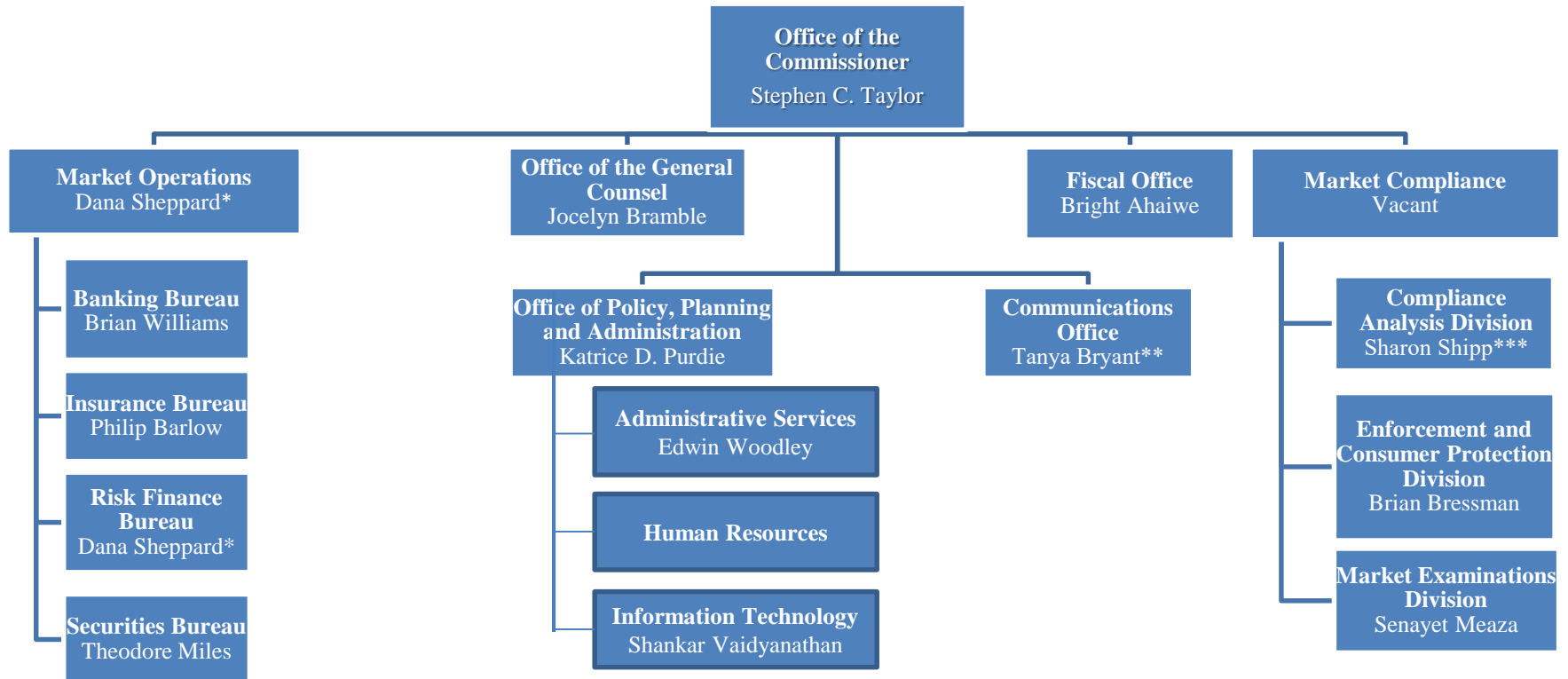


Appendix 1

Government of the District of Columbia  
Department of Insurance, Securities and Banking  
Organizational Chart (as of January 30, 2018)



\*Mr. Sheppard is currently functioning in both roles.

\*\*Ms. Bryant is currently the Acting Public Information Officer

\*\*\*Ms. Shipp is currently the Acting Director of the Compliance Analysis Division

## Appendix 2

### Department of Insurance, Securities and Banking (SRO) Schedule A - As of January 23, 2018

Program	Program Title	Activity	Posn Nbr	Title	Name	Hire Date	Length of Time (Years)	Vac Stat	Reg/Temp/Term	Sal Plan	Grade	Step	FTEs	Annual Salary	Annual Benefits	Status of Vacant Positions
1000	Agency Management Program	1010	00016013	Management Liaison Specialist	Vacant	Vacant		V	Reg	DS0087	13	1	1	81,050.00	16,534.20	In recruitment. Posting pending.
			00022252	Management Liaison Specialist	Pettigrew,Alice VonEva	5/26/2009	8.7	F	Reg	DS0087	11	5	1	64,160.00	13,088.64	
		<b>1010 Total</b>											<b>2</b>	<b>145,210.00</b>	<b>29,622.84</b>	
		1017	00045891	Management Liaison Specialist	Simmons,Marlene O	7/11/2005	12.5	F	Reg	DS0087	11	8	1	69,641.00	14,206.76	
		<b>1017 Total</b>											<b>1</b>	<b>69,641.00</b>	<b>14,206.76</b>	
		1040	00015485	Information Technology Special	Guishard,Michael	11/2/2015	2.2	F	Reg	DS0077	13	4	1	96,090.00	19,602.36	
			00017095	Special Assistant	Collins,Thedford L	6/8/2015	2.6	F	Reg	DS0087	13	7	1	96,632.00	19,712.93	
			00024853	SUPPORT SERVICES SPECIALIST	Tolson,Gerald J	3/4/1985	32.9	F	Reg	DS0077	11	9	1	77,299.00	15,769.00	
			00025123	Administrative Services Progra	Woodley,Edwin R.	11/17/2014	3.2	F	Reg	DS0086	14	0	1	99,657.76	20,330.18	
			00025163	CLERICAL ASSISTANT	Richards,Shaun	8/7/2017	0.5	F	Reg	DS0079	7	1	1	42,250.00	8,619.00	
			00025507	CLERICAL ASSISTANT	Murphy,Marcus	8/21/2017	0.4	F	Reg	DS0079	7	1	1	42,250.00	8,619.00	
			00027840	Chief Information Officer	Vaidyanathan,Shankar	5/7/2001	16.7	F	Reg	DS0086	15	0	1	143,178.23	29,208.36	
			00034872	Chief of Policy and Administra	Purdie,Katrice Diana	2/22/2005	12.9	F	Reg	DS0086	16	0	1	122,750.39	25,041.08	
			00035768	INFO TECH SPEC	Anderson II,Lloyd J	3/22/2005	12.8	F	Reg	DS0077	13	8	1	107,334.00	21,896.14	
			00035827	Imaging Specialist	Patterson,Deserie	10/13/1998	19.3	F	Reg	DS0077	9	9	1	64,079.00	13,072.12	
			00035828	ADMIN SPEC	Vacant	Vacant		V	Reg	DS0077	11	1	1	61,491.00	12,544.16	In recruitment. Interviews pending.
		<b>1040 Total</b>											<b>11</b>	<b>953,011.38</b>	<b>194,414.32</b>	
		1060	00041785	SUPERVISOR TRIAL ATTORNEY	bramble,jocelyn	4/18/2017	0.8	F	Reg	LX0001	2	0	1	171,000.00	34,884.00	
			00041786	ATTORNEY ADVISOR	Parker,Charlotte W	1/16/1979	39.0	F	Reg	LA0002	15	10	1	168,403.00	34,354.21	
			00041787	ATTORNEY ADVISOR	Blackstone,Liliah R	9/28/1998	19.3	F	Reg	LA0002	14	9	1	142,075.00	28,983.30	
			00041788	ATTORNEY ADVISOR	Vacant	Vacant		V	Reg	LA0002	11	0	1	66,588.00	13,583.95	Pending recruitment.
			00041789	Deputy General Counsel	Vacant	Vacant		V	Reg	LX0001	1	0	1	137,181.50	27,985.03	Position under review.
			00042200	ATTORNEY ADVISOR	Levi,Adam	11/8/1999	18.2	F	Reg	LA0002	15	6	1	153,915.00	31,398.66	
			00075376	Paralegal Specialist	Alula,Makondi Claudine	3/31/2008	9.8	F	Reg	DS0077	12	3	1	80,806.00	16,484.42	
			00075544	Operations Manager	Mathis,Michelle D.	11/9/1992	25.2	F	Reg	DS0077	13	5	1	98,901.00	20,175.80	
			00075599	ATTORNEY ADVISOR	dos Santos,Simone M.	6/3/2013	4.6	F	Reg	LA0002	15	10	1	168,403.00	34,354.21	
			00076896	LEGAL ASST	McBride,Keenan R.	9/10/2012	5.4	F	Reg	DS0079	7	3	1	45,186.00	9,217.94	
			00077717	ATTORNEY ADVISOR	Vacant	Vacant		V	Reg	LA0002	11	0	1	66,588.00	13,583.95	Pending recruitment.
			00085506	Legislative Analyst	WASHINGTON,CHRISTIAN A	8/22/2016	1.4	F	Reg	DS0087	12	8	1	85,626.00	17,467.70	
		<b>1060 Total</b>											<b>12</b>	<b>1,384,672.50</b>	<b>282,473.19</b>	
		1080	00003290	Public Affairs Specialist	Bryant,Tanya D	5/22/2000	17.7	F	Reg	DS0077	13	7	1	104,523.00	21,322.69	
			00034860	Public Affairs Specialist	Drafton-Lowery, Lucille	9/14/1977	40.4	F	Reg	DS0077	12	10	1	97,340.00	19,857.36	
			00036294	Public Information Officer	Hartig,Kathryn	8/27/2012	5.4	F	Reg	DS0086	14	0	1	112,550.88	22,960.38	
			00041791	Public Affairs Specialist	CLEVELAND,VAUN B	2/22/2016	1.9	F	Term	DS0077	12	2	1	78,444.00	16,002.58	
			00043792	CONSUMER PROTECTION ADVOCATE	Abdullah,IIdriys J	9/4/2007	10.4	F	Reg	DS0087	13	10	1	104,423.00	21,302.29	
		<b>1080 Total</b>											<b>5</b>	<b>497,280.88</b>	<b>101,445.30</b>	
		1090	00012977	Dep Comm for Market Operations	Vacant	Vacant		V	Reg	XS0001	10	0	1	144,910.00	29,561.64	In recruitment. Posting pending.
			00018144	Staff Assistant	Pedroso,Tamisha S.	12/3/2012	5.1	F	Reg	DS0087	9	4	1	51,709.00	10,548.64	
			00034803	EXECUTIVE ASST	Wade,Alicia M	5/16/2011	6.7	F	Reg	DS0087	13	6	1	94,035.00	19,183.14	
			00039088	Commissioner Ins Sec&Banking	Taylor,Stephen C.	12/1/2014	3.1	F	Reg	DX0000	E5	0	1	164,439.50	33,545.66	
			00075356	CLERICAL ASSISTANT	Vacant	Vacant		V	Reg	DS0079	7	0	1	42,250.00	8,619.00	In recruitment. Selection pending.
			00082338	HEARING EXAMINER	Butler,Lisa D.	9/23/2013	4.3	F	Term	DS0087	13	5	1	91,438.00	18,653.35	
		<b>1090 Total</b>											<b>6</b>	<b>588,781.50</b>	<b>120,111.43</b>	
<b>1000 Total</b>													<b>37</b>	<b>3,638,597.26</b>	<b>742,273.84</b>	
2000	Insurance Bureau	2010	00004205	SUPV INSURANCE EXAM GEN	Fontaine,Jamai Y	6/8/1987	30.6	F	Reg	DS0086	14	0	1	124,731.14	25,445.15	
			00009105	INSURANCE LICENSING SPEC MGR	Bowles,Zadie	10/13/1974	43.3	F	Reg	DS0086	14	0	1	128,364.29	26,186.32	
			00016131	INSURANCE LICENSE SPEC	Parker,Denise M	10/4/1981	36.3	F	Reg	DS0077	12	10	1	97,340.00	19,857.36	
			00022192	INSURANCE LICENSE SPEC	Jordan-Robinson, Lucyynthia D	8/25/1981	36.4	F	Reg	DS0077	12	8	1	92,616.00	18,893.66	
			00026346	INSURANCE EXAMINER	Belen,Carmen	2/6/2017	1.0	F	Reg	DS0077	13	9	1	110,145.00	22,469.58	
			00035565	INSURANCE EXAMINER	Rielley,John M	9/19/1994	23.4	F	Reg	DS0077	13	10	1	112,956.00	23,043.02	
			00036295	Associate Commissioner For Ins	Barlow,Philip A	4/10/2000	17.8	F	Reg	DS0086	16	0	0.67	111,615.25	22,769.51	
			00037940	INSURANCE LICENSE SPEC	Johnson-Parker,Sheila A	10/31/2005	12.2	F	Reg	DS0077	12	5	1	85,530.00	17,448.12	
			00078131	Health Insurance Analyst.	Benson,RaShaunda	10/31/2016	1.2	F	Reg	DS0077	11	2	1	63,467.00	12,947.27	
			00078145	Insurance Examiner (General)	Vacant	Vacant		V	Reg	DS0077	12	0	1	76,082.00	15,520.73	Position under review.
			00082353	Insurance Licensing Specialist	Vacant	Vacant		V	Temp	DS0077	12	0	1	76,082.00	15,520.73	Position under review.
			00085212	Insurance Examiner (General)	Beard,Andre	5/21/2012	5.7	F	Reg	DS0077	13	4	1	96,090.00	19,602.36	
		<b>2010 Total</b>											<b>11.67</b>	<b>1,175,018.68</b>	<b>239,703.81</b>	
		2015	00003501	ACTUARY	Dyson,Monica L	3/24/2003	14.8	F	Reg	DS0077	13	9	1	110,145.00	22,469.58	
			00008351	ACTUARY MGR	Nkojo,Robert I	4/21/2003	14.8	F	Reg	DS0086	14	0	1	114,493.50	23,356.67	
			00011195	FINANCIAL EXAMINER INS	Merlo,Samuel A	4/3/2006	11.8	F	Reg	DS0077	13	8	1	107,334.00	21,896.14	
			00012196	FINANCIAL EXAMINER INS	Negash,Yohaness	10/17/2016	1.3	F	Reg	DS0077	13	8	1	107,334.00	21,896.14	
			00036494	Insurance Examiner (Property a	King,Angela Jenice	5/25/1994	23.7	F	Reg	DS0077	13	9	1	110,145.00	22,469.58	
			00085202	ACTUARY	Christhif,David	12/28/2015	2.1	F	Reg	DS0077	14	8	1	126,838.00	25,874.95	
		<b>2015 Total</b>											<b>6</b>	<b>676,289.50</b>	<b>137,963.06</b>	
		2050	00015197	INSURANCE EXAMINER	Johnson,Colin B	2/25/1994	23.9	F	Reg	DS0077	13	8	1	107,334.00	21,896.14	

