) I	dentification of others required to register:
	Was any other person required to register as a lobbyist on behalf of the filer?  Yes Nox
k	If the answer to a) is "Yes", identify each such person below and give their name and address
<b>A. 3)</b> I	dentification 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: <u>City of Annapolis</u>
	Permanent Address:
	<u>Mayor's Office</u> <u>160 Duke of Gloucester Street</u> <u>Annapolis, MD 21401</u>
	Business Telephone:
	Nature of business:
	Website of employer:
b	Did you represent any other person or entity with regard to the matters covered by this registration? Yes Nox
<b>A. 4</b> ) P	rimary 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 No _x
<b>A.5</b> ) R	edistration 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, 2010 to October 31, 2011

   b) What were the matters on which you or someone in your employ engaged in lobbying activity.
- **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?

  BONDS/COUNTY & BALTIMORE CITY BONDS/STATE BONDS.

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.  Yesx _ 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 Nox		c) If known include the bill number(s) of the matter(s) on which you lobby State Bond bill for Annapolis Market House		
PART B Compensation and Expenses  B. 1) Did you provide any meals and beverages for officials or employees or their immediate families?  Yes NoX  If yes, what was the exact amount?  B. 2) Did you incur any expenses for special events, including dinners and receptions, entertrainment 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 NoX  If yes, list date, location, group of invitees who benefited and total expenses for each event.  Total B-2 Expenses	A. 6)	is no longer claimed or should be amended, please provide an explanation for the c field below.	that exer hange in	mption the
PART B Compensation and Expenses  B. 1) Did you provide any meals and beverages for officials or employees or their immediate families?  Yes NoX  If yes, what was the exact amount?  B. 2) Did you incur any expenses for special events, including dinners and receptions, entertrainment 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 Nox  If yes, list date, location, group of invitees who benefited and total expenses for each event.  Total B-2 Expenses			<i>~</i> :	
B. 1)    Did you provide any meals and beverages for officials or employees or their immediate families?   Yes		The exemption duffied differs from the registration form, please explain in which	y.	
Familles?   Yes NoX   If yes, what was the exact amount?   B-1 \$0.00	PART B	Compensation and Expenses		
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.  Yes Nox  If yes, list date, location, group of invitees who benefited and total expenses for each event.  Total B-2 Expenses \$0.00  B. 3)  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 Nox  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.  Did you incur any expenses for food and beverages received by any member(s) of the General Assembly at approved legislative organization meetings?  Yes Nox  If yes, list location, name of legislative organization, date and total expense for each meeting.  Total B-4 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?  Yes Nox  If yes, list he name of the event, location, date, name of legislative unit and total expense for each event.  Total B-5 Expenses  50.00  Did you give any gifts to or for officials or employees or their immediate families other than 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)  Yes Nox  If yes, list the name the sum of	B. 1)	families?	immedia	te
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  If yes, list date, location, group of invitees who benefited and total expenses for each event.  Total B-2 Expenses		If yes, what was the exact amount?	B-1	\$0.00
B. 3)  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 X  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 Expenses  Expenses  Total B-3 Expenses  So.00  B. 4)  Did you incur any expenses for food and beverages received by any member(s) of the General Assembly at approved legislative organization meetings?  Yes No X  If yes, list location, name of legislative organization, date and total expense for each meeting.  Total B-4 Expenses  So.00  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?  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 Expenses  So.00  B. 6)  Did you give any gifts to or for officials or employees or their immediate families other than 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)  Yes No X  If yes, list he reported in B-1 through B-5? (not including sums reported in B-1, B-2, B-3, B-4 and B-5)	В. 2)	entertainment and other functions to which all members of the General Asse house thereof, all members of any standing committee or all members of a frecognized (for ethics purposes) county or regional delegation have received invitations.  Yes Nox	mbly, eit formally I written	
B. 3)  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 NoX  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		If yes, list date, location, group of invitees who benefited and total expenses	for each	event.
