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In the Matter of:

PETER MANDELSTAM

Respondent

Before the STATE ETHICS COMMISSION
State Ethics Commission

Complaint No.: ~~C-62-H~~ C-114-11

STIPULATION OF SETTLEMENT AGREEMENT

On the 7th day of July, 2011, between Peter Mandelstam, 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 NRG Energy, Inc. ("the employer") for the period of March 8, 2011 through October 31, 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 July 5, 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, Peter Mandelstam, Respondent, and William J. Colquhoun, Staff Counsel agree as follows:

PDM

- A. Respondent admits that he did not timely file his Lobbying Activity Report on behalf of the employer 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 31st for the period of November 1st to April 30th and November 30th for the period May 1st through October 31st 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 employer.
- G. Respondent and Staff Counsel have entered into this Agreement for the 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.

ADM

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

SIGNATURE APPEARS ON ORIGINAL AGREEMENT

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

SIGNATURE APPEARS ON ORIGINAL AGREEMENT

Peter Mandelstam
Lobbyist
NRG Energy, Inc.



State of ~~Maryland~~ New York

County of: New York, to wit:

Before me, the undersigned, a Notary Public in and for the State and County aforesaid, personally appeared Peter Mandelstam, who made oath on this 7th day of July, 2011, 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.

SIGNATURE APPEARS ON ORIGINAL AGREEMENT

Notary Public

My Commission Expires: Dec. 15, 2014

EVELYN GREEN
Notary Public, State of New York
No. 01GR487967
Qualified in New York County
Commission Expires Dec. 15 2014

State of Maryland

County of: Anne Arundel, 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 11th day of July, 2011, in due form of law, and that he executed this agreement for the purposes set forth herein.

SIGNATURE APPEARS ON ORIGINAL AGREEMENT

Notary Public

JENNIFER D WHITEHEAD
Notary Public
Anne Arundel County
Maryland
My Commission Expires May 20, 2012

My Commission Expires:

Accepted by the Commission

SIGNATURE APPEARS ON
ORIGINAL AGREEMENT

Robert F. Scholz, Chairman
for the Commission

Date: July 14, 2011

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.

Activity Report for reporting period: March 08, 2011 through April 30, 2011

Termination Report: Yes _____ No x

Termination Date:

PART A Identification of Regulated Lobbyist (Registration and Employer)

A. 1) Identifying Information (complete all blanks, compare to registration form, and explain any differences)

a) Name: Peter Mandelstam

b) Permanent Address (Include firm name if applicable):
Firm Name: NRG Energy, Inc.

Address:
104 Carnegie Center
Princeton, NJ 08540

c) Business telephone: 201-748-5001

Cell phone:

d) What is your occupation or type of business? Lobbyist
If other:

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 _____ No x

b) If the answer to a) is "Yes", identify each such person below and give their name and address:

A. 3) Identification 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?
Yes x No _____

Name: NRG Energy, Inc.

Permanent Address:
104 Carnegie Center
Princeton, NJ 08540

Business Telephone: 201-748-5001

Nature of business: Electricity generation, operation and production, retail electric sales, energy trading and marketing

Website of employer:

b) Did you represent any other person or entity with regard to the matters covered by this registration?
Yes _____ No x

A. 4) Primary 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

A. 5) Registration 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?
March 08, 2011 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?
ENERGY MATTERS
- 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? If that exemption is no longer claimed or should be amended, please provide an explanation for the change in the field below.
 Yes No

If the exemption claimed differs from the registration form, please explain in writing:

PART B Compensation and Expenses

B. 1) Did you provide any meals and beverages for officials or employees or their immediate families?
 Yes No
 If yes, what was the exact amount? B-1 \$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, 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 \$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
 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 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
 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
 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 \$3,900.00

Was the amount prorated because you were compensated for services in addition to lobbying activities?

Yes No

- 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
If yes, list the amount: B-9 \$0.00
- B. 10)** Did you incur any cost for professional and technical research and assistance not reported in B-7 or B-8? Yes No
If yes, list the amount: B-10 \$0.00
- B. 11)** Did you incur any expenses for publications or expenses related to expressly encouraging persons to communicate with officials or employees? Yes No
If yes, list the amount: B-11 \$0.00
- B. 12)** Did you pay any fees or incur any expenses for witnesses who were engaged to appear on behalf of your employer? Yes No
If yes, list the name and amount for each. Total B-12 Expenses \$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
If yes, list the amount: B-13 \$0.00
Please provide an explanation: N/A

TOTAL \$3,900.00

- 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
- 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
- E.** Did you engage in any business transactions with officials during the reporting period? (Form 21, Section 15-706) Yes No
- 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

Please provide any narrative that you may wish with regard to any of the figures or responses in the report:

PART G Signature and Oath

The Public Ethics Law, Md. Code Ann., State Gov't §§ 15-602(d) and (e) provide the following:

(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.

 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: 07/05/2011