Program	Program Title	Activity	Posn Nbr	Title	Name	Hire Date	Length of Time (Years)	Vac Stat	Reg/Temp/Term	Sal Plan	Grade	Step	FTEs	Annual Salary	Annual Benefits	Status of Vacant Positions
			00017344	INSURANCE LICENSE SPEC	Hicks,Willie C	6/28/1983	34.6	F	Reg	DS0077	12	6	1	87,892.00	17,929.97	
			00031831	Financial Examiner	Ryan Jr.,Francis J	2/2/2009	9.0	F	Reg	DS0077	13	5	1	98,901.00	20,175.80	
			00036236	Health Care Policy Analyst	Liebers,Howard M	2/11/2013	5.0	F	Reg	DS0077	14	5	1	116,881.00	23,843.72	
			00036295	Associate Commissioner For Ins	Barlow,Philip A	4/10/2000	17.8	F	Reg	DS0086	16	0	0.33	54,974.68	11,214.83	
			<b>2050 Total</b>										<b>4.33</b>	<b>465,982.68</b>	<b>95,060.47</b>	
		2090	00005439	ACTUARY	Morgan,John	4/21/2014	3.8	F	Reg	DS0077	13	7	1	104,523.00	21,322.69	
			00073445	Supervisory Health Actuary	Tanhehco,Efren L	11/7/2011	6.2	F	Reg	DS0086	14	0	1	135,061.06	27,552.46	
			00073451	ACTUARY	Shirley,Darniece L	1/3/2011	7.1	F	Reg	DS0077	13	7	1	104,523.00	21,322.69	
			00073453	Health Insur. Financial Analy.	Siler,Damon	12/29/2014	3.1	F	Term	DS0077	11	6	1	71,371.00	14,559.68	
			00082359	Insurance Examiner (General)	Vacant	Vacant		V	Reg	DS0077	12	0	1	76,082.00	15,520.73	Position under review.
			<b>2090 Total</b>										<b>5</b>	<b>491,560.06</b>	<b>100,278.25</b>	
<b>2000 Total</b>													<b>27</b>	<b>2,808,850.92</b>	<b>573,005.59</b>	
3000	Securities Bureau	3010	00000198	Securities Registration Spec	Sanyang,Sainey	10/17/2016	1.3	F	Reg	DS0077	9	2	1	52,669.00	10,744.48	
			00008873	ASST DIR	Mcmanus,James M.	10/22/2001	16.3	F	Reg	DS0086	15	0	1	133,515.73	27,237.21	
			00015183	DIR OF SECURITIES	Miles,Theodore A	7/3/2000	17.6	F	Reg	DS0086	16	0	1	171,849.44	35,057.29	
			00021355	Securities Registration Spec	Butler,Sabrina Renee	2/27/2012	5.9	F	Reg	DS0077	9	5	1	57,559.00	11,742.04	
			00039602	Secur Finan Exam (Rpt & Discl)	Vacant	Vacant		V	Reg	DS0077	13	1	1	87,657.00	17,882.03	In recruitment. Interviews conducted.
			00039603	Secur Finan Exam (Rpt & Discl)	Adu,George	8/8/2006	11.5	F	Reg	DS0077	13	8	1	107,334.00	21,896.14	
			00085201	Securities Registration Spec	Vacant	Vacant		V	Reg	DS0077	9	0	1	51,039.00	10,411.96	Position under review.
			<b>3010 Total</b>										<b>7</b>	<b>661,623.17</b>	<b>134,971.13</b>	
		3030	00000483	ASST DIR SEC LICENSING	Goff,Maurice V	10/13/1987	30.3	F	Reg	DS0086	14	0	1	122,252.77	24,939.57	
			00037776	Securities Licensing Spec.	Ballard,Laytonya	7/25/2016	1.5	F	Reg	DS0077	12	3	1	80,806.00	16,484.42	
			00037779	Securities Licensing Spec.	Martin,Lucinda D	12/5/2011	6.1	F	Reg	DS0077	12	6	1	87,892.00	17,929.97	
			00037780	Securities Licensing Spec.	Sherard,Gregory W	4/15/2002	15.8	F	Reg	DS0077	12	10	1	97,340.00	19,857.36	
			<b>3030 Total</b>										<b>4</b>	<b>388,290.77</b>	<b>79,211.32</b>	
		3080	00075391	Director of Market Examination	Meaza,Senayet	2/7/1994	24.0	F	Reg	DS0086	15	0	1	134,554.59	27,449.14	
			<b>3080 Total</b>										<b>1</b>	<b>134,554.59</b>	<b>27,449.14</b>	
<b>3000 Total</b>													<b>12</b>	<b>1,184,468.53</b>	<b>241,631.58</b>	
4000	Enforcement Program	4050	00003370	FRAUD INVEST	Pendleton,Mark A	5/16/2016	1.7	F	Reg	DS0077	12	2	1	78,444.00	16,002.58	
			00008031	FRAUD COMPLIANCE MGR	Ross,Michael	11/21/2016	1.2	F	Reg	DS0086	14	0	1	99,659.00	20,330.44	
			00041792	Staff Assistant	Vacant	Vacant		V	Reg	DS0077	9	1	1	51,039.00	10,411.96	Position under review.
			<b>4050 Total</b>										<b>3</b>	<b>229,142.00</b>	<b>46,744.97</b>	
		4060	00001990	INVEST FRAUD	Coles,Karen	11/19/2012	5.2	F	Reg	DS0077	12	10	1	97,340.00	19,857.36	
			00013699	DIR OF FRAUD (Deputy)	Vacant	Vacant		V	Reg	DS0086	16	0	1	147,300.00	30,049.20	In recruitment. Posting pending.
			00020539	FRAUD INVEST	Loproto,Robert B	9/5/2006	11.4	F	Reg	DS0077	12	7	1	90,254.00	18,411.82	
			00031812	FRAUD INVEST	Vacant	Vacant		V	Reg	DS0077	12	2	1	78,444.00	16,002.58	In recruitment. Interviews pending.
			00034870	Investigator Fraud	Tengen,Juliana N	10/19/1992	25.3	F	Reg	DS0077	13	6	1	101,712.00	20,749.25	
			00075430	DIR OF FRAUD	Bressman,Brian	2/21/2017	0.9	F	Reg	DS0086	16	1	1	155,000.00	31,620.00	
			00085206	INVEST FRAUD	Gaskin,Mary	5/31/2016	1.6	F	Reg	DS0077	12	2	1	78,444.00	16,002.58	
			<b>4060 Total</b>										<b>7</b>	<b>748,494.00</b>	<b>152,692.78</b>	
<b>4000 Total</b>													<b>10</b>	<b>977,636.00</b>	<b>199,437.74</b>	
5000	Banking Bureau	5060	00034846	Associate Commiss. for Banking	Williams,Brian	1/9/2017	1.0	F	Reg	DS0086	16	0	1	122,750.00	25,041.00	
			00034862	Sr. Banking Licensing Speciali	Moore,Terry L	11/12/2002	15.2	F	Reg	DS0077	13	10	1	112,956.00	23,043.02	
			00034868	Supervisory Banking Examiner	Jones,Robbin	2/8/2016	2.0	F	Reg	DS0077	14	0	1	99,659.00	20,330.44	
			00034869	Banking Licensing Specialist	Cole,Jacqueline D	12/1/2003	14.2	F	Reg	DS0077	11	5	1	69,395.00	14,156.58	
			00035837	Banking Licensing Specialist	Goines,Robbine M	6/22/1998	19.6	F	Reg	DS0077	9	8	1	62,449.00	12,739.60	
			00037714	Licensing Manager	Vacant	Vacant		V	Reg	DS0086	14	0	1	119,591.00	24,396.56	Position under review.
			00075387	Sr. Banking Licensing Speciali	Rouse,Brian A	3/7/2005	12.9	F	Reg	DS0077	13	9	1	110,145.00	22,469.58	
			<b>5060 Total</b>										<b>7</b>	<b>696,945.00</b>	<b>142,176.78</b>	
		5070	00001945	Student Loan Ombudsman	Burt,Charles	6/19/2017	0.6	F	Reg	DS0086	14	0	1	110,000.00	22,440.00	
			00034863	Program Analyst	Hammonds,Michelle	2/8/2016	2.0	F	Reg	DS0077	13	3	1	93,279.00	19,028.92	
			00073628	CLERICAL ASSISTANT	Payton,Sirita Y	10/24/2011	6.3	F	Term	DS0079	7	8	1	52,526.00	10,715.30	
			00074667	PROGRAM SUPPORT ASSISTANT	Vacant	Vacant		V	Reg	DS0079	7	0	1	42,250.00	8,619.00	In recruitment. Interviews conducted.
			00075089	Student Intern	Haynes,LaShaunda	5/30/2017	0.7	F	Temp	DS0087	7	3	1	43,430.40	8,859.80	
			00075396	Program Manager (SSBCI)	Caesar,Camille	4/18/2017	0.8	F	Reg	DS0086	14	0	1	120,000.00	24,480.00	
			00082354	Program Monitor	Vacant	Vacant		V	Reg	DS0077	13	0	1	87,657.00	17,882.03	Position under review.
			00085528	PROGRAM SUPPORT ASSISTANT	Azikiwe,Nneka	9/6/2016	1.4	F	Reg	DS0079	7	2	1	43,718.00	8,918.47	
			<b>5070 Total</b>										<b>8</b>	<b>592,860.40</b>	<b>120,943.52</b>	
<b>5000 Total</b>													<b>15</b>	<b>1,289,805.40</b>	<b>263,120.30</b>	
6000	Risk Finance Bureau	6010	00036363	FINANCIAL EXAMINER OFFICER	Schleit,David	3/25/2013	4.8	F	Reg	DS0077	14	6	1	120,200.00	24,520.80	
			<b>6010 Total</b>										<b>1</b>	<b>120,200.00</b>	<b>24,520.80</b>	
		6020	00036539	Director of Risk Finance	Sheppard,Dana G	9/13/1993	24.4	F	Reg	DS0086	16	0	1	171,854.13	35,058.24	
			<b>6020 Total</b>										<b>1</b>	<b>171,854.13</b>	<b>35,058.24</b>	
		6030	00036633	Insurance Licensing Specialist	Andrew,Anu	9/19/2016	1.3	F	Reg	DS0077	12	2	1	78,444.00	16,002.58	
			<b>6030 Total</b>										<b>1</b>	<b>78,444.00</b>	<b>16,002.58</b>	
<b>6000 Total</b>													<b>3</b>	<b>370,498.13</b>	<b>75,581.62</b>	
8000	Market Examinations Division	8010	00009191	Supvy Ins Oper Exam (Auditing)	Brown,Nathaniel Kevin	4/10/2000	17.8	F	Reg	DS0086	14	0	1	131,548.35	26,835.86	
			00012661	INSURANCE OPR EXAM AUDIT	Ukairo,Chidinma	7/27/1987	30.5	F	Reg	DS0077	11	10	1	79,275.00	16,172.10	

Program	Program Title	Activity	Posn Nbr	Title	Name	Hire Date	Length of Time (Years)	Vac Stat	Reg/Temp/Term	Sal Plan	Grade	Step	FTEs	Annual Salary	Annual Benefits	Status of Vacant Positions
			00037577	INSURANCE OPR EXAMINER AUDIT	Vacant	Vacant		V	Reg	DS0077	12	1	1	76,082.00	15,520.73	Position under review.
			<b>8010 Total</b>										<b>3</b>	<b>286,905.35</b>	<b>58,528.69</b>	
		8020	00021395	Securities Financial Examiner	Doster,Malcolm	8/22/2016	1.4	F	Reg	DS0077	12	2	1	78,444.00	16,002.58	
			00035980	SECURITIES FINANCIAL EXAM	Kunzweiler,Brad L	3/5/2007	10.9	F	Reg	DS0077	13	7	1	104,523.00	21,322.69	
			00046077	Securities Financial Examiner	Vacant	Vacant		V	Reg	DS0077	12	3	1	80,806.00	16,484.42	In recruitment. Interviews conducted.
			00085203	Securities Financial Examiner	Cooper,Lakishia	2/8/2016	2.0	F	Reg	DS0077	12	2	1	78,444.00	16,002.58	
			<b>8020 Total</b>										<b>4</b>	<b>342,217.00</b>	<b>69,812.27</b>	
		8030	00005191	BANK EXAMINER	Kerr,Monique Melissa	9/10/2012	5.4	F	Reg	DS0077	12	5	1	85,530.00	17,448.12	
			00034865	Banking Examiner	Wagner,Peggy A.	7/14/2014	3.5	F	Reg	DS0077	12	5	1	85,530.00	17,448.12	
			00046080	Banking Examiner	Tucker,Henry M.	5/25/2008	9.7	F	Reg	DS0077	12	10	1	97,340.00	19,857.36	
			00046081	Banking Examiner	Smith,Leonard	4/21/2014	3.8	F	Reg	DS0077	12	4	1	83,168.00	16,966.27	
			00075304	Supervisory Banking Examiner (Licensing)	Vacant	Vacant		V	Reg	DS0086	14	0	1	119,591.00	24,396.56	Position under review.
			00075373	BANK EXAMINER	Farquharson-Reid,Angela	9/10/2012	5.4	F	Reg	DS0077	12	6	1	87,892.00	17,929.97	
			00075374	BANK EXAMINER	Vacant	Vacant		V	Reg	DS0077	12	0	1	76,082.00	15,520.73	In recruitment. Interviews conducted.
			00075386	Senior Bank Examiner	Bright,Eva M	9/29/2008	9.3	F	Reg	DS0077	13	5	1	98,901.00	20,175.80	
			00075388	Lead Bank Examiner	Fuller,Samuel V	1/9/2006	12.0	F	Reg	DS0077	14	5	1	116,881.00	23,843.72	
			00075389	BANK EXAMINER	Vacant	Vacant		V	Reg	DS0077	12	0	1	76,082.00	15,520.73	In recruitment. Interviews conducted.
			00075551	Supervisory Bank Examiner	Irwin,Trey	5/30/2017	0.7	F	Reg	DS0086	15	0	1	110,621.00	22,566.68	
			00085204	BANK EXAMINER	Davis,Dionne	3/7/2016	1.9	F	Reg	DS0077	12	4	1	83,168.00	16,966.27	
			00085205	BANK EXAMINER	Vacant	Vacant		V	Reg	DS0077	12	1	1	76,082.00	15,520.73	In recruitment. Interviews conducted.
			<b>8030 Total</b>										<b>13</b>	<b>1,196,868.00</b>	<b>244,161.07</b>	
		8040	00035765	Supervisory Financial Examiner	O'Donnell,Patrick S.	6/6/2005	12.6	F	Reg	DS0086	15	0	1	154,868.88	31,593.25	
			00038470	FINANCIAL EXAMINER (CAPTIVE)	Davis,Rebecca	12/1/2014	3.1	F	Reg	DS0077	13	4	1	96,090.00	19,602.36	
			00038485	FINANCIAL EXAMINER INS	Bunyasrie,Surayuth	5/18/2015	2.7	F	Reg	DS0077	13	5	1	98,901.00	20,175.80	
			00046076	Insurance Operations Examiner	Afolabi,Christine	4/21/2014	3.8	F	Reg	DS0077	13	4	1	96,090.00	19,602.36	
			00075076	Financial Examiner & Analyst	Li,Xiangchun	3/6/2006	11.9	F	Reg	DS0077	14	8	1	126,838.00	25,874.95	
			<b>8040 Total</b>										<b>5</b>	<b>572,787.88</b>	<b>116,848.73</b>	
<b>8000 Total</b>													<b>25</b>	<b>2,398,778.23</b>	<b>489,350.76</b>	
9000	Compliance Division	9010	00010013	INSURANCE OPERATIONS SPEC	Dickens,Marionnetta	4/28/1986	31.8	F	Reg	DS0077	12	10	1	97,340.00	19,857.36	
			00013044	INSURANCE OPERATIONS SPEC	Stinson,Douglas	10/14/2008	9.3	F	Reg	DS0077	12	6	1	87,892.00	17,929.97	
			00015980	INS OPERATIONS SPEC	Matthews,Sylvia D	2/16/1995	23.0	F	Reg	DS0077	12	9	1	94,978.00	19,375.51	
			00022086	INSURANCE OPERATIONS SPEC	Slade,Arthur F	10/14/2008	9.3	F	Reg	DS0077	12	6	1	87,892.00	17,929.97	
			00075087	Consumer Services Specialist	Moore,David	12/3/2012	5.1	F	Reg	DS0077	12	10	1	97,340.00	19,857.36	
			00075393	Director, Compliance Analysis	Vacant	Vacant		V	Reg	DS0086	15	0	1	132,745.00	27,079.98	In recruitment. Posting pending.
			00075435	Consumer Services Specialist	Wadley,Debra	3/6/2017	0.9	F	Reg	DS0077	12	4	1	83,168.00	16,966.27	
			<b>9010 Total</b>										<b>7</b>	<b>681,355.00</b>	<b>138,996.42</b>	
		9020	00038798	Manager, Consumer Services	Vacant	Vacant		V	Reg	DS0086	14	0	1	119,591.00	24,396.56	In recruitment. Interviews conducted.
			00075077	Compliance Analyst	Owens,Cheryl R	1/30/2012	6.0	F	Reg	DS0077	12	7	1	90,254.00	18,411.82	
			00075086	Student Intern	Benitez,Carla M	1/9/2017	1.0	F	Term	DS0087	7	1	1	39,063.00	7,968.85	
			00075431	Manager, Market Research and A	Shipp,Sharon	9/10/2012	5.4	F	Reg	DS0086	14	0	1	99,659.00	20,330.44	
			00078117	FINANCIAL EXAMINER INS	Davis,LaTasha	4/3/2017	0.8	F	Reg	DS0077	13	1	1	87,657.00	17,882.03	
			<b>9020 Total</b>										<b>5</b>	<b>436,224.00</b>	<b>88,989.70</b>	
		9080	00046078	Dep Commiss. for Market Compl.	Vacant	Vacant		V	Reg	DS0086	16	0	1	147,300.00	30,049.20	In recruitment. PD under review.
			<b>9080 Total</b>										<b>1</b>	<b>147,300.00</b>	<b>30,049.20</b>	
<b>9000 Total</b>													<b>13</b>	<b>1,264,879.00</b>	<b>258,035.32</b>	
100F	Agency Fiscal Operations	110F	00001761	BUDGET OFFICER	Godie,Enyew	12/22/2008	9.1	F	Reg	DS0007	14	3	1	110,242.00	22,489.37	
			00012917	BUDGET ANALYST	Ware,Jovan Louise	11/30/2015	2.2	F	Reg	DS0007	9	8	1	62,450.00	12,739.80	
			<b>110F Total</b>										<b>2</b>	<b>172,692.00</b>	<b>35,229.17</b>	
		120F	00004196	ACCOUNTANT	May,Julia C	7/25/1990	27.5	F	Reg	DS0007	11	8	1	75,326.00	15,366.50	
			00022530	Accounts Payable Specialis	Branham,Valencia M	12/10/1990	27.1	F	Reg	DS0007	12	8	1	92,614.00	18,893.26	
			00043252	ACCOUNTS PAYABLE SUPV	Vanhorne,Lashawn M	12/3/1990	27.2	F	Reg	DS0007	13	7	1	104,521.00	21,322.28	
			00075090	ACCOUNTANT	Armstrong Jr.,Sherwood	12/5/2011	6.1	F	Reg	DS0007	11	5	1	69,396.00	14,156.78	
			00085225	SENIOR ACCOUNTANT	Ibrahim,Yesuf	2/27/2012	5.9	F	Reg	DS0007	13	3	1	93,279.00	19,028.92	
			<b>120F Total</b>										<b>5</b>	<b>435,136.00</b>	<b>88,767.74</b>	
		130F	00012491	CONTROLLER	Ahaiwe,Bright A	8/12/1985	32.5	F	Reg	DS0007	16	10	1	176,296.00	35,964.38	
			<b>130F Total</b>										<b>1</b>	<b>176,296.00</b>	<b>35,964.38</b>	
<b>100F Total</b>													<b>8</b>	<b>784,124.00</b>	<b>159,961.30</b>	
<b>Grand Total</b>													<b>150</b>	<b>14,717,637.47</b>	<b>3,002,398.04</b>	

## **Appendix 3**

### **DISB – Agency Organization**

#### **OFFICE OF THE COMMISSIONER**

- Direct the overall leadership, management, and administration of the Department’s financial and personnel resources;
- Develop and implement policies, programs and plans that uphold the laws of the District of Columbia;
- Promote and maintain consumer protection by providing consistent and accurate information about financial services firms operating in the District; and
- Ensure efficient and effective regulation of the financial services industry, and foster economic development in the District.

