

STATE OF NEW YORK
JOINT COMMISSION ON PUBLIC ETHICS

In the Matter of S&L Birchwood, LLC

DECISION AND NOTICE
OF CIVIL ASSESSMENT

Respondent

Failure to Timely File a 2009 July/December
Client Semi-Annual Report

S&L Birchwood, LLC (“Respondent”), a client in 2009, was required to file the 2009 July/December Client Semi-Annual Report (“Report”) by January 15, 2010 pursuant to Legislative Law §1-j, because Respondent retained, employed or designated a lobbyist and Respondent reasonably anticipated that it would expend or incur reportable compensation and expenses in an amount in excess of \$5,000 during the 2009 calendar year.

On June 14, 2010, a formal Notice of Failure to File was issued which afforded Respondent 15 days to file the Report.

On February 16, 2011 the Commission on Public Integrity (“CPI”) issued a Notice of Reasonable Cause with a Proposed Settlement Agreement. A settlement was not reached. A Notice of Hearing was issued on April 29, 2011. A hearing was held on June 15, 2011, and the Hearing Officer issued Findings of Fact and a Recommendation (see attached).

Respondent was given 10 days to respond to the Hearing Officer’s Findings of Fact and Recommendation. No response was received.

The Joint Commission on Public Ethics (“Commission”) hereby affirms the Hearing Officer’s Findings of Fact that Respondent knowingly and willfully failed to timely file the 2009 July/December Client Semi-Annual Report. The Commission also affirms the Recommendation of the Hearing Officer and directs that Respondent be

assessed a civil penalty in the amount of \$1500.

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DATED: January 31, 2012