

## LOBBYIST FILING AGREEMENT

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This Agreement, made this 28<sup>th</sup> day of May, 2021, by and between Thomas Lewis, lobbyist for Johns Hopkins, and Katherine P. Thompson, 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 (General Provisions Article, Title 5, Annotated Code of Maryland, hereinafter the "Ethics Law") including the provisions of Subtitle 7, the lobbying disclosure program.

Thomas Lewis ("the filer"), is an individual whose lobbying activities on behalf of Johns Hopkins ("the employer") for the period of January 11, 2021 to October 31, 2021, required him to register as a lobbyist with the Commission.

The filer did not timely register as required by the Md. Code Ann., Gen'l Prov. Art., § 5-704(d)(1)(Supp. 2020).

The filer subsequently registered on May 25, 2021, for the period of January 11, 2021 to October 31, 2021.

The filer is entering voluntarily into this Agreement to admit his failure to timely file a lobbyist registration with the Commission and to pay a sum of money in lieu of potential late filing fees and other fines pursuant to § 5-405 of the Ethics Law.

**NOW THEREFORE**, in consideration of the submission of the required lobbyist registration form by the filer on May 25, 2021, and the admissions and agreements herein contained, the filer and Staff Counsel stipulate and agree as follows:

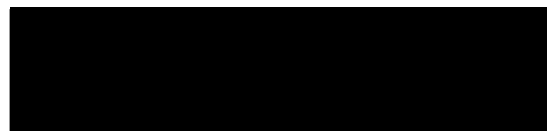
1. The filer did not timely file his lobbyist registration form on behalf of the employer for the period of January 11, 2021 to October 31, 2021, as required by § 5-704(d)(1) of the Ethics Law.
2. The filer reported his delinquency to the Commission on May 25, 2021, and filed his registration form (a copy of which has been attached hereto and made a part thereof) on the same day.
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 ONE HUNDRED and no/100 DOLLARS (\$100.00)

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 that a copy of this Agreement will be mailed to the 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 statement and for the payment of late fees and other fines and for no other purpose.

**IN WITNESS WHEREOF**, Thomas Lewis, lobbyist, and Katherine P. Thompson, Staff Counsel to the State Ethics Commission, have hereunto set their hands.

  
Katherine P. Thompson, Staff Counsel  
State Ethics Commission  
Temporary Address:  
580 Taylor Avenue, 1<sup>st</sup> Floor  
Annapolis, MD 21401  
(410) 260-7770

  
Thomas Lewis  
Lobbyist for Johns Hopkins

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Accepted by the Commission

  
Janet E. McHugh, Chair  
for the Commission

Date: 6/10, 2021

**Lobbying Registration**

Maryland State Ethics Commission | 45 Calvert Street, 3rd Floor, Annapolis, Maryland 21401

Form ID: **R007798** Submission Date: **05/25/21****Registrant Information**

<b>Individual Registrant</b>	
Name of Registrant: <b>Thomas Lewis</b>	Business Phone: <b>443-997-5999</b>
Organization: <b>Johns Hopkins</b>	Cell Phone: <b>410-598-8561</b>
Address: <b>47 State Circle, Annapolis, MD, 21401</b>	

1. Are there any other individuals who are required to register on behalf of the registrant: Thomas Lewis?

Note: These individuals will still be required to submit their own registrations.

**No**

2. Are you in compliance with the mandatory training requirements of the Public Ethics Law?

**Yes, I certify that I am current in my training status.**

Date of most recent training:

**03/17/21****Employer Information**

1. Identify the employer that compensates the registrant for lobbying activities under this registration.

<b>Employer of Registrant</b>	
Organization: <b>Johns Hopkins</b>	Website:
Nature of Business: <b>All matters relating to higher education and health care</b>	Phone: <b>443-997-5999</b>
Address: <b>1101 E 33rd Street, Suite B301, Baltimore, MD, 21218</b>	

2. Does your employer claim an exemption from filing its own registration and activity reports?

**Yes**

3. Is the employer organized for the primary purpose of attempting to influence any legislation or executive action?

**No**

4. In the course of representing this employer, will you also be representing other entities from which you will not be receiving compensation and are not required to register on their behalf?

**No****Lobbying Period & Purpose**

1. Within a lobbying year, state the period for which this registration is effective. Include both a start and an end date.

Registration Period:

**Custom Dates: 01/11/2021 - 10/31/2021**

2. What type of lobbying registration are you seeking?

**Legislative Action, Executive Action**

3. Identify the subject matters on which the registrant expects to act, or employ someone to act during the registration period. You must identify at least one subject matter and you may select up to five.

#	Subject Matter	Description
1	Other	All matters related to higher education, health care and business

**Authorization to Lobby**

The registrant is authorized to act on behalf of the employer identified above, for the period specified and as to the matters selected herein unless this authority is terminated sooner. This authorization has been granted by the representative disclosed below:

Name of Authorizer: **Kerry Ates**

Title: **Chief of Staff to the President**

Email: **kates1@jhu.edu**

Phone: **410-516-8068**

Address: **3400 N. Charles Street, Baltimore, MD, 21218**

**Affirmation Provision**

I hereby make oath or affirm under the penalties of perjury that I am authorized to engage in lobbying activity on behalf of the employer: Johns Hopkins, for the period specified and as to the matters selected herein, unless this authority is terminated sooner. This authorization has been granted to me by the representative: Kerry Ates. I acknowledge that my electronic signature subjects me to the penalties of perjury to the same extent as an oath or affirmation made before an individual authorized to administer oaths, and swear that the contents of this registration are complete and accurate to the best of my knowledge and belief.

**E-signature: Thomas Lewis 05/25/21**