#### **MARKET OPERATIONS - (MO)**

- Provides technical and administrative authority over the Department's operational areas, which include the Insurance Bureau, Securities Bureau, Banking Bureau, and Risk Finance Bureau;
- Develops plans for work to be performed by subordinates, sets priorities and prepares schedules for completion of work; and
- Develops quantitative and qualitative measures for evaluating the performance standards of subordinate employees.
- Oversees the Department’s Hearing Officer which manages the regulatory adjudication and other administrative proceedings for the Department.

#### **Insurance Bureau**

- Conducts on-site financial examinations of all domiciled insurance companies and monitors the financial solvency of insurance companies doing business in the District of Columbia;
- Issues licenses to insurance companies, insurance producers and health maintenance organizations;
- Mediates disputes between consumers and insurance industry;
- Resolves issues relating to the review and approval of rates and policy forms of insurance products marketed in the District of Columbia;
- Performs on-site examinations of the underwriting, policyholder service, claims, marketing, producer licensing and compliant handling processes of licensed companies to determine compliance with District of Columbia laws and industry practices; and
- Monitors the activities of health maintenance organizations to determine compliance with District of Columbia and federal law.

#### **Securities Bureau**

- Regulates securities professionals in the District of Columbia;
- Licenses broker-dealer firms and their agents, agents of issuers, and investment advisers and their representatives;

## Appendix 3

### DISB – Agency Organization

- Protects investor/consumers by insuring that securities entities and representatives operating in the District comply with the District's securities laws;
- Conducts investor education through outreach activities in the community; and
- Reviews and analyzes financial statements of business entities to ensure full disclosure by registrants.

#### **Banking Bureau**

- Conducts on-site examinations of District-chartered banks;
- Conducts examinations of non-depository financial services institutions doing business in the District of Columbia;
- Issues licenses to check cashing organizations, consumer credit service organizations, money lenders, money transmitters, mortgage brokers and lenders, and consumer sales finance companies;
- Reviews consumer complaints regarding banks and non-depository financial institutions to determine compliance with District of Columbia laws and regulations;
- Provides resources to District residents to avoid foreclosure;
- Provides education and resources to assist residents with educational loan repayment options; and
- Administers the Earned Income Tax Credit program.

#### **Risk Finance (Captives)**

- Regulates captive insurance companies, risk retention groups, and other kinds of non-traditional risk transfer mechanisms that operate in or from the District of Columbia;
- Licenses qualified institutions, performs financial analyses, and conducts regular financial examinations to ensure fiscal stability; and
- Provides practical and innovative regulatory responses in a timely manner to captive insurance companies and other risk finance organizations seeking to establish operations or transact business in the District.

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### **MARKET COMPLIANCE - (MC)**

- Provides technical and administrative authority over the Department's functional areas, which include the Enforcement and Consumer Protection Division, Market Examinations Division, and Compliance Analysis Division;
- Develops quantitative and qualitative measures for evaluating the performance standards of subordinate employees;
- Develops plans for work to be performed by subordinates, sets priorities and prepares schedules for completion of work; and
- Establishes a functional process and reporting regimen to receive information from market operations that: a) identifies current and emerging market conditions and issues which may affect the development, design, and/or distribution of financial products and services in

## **Appendix 3**

### **DISB – Agency Organization**

each industry sector and, b) evaluates the effect of current and proposed financial products and services on individual and business consumers.

#### **Market Examinations Division**

- Conducts on-site examinations of all domiciled insurance companies, inspections of investment advisers and broker-dealers, District-chartered banks and non-depository financial services institutions doing business in the District of Columbia;
- Prioritizes companies for examination or inspection of financial records, prepares and reviews planning and examination work papers, and prepares examination reports in accordance with District of Columbia statutes and appropriate industry examination procedures; and
- Monitors the solvency of financial firms doing business in the District of Columbia.

#### **Compliance and Analysis Division**

- Develops research and analysis of industry sectors to establish “best practices” standards and guidelines for design, delivery, and results monitoring of financial products and services;
- Reviews consumer complaints regarding financial institutions and firms operating in the District to determine compliance with District of Columbia laws and regulations;
- Conducts analysis and investigates matters regarding consumer issues, such as claim disputes, cancellation or non-renewal of insurance policies, improper insurance producer conduct and uninsured motorist fund claims, complaints regarding allegations of misconduct by securities professionals operating in the District of Columbia and complaints regarding banks and non-depository financial institutions to determine compliance with District of Columbia laws and regulations;
- Refers suspected illegal activities to the Enforcement and Consumer Protection Division for investigation; and
- Coordinates information from Market Examinations Division with Bureaus to identify and define key market factors that drive changes in each industry sector.

#### **Enforcement and Consumer Protection Division**

- Plans and coordinates antifraud programs to detect and provide assistance in the prosecution of fraudulent insurance, securities and banking activities in the District of Columbia;
- Maintains and reviews mandated antifraud plans submitted by insurers;
- Ensures that all relevant consumer protection laws are strictly enforced;
- Conducts investigations of suspected insurance, securities and banking fraud; and
- Conducts investigations and makes referrals to the appropriate authority for criminal or civil action.

## **Appendix 3**

### **DISB – Agency Organization**

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#### **CHIEF OF POLICY, PLANNING, AND ADMINISTRATION**

- Manages the Administrative Services, Human Resources, and Information Technology functions for the Department;
- Manages the Department's Risk Management Program and serves as the Department's Liaison to the Office of Risk Management; and
- Serves as the Department's Labor liaison.

#### **Administrative Services**

- Provides management, administrative and program planning services to the Department;
- Provides procurement coordination, supply management, inventory control, space utilization, telephone and other equipment installation and limited transportation services;
- Serves as the Department's liaison with the DC Procurement Office to coordinate, order, receive and inventory supplies, equipment and services;
- Undertakes special studies dealing with administrative problems;
- Coordinates matters related to building maintenance; and
- Provides clerical and administrative services to the Department.

#### **Human Resources**

- Provides services to the Department to assist with hiring, training and retaining a qualified and diverse staff; and
- Facilitates the management of all corrective and disciplinary actions.

#### **Information Technology**

- Provides network administration and support of the Department's computer system and develops workflow management and analysis for the Department;
- Operates and maintains the Department's computer and computer related equipment;
- Ensures systems compatibility between the Local Area Network (LAN) and various equipment and software configurations being utilized by the Department's user community and the District's Wide Area Network through the Supervisory Computer Specialist;
- Reviews and assigns numeric classifications to incoming materials including mail, publication directives, facsimiles, and other electronic communications;
- Develops and maintains a process for electronically providing documents to the appropriate Office/Division within the Department; and
- Performs searches for records and serves as the Department's Record Retention Coordinator, which identifies and categorizes all documents retained by the Department.



## Appendix 3

### DISB – Agency Organization

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#### COMMUNICATIONS

- Conducts Fraud Public Education and Outreach Programs to increase the public's awareness of insurance, securities and banking fraud;
- Directs DISB's Consumer Outreach Program and the Financial Literacy Program;
- Develops and prepares publications on insurance, securities and banking issues;
- Coordinates information from the NAIC and other financial industry regulatory organizations on current and emerging marketplace issues;
- Advocates for the Department on economic development issues;
- Promotes the Department's legislative, regulatory and policy positions to regulated industries, media, community associations, residents, and elected officials in order to increase public awareness of departmental programs, issues and challenges;
- Prepares speeches, fact sheets and news releases for the Department; and
- Handles inquiries from the press and public.

#### **Consumer Advocate**

- Solicits and evaluates information concerning consumer protection issues;
- Serves as the chief advocate against consumer related financial service abuses; and
- Provides financial education and fraud prevention education to District residents.

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#### AGENCY FISCAL OFFICE

- Provides overall general financial support to the Department including budgeting, short term planning, forecasting, and procurement services, accounting operations and payroll activities; and
- Administers the Insurance Bureau and Health Division assessment programs.

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#### GENERAL COUNSEL

- Provides legal guidance on insurance, securities and banking issues to the Department;
- Provides legislative and regulatory drafting services to address insurance, securities and banking issues;

## **Appendix 3**

### **DISB – Agency Organization**

- Negotiates and drafts settlement agreements, administrative bulletins, consent orders, administrative orders, rules, adjudicatory petitions, responses to motions, legal memorandums and briefs;
- Develops charges and specifications relative to the denial, suspension and revocation of licensed companies and individuals;
- Provides legal support for corrective and disciplinary actions against employees;
- Manages the Department's Freedom of Information Act requirement, including preparation of Department's annual FOIA report; and
- Manages all legal support for civil or administrative matters referred to the Office of the Attorney General.

Appendix 4

**Department of Insurance, Securities and Banking (SR0)**  
**Fiscal Year 2017 Employee Travel Expenses**



Employee/Vendor Name	Position/Title	Invoice No/Conference Attended	Invoice Description	Travel/Effective Date	Primary Doc	Trans Amt	Justification
ABUKAR ABDIRAHMAN	Budget Director	05/20-24/17-GFOA REIMBURSEMENT	RECONCILIATION GFOA DEN CO	6/8/17	DE537821	148.53	Required conference/training related to positions of the staff
		GFOA ANNUAL CONFERENCE	TRAVEL ADVANCE GFOA DEN CO	3/20/17	DE530246	1,728.21	
<b>ABUKAR ABDIRAHMAN</b>						<b>1,876.74</b>	
ADAM LEVI	Attorney Advsiors	101416 NAIC	INS.TRAV.REIMB-ADAM LEVI	10/14/16	DRJM3569	(76.99)	
<b>ADAM LEVI</b>						<b>(76.99)</b>	
ALTON TURNER	Program Monitor	10/31-11/4/16	TRAVEL REIMBURS.	11/16/16	DE520400	1,381.96	
		SSBCI conference 10/31/16 LA	TRAVEL PAYMENT by P-CARD	3/1/17	IEY10218	486.96	
<b>ALTON TURNER</b>						<b>1,868.92</b>	
BRAD KUNZWEILER	Financial Examiner Securites	NASAA-07/31-08	RECONCILIATION NASAA	9/12/17	DE546187	15.30	
		9/15/2017 NASAA	SEC.TRAV.REIMB-B.KUNZWEILER	9/15/17	DRJM3635	(1,049.59)	
		07/31-08/04/17 NASAA	TRAVEL RECONCILIATION NASAA	8/8/17	DE543079	15.30	
		07/31/17-08/04 NASAA	TRAVEL ADVANCE NASAA	7/10/17	DE540395	1,122.19	
<b>BRAD KUNZWEILER</b>						<b>103.20</b>	
BRIAN WILLIAMS	Associate Commissioner-Banking	CSBS-05/01-03/	RECOILIATION CSBS	5/17/17	DE535664	647.53	
		CSBS-05/22-26/	RECONCILIATION CSBS	6/26/17	DE539432	48.84	
		CSBS 05/23-26/	TRAVEL REQUEST CSBS	4/10/17	DE532328	1,059.48	
<b>BRIAN WILLIAMS</b>						<b>1,755.85</b>	
BRIAN BRESSMAN	Director of Fraud	NAIC-08/05-08/	RECONCILIATION NAIC	9/15/17	DE546121	127.75	
		08/05-08/17-NA	TRAVEL ADVANCE NAIC	7/10/17	DE540411	862.68	
<b>BRIAN BRESSMAN</b>						<b>990.43</b>	
BRIGHT AHAIWE	Agency Fiscal Officer	GFOA-05/20-24/	RECONCILIATION GFOA DEN CO	5/25/17	DE536775	51.72	
		GFOA CONFERENC	TRAVEL ADVANCE GFOA DEN CO	3/20/17	DE530249	1,787.30	
<b>BRIGHT AHAIWE</b>						<b>1,839.02</b>	
CAMILLE CEASAR	Program Manager (SSBCI)	PARKINGREIMB.5	REIMBURSEMENT LOCAL TRAVEL	5/30/17	DE536975	21.00	
<b>CAMILLE CEASAR</b>						<b>21.00</b>	
CARLA BENITEZ	Student Intern	07/26-29/17 KANSAS BACK OF ROOM TRAIN	TRAVEL ADV KANSAS BACK OF THE ROOM	7/12/17	DE540639	1,189.76	
		090817 KANSAS MO	BANK.TRAV.RECON.C.BENITEZ KANSAS	9/8/17	DRJM3634	(334.78)	
<b>CARLA BENITEZ</b>						<b>854.98</b>	
CARMEN BELEN	Insurance Examiner	NAIC-05/23-25/	RECONCILIATION NAIC	6/23/17	DE539353	215.71	
		080417	NAIC TRAV.REIN.CARMEN BELEN	8/4/17	DRJM3627	(121.71)	
<b>CARMEN BELEN</b>						<b>94.00</b>	
CHANDA WASHINGTON	Public Information Officer	NASAA INVESTOR	TRAVEL ADVANCE NASAA	3/20/17	DE530242	935.73	
<b>CHANDA WASHINGTON</b>						<b>935.73</b>	
CHERYL OWENS	Compliance Analyst	05/24-26/17-KA	RECONCILIATION NAIC	6/23/17	DE538214	87.45	
		05/24-26/17-KA	TRAVEL ADVANCE NAIC SUMMIT	5/23/17	DE536265	957.70	
<b>CHERYL OWENS</b>						<b>1,045.15</b>	

Employee/Vendor Name	Position/Title	Invoice No/Conference Attended	Invoice Description	Travel/Effective Date	Primary Doc	Trans Amt	Justification
CHRISTINE AFOLABI	Insurance Operations Examiner	SOFE-07/22-26/	RECONCILIATION SOFE	8/23/17	DE544262	69.36	
		NAIC-08/05-08/	TRAVEL RECONCILIATION NAIC	9/19/17	DE546782	78.08	
		2016 TEAM MATE 10	TRAVEL REIMB TEAM MATE	10/26/16	DE519003	103.33	
		05/21-25/17-KA	RECONCILIATION NAIC	6/15/17	DE538151	116.44	
		NAIC-08/05-08/	TRAVEL ADVANCE NAIC	6/29/17	DE539736	828.68	
		SAN DIEGO CA-1	TRAVEL ADVANCE	9/12/17	DE546097	1,065.38	
		NAIC-C. AFOLAB	TRAVEL ADVANCE NAIC	4/28/17	DE534033	1,289.44	
		SOFE 7/22-26/1	TRAVEL ADVANCE SOFE	5/24/17	DE536416	1,384.00	
<b>CHRISTINE AFOLABI</b>						<b>4,934.71</b>	
COLIN JOHNSON	Insurance Examiner	AICP-10/01-04/	TRAVEL ADVANCE AICP	9/12/17	DE546115	735.00	
<b>COLIN JOHNSON</b>						<b>735.00</b>	
CYRIL BYRON JR.	Associate CFO	GFOA-05/20-24/	RECONCILIATION GFOA DEN CO	6/2/17	DE537371	220.09	
		05/20-24/14-DE	TRAVEL ADVANCE GFOA DEN CO	4/5/17	DE531989	1,494.91	
<b>CYRIL BYRON JR.</b>						<b>1,715.00</b>	
DANA SHEPPARD	Acting Deputy Commissioner	BURLINGTON, VT- CAPTIVE INS CONF	RECONCILIATION VT CAPTIVE INS CONF	8/23/17	DE544386	26.60	Required conference/training related to positions of the staff
		04/25/17-D. SH	RECONCILIATION REIMBURS.	5/3/17	DE534046	72.88	
		03/12-15/17 CAPTIVE CONF SAN DIEGO	TRAVEL RECON. CAPTIVE SAN DIAEGO	3/20/17	DE530218	101.20	
		WORLD CAPTIVE FORUM 1/29-	TRAVEL REIMB WORLD CAPTIVE	2/10/17	DE527237	208.41	
		WORLD CAPTIVE FORUM1/	TRAVEL ADVANCE WORLD CAPTIVE	1/9/17	DE524620	881.35	
		PHILADELPHIA CAPTIVE 04/18/17	APRIL BILLING CAPTIVE TRAIN FARE	8/31/17	IEY10240	86.00	
		BURLINGTON, VT CAPTIVE INS ASSOC	TRAVEL ADVANCE VT CAPTIVE INS CONF	6/23/17	DE539315	926.20	
		CICA3/12-15 ADV	CICA CONFERENCE ADVANCE	2/10/17	DE527262	1,845.89	
<b>DANA SHEPPARD</b>						<b>4,148.53</b>	
DAVID A. CHRISTHILF	Actuary	NAIC12/09-12/1	TRAVEL RECON NAIC	3/20/17	DE530222	33.05	
		NAICSPRING4/7-	RECONCILIATION NAIC SPRING	5/9/17	DE533803	210.96	
		08/05-08/17-NA	TRAVEL ADVANCE	7/12/17	DE540620	774.77	
		04/07-10/17	TRAVEL ADVANCE	3/20/17	DE530204	1,492.07	
<b>DAVID A. CHRISTHILF</b>						<b>2,510.85</b>	
DAVID CHRISTHILF	Actuary	NAIC FALL 12/9	TRAVEL ADVANCE NAIC	11/17/16	DE520581	1,294.50	
<b>DAVID CHRISTHILF</b>						<b>1,294.50</b>	
DAVID SCHLEIT	Financial Examiner Officer	SOFE-07/22-26/	RECONCILIATION SOFE	8/22/17	DE544261	50.80	
		BURLINGTON VT-CAPTIVE	RECONCILIATION CAPTIVE	9/18/17	DE546622	90.68	
		NAIC FALL 12/9 RE	TRAVEL REIMB NAIC FALL	12/23/16	DE523706	147.11	
		03/05-07/17-D.	RECONCILIATION	4/5/17	DE532017	201.50	
		BURLINGTON, VT	TRAVEL ADVANCE CAPTIVE	6/23/17	DE539306	1,121.61	
		NAIC FALL 12/9	TRAVEL ADVANCE NAIC	11/17/16	DE520583	1,543.16	
		07/22-26-17-MA	TRAVEL ADVANCE SOFE SEMINAR	5/23/17	DE536337	1,397.00	
<b>DAVID SCHLEIT</b>						<b>4,551.86</b>	