B. 3)  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 Nox  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 Expenses \$0.00  B. 4)  Did you incur any expenses for food and beverages received by any member(s) of the General Assembly at approved legislative organization meetings?  Yes Nox  If yes, list location, name of legislative organization, date and total expense for each meeting.  Total B-4 Expenses \$0.00  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?  Yes Nox  If yes, list the name of the event, location, date, name of legislative unit and total expense for each event.  Total B-5 Expenses \$0.00  B. 6)  Did you give any gifts to or for officials or employees or their immediate families other than those that were reported in B-1 through B-5? (not including sums reported in B-1, B-2, B-3, Yes Nox  If yes, list the amounts				\$0.00
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 Expenses \$0.00  B. 4)  Did you incur any expenses for food and beverages received by any member(s) of the General Assembly at approved legislative organization meetings?  Yes No  If yes, list location, name of legislative organization, date and total expense for each meeting.  Total B-4 Expenses \$0.00  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?  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 Expenses \$0.00  B. 6)  Did you give any gifts to or for officials or employees or their immediate families other than those that were reported in B-1 through B-5? (not including sums reported in B-1, B-2, B-3, Yes No X  If yes, list the amount.	B. 3)	Did you incur any expenses for food, lodging, or scheduled entertainment of employees for a meeting which were given in return for participation in a parengagement at a meeting?	officials a nel or spe	and eaking
B. 4)  Did you incur any expenses for food and beverages received by any member(s) of the General Assembly at approved legislative organization meetings?  Yes No x  If yes, list location, name of legislative organization, date and total expense for each meeting.  Total B-4 Expenses \$0.00  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?  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 Expenses \$0.00  B. 6)  Did you give any gifts to or for officials or employees or their immediate families other than 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)  Yes No x  If yes Is the amount.		expenses on any one official or employee is \$200 or more for any meeting a	ount in Iso includ	de the
B. 4)  Did you incur any expenses for food and beverages received by any member(s) of the General Assembly at approved legislative organization meetings?  Yes Nox  If yes, list location, name of legislative organization, date and total expense for each meeting.  Total B-4 Expenses \$0.00  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?  Yes Nox  If yes, list the name of the event, location, date, name of legislative unit and total expense for each event.  Total B-5 Expenses \$0.00  B. 6)  Did you give any gifts to or for officials or employees or their immediate families other than 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)  Yes Nox  If yes, list the amounts.				<u>\$0.00</u>
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?  Yes Nox  If yes, list the name of the event, location, date, name of legislative unit and total expense for each event.  Total B-5  Expenses  \$0.00  B. 6)  Did you give any gifts to or for officials or employees or their immediate families other than 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)  Yes NoX  If yes, list the amounts	B. 4)	Did you incur any expenses for food and beverages received by any member General Assembly at approved legislative organization meetings?	(s) of the	•
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 NoX  If yes, list the name of the event, location, date, name of legislative unit and total expense for each event.  Total B-5 Expenses \$0.00  B. 6)  Did you give any gifts to or for officials or employees or their immediate families other than 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)  Yes NoX  If yes, list the amount:		If yes, list location, name of legislative organization, date and total expense i meeting.	for each	
Assembly to attend charitable, cultural or political events to which the event holder invited all members of a legislative unit?  Yes Nox  If yes, list the name of the event, location, date, name of legislative unit and total expense for each event.  Total B-5 Expenses \$0.00  Did you give any gifts to or for officials or employees or their immediate families other than 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)  Yes Nox  If yes, list the amount.				<u>\$0.00</u>
Total B-5 Expenses  B. 6)  Did you give any gifts to or for officials or employees or their immediate families other than 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) Yes Nox  If you list the amount:	B. 5)	Assembly to attend charitable, cultural or political events to which the event all members of a legislative unit?	he Gener holder in	al vited
Expenses  Did you give any gifts to or for officials or employees or their immediate families other than 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)  Yes Nox  If you list the amount:		If yes, list the name of the event, location, date, name of legislative unit and for each event.	total exp	ense
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)  Yes Nox  If we a list the amount:				\$0.00
If you list the amount	B. 6)	those that were reported in B-1 through B-5? (not including sums reported in B-4 and B-5)	lies other B-1, B-2	than 2, B-3,
			B-6	\$0.00

