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IN THE MATTER OF

Norma Pena-De-Llorenz (Respondent).

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SUBSTANTIAL BASIS INVESTIGATION REPORT  
AND SETTLEMENT AGREEMENT

Case No. 14-200

WHEREAS, the Joint Commission on Public Ethics (the "Commission") has authority pursuant to Executive Law §94 to conduct an investigation to determine whether a substantial basis exists to conclude that a violation of Section 73-a of the Public Officers Law has occurred, to issue a report of its finding of a substantial basis to conclude that a violation has occurred, and to impose penalties for such violation as provided for in the Public Officers Law;

WHEREAS, this Settlement Agreement ("Agreement") is entered into by and between the Commission and 14-200 (the "Respondent");

WHEREAS, in 2012 & 2013, Respondent was required to comply with the reporting requirements set forth in Section 73-a of the Public Officers Law;

WHEREAS, the Commission has found that the Respondent was required to file the 2012 & 2013 Financial Disclosure Statement(s) (the "Statement(s)") by the statutory due date(s) pursuant to Public Officers Law §73-a;

WHEREAS, the Respondent was notified by Commission staff that his/her filing was overdue, that he/she was subject to late fees, and was given an opportunity to submit the required filings and avoid administrative enforcement procedures and applicable penalties, but still failed to file the required Statement;

WHEREAS, on April 1, 2014 & September 16, 2014, a Notice of Failure to File was issued which afforded Respondent fifteen (15) days to file;

WHEREAS, on November 7, 2014, a formal Notice of Delinquency was issued which afforded Respondent fifteen (15) days to respond;

WHEREAS, in lieu of appearing in an adjudicatory proceeding that could result in the assessment of a civil penalty, the parties to this Agreement have agreed to resolve their dispute in a manner that avoids further administrative proceedings;

NOW THEREFORE, in consideration of the mutual covenants made herein, as the final settlement of the violation set forth herein, the parties stipulate and agree that:

- I. The Respondent admits that she failed to file the Statement(s) in violation of the Public Officers Law §73-a, but alleges that said failure to file was not willful or intentional.
- II. The Respondent has filed an accurate and complete 2012 & 2013 Financial Disclosure Statement(s) before the execution of this Agreement.

- III. The Respondent agrees to pay to the Commission the amount of \$400 in settlement of said violation within 90 days of the execution of this Agreement. If full payment is not received within 90 days of the execution of this Agreement, this Agreement shall become null and void in its entirety.
- IV. Notwithstanding the provisions of this Agreement, the Respondent understands and acknowledges that the Commission may investigate other violations, if any, by the Respondent, of the Public Officers Law.
- V. Respondent waives the right to assert any defenses or any challenges to this Agreement, as well as any right to appeal or challenge the determination or conduct of the Commission relating to this matter in any forum.
- VI. This Agreement and any dispute related thereto shall be governed by the laws of the State of New York without regard to any conflict of laws principles.
- VII. It is understood that this Agreement is not confidential and will be made public within 45 days of its execution in accordance with Executive Law §§94(14) & (19).
- VIII. This Agreement constitutes the entire agreement between the parties and supersedes any prior communication, understanding, or agreement, whether oral or written, concerning the subject matter of this Agreement. No representation, inducement, promise, understanding, condition or warranty not set forth in this Agreement has been relied upon by any party to this Agreement.
- IX. Any amendment or modification to this Agreement shall be in writing and signed by both parties.
- X. This Agreement shall become effective upon execution by the Commission or its designee.
- XI. In the event that one or more provisions contained in this Agreement shall for any reason be held to be invalid, illegal, or unenforceable in any respect, such invalidity, illegality, or unenforceability shall not affect any other provision of this Agreement.

Dated: March 4, 2015

*Ketevia Tagliafierro*

New York State

Joint Commission on Public Ethics

ACCEPTED AND AGREED TO  
THIS 27 DAY OF December, 2014

*Norma Pena De Lorenz*

Norma Pena-De-Llorenz

Approved: Daniel J. Horwitz  
Chair

David Arroyo  
Paul Casteleiro  
Marvin E. Jacob  
Seymour Knox, IV  
Gary J. Lavine  
Hon. Mary Lou Rath  
David A. Renzi  
Michael A. Romeo, Sr.  
Hon. Renee R. Roth  
George H. Weissman

Absent: Hon. Joseph Covello  
Members