Employee/Vendor Name	Position/Title	Invoice No/Conference Attended	Invoice Description	Travel/Effective Date	Primary Doc	Trans Amt	Justification	
DENNIS RAMPRASHAD	Controller	GFOA-05/20-24/	RECONCILIATION GFOA DEN CO	6/5/17	DE537402	159.06	Required conference/training related to positions of the staff	
		GFOA05/20-24/1	TRAVEL ADVANCE GFOA DEN CO	3/24/17	DE530874	1,627.92		
<b>DENNIS RAMPRASHAD</b>						<b>1,786.98</b>		
DEREJE BELAY	Financial Manager	05/20-24/17-GF	RECONCILIATION GFOA DEN CO	6/8/17	DE537811	167.43		
		05/20-24-17-D.	TRAVEL ADVANCE GFOA DEN CO	3/31/17	DE531602	1,587.92		
<b>DEREJE BELAY</b>						<b>1,755.35</b>		
EFREN TANHEHCO	Supervisory Health Actuary	NAIC-SUMMER-08	TRAVEL RECONCILIATION	9/30/17	DE550162	40.22		
		04/06/-11/17-D	RECONCILIATION	4/25/17	DE533731	53.50		
		08/05-08/17-NA	TRAVEL ADVANCE	7/12/17	DE540649	878.68		
		06/11-14/17-HO	TRAVEL ADVANCE	5/30/17	DE536984	1,186.15		
		112516	INS.TRAV.REIMB.EFREN TANHEHCO	11/25/16	DRJM3577	(632.83)		
		080417	INS.TRAV.REIMB.EFREN TANHEHCO	8/4/17	DRJM3627	(139.31)		
		04/06-11/17	TRAVEL ADVANCE	3/20/17	DE530212	2,077.88		
		NAIC 2017	INS.TRAV.REIMB.EFREN TANHEHCO	1/9/17	DP047145	(243.20)		
	NAIC FALL 12/9	TRAVEL ADVANCE NAIC	11/17/16	DE520588	2,285.60			
<b>EFREN TANHEHCO</b>						<b>5,506.69</b>		
EVA BRIGHT	Senior Bank Examiner	02/17-16/17 NAIC	TRAVEL RECONCILIATION NAIC	2/24/17	DE528210	265.50		
<b>EVA BRIGHT</b>						<b>265.50</b>		
FRANCIS JOSEPH RYAN	Financial Examiner	NAIC-05/21-24/	RECONCILIATION NAIC	6/23/17	DE539378	293.10		
<b>FRANCIS JOSEPH RYAN</b>						<b>293.10</b>		
FRANK RYAN	Insurance Oper Exam Audit	SOFE-07/23-27/	RECONCILIATION SOFE	8/21/17	DE544204	474.79		
		SOFE-07/23-27/	TRAVEL ADVANCE SOFE	7/18/17	DE541202	1,447.56		
		080417	NAIC TRAV.REIMBUR.FRANK RYAN	8/4/17	DRJM3627	(69.09)		
<b>FRANK RYAN</b>						<b>1,853.26</b>		
HOWARD LIEBERS	Health Care Policy Analyst	NAIC NE ZONE10/1	NAIC REIMBURSEMENT	11/1/16	CN059536	(624.92)		
		08/06-07/17	REIMBURSEMENT	9/26/17	CN063427	(418.15)		
		NAICFALL12/9RE	TRAVEL REIMB NAIC FALL	12/23/16	DE523703	2.00		
		NAIC-H. LIEBER	RECONCILIATION	4/26/17	DE533815	415.87		
		08/06-07/17	TRAVEL ADVANCE	7/12/17	DE540625	418.15		
		NAIC SPRING-08	TRAVEL RECONCILIATION	9/26/17	DE547491	504.63		
		NAICNEZONE10/1	TRAVEL ADVANCE	10/5/16	DE516979	624.92		
		NAIC-09/24-27/	TRAVEL RECONCILIATION	9/30/17	DE550998	1,001.28		
		NAICFALL 12/9	TRAVEL REIM	11/16/16	DE520405	1,310.24		
	04/07-10/17	TRAVEL ADVANCE	3/20/17	DE530214	1,515.80			
<b>HOWARD LIEBERS</b>						<b>4,749.82</b>		

Employee/Vendor Name	Position/Title	Invoice No/Conference Attended	Invoice Description	Travel/Effective Date	Primary Doc	Trans Amt	Justification	
JAMES MCMANUS	Assistant Director- Securities	NASAA11-17	TRAVEL REIMB NASAA	1/27/17	DE525951	139.43	Required conference/training related to positions of the staff	
		NASAA-09/23-27	TRAVEL RECONCILIATION	9/30/17	DE550724	230.53		
		012017	SEC.TRAV.REIMB.JAME M MCMANUS	1/20/17	DRJM3586	(1,279.79)		
		NASAA-11/17-20	TRAVEL ADVANCE	11/9/16	DE519916	1,206.86		
		NASAA-09/23-27	TRAVEL ADVANCE	9/18/17	DE546641	1,683.37		
<b>JAMES MCMANUS</b>						<b>1,980.40</b>		
JEANETTE GORDON	Accountant	GFOA-05/20-24/	RECONCILIATION GFOA DEN CO	5/26/17	DE536883	54.59		
		05/20-24/17-DE	TRAVEL ADVANCE GFOA DEN CO	3/28/17	DE531146	1,744.11		
<b>JEANETTE GORDON</b>						<b>1,798.70</b>		
JOCELYN BRAMBLE	SUPERVISOR-TRIAL ATTORNEY	NAIC SUMMER-08	RECONCILIATION NAIC	9/18/17	DE546133	76.00		
		NAIC-08/05-09/	TRAVEL ADVANCE NAIC	6/29/17	DE539765	965.24		
<b>JOCELYN BRAMBLE</b>						<b>1,041.24</b>		
JOSCAIRA AKHARN	Chief Management Operations	GFOA-05/20-24/	RECONCIIATION GFOA DEN CO	6/5/17	DE537403	60.02		
		05/20-24/17-J.	TRAVEL ADVANCE GFOA DEN CO	3/24/17	DE530860	1,545.92		
<b>JOSCAIRA AKHARN</b>						<b>1,605.94</b>		
KAREN A. COLES	Fraud Investigator	MIDATLREIM10/1	TRAVEL REIMB MID ATLANTIC	11/4/16	DE519693	91.58		
		SECCONF10/19-2	TRAVEL ADVANCE SEC CONF	10/3/16	DE516465	639.94		
<b>KAREN A. COLES</b>						<b>731.52</b>		
LEE BACKUS	Director, Compliance Analysis	NAIC FALL 12/9RE	TRAVEL REIMB NAIC	12/23/16	DE523709	135.00		
		NAIC FALL 12/9	TRAVEL ADVANCE NAIC	11/17/16	DE520576	1,936.08		
<b>LEE BACKUS</b>						<b>2,071.08</b>		
LILAH BLACKSTONE	Attorney Advsiior	SECENF-10/19-2	TRAVEL REIMB SEC	11/9/16	DE519943	101.38		
		NASAA-07/17-21	RECONCILIATION NASAA	8/23/17	DE544379	203.61		
		2016MIDATL10/1	TRAVEL ADVANCE MID ATL	10/13/16	DE517731	649.28		
		NASSA-07/17-21	TRAVEL ADVANCE NASAA	6/29/17	DE539752	1,142.20		
		09/23-27/17-SI	TRAVEL ADVANCE	7/12/17	DE540526	1,702.35		
<b>LILAH BLACKSTONE</b>						<b>3,798.82</b>		
LUCYNTIA JORDON ROBINSON	Insurance License Specialist	NAIC-05/21-24/	RECONCILIATION NAIC	6/30/17	DE539758	343.00		
		080417	NAIC TRAV.REIMBUR.ROBINSON	8/4/17	DRJM3627	(142.02)		
<b>LUCYNTIA JORDON ROBINSON</b>						<b>200.98</b>		
MALCOLM K. DOSTER	Securities Financial Examiner	NASAA-06/13-16	RECONCILIATION NASAA	7/13/17	DE540869	188.08		
		06/13-17/17-NA	TRAVEL ADVANCE	6/7/17	DE537741	831.76		
		NASAA-07/31-08	TRAVEL RECONCILIATION	9/19/17	DE546803	106.81		
		07/31-08/04/17	TRAVEL ADVANCE	7/10/17	DE540401	1,235.40		
<b>MALCOLM K. DOSTER</b>						<b>2,362.05</b>		
MARK PENDLETON	Fraud Investigator	2017ENFORCE1/2	TRAVEL REIMB ENFORCEMENT	2/10/17	DE527251	252.48		
		NASAAENF.1/23A	TRAVEL ADVANCE NASAA	1/5/17	DE524315	943.41		
<b>MARK PENDLETON</b>						<b>1,195.89</b>		
MCKENZIE NEELY-WRIGHT	Bank Examiner	CSBS-5/23-26/17	TRAVEL ADVANCE CSBS 05/23-26	4/12/17	DE532341	1,059.38		
<b>MCKENZIE NEELY-WRIGHT</b>						<b>1,059.38</b>		

Employee/Vendor Name	Position/Title	Invoice No/Conference Attended	Invoice Description	Travel/Effective Date	Primary Doc	Trans Amt	Justification
MICHAEL ROSS	Manager- Fraud Compliance	2017ENFORCE1.2	TRAVEL REIMB ENFORCEMENT	2/10/17	DE527249	84.23	Required conference/training related to positions of the staff
		03/06-10/17	TRAVEL RECON	3/20/17	DE530225	198.35	
		NAIC-M.ROSS	RECONCILIATION NAIC	4/26/17	DE533816	358.95	
		05/09-11/17-RI	RECONCILIATION	5/30/17	DE537003	509.96	
		2017ENFORCE1.2	TRAVEL ADVANCE	1/5/17	DE524321	996.93	
		NHCAA3/6-10/17	TRAVEL ADVANCE NHCAA	2/6/17	DE526701	1,607.88	
		NAIC-04/07-11/	TRAVEL ADVANCE NAIC	3/28/17	DE531142	1,981.21	
<b>MICHAEL ROSS</b>						<b>5,737.51</b>	
MICHELLE HAMMONDS	Program Analyst	NLC-09/26-28/1	PER-DIEM NLC	9/19/17	DE546833	172.50	
		090817	BANK.TRAV.RECON.M.HAMMONDS	9/8/17	DRJM3634	(209.15)	
		07/26-28/17-KA	TRAVEL ADVANCE	7/12/17	DE540635	1,189.76	
<b>MICHELLE HAMMONDS</b>						<b>1,153.11</b>	
MONICA DYSON	Actuary	NAIC-05/24-26/	RECONCILIATION NAIC	6/26/17	DE539437	253.00	
		080417	NAIC TRAV.REIMBUR.MONICA DYSON	8/4/17	DRJM3627	(95.00)	
<b>MONICA DYSON</b>						<b>158.00</b>	
NATHANIEL BROWN	Supervisory Insurance Oper Examiner	NAIC-SUMMER-08	RECONCILIATION NAIC SUMMER	9/30/17	DE548666	42.83	
		03/05-08/17	RECONCILIATION	3/20/17	DE530215	68.59	
		NAIC FALL12/9RE	TRAVEL REIMB NAIC FALL	12/23/16	DE523701	89.79	
		NAIC-05/21-24/	RECONCILIATION	6/23/17	DE539386	312.00	
		08/05-08/17-NA	TRAVEL ADVANCE	7/12/17	DE540623	789.99	
		080417	NAIC TRAV.REIN.N.K.BROWN	8/4/17	DRJM3627	(98.89)	
		050517	INS.TRAVEL REIMB-N.K.BROWN	5/5/17	DRJM3608	(30.77)	
		12/9-12/16 NAIC	TRAVEL ADVANCE NAIC	11/16/16	DE520496	1,383.67	
04/06-10/17	TRAVEL ADVANCE	3/20/17	DE530196	1,692.26			
<b>NATHANIEL BROWN</b>						<b>4,249.47</b>	
PHILIP BARLOW	Associate Commissioner-Insurance	02/10-13/17 NAIC	TRAVEL RECONCILIATION NAIC	2/24/17	DE528192	28.16	
		NAIC-08/04-07/	TRAVEL RECONCILIATION NAIC	9/18/17	DE546644	44.03	
		04/07-10/17-NA	RECONCILIATION	4/25/17	DE533750	161.02	
		NE ZONE MTG11/11	TRAVEL REIMB NE ZONE MEETING	10/26/16	DE519007	170.59	
		NAIC COMM2/9-13	TRAVEL ADVANCE NAIC COMM	1/27/17	DE525936	265.50	
		NAIC FALL12/9RE	TRAVEL REIMB NAIC FALL	12/23/16	DE523705	282.87	
		NAIC NE ZONE10/1	TRAVEL ADVANCE NE ZONE	10/5/16	DE516981	624.92	
		050517	NAIC TRAV.REIMB.-BARLOW	5/5/17	DRJM3608	(1,615.58)	
		012017	NAIC TRAV.REIMB.-BARLOW	1/20/17	DRJM3586	(1,528.88)	
		03/22-24/17-P.	RECONCIATION	4/10/17	DE532350	725.86	
		NE ZONE-MEETING-09 NAIC	TRAVEL RECONCILIATION	9/30/17	DE550728	931.61	
		NAIC NE ZONE10/1	NAIC NE ZONE10/1	11/1/16	CN059535	(624.92)	
		08/06-09/17-NA	TRAVEL ADVANCE	7/12/17	DE540612	1,225.51	
		NAICFALL 12/9	TRAVEL REIM NAIC FALL	11/16/16	DE520402	1,402.70	
		04/07-10/17	TRAVEL ADVANCE NAIC	3/20/17	DE530210	1,678.87	
<b>PHILIP BARLOW</b>						<b>3,772.26</b>	

Employee/Vendor Name	Position/Title	Invoice No/Conference Attended	Invoice Description	Travel/Effective Date	Primary Doc	Trans Amt	Justification	
REBECCA DAVIS	Financial Examiner	05//21-25/17-K	RECONCILIATION	6/13/17	DE538139	39.04	Required conference/training related to positions of the staff	
		03/05-07/17-TO	RECONCILIATION	4/5/17	DE532002	51.90		
		SOFE-07/22-26	RECONCILIATION SOFE	8/22/17	DE544264	52.69		
		NAICSUMM-5/21-	TRAVEL ADVANCE NAIC SUMMER	4/28/17	DE534031	1,289.44		
		SOFE 7/22-26/1	TRAVEL ADVAND SOFE	5/24/17	DE536409	1,384.99		
<b>REBECCA DAVIS</b>						<b>2,818.06</b>		
ROBERT NKOJO	Actuary Manager	NCCI-05/16-19/	RECONCILIATION NCCI	6/26/17	DE539422	458.76		
		08/05-08/17	TRAVEL ADVANCE	7/13/17	DE540785	897.28		
		12/09-12/-MIAM	TRAVEL REIMBURSEMENT	3/22/17	DE530580	209.48		
		NCCI-5/17-19/1	TRAVEL ADVANCE NCCI	4/28/17	DE534051	972.15		
		NAICFALL 12/9	TRAVEL ADVANCE NAIC FALL	11/17/16	DE520577	1,584.36		
<b>ROBERT NKOJO</b>						<b>4,122.03</b>		
ROLAND MCALLISTER, JR.	Revenue Manager	05/20-24/17-DE	RECONCILIATION GFOA DEN CO	6/22/17	DE539240	1,850.55		
<b>ROLAND MCALLISTER, JR.</b>						<b>1,850.55</b>		
ROYDELL STEPHENS	Financial Analyst ( SSBCI)	CDFACONF10/31-	TRAVEL REIMB CDF A ONCF	11/21/16	DE520792	2,205.02		
		SSBCI conference 10/31/16 LA	TRAVEL PAYMENT by P-CARD SSBCI	3/1/17	IEY10218	318.68		
<b>ROYDELL STEPHENS</b>						<b>2,523.70</b>		
SAMUEL FULLER	Lead Bank Examiner	MTRA-09/24-28/	TRAVEL RECONCILIATION MTRA	9/30/17	DE549637	36.44		
		MTRA-09/24-28/	TRAVEL ADVANCE MTRA	9/12/17	DE546101	1,799.30		
		SSBCI conference 10/31/16 LA	TRAVEL PAID by P-CARD SSBCI	3/1/17	IEY10218	97.96		
<b>SAMUEL FULLER</b>						<b>1,933.70</b>		
SAMUEL MERLO	Financial Examiner Insurance	SOFE-07/22-26/	RECONCILIATION SOFE	8/22/17	DE544233	111.60		
		SOFE-07/23-27/	TRAVEL ADVANCE SOFE	7/18/17	DE541217	1,447.56		
		SSBCI conference 10/31/16 LA	TRAVEL ADVANCE SOFE	3/1/17	IEY10218	97.96		
<b>SAMUEL MERLO</b>						<b>1,657.12</b>		
S. O'DONNELL (PATRICK O'DONNELL)	Supervisory Financial Examiner	SOFE-07/22-26/	RECONCILIATION SOFE	8/22/17	DE544273	8.24		
		NAIC-04/07-10/	RECONCIATION NAIC	4/28/17	DE533810	17.24		
		RECON-03/12-15	RECONCILIATION	3/24/17	DE530887	20.14		
		SOFE-7/22-26/1	TRAVEL ADVANCE SOFE	5/24/17	DE536398	1,427.56		
		WORLDCAPTIVE1/	TRAVEL ADVANCE WOLRD CAPTIVE	1/9/17	DE524618	798.38		
		CICA3/12-15TRA	TRAVEL ADVANCE CICA	2/13/17	DE527342	1,632.67		
		04/07-10/17	TRAVEL ADVANCE	3/20/17	DE530208	1,505.35		
		WORLDCAPTIVE FORUM1/	TRAVEL REIMBUR WORLD CAPTIVE	2/21/17	DP047979	(221.54)		
		WORLDCAPTIVE FORUM1/	TRAVEL REIMBUR WORLD CAPTIVE	2/21/17	DP047979	(50.98)		
		SEAN CAPTIVE INSURANCE 02/17	TRAVEL PAID by P-CARD CAPTIVE	3/1/17	IEY10224	325.00		
<b>SEAN O'DONNELL</b>						<b>5,462.06</b>		



