

IN THE MATTER OF SAM ALEXIS,

Former Motor Vehicle Representative,
NYS Department of Motor Vehicles;

SUBSTANTIAL BASIS INVESTIGATION REPORT
AND SETTLEMENT AGREEMENT
Case No. 18-120

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 the Public Officers Law have occurred, to issue a report of its findings of fact and conclusions of law, and to impose penalties for any violation;

WHEREAS, Sam Alexis ("Respondent"), was employed as a clerk by the NYS Department of Motor Vehicles ("DMV") from 2006 until his resignation in September 2018;

WHEREAS, in June 2018, the NYS Office of the Inspector General sent this matter to the Commission for its consideration;

WHEREAS, on October 17, 2018, a letter was sent to Respondent alleging violations of Public Officers Law §§ 73(5)(a) and 74(3) (c), (d), (f), and (h), which afforded Respondent fifteen (15) days to respond, and on November 14, 2018, Respondent responded in writing;

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;

WHEREAS, Respondent has limited financial assets and resources based on his financial affidavit submitted to the Commission;

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

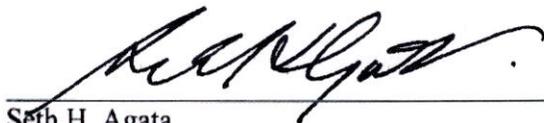
1. Respondent admits that from 2011 to 2014, while serving as a Motor Vehicle Representative, he used confidential DMV records to obtain information regarding tickets that were being dismissed because the charging police officer had resigned or retired. With this information, he solicited and received money from motorists to "take care" of their ticket.
2. Respondent further admits that from 2011 to 2014, he received money and other gifts from attorneys in exchange for referring motorists to these attorneys.

3. Respondent admits that his conduct described in Paragraphs 1 and 2 above violated Public Officers Law § 74(3)(d) which provides that no state employee should use or attempt to use his or her official position to secure unwarranted privileges or exemptions for himself, herself, or others.
4. Respondent admits that his conduct described in Paragraphs 1 and 2 also violated Public Officers Law § 73(5)(a) which states that no state employee shall solicit or accept any gift having more than a nominal value, under circumstances in which it could reasonably be inferred that the gift was intended to influence him or her, or could reasonably be expected to influence him or her, in the performance of his or her official duties.
5. Respondent agrees to pay to the Commission the amount of two thousand dollars (\$2,000.00) in settlement of said violation, with one hundred dollars (\$100.00) to be paid upon execution of this Agreement, nine hundred dollars (\$900.00) to be paid by one year from the date of the execution of this Agreement, and the remaining one thousand dollars (\$1,000.00) within two years from the date of the execution of this Agreement. Respondent shall send the payment to the Commission at 540 Broadway, Albany, New York 12207. Respondent shall also provide the Commission with a Confession of Judgment for the settlement amount.
6. Respondent also agrees to cooperate fully with any related investigation by the Commission, including but not limited to, providing any and all relevant documents and providing truthful testimony in any future investigations or proceedings related to this matter.
7. 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.
8. If the Respondent fails to timely perform any conditions set forth in the Agreement, Respondent shall be in breach of this Agreement.
9. 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.
10. Upon a breach of this Agreement, the Commission shall have sole discretion to deem the Agreement null and void in its entirety, issue a Notice of Substantial Investigation and Notice of Hearing and a new Substantial Basis Investigation Report, which may include additional charges against Respondent, and proceed with an enforcement action. As to any new Substantial Basis Investigation Report 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.

11. Respondent shall upon request by the Commission provide all documentation and information reasonably necessary for the Commission to verify compliance with this Agreement.
12. Respondent understands and acknowledges that the Commission may investigate any other conduct not covered by this Agreement by Respondent and take any appropriate action.
13. 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.
14. 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.
15. Respondent consents to the jurisdiction of the Commission in any proceeding to enforce this Agreement.
16. It is understood that this Agreement is not confidential and will be made public within forty-five (45) days of its execution in accordance with Executive Law §§ 94(14) & (19).
17. 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.
18. Any amendment or modification to this Agreement shall be in writing and signed by both parties.
19. This Agreement shall become effective upon execution by the Commission or its designee.
20. 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.
21. 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. Electronic signatures shall be deemed original for this Agreement. This Agreement may be executed in two or more counterparts, each of which shall be deemed original, but all of which together shall constitute one and the same instrument.

Dated: ~~January~~ ^{February 7}, 2019



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

ACCEPTED AND AGREED TO
THIS 6 DAY OF February, 2019

Respondent
By: 

Name: SAM ALEXIS

1/20/19

Approved:

Michael K. Rozen
Chair

Robert Cohen
James E. Dering
Colleen C. DiPirro
William P. Fisher
Julie A. Garcia
Daniel J. Horwitz
Marvin E. Jacob
Gary J. Lavine
George H. Weissman
James Yates
Members

David J. McNamara
Absent