

January 7, 2015

OFFICE OF THE DIRECTOR

December 11, 2014 - Testimony of Cecily E. Collier-Montgomery, submitted to Councilmember Vincent B. Orange, Sr., Chair, Committee on Business, Consumer, and Regulatory Affairs, on OCF Agency Compliance with the Small Business Enterprise Utilization Requirements for Fiscal Years 2013 and 2014.

PUBLIC INFORMATION AND RECORDS MANAGEMENT DIVISION

The following is an accounting of PIRMs production stats:
December 2014:

PRINCIPAL CAMPAIGN COMMITTEES & POLITICAL ACTION COMMITTEES

December 10th R&E Reports

| | |
|---|-----------------------------|
| Total number of required filers..... | 126 (72PCCs – 54PACs) |
| Total number of timely filers..... | 102 (57PCCs – 45PACs)* |
| Total number of extensions requested..... | 0 (0PCCs – 0PACs) |
| Total number of extensions granted..... | 0 (0PCCs – 0PACs) |
| Total number of Late filers..... | 0 (0PCCs – 0PACs) |
| Total number of FTF..... | 24 (15PCCs – 9PACs) |
| Total number of OGC referrals..... | 24 (15PCCs – 9PACs) |
| <i>Total number of Electronic Filings.....</i> | <i>93 (52PCCs – 41PACs)</i> |
| <i>Total number of Certified E-Filings.....</i> | <i>88 (52PCCs – 36PACs)</i> |

Thirteen (13) PCC filings were termination reports

Referrals to OGC

Failure to Timely File the December 10th R&E Report

PRINCIPAL CAMPAIGN COMMITTEES

Carter At-Large 2014
Christian Carter, Treasurer

Nestor for Mayor 2014
Nestor Djonkam, Treasurer

Holness for DC
Geoffrey Tate, Treasurer

Ross 2014
Peter Ross, Treasurer

Committee to Elect Ernest Johnson
Allan Rolnick, Treasurer

Morgan DC
James Turner, Treasurer

Re-Elect Mark Jones 2014
Mark Jones, Treasurer

Bruce Majors, Libertarian for Mayor
Bruce Majors, Treasurer

Zuckerber for Attorney General
Lenox Ramsey, Treasurer

Cmte. to Elect Khalid Pitts 2014
Amy Pritchard, Treasurer

Kishan for DC
Maria Fernanda Aragone, Treasurer

Sewell for Mayor 2014
Otis Sution, Treasurer

Beverley Wheeler for Ward 1
Beverley Wheeler, Treasurer

James Caviness for Mayor 2014
James Caviness, Treasurer

Martin Sterbal for U.S. Senate
Martin Sterbal, Treasurer

POLITICAL ACTION COMMITTEES

DC Business & Social Concerns PAC
Gerald Schaeffer, Treasurer

Better Leadership DC
Richard Tappan, Treasurer

Ward 6 Democrats
Foley Santamaria, Treasurer

Baker & Hostetler
Tom McDonald, Treasurer

Youth Action PAC
Gabrielle Moise, Treasurer

Credit Union PAC of Washington
Renee DuBiel, Treasurer

Citizens for Empowerment
Brett McMahon, Treasurer

Gertrude Stein Democratic Political
Acct.
Terrance Laney, Treasurer

DC Firefighters Associate (I.E. Cmte.)
Robert Alvarado, Treasurer

New Candidates and Committees registered for the 2014 Election Cycle
December 2014

Training dates are tentatively for January 13, 2015 and January 14, 2015

| | |
|--|------------|
| Brandon Todd/Brandon Todd for Ward 4 (Ward 4, City Council)..... | 12/8/2014 |
| LaRuby May/LaRuby May 2015 (Ward 8, City Council)..... | 12/8/2014 |
| Bruce Morrison/Bruce Morrison for Ward 4 (Ward 4, City Council)..... | 12/8/2014 |
| Leonard Watson/Leonard Watson Sr. for Ward 8 Councilmember (Ward 8, City Council)..... | 12/10/2014 |
| Anthony Muhammad/Ward 8 for Muhammad (Ward 8, City Council)..... | 12/10/2014 |
| Douglass Sloan/Doug Sloan 4 Ward 4 Council (Ward 4, City Council)..... | 12/10/2014 |
| Lydia Little (Ward 4, City Council)..... | 12/11/2014 |
| Edwin Powell/Edwin for Ward 4 (Ward 4, City Council)..... | 12/12/2014 |
| Greta Fuller/Greta 4 Ward 8 (Ward 8, City Council)..... | 12/12/2014 |
| Bobvala Tengen/Tengen for DC (Ward 4, City Council)..... | 12/12/2014 |