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

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

B-7 \$7,000.00

	Was the amount prorated because you were compensated for servi lobbying activities? Yesx No	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	\$0.00
B. 10)	Did you incur any cost for professional and technical research and a in B-7 or B-8? Yes $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ X	assistance not rep	orted
	If yes, list the amount:	B-10	\$0.00
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 encoura	aging
	If yes, list the amount:	B-11	\$0.00
B. 12)	Did you pay any fees or incur any expenses for witnesses who were behalf of your employer?  Yes Nox	engaged to appe	ear on
	If yes, list the name and amount for each.		
	E;	otal B-12 xpenses	\$0.00
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 Nox	ccounted for in th	is
	If yes, list the amount:	B-13	\$0.00
	Please provide an explanation: N/A		
		TOTAL <u>\$7</u>	,000.00
c.	Did you give any gifts or participate in the giving of any gifts with a cumul more? (Forms 13C and 13D, Section 15-704(c)) Yes No $\underline{x}$	ative value of \$75	or
D.	Did you give any gifts or participate in the giving of any gifts of meals and Executive Officials? (Forms 13A and 13B, Section 15-705) Yes $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ X	beverages to elec	cted
E +	Did you engage in any business transactions with officials during the repor Section 15-706) Yes No _ $\underline{x}$	ting period? (Forn	n 21,
ym Jose g	During the reporting period, did you make any political contributions, either for the benefit of the Governor, Lt Governor, Attorney General, Comptrolle General Assembly or a candidate for election to any of those offices? Yes $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ X	r directly or indire r member of the	ectly,

## **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.
- $\underline{x}$  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.

Date: <u>06/20/2011</u>

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 filling.

Activity Re	eport	for reporting period: November 01, 2010 through April 30, 2011
Termination Termination	on Re	port: Yes Nox_ ete:
PART A	Ide	ntification of Regulated Lobbyist (Registration and Employer)
A. 1)	Ide	ntifying Information (complete all blanks, compare to registration form, and explain any references)
	a)	Name: W. Minor Carter
	b)	Permanent Address (Include firm name if applicable): Firm Name: VanScovoc Associates, Inc.
		Address: 39 Southgate Avenue Annapolis, MD 21401
	c)	Business telephone: <u>410-269-7954</u>
		Cell phone: 410-991-0374
	d)	What is your occupation or type of business? Other
		If other: attorney
A. 2)	Ide	ntification of others required to register:
,		Was any other person required to register as a lobbyist on behalf of the filer?
		Yes Nox
	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):
	a)	Did you engage in lobbying activity on behalf of a person or entity other than yourself?  Yesx No
		Name: Katcef Brothers Distributing Co.
		Permanent Address: <u>c/o Neal Katcef</u> 2402 A & Eagle Blvd
		Annapolis, MD 21401
		Business Telephone: 410-224-2391
		Nature of business: <u>Distribution of malt and other alcoholic and non alcoholic beverages</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:

