

## Group Enforcement Presentation

The PDC Group Enforcement process is used by the PDC for four types of filers:

- **Candidates:** Candidates who are required to file a Candidate Registration (C-1 report) and a Personal Financial Affairs Statement (F-1 report) within two weeks of declaring their candidacy.
- **Elected and appointed officials:** Elected and appointed officials who are required to annually file an F-1 report by April 15<sup>th</sup> disclosing personal financial information for the previous year.
- **Registered Lobbyists:** Registered Lobbyists who file a Lobbyist Registration (L-1 report) are required to file Monthly Lobbyist Expense reports (L-2 reports) by the 15<sup>th</sup> of the month, disclosing lobbying activities undertaken during the prior calendar month.
- **Lobbyist Employers:** Lobbyist Employers are required to file an annual Employer of Lobbyists report (L-3 report) by the last day of February, disclosing lobbying activities undertaken the prior calendar year.

The PDC's Group Enforcement utilizes a two-notice system in which the filer is provided a reminder/warning letter, and then a hearing notice is sent to the filer if they have not filed the missing PDC report. Note that filers also receive numerous reminders to file their reports before the due date.

The filer is offered the opportunity to complete a Statement of Understanding (SOU) stipulating to a violation of RCW 42.17A, and pay a penalty in accordance with a penalty schedule adopted by the Commission in lieu of having a Brief Adjudicative Proceeding (Brief Enforcement hearing). An order must be drafted for each case that is heard at a brief enforcement hearing, and sent out within 10 business days of the date of the hearing.

### Group Enforcement Hearing Statistics

#### F-1 Hearing Statistics:

Every year there are between 5,500 and 5,800 elected officials, appointed officials, and professional staff members who are required to file an F-1 report no later April 15<sup>th</sup> disclosing financial activities for the previous calendar year.

Calendar year	2015	2014	2013	2012	2011	2010	2009
Warning letters sent	558	515	N/A	347	N/A	413	453
Hearing notices sent	75	99	N/A	78	N/A	75	5