| | |
|--|------------|
| Renee Bowser/Cmte. to Elect Renee Bowser for Ward 4 Council 2015 (Ward 4, City Council)..... | 12/12/2014 |
| Pedro Rubio/Rubio for Ward 4 (Ward 4, City Council)..... | 12/12/2014 |
| Minister Robert Whitaker/Whitaker 4 Ward 4 (Ward 4, City Council)..... | 12/15/2014 |
| Ronald Austin/Cmte. to Elect Ron Austin (Ward 4, City Council)..... | 12/15/2014 |
| Angela White Narain (Ward 8, City Council)..... | 12/15/2014 |
| David White (Ward 8, City Council)..... | 12/17/2014 |
| Karlene Armstead/K. Armstead 4 Ward 8 (Ward 8, City Council)..... | 12/17/2014 |
| Darrell Gaston/Gaston 2015 (Ward 8, City Council)..... | 12/17/2014 |
| Glova Scott (Ward 4, City Council)..... | 12/17/2014 |
| Judi Jones/Cmte. to Elect Judi Jones (Ward 4, City Council)..... | 12/19/2014 |
| Acqunetta Anderson/Anderson Ward 4 Council (Ward 4, City Council)..... | 12/19/2014 |
| Milton Bell/Bell for Ward 8 (Ward 8, City Council)..... | 12/19/2014 |

REPORTS ANALYSIS AND AUDIT DIVISON

The following is an accounting of RAAD’s production stats:

Reviews Completed – 115

| | |
|--|----|
| Political Action Committees (includes amended filings)..... | 46 |
| Constituent Service Funds (includes amended filings)..... | 0 |
| US Senator/Representative..... | 0 |
| Principal Campaign Committees (includes amended filings)..... | 60 |
| Exploratory Committees..... | 0 |
| Inaugural Committee..... | 1 |
| Independent Expenditures..... | 0 |
| Twenty-four Hour Reports..... | 0 |
| Initiative/Referendum Committees..... | 0 |
| Attorney General..... | 8 |
| Audit Letters (RFAI) Sent..... | 32 |
| Follow-up letters Sent..... | 0 |
| Case(s) Resolved..... | 10 |
| Cases Referred to the Office of General Counsel..... | 3 |
| Cases Referred for Contributions with Same Address and Similar Signatures..... | 0 |
| Cases Terminated..... | 0 |
| Hearings Attended..... | 1 |
| Site Visits..... | 10 |
| Outreach Education Seminars Attended – Institute of Internal Auditors..... | 0 |
| Webinars Attended – Institute of Internal Auditors..... | 0 |
| Outside Seminars Attended..... | 0 |
| In House Training..... | 0 |
| Entrance Conference..... | 2 |

Ongoing Audits:

Full Field Audit

- **Gray for Mayor**

Periodic Random Audits - Candidates Registered for the 2014 Election

- Evans for Mayor
- Friends of Courtney R. Snowden

Periodic Random Audits – Continuing Committees

- Biddle 2012

Periodic Random Audits – Political Action Committees

- District of Columbia State Federation Business Professional Women’s Club PAC

Periodic Random Audits – Constituent Service Programs

- Evans CSF
- Friends of Jim Graham

Audits Issued

- Hubbard for Ward 5 – 2012 (Audit Report will be issued on December 29, 2014)

OFFICE OF THE GENERAL COUNSEL

2014 MONTHLY IN-TAKE/OUTPUT REPORT

OFFICE OF GENERAL COUNSEL

| | July | August | September | October | November | December | |
|---------------------------|------|--------|-----------|---------|----------|----------|--|
| Opinion Request Received | | | | | | 0 | |
| Opinion Request Completed | | | | | | 0 | |
| Complaints Received | | | | | | 0 | |
| Internal Queries | | | | | | 0 | |

| | | | | | | | |
|--|--|--|--|--|--|-----|--|
| Preliminary Investigations Initiated | | | | | | 0 | |
| Preliminary Investigations Orders Issued | | | | | | 1 | |
| Full Investigations Initiated | | | | | | 0 | |
| Full Investigations Orders Issued | | | | | | 0 | |
| Informal Hearings Referred | | | | | | 27 | |
| Informal Hearings Completed | | | | | | 3 | |
| Informal Hearings Orders Issued | | | | | | 12* | |
| Petitions for Enforcement Referrals to BOE | | | | | | 0 | |

*This figure represents 5 Failure to Timely File orders in which no fines were imposed and 8 Failure to Timely File orders in which a total of \$13,850.00 in fines were imposed.