	b) What were the matters on which you or someone in your employ engaged during the registration period covered by this report? <u>Taxation</u> <u>Other - The sale, distribution, regulation and taxation of malt beverages a</u>		ctivity
	beverages.	na arconone	
	c) If known include the bill number(s) of the matter(s) on which you lobby		
A. 6)	Did the employer claim the status of exempt employer on the registration form is no longer claimed or should be amended, please provide an explanation for field below.  YesxNo  If the exemption claimed differs from the registration form, please explain in w	the change in	
	, , , , , , , , , , , , , , , , , , , ,	. <b>J</b>	
	Compensation and Expenses		
B. 1)	Did you provide any meals and beverages for officials or employees or t families? Yes Nox	heir immedial:	te
	If yes, what was the exact amount?	B-1	\$0.00
B. 2)	Did you incur any expenses for special events, including dinners and recentertainment and other functions to which all members of the General house thereof, all members of any standing committee or all members of recognized (for ethics purposes) county or regional delegation have receinvitations.  Yes No X	Assembly, eit of a formally	her
	If yes, list date, location, group of invitees who benefited and total expe	enses for each	event.
	Total I Expen		\$0.00
B. 3)	Did you incur any expenses for food, lodging, or scheduled entertainmel employees for a meeting which were given in return for participation in engagement at a meeting? Yes $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ X	nt of officials a a panel or spe	and eaking
	If yes, list date, location, and total expense for each meeting. If the total expenses on any one official or employee is \$200 or more for any meeting person's name and the amount expended for the person at the meeting	ng, also inclu	de the
	Total I Expen		\$0.00
B. 4)	Did you incur any expenses for food and beverages received by any mer General Assembly at approved legislative organization meetings? Yes Nox	mber(s) of the	2
	If yes, list location, name of legislative organization, date and total expendenting.	ense for each	
	Total & Expen		\$0.00
B. 5)	Did you incur any expense for a ticket or free admission to any member Assembly to attend charitable, cultural or political events to which the eall members of a legislative unit?  Yes $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ X	s of the Gene vent holder in	ral vited
	If yes, list the name of the event, location, date, name of legislative unit for each event.	t and total exp	oense
	Total E Expens		\$0.00
B. 6)	Did you give any gifts to or for officials or employees or their immediate those that were reported in B-1 through B-5? (not including sums report B-4 and B-5) Yes Nox	families othe ted in B-1, B-1	r than 2, B-3,
	If yes, list the amount:	B-6	\$0.00
	Subtotal of Items B-1 through B-6 - \$0.00		<del></del>
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 <u>\$7,</u>	000,00

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, 2010 to October 31, 2011

	Was the amount prorated because you were compensated for services lobbying activities? Yes $\underline{x}$ No $\underline{\hspace{1cm}}$	in addition to	1
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 B-8 Yes $\_$ No $\_$ X	?	
	If yes, list the amount:	B-9	\$0.00
B. 10)	Did you incur any cost for professional and technical research and assis in B-7 or B-8? Yes Nox_	tance not rep	oorted
	If yes, list the amount:	B-10	\$0.00
B. 11)	Did you incur any expenses for publications or expenses related to expense persons to communicate with officials or employees? Yes $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ X	ressly encour	aging
	If yes, list the amount:	B-11	\$0.00
B. 12)	Did you pay any fees or incur any expenses for witnesses who were end behalf of your employer?  Yes Nox	gaged to app	ear on
	If yes, list the name and amount for each.		
	Total Exper		\$0.00
B. 13)	Did you incur any other expenses for this employer not otherwise accoureport? If yes, list the amount and provide an explanation. Yes No $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$	inted for in th	nis
	If yes, list the amount:	B-13	\$0.00
	Please provide an explanation: N/A	5 15	<u> 40.00</u>
		TOTAL <u>\$7</u>	7,000.00
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 $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$		
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 Nox		
E.	Did you engage in any business transactions with officials during the reporting period? (Form 21, Section 15-706)  Yes No x		
F.	During the reporting period, did you make any political contributions, either differ the benefit of the Governor, Lt Governor, Attorney General, Comptroller magneral Assembly or a candidate for election to any of those offices? Yes $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ X	rectly or indir ember of the	rectly,

### **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.
- $\underline{\times}$  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.

Date: <u>06/05/2011</u>

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.

Activity Re	port	for reporting period: November 15, 2010 through April 30, 2011
Terminatio Terminatio		eport: Yes No <u>x</u> ate:
PART A	Ide	ntification of Regulated Lobbyist (Registration and Employer)
A. 1)	Ide	entifying Information (complete all blanks, compare to registration form, and explain any ferences)
	a)	Name: W. Minor Carter
	b)	Permanent Address (Include firm name if applicable): Firm Name: VanScoyoc Associates, Inc.
		Address: 39 Southqate Avenue Annapolis, MD 21401
	c)	Business telephone: <u>410-269-7954</u>
		Cell phone: 410-991-0374
	d)	What is your occupation or type of business? Other
		If other: attorney
A. 2)	Ide	ntification of others required to register:
	a)	
	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? YesxNo
		Name: Liberty Mutual Group
		Permanent Address:
		c/o Bill Lynch 175 Berkeley Street, Mail Stop 07E
		Boston, MA 02117
		Business Telephone: 617-574-5688
		Nature of business: Property Casualty and Life Insurance Products
		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? Yes $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ X
A. 5)	Regi	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 and life insurance matters including taxation, regulation and corporate governance.
- c) If known include the bill number(s) of the matter(s) on which you lobby

