MINUTES OF THE PUBLIC SESSION OF THE MARCH 22, 2016

COMMISSION MEETING

OF THE JOINT COMMISSION ON PUBLIC ETHICS HELD AT THE COMMISSION'S OFFICE LOCATED AT 540 BROADWAY

ALBANY, NEW YORK

Chair: Daniel J. Horwitz (ALB)

Members:

Hon. Joseph Covello (ALB)

Marvin Jacob (NYC) Seymour Knox, IV (ALB) Hon. Eileen Koretz (NYC) Gary J. Lavine (ALB)

Hon. Mary Lou Rath (Face-time)

David A. Renzi (Webex)

Michael A. Romeo, Sr. (Webex) Hon. Renee R. Roth (NYC) Dawn L. Smalls (ALB)

George H. Weissman (Webex)

Members

Absent: David Arroyo

Michael K. Rozen

Staff: Monica J. Stamm. General Counsel

Martin L. Levine, Director of Lobbying and Financial Disclosure Compliance and

Senior Counsel

Stephen Boland, Director for Administration Walter J. McClure, Director for External Affairs

Pei Pei Cheng-deCastro, Director of Investigations and Enforcement

Emily A. Logue, Investigative Counsel

Leah Ramos, Associate Counsel Carol Quinn, Associate Counsel

Terence Mulderrig, Senior Investigator Lori Donadio, Confidential Legal Assistant

Deborah Novak, Executive Assistant

I. CALL TO ORDER

Chair Horwitz called the March 22, 2016 Commission Meeting to order.

II. APPROVAL OF MINUTES - PUBLIC SESSION

January 26, 2016

A motion was made by Commissioner Covello, which was seconded by Commissioner Knox, to approve the Minutes from the Public Session of the January 26, 2016 Commission Meeting. The motion was approved by unanimous vote.

February 17, 2016

A motion was made by Commissioner Weissman, which was seconded by Commissioner Knox, to approve the Minutes from the Public Session of the February 17, 2016 Commission Meeting. The motion was approved by unanimous vote.

III. REPORT FROM STAFF

General Counsel Monica Stamm explained that staff is in the process of finalizing the draft of the 2015 Annual Report. The report covers the activities of the Commission and analyzes the lobbying data for the past year. Staff expects to circulate a draft to the Commissioners next week for review before publication.

The Commission has hired a new employee to work in the lobbying filings unit and is continuing its efforts to find new auditors, and additional filing specialists. In order to accommodate more staff, the Commission has undertaken a redesign of the Albany office. Construction has begun on the second floor and will continue over the next 5-6 weeks in order to have room to hire the additional employees that have been funded.

Director of Lobbying and Financial Disclosure Compliance and Senior Counsel Martin Levine stated that the filing deadline this year for financial disclosure statements will be Monday, May 16, 2016. The Commission expects approximately 27,000 filers, who are either designated as a policy maker or satisfy the salary threshold (which is \$91,821 as of this year). Also, the Commission has introduced a new filing system that will require

electronic filing of the financial disclosure statements through the ny.gov website. Staff has been working with agencies and boards statewide to ensure that filers are able to access the new system and that all their records from the old system have been updated and loaded to the new system accurately.

IV. SEARCH FOR EXECUTIVE DIRECTOR

The Commission has continued its process of searching for an Executive Director. Additional committee meetings were held. It is hopeful that the process will be coming to a conclusion, depending on the wishes of the Commission, as the Commission has not had an Executive Director for several months and has embarked on a careful and deliberate process.

V. MOTION TO ENTER INTO EXECUTIVE SESSION PURSUANT TO

EXECUTIVE LAW §94(19)(b)

A motion was made by Commissioner Covello and seconded by Commissioner Romeo to enter into Executive Session pursuant to Executive Law §94(19)(b). The motion was approved by unanimous vote.

VI. PUBLIC ANNOUNCEMENT OF ACTIONS FROM EXECUTIVE SESSION

Chair Horwitz announced that, during the Executive Session, pursuant to Executive Law §94(19)(b), the Commission considered and granted two applications for exemptions under Public Officers Law §73(8-b) and authorized communication with certain agencies regarding delinquent Financial Disclosure Statements. The Commission also opened two Substantial Basis Investigations, considered and approved two settlements of investigative matters, authorized communication on a number of new or ongoing investigations, and discussed and considered the Executive Director position.

VII. MOTION TO ADJOURN THE PUBLIC MEETING

A motion was made by Commissioner Romeo, which was seconded by Commissioner Covello, to adjourn the Public Meeting. The motion was approved by unanimous vote of those Commissioners present.