Board Statistics for December, 2014

Board Meeting January 7, 2015

1. Actual Matters referred

PIRM

| | |
|----------------------|----|
| PCC | 15 |
| PAC's | 9 |
| ANC's | 0 |
| Constituent Services | 0 |
| Statehood Fund | 0 |

RAAD

| | |
|----------------------|---|
| PCC | 3 |
| PAC's | 0 |
| Constituent Services | 0 |
| Statehood Fund | 0 |

2. Notices of Hearings

| | |
|----------------|----|
| First Notices | 11 |
| Second Notices | 13 |

3. Notices and Orders Vacated 2

4. Hearings Conducted 6

5. Orders which imposed fines 7

6. Fines imposed

- (1) Christian Carter At-Large \$1,900.00**
- (2) James Caviness for Mayor \$1,900.00**
- (3) Martin Sterbal for US Senate \$1,900.00**
- (4) Winifred Carson-Smith for DNC \$250.00**
- (5) Darrell Gaston 2014 \$1,900.00**

(6) Jacque Patterson for Ward 8 \$2,000.00
(7) Committee to elect Villareal Johnson \$2,000.00
(8) Two Is Enough DC 2014 \$2,000.00

7. Fines collected 0
8. Investigations completed 1
Orders issued

Board Statistics for December 2014

Board Meeting January 7, 2015

9. Petitions for Enforcement 0

10. Outstanding Fines \$6,100.00*
(1) \$1,700.00 Frank Sewell for Mayor
(2) \$1,100.00 Nestor for Mayor
(3) \$150.00 Tim Clark (ANC)
(4) \$350.00 Friends of Calvin Gurley
(5) \$1,150.00 Nestor for Mayor
(6) \$1,650.00 Nestor for Mayor

*OCF Petitions for Enforcement pending before the BOE

LIST OF OPEN OCF INVESTIGATIONS

January 7, 2015

OCF FI 2011-103

Complainant: Internally Generated March 15, 2011

Respondent: Sulaimon Brown for Mayor

Principal Campaign Committee

Infraction: Reporting Violations

Status: Due to current criminal investigations

the Sulaimon Brown for Mayor investigation remains ongoing

OCF FI 2011-104

Complainant: Internally Generated March 15, 2011

Respondent: Gray for Mayor

Principal Campaign Committee

Infraction: Reporting Violations

Status: Due to current criminal investigations

the Gray for Mayor 2010 investigation remains ongoing

OCF FI 2013-013

Complainant: Internally Generated June 24, 2013

Respondent: Lee Calhoun

Infraction: Campaign contribution violations

Status: Due to current criminal investigations

the Lee Calhoun investigation remains ongoing

OCF FI 2013-014

Complainant: Internally Generated June 24, 2013

Respondent: Stanley Straughter

Infraction: Campaign contribution violations

Status: Due to current criminal investigations

the Stanley Straughter investigation remains ongoing

OCF FI 2013-015

Complainant: Internally Generated March 28, 2014

Respondent: Jeffrey Thompson

Infraction: Campaign contribution violations

Status: Due to current criminal investigations

the Jeffrey Thompson investigation remains ongoing

OCF FI 2014-001 Complainant: Internally Generated July 24, 2014
Respondent: Kelvin Robinson
Infraction: Campaign contribution violations
Status: Pending

OCF FI 2014-002 Complainant: Internally Generated July 24, 2014
Respondent: Jeff Smith
Infraction: Campaign contribution violations
Status: Pending

INTERPRETATIVE OPINIONS

January 7, 2015

NONE

(All Interpretative Opinions are on-line@ www.ocf.dc.gov)

SHOW CAUSE PROCEEDINGS

January 7, 2015

OCF2014-P-021 Complainant: Adam Eidinge
Respondent: William V. Jones, III / No On 71
Infraction: Failure to include disclaimer on campaign literature
and Failure to file a Statement of organization
Originated: October 17, 2014
Status: Order Pending

OCF 2014-P-026 Complainant: Adam Eidinge
Respondent: William V. Jones, III/Two is Enough DC
Infraction: Failure to include disclaimer on campaign literature
and Failure to file a Statement of Organization
Originated: October 17, 2014
Status: Order Issued December 30, 2014

OCF 2014-P-022 Complainant: Marie Drissel
Respondent: Elwood "Yango" Sawyer
Infraction: Failure to file financial reports and Failure to
Identify the source of expenditure
Originated: October 21, 2014
Status: Order Pending