	House Bills 204, 388, 434, 457, & 599 Senate Bill 483 and 599	
A. 6)	Did the employer claim the status of exempt employer on the registration form? If that exempt is no longer claimed or should be amended, please provide an explanation for the change in the field below.  Yes $\underline{x}$ No $\underline{\hspace{0.5cm}}$	
	If the exemption claimed differs from the registration form, please explain in writing:	
PART I	3 Compensation and Expenses	
B. 1)	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?	0.00
B. 2)	Did you incur any expenses for special events, including dinners and receptions, entertainment and other functions to which all members of the General Assembly, eithe 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 Nox_	r
	If yes, list date, location, group of invitees who benefited and total expenses for each ex	/ent.
	Total B-2 Expenses	0.00
B. 3)	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 speak engagement at a meeting?  Yes No $_{\underline{X}}$	
	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 person's name and the amount expended for the person at the meeting.	the
	Total B-3 Expenses	0.00
B. 4)	Did you incur any expenses for food and beverages received by any member(s) of the General Assembly at approved legislative organization meetings?  Yes Nox	
	If yes, list location, name of legislative organization, date and total expense for each meeting.	
	Total B-4 Expenses	0.00
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 invit all members of a legislative unit?  Yes No $\underline{x}$	ed
	If yes, list the name of the event, location, date, name of legislative unit and total exper for each event.	ıse
	Total B-5 Expenses	0.00
B. 6)	Did you give any gifts to or for officials or employees or their immediate families other those that were reported in B-1 through B-5? (not including sums reported in B-1, B-2, B-4 and B-5)  Yes No $\underline{x}$	han B-3,
	If yes, list the amount:	0.0

#### 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 \$15,000.00

	Was the amount prorated because you were compensated for service lobbying activities? Yes $\underline{x}$ No $\underline{x}$	es 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	<u>\$0.00</u>
B. 9)	Did you incur any additional office expenses not reported in B-7 or B Yes $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ X	-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 as in B-7 or B-8? Yes Nox_	sistance not rep	ported
	If yes, list the amount:	B-10	\$0.00
B. 11)	Did you incur any expenses for publications or expenses related to expersons to communicate with officials or employees? Yes $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ X	kpressly encour	aging
	If yes, list the amount:	B-11	\$0.00
B. 12)	Did you pay any fees or incur any expenses for witnesses who were a behalf of your employer? Yes $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ X	engaged to app	ear on
	If yes, list the name and amount for each.		
		l B-12 enses	\$0.00
B. 13)	Did you incur any other expenses for this employer not otherwise acceptorer? If yes, list the amount and provide an explanation.  Yes Nox		his
	If yes, list the amount:	B-13	\$0.00
	Please provide an explanation: N/A		
		TOTAL \$1	5,000.00
C.	Did you give any gifts or participate in the giving of any gifts with a cumulat more? (Forms 13C and 13D, Section 15-704(c)) Yes No $\underline{x}$	tive value of \$7	5 or
D.	Did you give any gifts or participate in the giving of any gifts of meals and $\frac{1}{2}$ Executive Officials? (Forms 13A and 13B, Section 15-705) Yes Nox	everages to ele	ected
E.	Did you engage in any business transactions with officials during the reporti Section 15-706) Yes No _x_	ng period? (For	m 21,
F.	During the reporting period, did you make any political contributions, either for the benefit of the Governor, Lt Governor, Attorney General, Comptroller General Assembly or a candidate for election to any of those offices? Yes Nox_	directly or indi member of the	rectly,

### **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.
- $\underline{x}$  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.

Date: <u>06/05/2011</u>

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.

