

LOBBYIST FILING AGREEMENT

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This Agreement, made this 7 day of July, 2017, by and between Chloe Waterman, lobbyist for the American Society for the Prevention of Cruelty to Animals, 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 (General Provisions Article, Title 5, Annotated Code of Maryland, hereinafter the "Ethics Law") including the provisions of Subtitle 7, the lobbying disclosure program.

Chloe Waterman ("the filer") is an individual whose lobbying activities on behalf of the American Society for the Prevention of Cruelty to Animals, for the period November 2, 2016 to October 31, 2017, required her to register as a lobbyist with the State Ethics Commission.

On February 7, 2017, the American Society for the Prevention of Cruelty to Animals held a reception for the members of the General Assembly.

The filer did not timely file Form 13E ("Five Day Report") within 5 days of the reception or a Form 13F ("Fourteen Day Report") for the reception within 14 days of the event, as required by Md. Code. Ann., Gen'l Prov., § 5-709(d)(1) (Supp. 2016).

The filer subsequently filed the Five Day Report and the Fourteen Day Report on June 19, 2017.

The filer is voluntarily entering into this agreement to admit her failure to timely file a Five Day Report and a Fourteen Day Report 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 Five Day Report and the Fourteen Day Report by the filer on June 19, 2017, and the admissions and agreements herein contained, the filer and Staff Counsel stipulate and agree as follows:

1. The filer did not timely file a Five Day Report or a Fourteen Day Report in regard to the reception held by the employer as required by Md. Code. Ann., Gen'l Prov., §5-709(d)(1) (Supp. 2016).
2. The filer reported her delinquency to the Commission on May 26, 2017, and subsequently filed her Five Day Report and Fourteen Day Report. (Copies of each form have been attached hereto and made a part thereof.)

3. The filer understands that failure to comply with the lobbying disclosure provisions of the Public Ethics Law may subject her 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 TWO HUNDRED FIFTY and no/100 DOLLARS (\$250.00) 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 Five Day Report and Fourteen Day Report. (Paragraph 1).

5. The Staff Counsel will, upon execution of this Agreement by the filer, recommend that the Commission not institute any proceedings for her failure to timely file. 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 she would be entitled if a complaint were issued, and she understands that this Agreement and materials relating to this matter are not subject to the confidentiality provisions of the Public Ethics law, and will be public information unless otherwise protected.

7. The filer understands a copy of this Agreement will be mailed to her employer.

8. The filer and the Staff Counsel have entered into this Agreement for the sole purpose of resolving the late submission of a Five Day Report and a Fourteen Day Report and for the payment of late fees and other fines and for no other purpose.

IN WITNESS WHEREOF, Chloe Waterman, lobbyist, and William J. Colquhoun, Staff Counsel, State Ethics Commission, have hereunto set their hands.

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

Chloe Waterman
Lobbyist for
American Society for the Prevention of Cruelty
to Animals
600 Pennsylvania Avenue S.E., Suite 450
Washington, DC 20003

State of Maryland

County of: Washington DC, to wit:

Before me, the undersigned, a Notary Public in and for the State and County aforesaid, personally appeared Chloe Waterman who made oath on this 7th day of July, 2017 in due form of law that the matters and facts hereinabove set forth are true to the best of her knowledge, information and belief, and are her voluntary act and that she executed this document for the purpose set forth herein.

Notary Public

My Commission Expires: 4/30/19

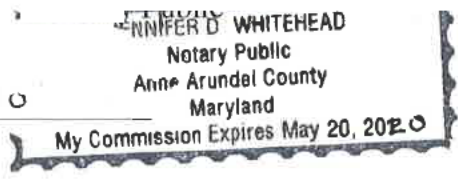


State of Maryland

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 13th day of July, 2017 in due form of law that he executed this agreement for the purposes set forth herein.

My Commission Expires: 5/20/2020



Accepted by the Commission

Janet E. McHugh, Chair
for the Commission

Date: 8/24, 2017

**MEAL OR RECEPTION LEGISLATIVE UNIT INVITATION -
REGULATED LOBBYIST DISCLOSURE (Form #13E)**

NOTICE - THIS DISCLOSURE IS TO BE FILED WITH THE:

Department of Legislative Services
90 State Circle, Room 200
Annapolis, Maryland 21401

Regulated lobbyists must file this report with the Department of Legislative Services at least 5 days before a meal or reception event 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 disclosure purposes) county or regional delegation have received a written invitation. (A list of formally recognized delegations is available from the State Ethics Commission.) Only ONE form should be used per event even if the event is sponsored by more than one lobbyist employer or regulated lobbyist. If you have questions, contact the Ethics Commission staff.

PART A

A. 1) Name of Individual Regulated Lobbyist or entity sponsoring or hosting the event, if there is no individual lobbyist involved:

Chloe Waterman

A. 2) Name of Entity or Entities (Employer or Employers) Funding the Meal or Reception Event:

| Employer | Permanent Address | Phone number |
|---|--|---------------------|
| American Society for the Prevention of Cruelty to Animals (ASPCA) | 424 E 92nd St New York City, NY 10018 | 212-876-7700 |

PART B

B. 1) What is the Date of the Event?

February 07, 2017

B. 2) What is the location of the event?

Specific Facility: House Office Building

County or City, if applicable: Anne Arundel County

PART C

C. 1) Who are the invitees (what group, standing committee, or designated geographical unit(s)) who will or have received written invitations to the event?

General Assembly

Date: 06/19/2017

MARYLAND STATE ETHICS COMMISSION

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

**REGULATED LOBBYIST MEAL OR RECEPTION
LEGISLATIVE UNIT - FOURTEEN DAY REPORT (Form #13F)**

Regulated Lobbyists must file this report with the Department of Legislative Services within 14 days after an event to which members of the General Assembly either house thereof, all members of any standing committee or all members of a formally recognized (for ethics disclosure purposes) county or regional delegation received written innovations. If all of the required reporting information is not available, the regulated lobbyist should describe the nature of the event and estimate any expense not known. If this report is a full and accurate accounting of the activity, the regulated lobbyist is not to report it on the regular Lobbying Activity Report (Form #4). If this report does not include a full and accurate accounting, the event must be reported on the regular Lobbying Activity Report.

PART A

A. 1) Name of Regulated Lobbyist or Entity, if there is no individual lobbyist involved:
Chloe Waterman

A. 2) Name of Employer or Employers Supporting the Event:

| Employer | Permanent Address | Phone number | Contribution |
|---|--|--------------|--------------|
| American Society for the Prevention of Cruelty to Animals (ASPCA) | 424 E 92nd St New York City, NY 10018 | 212-876-7700 | \$222.32 |

PART B

B. 1) What was the Date of the Event?
February 07, 2017

B. 2) Group of invitees:
General Assembly

B. 3) Do you have the total cost for the event?
\$444.63

B. 4) Was this an event to which there were more invitees than just the legislative unit(s) disclosed on this report?

Yes

Number of Legislators who attended: 30

How much was the cost for the legislative unit members who attended? \$222.32

Others who attended: ASPCA members

B. 5) Is this a final full and accurate report, or does it contain estimates?
Full and Final

B. 6) Was there more than one sponsor?
No

The Public Ethics Law provides 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 Fourteen day Report (Form #13F) 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 Fourteen day Report (Form #13F) or attached to and made part of the Fourteen day Report (Form #13F); 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 Fourteen day Report (Form #13F), I hereby swear or affirm that the information contained in it is complete and accurate to the best of my knowledge and belief.**

Date: 06/19/2017