

IN THE MATTER OF UBER TECHNOLOGIES, INC.,

Respondent.

SUBSTANTIAL BASIS INVESTIGATION REPORT
AND SETTLEMENT AGREEMENT
Case No. 17-049

"JC/OPF" Rec'd
JUN 05 2017

WHEREAS, the Joint Commission on Public Ethics ("Commission") is authorized by Executive Law §94 to conduct an investigation to determine whether a substantial basis exists to conclude that any violations of Article 1-A of the New York State Legislative Law (the "Lobbying Act") have occurred, to issue a report of its findings of fact and conclusions of law, and to impose penalties for any violation;

WHEREAS, this Settlement Agreement ("Agreement") is entered into by and between the Commission and Uber Technologies, Inc. ("Respondent");

WHEREAS, Respondent, by engaging in reportable lobbying activity during the 2015-2016 biennial lobbying registration period ("Relevant Period"), was required to comply with the filing and reporting requirements set forth in the Lobbying Act;

WHEREAS, Respondent engaged the services of a filing firm ("Filing Firm") to prepare all required disclosure filings to the Commission for Respondent during the Relevant Period;

WHEREAS, the Commission discovered a material discrepancy in Respondent's filings after analyzing lobbying data for inconsistencies pursuant to section 1-d of the Lobbying Act, and so informed Respondent; Respondent acknowledged the discrepancy, and subsequently reported to the Commission that Respondent failed to disclose approximately \$6.3 million in lobbying compensation and expenses on its lobbying reports;

WHEREAS, Respondent cooperated with the Commission and has since submitted all amended filings required to be submitted during the Relevant Period;

WHEREAS, Respondent and the Commission, the parties to this Settlement Agreement ("Agreement") have agreed to resolve this matter in a manner that avoids additional administrative and/or adjudicatory proceedings;

NOW THEREFORE, in consideration of the fact that Respondent has cooperated with the Commission, has submitted Respondent's filings with supporting documentation, and in consideration of the mutual covenants made herein, as the final settlement of this matter, the parties stipulate and agree that:

1. Respondent provided the majority of the underreported amount to the Filing Firm for disclosure, but due to an oversight by the Filing Firm these numbers were not

included on Respondent's reports. The remainder of the underreported amount was not disclosed due to an oversight by Respondent. As a result, Respondent underreported its lobbying compensation and expenses in its Lobbyist Bi-Monthly Reports and Client Semi-Annual Reports for the Relevant Period in violation of §§1-h and 1-j of the Lobbying Act.

2. Respondent agrees to proceed in this settlement without the notice and opportunity to respond as provided in Executive Law §94(13).
3. Respondent agrees to pay to the Commission the amount of Ninety-Eight Thousand Dollars (\$98,000.00) in settlement of said violations within thirty (30) days of the execution of this Agreement.
4. During the remainder of the 2017-2018 biennial registration period, in addition to any random audit of Respondent's filings that the Commission may perform in accordance with and pursuant to § 1-d of the Lobbying Act, the Respondent shall cooperate with any request by the Commission to review records relating to lobbying activity conducted during the 2017-2018 biennial registration period to determine whether filings required to be made by Respondent have been made in a timely manner and are accurate and complete. Such additional reviews, exclusive of those conducted pursuant to § 1-d, shall not occur more than once per semi-annual reporting period, *i.e.*, January 1-June 30 and July 1-December 31.
5. The Commission has agreed to the terms of this Agreement based on, among other things, the representations made to the Commission by Respondent. To the extent that representations made by Respondent are later found by the Commission to be materially incomplete or inaccurate, Respondent shall be in breach of this Agreement.
6. If the Respondent fails to timely perform any conditions set forth in the Agreement, Respondent shall be in breach of this Agreement.
7. Respondent agrees not to take any action or to make, permit to be made, authorize, or agree to any public statement denying, directly or indirectly, any finding in this Agreement or creating the impression that this Agreement is without factual basis. Nothing in this paragraph affects Respondent's: (a) testimonial obligations; or (b) right to take legal or factual positions in defense of litigation or other legal proceedings to which the Commission is not a party. **A violation of this Paragraph constitutes a breach of this Agreement by Respondent.**
8. Upon a material breach of this Agreement, the Commission shall have sole discretion to deem the Agreement null and void in its entirety, issue a new Notice of Substantial Investigation and Hearing, which may include additional charges against Respondent and proceed with an enforcement action. As to any new Notice of Substantial Investigation and Hearing or enforcement action by the Commission pursuant to this paragraph: (1) Respondent waives any claim that such action is time-barred by a statute of limitations or any other time-related

defenses; and (2) Respondent expressly acknowledges and agrees that the Commission may use any statements herein, or any other statements, documents or materials produced or provided by Respondent prior to or after the date of this Agreement, including, but not limited to, any statements, documents, or materials, if any, provided for the purposes of settlement negotiations or in submissions by Respondent or by counsel on behalf of Respondent, in any proceeding against Respondent relating to the allegations herein.

9. Respondent shall upon written request by the Commission, provide all documentation and information reasonably necessary for the Commission to verify compliance with this Agreement.
10. Respondent understands and acknowledges that the Commission may investigate any other conduct, not covered by this Agreement, by Respondent and take any appropriate action.
11. 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. Nothing in the foregoing waiver shall preclude the Respondent from raising a defense that it did not materially breach this Agreement.
12. Respondent hereby waives any rights as provided in Section 1-o(c)(iii) of the Lobbying Act and may not assert such right at any future time.
13. 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.
14. Respondent consents to the jurisdiction of the Commission in any proceeding to enforce this Agreement.
15. 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).
16. 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.
17. Any amendment or modification to this Agreement shall be in writing and signed by both parties.
18. This Agreement shall become effective upon execution by the Commission or its designee.
19. 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.

20. By signing below, Respondent acknowledges reading this Agreement in its entirety, understanding all terms and conditions of this Agreement, and having done so, knowingly, voluntarily, and freely enters into this Agreement.

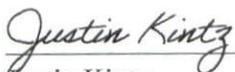
Dated: 6/5/17



Seth Agata
Executive Director
New York State Joint Commission on Public Ethics

ACCEPTED AND AGREED TO
THIS 31 DAY OF May, 2017

Respondent- Uber Technologies, Inc.

By: 

Name: Justin Kintz
Title: Senior Director, Policy and Communications

Approved:

Michael K. Rozen
Acting Chair

Robert Cohen
Marvin E. Jacob
Seymour Knox, IV
Gary J. Lavine
J. Gerard McAuliffe, Jr.
David A. Renzi
Dawn L. Smalls
George H. Weissman
Hon. Penny M. Wolfgang

Absent:

Hon. Renee R. Roth
Members