Employee/Vendor Name	Position/Title	Invoice No/Conference Attended	Invoice Description	Travel/Effective Date	Primary Doc	Trans Amt	Justification
SENAYET MEAZA	Director of Market Examination	NASAA-09/23-27	TRAVEL RECONCILIATION NASAA	9/30/17	DE549634	109.69	Required conference/training related to positions of the staff
		2016MIDATLANTI 032417	TRAVEL ADVANCE MID ATL SEC.TRAVEL REIMB.SENAYET MEAZA	10/3/16 3/24/17	DE516490 DRJM3601	540.55 (1,307.98)	
		IA Training	SEC.TRAVEL REIMB.SENAYET MEAZA	2/1/17	DP047609	(443.20)	
		2016 Mid-Atlantic Meeting	Senayet Meaza MID ATL	11/28/16	DP046376	(5.47)	
		2017 NASAAENF.1	TRAVEL ADVANCE NASAA ENFORC	1/5/17	DE524322	1,615.00	
		NASAA-09/23-27	TRAVEL ADVANCE NASAA	9/18/17	DE546643	1,725.86	
		<b>SENAYET MEAZA</b>					
SHARON SHIPP	Manager, Market Research	NAIC-08/06-08/	RECONCILIATION NAIC	9/12/17	DE546125	27.60	
		NAIC-S. SHIPP	RECONCILIATION NAIC	4/26/17	DE533819	396.09	
		NAICSUMM8/6-8/	TRAVEL ADVANCE NAIC SUMMER	7/26/17	DE541931	657.12	
		INSURANCE REGULATROY EXAMINER TRA	TRAVEL PAYMENT by P-CARD	8/31/17	IEY10242	595.00	
		NAIC-04/07-11/	TRAVEL ADVANCE NAIC	3/29/17	DE531338	1,867.71	
<b>SHARON SHIPP</b>						<b>3,543.52</b>	
SIMONE DOS SANTOS	Attorney Advisor	07/23-26/17-CS	TRAVEL RECONCILIATION	8/7/17	DE542800	138.10	
		07/23-26/17-PA	TRAVEL ADVANCE	5/24/17	DE536334	1,531.51	
<b>SIMONE DOS SANTOS</b>						<b>1,669.61</b>	
STEPHEN TAYLOR	Commissioner	NAIC-07/10-13/	TRAVEL ADVANCE NAIC	6/29/17	DE539740	206.50	
		NAIC SUMMER 8/24-2	RECONCILIATION REIMB NAIC	11/4/16	CN059562	(352.00)	
		NAIC NE ZONE10/1	TRAVEL ADVANCE NAIC NE ZONE	10/3/16	DE516493	147.50	
		NAICFALL 12/9	TRAVEL ADVANCE NAIC FALL	11/17/16	DE520578	224.00	
		NAIC-10/09-12/	PER-DIEM NAIC	9/26/17	DE547489	224.00	
		122316	NAIC TRAV.REIMB.STEPHEN TAYLOR	12/23/16	DRJM3582	(446.29)	
		NAIC Summer AUG 24	NAIC SUMMER AUG 24	1/1/17	JSSRR943	352.00	
		NAIC-09/25-27/	TRAVEL ADVANCE NAIC	9/18/17	DE546627	241.50	
		NAICCOMM2/9-13	TRAVEL ADVANCE NAIC COMM	1/27/17	DE525935	265.50	
		CSBS 03/30/17 Conference	MAY 2017 TRAVEL P-CARD CSBS	8/31/17	IEY10242	450.00	
		NAIC-SUMMER 08	RECONCILIATION	9/30/17	DE548664	288.00	
04/06-11/17-S.	PER DIEM	3/24/17	DE530879	379.50			
<b>STEPHEN TAYLOR</b>						<b>1,980.21</b>	

Employee/Vendor Name	Position/Title	Invoice No/Conference Attended	Invoice Description	Travel/Effective Date	Primary Doc	Trans Amt	Justification	
SURAYUTH JOP BUNYASRIE	Financial Examiner Insurance	06/05-14/17	RECONCILIATION	6/26/17	DE539439	77.28	Required conference/training related to positions of the staff	
		05/21-24/17-KA	RECONCILIATION	6/15/17	DE538140	112.03		
		090817	INS.TRAVEL RECON.S.BUNYASRIE	9/8/17	DRJM3634	(513.28)		
		06/05-14/16	TRAVEL ADVANCE	5/9/17	DE535043	614.50		
		NAICFINSUMM-5/	TRAVEL ADVANCE NAIC SUMMER	4/28/17	DE534036	1,000.86		
<b>SURAYUTH JOP BUNYASRIE</b>						<b>1,291.39</b>		
TANYA BRYANT	Public Affairs Specialist	NAIC NE Zone 2017 Meeting	TRAVEL REIMBURSEMENT NAIC NE ZONE	9/30/17	YCSR0200	52.56		
		NAIC-09/24-27/	TRAVEL ADVANCE NAIC	9/19/17	DE546747	952.12		
<b>TANYA BRYANT</b>						<b>1,004.68</b>		
TANYA JOHNSON	Senior Accountant	GFOA-05/20-24/	RECONCILIATION GFOA DEN CO	5/25/17	DE536773	165.28		
		05/20-24/17-DE	TRAVEL ADVANCE GFOA DEN CO	3/28/17	DE531153	1,860.35		
<b>TANYA JOHNSON</b>						<b>2,025.63</b>		
THEODORE MILES	Director of Securities	SEC MID ATL-10/1	TRAVEL REIMB SEC MID ATL	11/9/16	DE519938	65.48		
		MID ATLANTIC 10/	TRAVEL ADVANCE MID ATL	10/3/16	DE516497	400.87		
		NASAA-09/24-27	RECONCILIATION NASAA	9/30/17	DE550102	534.59		
		NASAA-09/24-27	TRAVEL ADVANCE NASAA	9/20/17	DE546917	1,270.81		
<b>THEODORE MILES</b>						<b>2,271.75</b>		
TREY IRWIN	Supervisory Bank Examiner	MTRA-09/24-28/	TRAVEL ADVANCE MTRA	9/18/17	DE546085	1,792.30		
<b>TREY IRWIN</b>						<b>1,792.30</b>		
XIANGCHUN J LI	Financial Examiner and Analyst	SOFE-07/22-26/	RECONCILIATION SOFE	8/22/17	DE544258	168.83		
		SOFE-07/22-26/	TRAVEL ADVANCE SOFE	5/24/17	DE536481	1,469.65		
<b>XIANGCHUN J LI</b>						<b>1,638.48</b>		
YESUF IBRAHIM	Senior Accountant	GFOA-05/20-23/	RECONCILIATION GFOA DEN CO	6/5/17	DE537404	152.55		
		GFOA CONFERENC	TRAVEL ADVANCE GFOA DEN CO	3/20/17	DE530243	1,242.67		
<b>YESUF IBRAHIM</b>						<b>1,395.22</b>		
YOHANESS NEGASH	Financial Examiner Insurance	SOFE-07/22-26/	RECONCILIATION SOFE	8/22/17	DE544234	88.76		
		NAIC-05/21-26/	RECONCILIATION NAIC	6/23/17	DE539346	426.00		
		080417 NAIC	NAIC TRAV.REIMBUR NAIC	8/4/17	DRJM3627	(76.00)		
		SOFE-07/22-26/	TRAVEL ADVANCE SOFE	7/18/17	DE541214	1,447.56		
<b>YOHANESS NEGASH</b>						<b>1,886.32</b>		
<b>Total</b>						<b>124,357.92</b>		

**Department of Insurance, Securities and Banking (SR0)**  
**Fiscal Year 2018 YTD Employee Travel Expenses**



Employee/Vendor Name	Position/Title	Invoice No/Conference Attended	Invoice Description	Travel/Effective Date	Primary Doc	Trans Amt	Justification
BRIAN BRESSMAN	Director of Fraud	10/20-11-02/17	TRAVEL RECONCILIATION FRAUD	12/21/17	DE555329	31.57	Required conference/training related to positions of the staff
		NATIONAL FRAUD	TRAVEL ADV NATIONAL FRAUD CON	10/12/17	DE549174	785.77	
<b>BRIAN BRESSMAN</b>						<b>817.34</b>	
CHRISTINE AFOLABI	Insurance Operations Examiner	RECON-2017-TMU	RECONCILIATION TMU	1/19/18	DE557120	39.88	
<b>CHRISTINE AFOLABI</b>						<b>39.88</b>	
COLIN JOHNSON	Insurance Examiner	102017	INS. TRAVEL RECON.C.JOHNSON	10/20/17	DRJM3640	(7.66)	
<b>COLIN JOHNSON</b>						<b>(7.66)</b>	
DANA SHEPPARD	Acting Deputy Commissioner	WCFC-01/31-02/	TRAVEL ADAVANCE WCFC	1/9/18	DE556266	1,040.12	
<b>DANA SHEPPARD</b>						<b>1,040.12</b>	
FRANK RYAN	Insurance Oper Exam Audit	NAIC-12/11-14-	TRAVEL ADVANCE NAIC	10/31/17	DE551155	614.35	
<b>FRANK RYAN</b>						<b>614.35</b>	
GEORGE ADU	Financial Examiner (Reporting & Disclosure)	11/13-16/17-CO	TRAVEL RECON NA	1/5/18	DE555325	195.65	
		NASAA-11/13-16	TRAVEL ADVANCE NASAA	10/30/17	DE551103	893.69	
<b>GEORGE ADU</b>						<b>1,089.34</b>	
HOWARD LIEBERS	Health Care Policy Analyst	NAIC-12/01-05/	RECONCILIATION NAIC	1/19/18	DE557118	266.10	
		NAIC-12/01-05/	TRAVEL ADVANCE NAIC	11/8/17	DE551745	2,842.99	
<b>HOWARD LIEBERS</b>						<b>3,109.09</b>	
JAMES MCMANUS	Assistant Director- Securities	11/13-16/17-NA	TRAVEL RECON NASAA	12/21/17	DE555343	129.41	
		NASAA-11/13-16	TRAVEL ADVANCE NASAA	10/30/17	DE551112	893.69	
<b>JAMES MCMANUS</b>						<b>1,023.10</b>	
JOCELYN BRAMBLE	SUPERVISOR-TRIAL ATTORNEY	NAIC-08/05-09/	TRAVEL RECONCILIATION NAIC	11/14/17	DE552220	79.00	
<b>JOCELYN BRAMBLE</b>						<b>79.00</b>	
LILAH BLACKSTONE	Attorney Advsiior	SEC-10/19/17	TRAVEL ADVANCE SEC	10/6/17	DE548667	306.00	
		111017	SEC. TRAV. RECON-L.BLACKSTONE	11/10/17	DRJM3644	(1,108.99)	
		NASAA-01/22-26	TRAVEL ADVANCE NASAA	1/9/18	DE556305	1,301.66	
<b>LILAH BLACKSTONE</b>						<b>498.67</b>	
MARY GASKIN	Fraud Investigator	NASAA-01/22-26	TRAVEL ADVANCE NASAA	1/9/18	DE556303	1,194.70	
<b>MARY GASKIN</b>						<b>1,194.70</b>	
NATHANIEL BROWN	Supervisory Insurance Oper Examiner	NAIC-12/11-14/	TRAVEL RECONCILIATION NIAIC	1/5/18	DE556147	21.00	
		NAIC-12/11-14/	TRAVEL ADVANCE NAIC	10/31/17	DE551154	614.35	
<b>NATHANIEL BROWN</b>						<b>635.35</b>	

Employee/Vendor Name	Position/Title	Invoice No/Conference Attended	Invoice Description	Travel/Effective Date	Primary Doc	Trans Amt	Justification
NNEKA AZIKIWE	Program Support Assistant	12/11-12/17-BA	TRAVEL RECONCILIATION	1/5/18	DE556170	93.58	Required conference/training related to positions of the staff
<b>NNEKA AZIKIWE</b>						<b>93.58</b>	
SAMUEL MERLO	Financial Examiner Insurance	NAIC-12/11-14/ NAIC-12/11-14/	TRAVEL RECONCILIATION NAIC TRAVEL ADVANCE NAIC	1/5/18 10/31/17	DE556149 DE551161	2.25 614.35	
<b>SAMUEL MERLO</b>						<b>616.60</b>	
SEAN O'DONNELL	Supervisory Financial Examiner	WCFC-01/31-02/ NAIC-11/30/17-	TRAVEL ADVANCE WCFC TRAVEL ADVANCE NAIC	1/9/18 11/8/17	DE556268 DE551728	1,040.12 3,111.60	
<b>SEAN O'DONNELL</b>						<b>4,151.72</b>	
SENAVET MEAZA	Director of Market Examination	2017 MID ATL10/1 2017 MID ATL10/1 NASAA-12/13-15	TRAVEL RECONCILIATION MID ATL TRAVEL ADVANCE MID ATL TRAVEL ADVANCE NASAA	10/24/17 10/12/17 11/29/17	DE550740 DE549103 DE553269	114.12 422.72 845.58	
<b>SENAVET MEAZA</b>						<b>1,382.42</b>	
SHARON SHIPP	Manager, Market Research	11/29-30/17-FL 122917 NFIP-PHILADELP	TRAVEL RECON INS.TRAV.RECON.SHARON SHIPP TRAVEL ADVANCE NFIP PA	12/21/17 12/29/17 11/27/17	DE555335 DRJM3654 DE552957	48.56 (16.00) 382.89	
<b>SHARON SHIPP</b>						<b>431.45</b>	
STEPHEN TAYLOR	Commissioner	NAIC-01/11-13/ NAIC-11/29/17-	PER DIEM NAIC PER-DEIM NAIC	1/5/18 11/7/17	DE556131 DE551650	147.50 721.50	
<b>STEPHEN TAYLOR</b>						<b>1,134.50</b>	
THEODORE MILES	Director of Securities	IPT-10/18-22/1	TRAVEL RECONCILIATION IPT	11/21/17	DE552244	838.22	
<b>THEODORE MILES</b>						<b>838.22</b>	
TREY IRWIN	Supervisory Bank Examiner	MTRA-09/24-28/	TRAVEL RECONCILIATION MTRA	11/8/17	DE551861	84.15	
<b>TREY IRWIN</b>						<b>84.15</b>	
YOHANESS NEGASH	Financial Examiner Insurance	NAIC-12-11-14-	TRAVEL ADVANCE NAIC	10/31/17	DE551160	614.35	
<b>YOHANESS NEGASH</b>						<b>614.35</b>	
<b>Total</b>						<b>18,267.16</b>	

Appendix 5

**Department of Insurance, Securities and Banking (SR0)**  
**Fiscal Year 2017 Budget and Actual Expenditures**

Division Code	Division Title	Fund Type	Expenditure Category	Budget	Expenditures	Available Balance
1000	AGENCY MANAGEMENT	OPERATING INTRA-DISTRICT FUNDS	PERSONNEL SERVICES	19,034.11	19,034.11	0.00
			NON-PERSONNEL SERVICES	19,886.00	19,886.00	0.00
		SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	4,254,829.89	3,740,424.80	514,405.09
			NON-PERSONNEL SERVICES	3,798,694.00	3,165,052.43	633,641.57
<b>1000 Total</b>				<b>8,092,444.00</b>	<b>6,944,397.34</b>	<b>1,148,046.66</b>
100F	AGENCY FINANCIAL OPERATIONS	OPERATING INTRA-DISTRICT FUNDS	NON-PERSONNEL SERVICES	81,000.00	81,000.00	(0.00)
		SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	950,928.88	958,638.60	(7,709.72)
			NON-PERSONNEL SERVICES	22,800.00	885.00	21,915.00
<b>100F Total</b>				<b>1,054,728.88</b>	<b>1,040,523.60</b>	<b>14,205.28</b>
2000	INSURANCE	FEDERAL GRANT FUND	NON-PERSONNEL SERVICES	145,405.00	145,405.00	0.00
		SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	3,388,659.48	3,051,471.48	337,188.00
			NON-PERSONNEL SERVICES	350,400.00	70,424.23	279,975.77
<b>2000 Total</b>				<b>3,884,464.48</b>	<b>3,267,300.71</b>	<b>617,163.77</b>
3000	SECURITIES	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,492,384.49	1,294,575.69	197,808.80
			NON-PERSONNEL SERVICES	386,060.00	92,382.99	293,677.01
<b>3000 Total</b>				<b>1,878,444.49</b>	<b>1,386,958.68</b>	<b>491,485.81</b>
4000	ENFORCEMENT	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	970,741.89	791,195.68	179,546.21
			NON-PERSONNEL SERVICES	46,397.00	25,964.71	20,432.29
<b>4000 Total</b>				<b>1,017,138.89</b>	<b>817,160.39</b>	<b>199,978.50</b>
5000	BANKING	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,181,480.53	1,203,360.86	(21,880.33)
			NON-PERSONNEL SERVICES	3,872,150.94	1,117,771.48	2,754,379.46
<b>5000 Total</b>				<b>5,053,631.47</b>	<b>2,321,132.34</b>	<b>2,732,499.13</b>
6000	RISK FINANCE	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	455,001.69	428,193.44	26,808.25
			NON-PERSONNEL SERVICES	160,210.00	59,283.86	100,926.14
<b>6000 Total</b>				<b>615,211.69</b>	<b>487,477.30</b>	<b>127,734.39</b>
8000	MARKET EXAMINATIONS	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	2,935,229.22	2,556,976.08	378,253.14
<b>8000 Total</b>				<b>2,935,229.22</b>	<b>2,556,976.08</b>	<b>378,253.14</b>
9000	COMPLIANCE ANALYSIS	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,598,263.08	1,113,129.64	485,133.44
			NON-PERSONNEL SERVICES	28,041.00	4,859.13	23,181.87
<b>9000 Total</b>				<b>1,626,304.08</b>	<b>1,117,988.77</b>	<b>508,315.31</b>
<b>Grand Total</b>				<b>26,157,597.20</b>	<b>19,939,915.21</b>	<b>6,217,681.99</b>