Activity Re	eport	for reporting period: November 15, 2010 through April 30, 2011
Terminatio Terminatio		eport: Yes Nox ate:
PART A	Ide	ntification of Regulated Lobbyist (Registration and Employer)
A. 1)	Ide	entifying Information (complete all blanks, compare to registration form, and explain any ferences)
	a)	Name: W. Minor Carter
	b)	Permanent Address (Include firm name if applicable): Firm Name: <u>VanScovoc Associates, Inc.</u>
		Address: 39 Southgate Avenue Annapolis, MD 21401
	c)	Business telephone: 410-269-7954
		Cell phone: 410-991-0374
	d)	What is your occupation or type of business? Other
A 3\	Tala	If other: attorney
A. 2)	_	ntification 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):
	a)	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>
		· · · · · · · · · · · · · · · · · · ·
	<b>L</b> .	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? Yes $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$
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
- **A. 6)** 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 x No

B. 7)

report?

j	If the exemption claimed differs from the registration form, p	lease explain in writing:			
		•			
PART B C	Compensation and Expenses  Did you provide any meals and beverages for officials or employees or their immediate families?  Yes Nox				
B. 2)	If yes, what was the exact amount?  Did you incur any expenses for special events, includin entertainment and other functions to which all membe house thereof, all members of any standing committee recognized (for ethics purposes) county or regional del invitations.  Yes Nox	rs of the General Assembly or all members of a forma	illv		
	If yes, list date, location, group of invitees who benefit	Total B-2	each event. \$0.00		
В. 3)	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 Nox				
	If yes, list date, location, and total expense for each m expenses on any one official or employee is \$200 or me person's name and the amount expended for the person	ore for any meeting, also in on at the meeting.	in nclude the		
		Total B-3 Expenses	<u>\$0.00</u>		
B. 4)	Did you incur any expenses for food and beverages rec General Assembly at approved legislative organization Yes Nox	eived by any member(s) o meetings?	f the		
	If yes, list location, name of legislative organization, dameeting.	ate and total expense for ea	ach		
,		Total B-4 Expenses	\$0.00		
B. 5)	Did you incur any expense for a ticket or free admission Assembly to attend charitable, cultural or political even all members of a legislative unit?  Yes Nox	n to any members of the G its to which the event holde	eneral er invited		
	If yes, list the name of the event, location, date, name for each event.	of legislative unit and tota	l expense		
		Total B-5 Expenses	\$0.00		
B. 6)	Did you give any gifts to or for officials or employees or those that were reported in B-1 through B-5? (not incluB-4 and B-5) Yes Nox	r their immediate families o uding sums reported in B-1	other than , B-2, B-3,		
	If yes, list the amount:	B-6	\$0.00		
	Subtotal of Items B-1 through B-6 - \$0.00				

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

B-7 \$12,000.00

	Was the amount prorated because you were compensated for service lobbying activities?  Yes <u>X</u> No	es 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 B Yes No $\underline{\hspace{1cm}}$	-8?			
	If yes, list the amount:	B-9	\$0.00		
B. 10)	Did you incur any cost for professional and technical research and as in B-7 or B-8? Yes No $\underline{x}$	sistance not rep	orted		
	If yes, list the amount:	B-10	\$0.00		
B. 11)	Did you incur any expenses for publications or expenses related to expenses to communicate with officials or employees?  Yes Nox	xpressly encour	aging		
	If yes, list the amount:	B-11	\$0.00		
B. 12)	Did you pay any fees or incur any expenses for witnesses who were behalf of your employer?  Yes Nox	engaged to app	ear on		
	If yes, list the name and amount for each.				
		al B-12 enses	\$0.00		
B. 13)	Did you incur any other expenses for this employer not otherwise accounted for in this report? If yes, list the amount and provide an explanation. Yes No $\underline{x}$				
	If yes, list the amount:	B-13	\$0.00		
	Please provide an explanation: N/A				
		TOTAL \$1	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 Nox				
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 $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$				
E.	Did you engage in any business transactions with officials during the reporting period? (Form 21, Section 15-706) Yes No _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 $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ No $\underline{\hspace{1cm}}$ X				

#### **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,
- $\underline{x}$  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.

Date: <u>06/05/2011</u>