**Department of Insurance, Securities and Banking (SR0)**  
**Fiscal Year 2018 Budget and Actual Expenditures (Year-to-Date)**

Division Code	Division Title	Fund Type	Expenditure Category	Budget	Expenditures	Available Balance
1000	AGENCY MANAGEMENT	OPERATING INTRA-DISTRICT FUNDS	NON-PERSONNEL SERVICES	44,000.00	0.00	44,000.00
		SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	4,502,944.43	1,012,586.67	3,490,357.76
			NON-PERSONNEL SERVICES	4,568,395.64	619,590.27	3,948,805.37
<b>1000 Total</b>				<b>9,115,340.07</b>	<b>1,632,176.94</b>	<b>7,483,163.13</b>
100F	AGENCY FINANCIAL OPERATIONS	OPERATING INTRA-DISTRICT FUNDS	NON-PERSONNEL SERVICES	81,000.00	1,469.00	79,531.00
		SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	948,730.24	260,700.78	688,029.46
			NON-PERSONNEL SERVICES	22,800.00	0.00	22,800.00
<b>100F Total</b>				<b>1,052,530.24</b>	<b>262,169.78</b>	<b>790,360.46</b>
2000	INSURANCE	FEDERAL GRANT FUND	NON-PERSONNEL SERVICES	1,632,758.76	0.00	1,632,758.76
		SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	3,338,969.49	823,304.08	2,515,665.41
			NON-PERSONNEL SERVICES	577,700.00	6,435.08	571,264.92
<b>2000 Total</b>				<b>5,549,428.25</b>	<b>829,739.16</b>	<b>4,719,689.09</b>
3000	SECURITIES	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,494,205.17	349,320.83	1,144,884.34
			NON-PERSONNEL SERVICES	547,572.00	6,461.45	541,110.55
<b>3000 Total</b>				<b>2,041,777.17</b>	<b>355,782.28</b>	<b>1,685,994.89</b>
4000	ENFORCEMENT	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,163,615.26	215,064.89	948,550.37
			NON-PERSONNEL SERVICES	60,565.00	1,248.79	59,316.21
<b>4000 Total</b>				<b>1,224,180.26</b>	<b>216,313.68</b>	<b>1,007,866.58</b>
5000	BANKING	LOCAL FUND	NON-PERSONNEL SERVICES	200,000.00	0.00	200,000.00
		PRIVATE DONATIONS	NON-PERSONNEL SERVICES	2,500.00	0.00	2,500.00
		SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,583,195.94	327,778.60	1,255,417.34
NON-PERSONNEL SERVICES	3,882,415.00		92,208.34	3,790,206.66		
<b>5000 Total</b>				<b>5,668,110.94</b>	<b>419,986.94</b>	<b>5,248,124.00</b>
6000	RISK FINANCE	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	446,903.32	115,493.17	331,410.15
			NON-PERSONNEL SERVICES	168,900.00	5,231.72	163,668.28
<b>6000 Total</b>				<b>615,803.32</b>	<b>120,724.89</b>	<b>495,078.43</b>
8000	MARKET EXAMINATIONS	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	2,951,512.44	622,994.96	2,328,517.48
<b>8000 Total</b>				<b>2,951,512.44</b>	<b>622,994.96</b>	<b>2,328,517.48</b>
9000	COMPLIANCE ANALYSIS	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,678,160.44	324,692.24	1,353,468.20
			NON-PERSONNEL SERVICES	29,041.00	109.00	28,932.00
<b>9000 Total</b>				<b>1,707,201.44</b>	<b>324,801.24</b>	<b>1,382,400.20</b>
<b>Grand Total</b>				<b>29,925,884.13</b>	<b>4,784,689.87</b>	<b>25,141,194.26</b>

FY 2018 variance (budget balance) is due to expenditures showing only year-to-date amounts.

# Appendix 6

## Department of Insurance, Securities and Banking (SR0)

### List of Intra-District Transfers

#### 1) FY 2017 Intra-District Transfers from Other Agencies

Project No.	Description	Seller Agency	Buyer Agency	Program Code	Program Code Title	Activity Code	Activity Code Title	Funding Source	MOU Signature Date	Transferred Date	Amount
IA517N	Insurers' Assessment Services	Department Of Insurance, Securities and Banking (DISB)	Department of Healthcare Finance (DHCF)	100F	AGENCY FINANCIAL OPERATIONS	110F	BUDGET OPERATION	SPECIAL PURPOSE REVENUE FUNDS	9/29/2016	10/5/2016	44,550.00
								FEDERAL MEDICAID PAYMENTS			36,450.00
SYE17N	Summer Youth Employment Program	Department Of Insurance, Securities and Banking (DISB)	Department of Employment Services (DOES)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	LOCAL FUND	3/9/2017	3/13/2017	38,920.11
<b>Total</b>											<b>119,920.11</b>

#### 2) FY 2017 Intra-District Transfers to Other Agencies

Project No.	Description	Buyer Agency	Seller Agency	Program Code	Program Code Title	Activity Code	Activity Code Title	Funding Source	MOU Signature Date	Transferred Date	Amount
7AIMSR	Application Services and OPS Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS		10/5/2016	9,998.30
7BIASR	Business Intelligence Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS		10/1/2016	4,512.14
7DCTSR	DC NET Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS		10/1/2016	49,221.84
7EMLSR	MICROSOFT OFFICE 365 E3 LIC-160	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS	7/27/2017	8/1/2017	9,360.00
7FMSR0	Fleet Services	Department Of Insurance, Securities and Banking (DISB)	Department of Public Works (DPW)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS		11/1/2016	1,779.00
7GCCSR	Government Cloud Services Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS		10/3/2016	54,752.32
7NOCSSR	NOC Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS		10/17/2016	8,480.68
7WMBSSR	Web Maintenance Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS		10/1/2016	21,658.41
DIS17N	Background Checks / Fingerprinting	Department Of Insurance, Securities and Banking (DISB)	Metropolitan Police Department (MPD)	2000	INSURANCE	2080	DC MARKET OPERATIONS INSURANCE	SPECIAL PURPOSE REVENUE FUNDS	12/7/2016	1/12/2017	9,628.00
H308SR	Telecommunications	Department Of Insurance, Securities and Banking (DISB)	Office of Finance and Resources Management (OFRM)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS		11/8/2016	32,267.63
H309SR	Rent	Department Of Insurance, Securities and Banking (DISB)	Department of General Services (DGS)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS		10/18/2016	2,145,967.00
H319SR	Occupancy Fixed Cost	Department Of Insurance, Securities and Banking (DISB)	Department of General Services (DGS)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS		10/1/2016	18.00
H440SR	Security Services	Department Of Insurance, Securities and Banking (DISB)	Department of General Services (DGS)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS		10/1/2016	7,440.48
IDCASL	Sign Language Interpretation Services	Department Of Insurance, Securities and Banking (DISB)	Office of Disability Rights	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS	1/6/2017	3/21/2017	2,374.00
PC75R0	Purchase/Travel Card	Department Of Insurance, Securities and Banking (DISB)	Office of Contracting and Procurement (OCP)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS		10/6/2016	102,727.97
				1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	OPERATING INTRA-DISTRICT FUNDS		10/6/2016	1,010.00
				1000	AGENCY MANAGEMENT	1060	OFFICE OF LEGAL SERVICES	SPECIAL PURPOSE REVENUE FUNDS		10/6/2016	6,668.01
				1000	AGENCY MANAGEMENT	1080	PUBLIC AFFAIRS	SPECIAL PURPOSE REVENUE FUNDS		10/6/2016	17,811.55
				1000	AGENCY MANAGEMENT	1090	PERFORMANCE MANAGEMENT	SPECIAL PURPOSE REVENUE FUNDS		10/6/2016	522.36
				2000	INSURANCE	2080	DC MARKET OPERATIONS INSURANCE	SPECIAL PURPOSE REVENUE FUNDS		10/6/2016	6,398.60
				3000	SECURITIES	3080	DC MARKET OPERATIONS SECURITIES	SPECIAL PURPOSE REVENUE FUNDS		10/6/2016	9,225.91
				4000	ENFORCEMENT	4080	DC MARKET COMPLIANCE ENFORCEMENT	SPECIAL PURPOSE REVENUE FUNDS		10/6/2016	6,667.00
				5000	BANKING	5080	DC MARKET OPERATIONS BANKING	SPECIAL PURPOSE REVENUE FUNDS		10/6/2016	17,007.12
				6000	RISK FINANCE	6080	DC MARKET OPERATIONS RISK FINANCE	SPECIAL PURPOSE REVENUE FUNDS		10/6/2016	11,279.75
9000	COMPLIANCE ANALYSIS	9080	DC MARKET COMPLIANCE ANALYSIS	SPECIAL PURPOSE REVENUE FUNDS		10/6/2016	2,788.05				
100F	AGENCY FINANCIAL OPERATIONS	110F	BUDGET OPERATION	OPERATING INTRA-DISTRICT FUNDS		10/6/2016	14,938.41				
<b>Total</b>											<b>2,554,502.53</b>

#### 3) FY 2018 Intra-District Transfers from Other Agencies

Project No.	Description	Seller Agency	Buyer Agency	Program Code	Program Code Title	Activity Code	Activity Code Title	Funding Source	MOU Signature Date	Transferred Date	Amount
IA518N	Insurers' Assessment Services	Department Of Insurance, Securities and Banking (DISB)	Department of Healthcare Finance (DHCF)	100F	AGENCY FINANCIAL OPERATIONS	110F	BUDGET OPERATION	SPECIAL PURPOSE REVENUE FUNDS	10/19/2017	12/11/2017	44,550.00
								FEDERAL MEDICAID PAYMENTS			36,450.00
<b>Total</b>											<b>81,000.00</b>

#### 4) FY 2018 Intra-District Transfers to Other Agencies

Project No.	Description	Buyer Agency	Seller Agency	Program Code	Program Code Title	Activity Code	Activity Code Title	Funding Source	MOU Signature Date	Transferred Date	Amount
8BIASR	Business Intelligence Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS	Citywide MOU	10/5/2017	4,032.13
8DCTSR	DC NET Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS	Citywide MOU	11/30/2017	2,847.46
8DCTSR	DC NET Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS	Citywide MOU	10/30/2017	162,220.02
8EM365	MICROSOFT OFFICE 365 E3 LIC-160	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS	11/16/2017	11/29/2017	44,275.20
8FMSR0	Fleet Services	Department Of Insurance, Securities and Banking (DISB)	Department of Public Works (DPW)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS	Citywide MOU	12/1/2017	1,779.00
8GCCSR	Government Cloud Services Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS	Citywide MOU	10/4/2017	41,293.40
8NOCSSR	NOC Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS	Citywide MOU	10/4/2017	7,202.97
8PASSR	PASS Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS	Citywide MOU	10/5/2017	1,043.70
8WMBSSR	Web Maintenance Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS	Citywide MOU	10/5/2017	24,683.44
BASR01	Public Records Management	Department Of Insurance, Securities and Banking (DISB)	Office Of The Secretary	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS	10/17/2017	11/20/2017	22,743.20
I308SR	Telecommunications	Department Of Insurance, Securities and Banking (DISB)	Office of Finance and Resources Management (OFRM)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS	Citywide MOU	10/12/2017	39,049.57
I309SR	Rent	Department Of Insurance, Securities and Banking (DISB)	Department of General Services (DGS)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS	Citywide MOU	12/1/2017	2,187,660.00
I319SR	Occupancy Fixed Cost	Department Of Insurance, Securities and Banking (DISB)	Department of General Services (DGS)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS	Citywide MOU	10/1/2017	24,924.42
I440SR	Security Services	Department Of Insurance, Securities and Banking (DISB)	Department of General Services (DGS)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS	Citywide MOU	10/1/2017	7,045.80
PX0SRO	Purchase/Travel Card	Department Of Insurance, Securities and Banking (DISB)	Purchase Card Transactions (PX0)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS	Citywide MOU	10/2/2017	200,000.00
SRBE18	Suitability & Compliance Services	Department Of Insurance, Securities and Banking (DISB)	DC Human Resources (DCHR)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	SPECIAL PURPOSE REVENUE FUNDS	9/28/2017	10/12/2017	3,279.00
<b>Total</b>											<b>2,774,079.31</b>

## Appendix 7

### **Department of Insurance, Securities and Banking (SR0)** **Special Purpose Revenue Funds** **FY2017 and FY2018 Revenue and Expenditures**

<b>Fund Code</b>	<b>Fund Title</b>	<b>Source of Funding</b>	<b>Description</b>	<b>Purpose of Expenditures</b>	<b>FY2017 Revenue</b>	<b>FY2017 Actual Expenditure</b>	<b>FY2018 Revenue 01/24/2018</b>	<b>FY2018 Actual Expenditure 01/24/2018</b>
2100	HMO Assessment	Health Insurance Companies	An assessment on health care organizations	Expenditures are for the Agency's day-to-day operations	1,057,015	998,181	0	258,413
2200	Insurance Assessment	Insurance Companies	An assessment on Insurance Companies	Expenditures are for the Agency's day-to-day operations	6,009,331	6,470,059	0	1,461,257
2300	Securities Broker/Dealer Licenses	Securities Brokers and Dealers	A license to operate as Broker/Dealer in the District (reverts to local fund at year end)	N/A	3,693,562	0	6,341,700	0
2350	Securities and Banking Fund	Banking Institutions , Mortgage Companies and Securities Firms and Companies	Funds collected are used for the agency operating Budget	Expenditures are for the Agency's day-to-day operations	9,144,375	9,144,375	0	2,527,503
2500	Securities Investment Advisors Fees	Securities Brokers and Dealers	A license to operate as Securities investment advisers (reverts to local fund at year end)	N/A	558,390	0	514,290	0
2600	Securities Registration Fees	Investment Companies	Fees that are required by DC code associated with the registration and notice filling sale of securities in the district (revert to local fund at the year end)	N/A	13,523,064	0	5,714,967	0
2800	Captive Fees, Licenses and Taxes	Licensed captive insurance companies	Premium Taxes, A license to engage in business offers	Expenditures are for the Agency's day-to-day operations	2,241,946	2,100,464	16,660	483,698
2900	Banking Trust Fund	Banking Institutions , Mortgage Companies	These are fees collected from banks for applications, licensing, titles and penalties	N/A	0	0	4,648,841	0
2910	Foreclosure Mediation Fund	Banks, Mortgage Companies and Individual Borrowers	Mediation fees collected from banks, mortgage companies and individuals being foreclosed on	N/A	11,750	0	1,200	0
2911	Foreclosure Mediation Fund (Temporary)	US Department of Justice	Settlement funds distributed by the US Department of Justice to jurisdictions.	Expenditures are for the Agency's foreclosure mediation program	0	954,721	0	52,995
2950	Capital Access Fund (Cash Collateral)	US Department of Treasury	Funds received from the US Department of Treasury pursuant to the Small Business Jobs Act that created the State Small Business Credit Initiative (SSBCI). The money is deposited in participating banks and generates interest.	N/A	14,999	0	950	0
2951	Loan Participation Fund	US Department of Treasury	Funds received from the US Department of Treasury pursuant to the Small Business Jobs Act that created the State Small Business Credit Initiative (SSBCI). The money is deposited in participating banks and generates interest.	Expenditures are for the Agency's DCBizCAP program	4,542,402	0	502,337	0
					<b>40,796,834</b>	<b>19,667,800</b>	<b>17,740,945</b>	<b>4,783,866</b>



**Appendix 8**

**DEPARTMENT OF INSURANCE, SECURITIES AND BANKING**

**Contracting and Procurement**

**FY17 and FY18**

<b>Contracting Party</b>	<b>Product/Service</b>	<b>Budgeted Amount FY17</b>	<b>Actual Spending FY17</b>	<b>Budgeted Amount FY18</b>	<b>Actual Spending FY18*</b>	<b>Status of Deliverables</b>	<b>Term</b>	<b>Negotiated/Competitive Bid</b>	<b>Contract Monitor</b>	<b>Monitoring Activity</b>	<b>Funding Source</b>	<b>CBE</b>
ABC Technical Solutions	Purchase of laptops and accessories/ADOBE Acrobat Pro License for Agency's staff	\$135,093.60	\$135,093.60	-	-	Product(s) Provided and Paid	FY17	Competitive	Shankar Vaidyanathan	Monitored/Product Satisfactorily Received	O-Type	Yes
ABC Technical Solutions	IT Server Relocation	-	-	\$3,986.00	\$3,986.00	Product(s) Provided and Paid	FY18	Competitive	Shankar Vaidyanathan	Monitored/Product Satisfactorily Received	O-Type	Yes
AD Box Promo Agency (3)	Promotional Items	\$103,501.40	\$103,501.40	-	-	Product(s) Provided and Paid	FY17	Competitive	Tanya Bryant	Services Monitored & Satisfactorily Received	O-Type	Yes
The Aquiline Group	Outreach Marketing and Public Information Services	\$14,522.00	\$14,522.00	-	-	Services Rendered and Paid	FY17	Competitive	Tanya Bryant	Services Monitored & Satisfactorily Received	O-Type	Yes
B Brilliant	Website Enhancements for the Health Ins. Consumer Library of Resources	\$21,227.40	\$0.00	-	-	Services to begin in FY18	FY17	Competitive	Phil Barlow/Tanya Bryant	N/A	Grant Funds	Yes
BizTech Fusion	Dell Kace K1000 and K 2000 Enterprise Software Support and Maintenance	\$7,835.00	\$7,835.00	-	-	Services Rendered and Paid	FY17	Competitive	Shankar Vaidyanathan	Services Monitored & Satisfactorily Received	O-Type	Yes
BizTech Fusion	Backup Exec Maintenance Support Contract	\$2,889.86	\$2,889.86	-	-	Services Rendered and Paid	FY17	Competitive	Shankar Vaidyanathan	Services Monitored & Satisfactorily Received	O-Type	Yes
BizTech Fusion	Network Firewall Configuration - New Location	-	-	\$5,000.00	\$5,000.00	Services Rendered and Paid	FY18	Competitive	Shankar Vaidyanathan	Services Monitored & Satisfactorily Received	O-Type	Yes
BizTech Fusion	Microsoft Windows Domain controller and VMware reconfiguration - New Location	-	-	\$11,250.00	\$11,250.00	Services Rendered and Paid	FY18	Competitive	Shankar Vaidyanathan	Services Monitored & Satisfactorily Received	O-Type	Yes
Bocra Holdings, LLC	Expert Witness Request	\$14,720.00	\$14,720.00	-	-	Services Received and Paid	FY17	Negotiated	Brian Bressman	Services Monitored & Satisfactorily Received	O-Type	No
Briar Patch Shredding and Recycling	Shredding Services	-	-	\$5,000.00	\$1,739.75	Services Currently Being Rendered	FY18	Competitive	Edwin Woodley	Ongoing Service Monitored Regularly	O-Type	Yes
CCH/Wolters Kluwer Financial Services	Website Subscription Package	\$15,000.00	\$14,394.00	-	-	Services Received and Paid	FY17	Negotiated	Theodore Miles	Services Monitored & Satisfactorily Received	O-Type	No
Capital Services and Supplies Incorporated	Post office move services	-	-	\$9,995.00	\$2,378.00	Services Currently Being Rendered	FY18	Competitive	Edwin Woodley	Ongoing Service Monitored Regularly	O-Type	Yes
Center for Dispute Settlement	Mediation Services	\$9,000.00	\$6,750.00	-	-	Services Rendered and Paid	FY18	Negotiated	Brian Williams	Ongoing Service Monitored Regularly	Private Grant Funds	No
Central Parking	Subsidy Parking	\$15,000.00	\$7,980.00	-	-	Services Rendered and Paid	FY18	Negotiated	Edwin Woodley	Ongoing Service Monitored Regularly	O-Type	No
CX International	SYEP Training Site	\$16,000.00	\$18,876.00	-	-	Services Rendered and Paid	FY17	Negotiated	Brian Williams	Services Monitored & Satisfactorily Received	O-Type	No
CSBS	Membership Dues - Banking	\$18,507.00	\$18,507.00	-	-	Received and Paid	FY17	Negotiated	Brian Williams	Received and Paid	O-Type	No
Datawatch Systems	Security	\$12,000.00	\$9,154.03	-	-	Services Rendered and Paid	FY17	Negotiated	Edwin Woodley	Services Monitored & Satisfactorily Received	O-Type	No

## Appendix 8

## DEPARTMENT OF INSURANCE, SECURITIES AND BANKING

Contracting and Procurement  
FY17 and FY18

Contracting Party	Product/Service	Budgeted Amount FY17	Actual Spending FY17	Budgeted Amount FY18	Actual Spending FY18*	Status of Deliverables	Term	Negotiated/Competitive Bid	Contract Monitor	Monitoring Activity	Funding Source	CBE
Dell Computer Corp.	Server equipment for new location	\$22,770.16	\$22,770.16	-	-	Product(s) Provided and Paid	FY17	Competitive	Shankar Vaidyanathan	Product Satisfactorily Received	O-Type	Yes
Document Systems	Support Maintenance - FileNet	\$7,618.00	\$7,618.00	-	-	Services Rendered and Paid	FY17	Competitive	Shankar Vaidyanathan	Maintenance Paid in Full	O-Type	Yes
Document Systems	IBM FileNet Software	\$24,000.00	\$27,061.00	-	-	Product Received and Paid	FY17	Competitive	Shankar Vaidyanathan	Monitored/Product Satisfactorily Received	O-Type	Yes
Document Systems	IBM FileNet Maint. Agreement Renewal for FY 2018	-	-	\$29,766.84	\$29,766.84	Services Rendered and Paid	FY18	Competitive	Shankar Vaidyanathan	Services Monitored & Satisfactorily Received	O-Type	Yes
FELA, Inc.	LifeCents Software for DC Financial Fitness Initiative	\$100,000.00	\$91,925.00	\$0.00	\$0.00	Services Rendered and Paid	FY17	Negotiated	Stephen Taylor/ Dana Sheppard	Services Monitored & Satisfactorily Received	O-Type	Yes
Hales Creative Solutions	Composition/Creation - DISB Annual Report	\$10,000.00	\$0.00	-	-	Services to begin in FY18	FY17	Competitive	Tanya Bryant	N/A	O-Type	Yes
Housing Counseling Services	Mortgage Servicer Settlement Agreement	\$975,000.00	\$954,720.95	\$983,500.00	\$217,942.99	Services Ongoing	Y17 & FY1	Negotiated	Brian Williams	Ongoing Service Monitored Regularly	Federal Grant Fund	No
IronData Solutions	Software Maintenance Support Star ACO STAR System and IFS Enhancements - Banking	\$46,000.00	\$0.00	\$66,000.00	\$51,400.00	Services Ongoing	Y17 & FY1	Negotiated	Theodore Miles	Ongoing Service Monitored Regularly	O-Type	No
IronData Solutions	Annual Software Maintenance Support Star System-Securities	\$66,200.00	\$51,738.00	-	-	Services Rendered and Paid	FY17	Negotiated	Theodore Miles	Ongoing Service Monitored Regularly	O-Type	No
Iron Mountain	Off-Site Data Protection	\$4,400.00	\$4,067.89	\$4,400.00	\$307.66	Services Ongoing	Y17 & FY1	Negotiated	Shankar Vaidyanathan	Services Monitored Regularly	O-Type	No
Lewis & Ellis, Inc.	Rate Review Enhancement	\$200,000.00	\$145,405.00	-	-	Services Rendered and Paid	Y17 & FY1	Competitive	Phil Barlow	Services Monitored & Satisfactorily Received	Grant Funds	No
LexisNexis	LexisNexis Website	\$31,968.00	\$29,824.05	\$36,288.00	\$5,331.75	Services Ongoing	Y17 & FY1	Negotiated	Edwin Woodley	Ongoing Service Monitored Regularly	O-Type	No
Lexis Nexis	Purchase of Official Code Books	\$6,280.00	\$4,782.08	-	-	Product Received and Paid	FY17	Negotiated	Edwin Woodley	Monitored/Product Satisfactorily Received	O-Type	No
MDM Office Systems	Purchase of Computer Equipment - OCFO	\$9,996.57	\$9,657.57	-	-	Product Received and Paid	FY17	Competitive	Edwin Woodley	Monitored/Product Satisfactorily Received	O-Type	Yes
MTB Enterprises	Marketing and Graphic Design Services for the DC Captive Domicile	\$20,000.00	\$19,960.00	-	-	Services Rendered and Paid	FY17	Competitive	Dana Sheppard	Services Monitored & Satisfactorily Received	O-Type	Yes
MVS, Inc.	PowerEdge Server Maint. and Network Support Contract Agreement	\$4,340.00	\$4,340.00	\$4,741.00	\$4,741.00	Services Ongoing	Y17 & FY1	Competitive	Shankar Vaidyanathan	Ongoing Service Monitored Regularly	O-Type	Yes
MW Consulting, LLC	Strategic Media Training for Leadership	\$10,000.00	\$9,323.34	-	-	Services Rendered and Paid	FY17	Competitive	Dana Sheppard/Tanya Bryant	Services Monitored & Satisfactorily Received	O-Type	Yes

**Appendix 8**

**DEPARTMENT OF INSURANCE, SECURITIES AND BANKING**

**Contracting and Procurement**

**FY17 and FY18**

<b>Contracting Party</b>	<b>Product/Service</b>	<b>Budgeted Amount FY17</b>	<b>Actual Spending FY17</b>	<b>Budgeted Amount FY18</b>	<b>Actual Spending FY18*</b>	<b>Status of Deliverables</b>	<b>Term</b>	<b>Negotiated/Competitive Bid</b>	<b>Contract Monitor</b>	<b>Monitoring Activity</b>	<b>Funding Source</b>	<b>CBE</b>
New Beginnings	Temporary Staffing	-	-	\$15,009.68	\$0.00	Service to be Rendered	FY18	Competitive	Katrice Purdie	Monitoring to be performed	O-Type	Yes
Networking for the Future	LED/Video Conferencing Interactive Projection Display	\$38,247.86	\$38,247.86	-	-	Product(s) Provided and Paid	FY17	Competitive	Shankar Vaidyanathan	Satisfactorily Received	O-Type	Yes
Networking for the Future	SharePoint Training for DISB IT Staff	\$7,984.00	\$7,984.00	-	-	Services Rendered and Paid	FY17	Competitive	Shankar Vaidyanathan	Satisfactorily Received	O-Type	Yes
National Association of Insurance	NIAC Membership Assessment	\$15,000.00	\$10,946.00	-	-	Received and Paid	FY17	Competitive	Phillip Barlow	Satisfactorily Received	O-Type	No
North American Securities Administration	Membership Dues	\$1,800.00	\$1,800.00	-	-	Received and Paid	FY17	Non-Negotiated	Theodore Miles	Assessment Fees Paid in Full	O-Type	No
Pitney Bowes	Mailing System	\$40,000.00	\$15,279.89	\$30,000.00	\$415.96	Services Rendered and Paid	Y17 & FY1	Negotiated	Edwin Woodley	Ongoing Service Monitored Regularly	O-Type	No
Public Consulting Group	Market Reform Appeals and Preventative Services	\$227,800.00	\$0.00	-	-	Services to begin in FY18	FY17	Competitive	Phil Barlow	N/A	Grant Funds	No
Public Performance Management	Renewal of Maint. Support Contract for IBM Lotus and WebSphere	\$3,610.00	\$3,610.10	-	-	Services Rendered and Paid	FY17	Competitive	Shankar Vaidyanathan	Product Satisfactorily Received	O-Type	Yes
Public Performance Management	Purchase of Dell Computers and Equipment for OCFO Staff	\$17,157.01	\$17,157.01	-	-	Product(s) Provided and Paid	FY17	Competitive	Edwin Woodley	Satisfactorily Received	O-Type	Yes
Shred-It USA	Recycling/Shredding	\$5,000.00	\$2,738.29	-	-	Services Rendered and Paid	FY17	Competitive	Edwin Woodley	Satisfactorily Rendered	O-Type	No
Toucan Printing and Promotions	Promotional Items	\$16,425.00	\$16,425.00	-	-	Product(s) Provided and Paid	FY17	Negotiated	Brian Williams	Satisfactorily Rendered	O-Type	No
Wakely Consulting Group	Actuarial Policy and Logistical Analysis	\$239,636.00	\$0.00	-	-	Services to begin in FY18	FY17	Competitive	Phil Barlow	N/A	Grant Funds	No
Washington DC Economic Partner	Sponsorship of the Washington, DC Economic Partnership's Small Business Programs	\$10,000.00	\$10,000.00	\$10,000.00	\$0.00	Services Rendered and Paid	Y17 & FY1	Negotiated	Tanya Bryant	Ongoing Service Monitored Regularly	O-Type	No
The Washington Informer	Advertising (Communications)	\$15,500.00	\$15,500.00	-	-	Services Rendered and Paid	FY17	Negotiated	Tanya Bryant	Ongoing Service Monitored Regularly	O-Type	Yes
Wayne State University	Expert Witness Request	\$15,600.00	\$15,600.00	\$15,600.00	\$0.00	Services Rendered and Paid	Y17 & FY1	Negotiated	Jocelyn Bramble	Ongoing Service Monitored Regularly	O-Type	No
Westlaw/Thomson Reuters	Legal Research Database	\$6,300.00	\$7,047.00	\$15,187.00	\$15,187.00	Services Rendered and Paid	Y17 & FY1	Negotiated	Edwin Woodley	Ongoing Service Monitored Regularly	O-Type	No
WingSwept, LLC	Case Management System	\$60,709.93	\$60,709.93	-	-	Product(s) Provided and Paid	FY17	Negotiated	Brian Bressman	Satisfactorily Received	O-Type	No
Xerox	Relocation of Copier to New Location	-	-	\$4,224.00	\$0.00	Rendered/Awaiting Invoice	FY18	Negotiated	Shankar Vaidyanathan	Satisfactorily Rendered	O-Type	No
Xerox	Copier Lease Agreement and Maintenance	\$165,000.00	\$118,098.51	\$165,000.00	\$0.00	Services Currently Being Rendered	FY18	Negotiated	Shankar Vaidyanathan	Ongoing Service Monitored Regularly	O-Type	No
<b>TOTAL</b>		<b>\$2,674,545.19</b>	<b>\$1,943,465.92</b>	<b>\$1,414,947.52</b>	<b>\$349,446.95</b>							

\* To Date

**Department of Insurance, Securities and Banking**  
**FY 2017 Purchase Card Expenditure**

<b>Tran Date</b>	<b>Employee</b>	<b>Purpose</b>	<b>Amount</b>
10/13/2016	SHAWNICE PALMER	Registration fees for various staff members of the Captives division to attend the CIC-DC Annual Conference	2,065.00
10/21/2016	ALICIA WADE	Spirit Airlines flight purchase for Alton Turner to attend the SSBCI Conference 10/31/16 - 11/3/16 New Orleans, LA	486.96
10/24/2016	ALICIA WADE	Southwest airlines payment for Roydell Stephens travel to SSBCI Conference 10/31/16 - 11/3/16 New Orleans, LA	318.68
10/26/2016	SHAWNICE PALMER	Refill of Smart Trip Card Funds.	70.00
10/28/2016	SHAWNICE PALMER	Overnight Express Courier Service	151.97
10/31/2016	ALICIA WADE	Request to rent 2 Mobile HVAC Units for IT Department.	1,759.50
11/02/2016	SHAWNICE PALMER	Renewal of Diskeeper Service Contract	2,499.48
11/08/2016	ALICIA WADE	Cybersecurity Best Practices and Guidance handbook for Senayet Meaza	199.00
11/08/2016	ALICIA WADE	CICA International Conference Exhibit booth	2,500.00
11/08/2016	ALICIA WADE	DISB Printer purchase	1,599.00
11/07/2016	SHAWNICE PALMER	Various Office Supplies	1,194.61
11/09/2016	ALICIA WADE	Southwest Airlines ticket purchase for Sam Fuller to attend the Regulator Roundtable in Boston, MA on Nov. 17, 2016	97.96
11/15/2016	ALICIA WADE	Charged in error. Charge back has been made	250.00
11/15/2016	SHAWNICE PALMER	Various Office Supplies for OCFO Division	2,331.70
11/15/2016	SHAWNICE PALMER	Refill of Smart Trip card funds	57.00
11/18/2016	SHAWNICE PALMER	Courier service	150.00
11/21/2016	ALICIA WADE	Cases of DISB copier paper	1,350.00
11/21/2016	ALICIA WADE	DISB lobby door repairs	1,908.00
11/23/2016	SHAWNICE PALMER	Overnight Express Courier Service	216.54
11/28/2016	ALICIA WADE	Charged in error and refund	(250.00)
11/29/2016	SHAWNICE PALMER	Moving Services for Agency Property Disposal	375.00
12/01/2016	ALICIA WADE	Temporary HVAC cooling device for rental (IT)	891.50
12/02/2016	SHAWNICE PALMER	Smart Trip Card Funds Refill.	20.00
12/02/2016	SHAWNICE PALMER	Smart Trip Card Funds Refill.	20.00
12/03/2016	SHAWNICE PALMER	Overnight Express Courier Service	151.44
12/02/2016	SHAWNICE PALMER	courier service	500.00
12/08/2016	ALICIA WADE	30-day DISB job posting for General Counsel position.	499.00
12/08/2016	ALICIA WADE	30-day DISB job posting for the Deputy Commissioner for Market Operations position.	399.00
12/11/2016	SHAWNICE PALMER	Charge in error awaiting a credit (QuickBooks subscription SB)	2,400.00
12/13/2016	SHAWNICE PALMER	Printer for the OCFO Division	1,738.14
12/14/2016	SHAWNICE PALMER	Refund for unauthorized charge to credit card for QuickBooks subscription for the Securities Examination Division	(2,386.85)
12/14/2016	SHAWNICE PALMER	Refill of Smart Trip Card funds	71.00
12/14/2016	SHAWNICE PALMER	Courier Service	975.00
12/20/2016	SHAWNICE PALMER	Credit for unauthorized charge for QuickBooks renewal.	(13.15)
12/20/2016	SHAWNICE PALMER	Various Office Supplies	854.35
12/20/2016	SHAWNICE PALMER	Rugged Surface Pro 4 Case for IT Equip	687.08
12/20/2016	SHAWNICE PALMER	CSBS Examiner Certification Program Reg. Payment for various Bank Examiners	620.00
12/21/2016	SHAWNICE PALMER	2017 World Captive Forum-Domicile Exhibit Booth	495.00
01/04/2017	SHAWNICE PALMER	Courier Service	72.00
01/04/2017	SHAWNICE PALMER	Moving Services	450.00
01/05/2017	SHAWNICE PALMER	Express Overnight Courier Service	108.57
01/05/2017	SHAWNICE PALMER	QuickBooks Enterprise Subscriptions for Securities Examination Division	1,776.60
01/05/2017	SHAWNICE PALMER	Office Supplies	1,232.88
01/05/2017	SHAWNICE PALMER	Backup Exe. Agent for VMW and Hyper-V Win. Ess MNT INIT C-UPG.	753.69
01/06/2017	SHAWNICE PALMER	30-Day Job Posting for a new Attorney Advisor position	399.00
01/06/2017	SHAWNICE PALMER	30 Day Job posting for a new Student Loan & Foreclosure Ombudsman position	399.00
01/06/2017	SHAWNICE PALMER	30 Day Job posting for a new Supervisory Bank Examiner (Depository) position.	399.00
01/09/2017	SHAWNICE PALMER	Office Equipment	2,078.00
01/09/2017	SHAWNICE PALMER	Registration Fee for 2017 World Captive Forum Conference for Acting Deputy Commissioner Dana Sheppard	395.00
01/10/2017	SHAWNICE PALMER	Refund for taxes charged for QuickBooks website services.	(96.60)
01/11/2017	SHAWNICE PALMER	Registration fee for 2017 World Captive Forum Conference for Director of Financial Examination Sean O'Donnell	395.00
01/13/2017	ALICIA WADE	DC 2017 Blockchain Summit attendance purchase for Commissioner Taylor	27.35
01/12/2017	SHAWNICE PALMER	Refill of Smart Trip Card Funds	70.00
01/19/2017	SHAWNICE PALMER	Maint. & Support Contract agreement for CPTRAX and DSRAZOR Servers for Windows	1,258.58
01/23/2017	SHAWNICE PALMER	Various Toner Cartridges	1,943.27
01/24/2017	ALICIA WADE	DISB Office supplies	752.21
01/25/2017	ALICIA WADE	DISB Office Supplies	2,403.20
01/30/2017	ALICIA WADE	Copier paper purchase	1,290.00
02/07/2017	ALICIA WADE	IT CaseAware Management Annual Maintenance and support contract renewal.	997.50
02/09/2017	ALICIA WADE	Southwest Airline flight purchase for Eva Bright to attend NMLS conference Feb. 2017	993.88
02/10/2017	ALICIA WADE	Captive Insurance Conference fee attendance for Sean O'Donnell	325.00
02/22/2017	ALICIA WADE	Wall Street Journal subscription - Michael Ross, Compliance Manager	293.05

Tran Date	Employee	Purpose	Amount
02/21/2017	ALICIA WADE	Office Supplies Custom Stamps for Securities	452.50
02/22/2017	ALICIA WADE	LinkedIn Job posting - Securities Financial Examiner	399.00
02/24/2017	ALICIA WADE	Fedex Courier Service Renewal	483.27
02/24/2017	ALICIA WADE	LinkedIn job posting - SSBCI Program Manager	399.00
02/24/2017	ALICIA WADE	Metro Fare Card Auto load	23.00
02/28/2017	ALICIA WADE	Metro Fare Card Auto Load	62.00
03/03/2017	ALICIA WADE	Greater Washington Hispanic Chamber of Commerce Expo exhibit booth rental	500.00
03/06/2017	ALICIA WADE	DISB Communications Advertising service	400.00
03/06/2017	ALICIA WADE	Renewal of IT Ironkey Cloud with Anti Malware	782.46
03/07/2017	ALICIA WADE	Regulations of Investment Advisers - Securities Law Handbooks Series	1,233.60
03/06/2017	ALICIA WADE	OCFO office supplies	1,152.76
03/07/2017	ALICIA WADE	DISB office supplies	1,333.39
03/08/2017	ALICIA WADE	Agency graphic and Event planning services for upcoming projects (Communications)	2,500.00
03/08/2017	ALICIA WADE	America's Health Insurance Plan online training courses for RaShaunda Benson Health Insurance Analyst.	1,065.00
03/08/2017	ALICIA WADE	Insurance Bureau Cape School training fee John Rielley	23.40
03/08/2017	ALICIA WADE	Insurance Bureau Cape School training fee Colin Johnson	23.40
03/08/2017	ALICIA WADE	Insurance Bureau Cape School training fee Andre Beard	46.80
03/08/2017	ALICIA WADE	6th floor break room clogged sink service repair	400.00
03/08/2017	ALICIA WADE	Agency Property Disposal	375.00
03/09/2017	ALICIA WADE	Metrofare autoloading	70.00
03/09/2017	ALICIA WADE	Renewal of Investment Advisers Watch Subscription - Securities Bureau.	2,495.00
03/13/2017	ALICIA WADE	Communications Membership dues NCRC National Community Reinvestment Coalition.	900.00
03/13/2017	ALICIA WADE	Wall Street Journal renewal for Commissioner Taylor	95.00
03/23/2017	ALICIA WADE	Fedex Charges	21.65
03/23/2017	ALICIA WADE	Fedex Charges	75.49
03/23/2017	ALICIA WADE	Fedex Charges	106.26
03/23/2017	ALICIA WADE	Fedex Charges	101.74
03/24/2017	ALICIA WADE	Agency business cards	670.95
03/24/2017	ALICIA WADE	LinkedIn Job posting Supervisory Bank Examiner Non Depository	399.00
03/24/2017	ALICIA WADE	Wall Street Journal subscription renewal. Bright Ahaiwe.	420.00
03/24/2017	ALICIA WADE	LinkedIn Job posting Supervisory Bank Examiner Depository	399.00
03/24/2017	ALICIA WADE	Office Supplies	1,666.40
03/24/2017	ALICIA WADE	Office Supplies	1,106.27
03/28/2017	ALICIA WADE	Agency complaint form translation services.	495.00
03/28/2017	ALICIA WADE	Office Supplies	2,344.64
04/03/2017	ALICIA WADE	Renewal of Portfol Support Maintenance for SSBCI software.	1,133.00
04/04/2017	ALICIA WADE	DISB exhibit fees to participate in the 2017 Annual Pride Celebration Festival on Sunday, June 11th.	715.00
04/05/2017	EDWIN WOODLEY	Copier Paper	1,069.50
04/06/2017	ALICIA WADE	Portable external hard drives for IT dept.	198.00
04/06/2017	EDWIN WOODLEY	Insurance Licensing Paper	2,981.75
04/12/2017	EDWIN WOODLEY	Courier Service To 1323 Rhode Island Ave, NW (Transcription services)	27.00
04/13/2017	ALICIA WADE	Metro Fare autoloading	13.00
04/13/2017	ALICIA WADE	Metro Fare autoloading	14.00
04/18/2017	ALICIA WADE	Amtrak Train fare from Philadelphia to BWI after meeting with potential captive for Dana Sheppard, Acting Deputy Commissioner.	43.00
04/18/2017	ALICIA WADE	Amtrak train fare from BWI for Dana Sheppard to meet with potential Captive	43.00
04/20/2017	ALICIA WADE	Metro Fare autoloading.	68.00
04/20/2017	ALICIA WADE	FINRA Registration fee S. Meaza	995.00
04/20/2017	ALICIA WADE	FINRA Registration fee B. Kunzweiler	995.00
04/20/2017	ALICIA WADE	FINRA Registration fee M. Doster	995.00
04/20/2017	ALICIA WADE	FINRA Registration fee L. Cooper	995.00
04/21/2017	ALICIA WADE	Agency Fedex services.	358.70
04/22/2017	ALICIA WADE	Student Loan & Foreclosure Ombudsman job posting.	209.23
04/20/2017	EDWIN WOODLEY	various toner cartridges for inventory	3,385.76
04/21/2017	EDWIN WOODLEY	Purchase of Agency Brochures	2,354.00
04/24/2017	ALICIA WADE	Insurance Regulatory Examiner Program attendance S. Shipp.	595.00
04/25/2017	ALICIA WADE	Commissioner Taylor office supplies	113.02
04/26/2017	ALICIA WADE	Course registration fee for Mary Gaskin, Financial Fraud Investigator.	695.00
04/26/2017	EDWIN WOODLEY	Rental of 8 Comcast Digital Cable Boxes	312.11
04/25/2017	EDWIN WOODLEY	OptiPlex 7040 Mini Towers for OCFO	1,095.08
04/26/2017	ALICIA WADE	Risk Finance Bureau full page Ad in the RRG Directory & Guide.	700.00
04/27/2017	ALICIA WADE	Cape School Course enrollment Receipt C. Belen, Insurance Examiner	53.00
04/27/2017	ALICIA WADE	Printer scanner order (2)	758.00
05/02/2017	EDWIN WOODLEY	Purchase of Time Clocks	1,987.64
05/01/2017	ALICIA WADE	IT office supplies.	523.28
05/02/2017	ALICIA WADE	Printer for Senayet Meaza, Director of Market Exams.	1,695.00
05/05/2017	EDWIN WOODLEY	Transcription Services for OGC	2,500.00
05/05/2017	EDWIN WOODLEY	Mediator services	1,125.00
05/05/2017	EDWIN WOODLEY	Center for Dispute Settlement Mediation Service.	1,500.00
05/10/2017	ALICIA WADE	CSBS 3/30/17 Conference registration fee for Commissioner Taylor	450.00
05/09/2017	EDWIN WOODLEY	Ergonomic Executive Chair for Zadie Bowels Insurance Licensing Supervisor	901.53
05/11/2017	ALICIA WADE	DISB Fedex services.	116.77
05/11/2017	EDWIN WOODLEY	Various Office Supplies for the Bank on DC Program	1,197.00

Tran Date	Employee	Purpose	Amount
05/12/2017	ALICIA WADE	Metro Fare Autoload.	19.00
05/12/2017	ALICIA WADE	Metro Fare Autoload	19.00
05/12/2017	EDWIN WOODLEY	Refill of Smart Trip Card Funds.	15.00
05/12/2017	EDWIN WOODLEY	Refill of Smart Trip Card Funds.	23.00
05/12/2017	EDWIN WOODLEY	SolarWinds DameWare Remote Support Contract Renewal.	191.76
05/15/2017	ALICIA WADE	Transcribing and Word Processing Services.	2,496.10
05/17/2017	ALICIA WADE	Wall Street Journal subscription renewal for Commissioner Stephen Taylor	525.00
05/17/2017	EDWIN WOODLEY	Various Office Supplies for OCFO Team	441.00
05/21/2017	ALICIA WADE	Linkedin Job announcement for the Deputy General Counsel position.	438.17
05/23/2017	EDWIN WOODLEY	Custom Time Stamp Plates for various Date Stamp Machines.	439.91
05/23/2017	EDWIN WOODLEY	Moving Services	355.00
05/24/2017	EDWIN WOODLEY	Renewal of Smartsheet Subscription for the Bank on DC Program.	1,653.83
05/24/2017	EDWIN WOODLEY	Transcription Services	1,155.40
05/25/2017	EDWIN WOODLEY	Refill of Smart Trip Card funds.	47.00
05/27/2017	ALICIA WADE	Linkedin job posting Deputy General Counsel.	78.34
06/01/2017	ALICIA WADE	Promotional items purchase for DISB's Young Money Manager's Program .	1,610.00
06/01/2017	EDWIN WOODLEY	Renewal of the National Underwriter Property & Casualty Magazine for Acting Deputy Commissioner Dana Sheppard.	249.00
06/02/2017	ALICIA WADE	Exhibit Space Rental for DISB's participation in the 3rd Women's Expo 2017	350.00
06/02/2017	EDWIN WOODLEY	Rental space for Office of Communications for a outreach event.	336.55
06/03/2017	EDWIN WOODLEY	Overnight Express Courier Service	320.69
06/07/2017	EDWIN WOODLEY	Registration Fee for Efren Tanhehco to attend the Society of Actuaries 2017 Health Section Meeting.	600.00
06/08/2017	EDWIN WOODLEY	Business cards for Jocelyn C. Bramble, LaTasha Davis and Brian Williams	487.50
06/08/2017	EDWIN WOODLEY	Refill of Smart Trip Card Funds.	60.00
06/12/2017	EDWIN WOODLEY	Purchase of Smart Trip Card for the Bank on DC SYEP	800.00
06/14/2017	ALICIA WADE	Graphic and Event Planning Services for DISB (Communications).	2,500.00
06/14/2017	ALICIA WADE	NACCA Annual Membership Dues (Banking).	695.00
06/14/2017	ALICIA WADE	Money Transmitter Regulators Association Annual Membership Dues-Banking	750.00
06/14/2017	EDWIN WOODLEY	Promotional Items for Young Managers Program	1,010.00
06/14/2017	EDWIN WOODLEY	Advertising space for the Financial Service Clinic	1,593.00
06/15/2017	ALICIA WADE	Smartrip card reload.	61.00
06/15/2017	EDWIN WOODLEY	Copier Paper	1,109.70
06/19/2017	EDWIN WOODLEY	Courier Service	24.00
06/20/2017	ALICIA WADE	Advertising for DISB Coffee and Capital Event(Communications).	1,250.00
06/20/2017	ALICIA WADE	Smartrip Card Reload	70.00
06/20/2017	ALICIA WADE	Smartrip Card Reload	70.00
06/21/2017	EDWIN WOODLEY	Cable Bill	91.91
06/20/2017	EDWIN WOODLEY	Refill of Smart Trip Cards for the Bank on DC SYEP Program.	70.00
06/20/2017	EDWIN WOODLEY	Refill of Smart Trip Cards for the Bank on DC SYEP Program.	70.00
06/20/2017	EDWIN WOODLEY	Registration Fee for Actuary David Christhill to attend the 2017 Annual American Academy for Actuaries Meeting.	400.00
06/20/2017	EDWIN WOODLEY	Registration Fee for Manager Health Actuary Efren Tanhehco to attend the 2017 Annual American Academy for Actuaries Meeting	400.00
06/20/2017	EDWIN WOODLEY	Registration Fee for Associate Commissioner of Insurance Philip Barlow to attend the 2017 Annual American Academy for Actuaries Meeting	400.00
06/21/2017	ALICIA WADE	Printing and promotional materials. Communications.	590.00
06/21/2017	ALICIA WADE	Cape School Training course fee (Insurance). Colin Johnson	34.15
06/21/2017	ALICIA WADE	Cape School Training Fee (Insurance). John Rielley	28.15
06/21/2017	ALICIA WADE	Smartrip Card Reload.	70.00
06/21/2017	ALICIA WADE	Smartrip Card Reload.	70.00
06/21/2017	EDWIN WOODLEY	Wireless Headset for General Counsel Jocelyn Bramble	268.79
06/21/2017	EDWIN WOODLEY	Refill of Smart Trip Cards for the Bank on DC SYEP Program.	70.00
06/21/2017	EDWIN WOODLEY	Refill of Smart Trip Cards for the Bank on DC SYEP Program.	70.00
06/21/2017	EDWIN WOODLEY	Office Supplies	1,191.09
06/21/2017	ALICIA WADE	DISB office supplies.	2,331.85
06/21/2017	EDWIN WOODLEY	Various Office Supplies for the Human Resource Division.	1,338.40
06/22/2017	EDWIN WOODLEY	Registration Fee for Acting Deputy Commissioner Dana Sheppard to attend The Vermont Captive Insurance Association Conference.	1,265.00
06/22/2017	EDWIN WOODLEY	Two Hand Trucks for the Communication Division	494.00
06/25/2017	ALICIA WADE	Office Supplies - Magnetic Boards	3,050.70
06/23/2017	ALICIA WADE	Smartrip Card Reload.	70.00
06/23/2017	ALICIA WADE	Smartrip Card Reload.	70.00
06/24/2017	ALICIA WADE	The Wall Street Journal Subscription1 year renewal. Securities bureau.	525.00
06/26/2017	ALICIA WADE	Annual Subscription Renewal (Securities).	2,061.84
06/26/2017	ALICIA WADE	Smartrip Card Reload.	70.00
06/26/2017	ALICIA WADE	Smartrip Card Reload.	70.00
06/27/2017	ALICIA WADE	Smartrip Card Reload.	70.00
06/27/2017	ALICIA WADE	Smartrip Card Reload.	70.00
06/29/2017	ALICIA WADE	Smartrip Card reload.	70.00
06/29/2017	ALICIA WADE	Smartrip Card reload.	70.00
06/29/2017	EDWIN WOODLEY	Registration Fee for Acting Deputy Commissioner Dana Sheppard to attend The Vermont Captive Insurance Association Conference.	1,265.00
07/01/2017	ALICIA WADE	Linkedin position posting - Securities Financial Examiner	101.20
07/01/2017	ALICIA WADE	Linkedin position posting - SSBCI Program Manager	315.00
07/03/2017	ALICIA WADE	Smartrip Card Reload.	70.00

Tran Date	Employee	Purpose	Amount
07/07/2017	ALICIA WADE	Registration fees for Michelle Hammonds and Carla Benitez to attend Training from the Back of the Room event scheduled for July 27, 2017	1,998.00
07/07/2017	EDWIN WOODLEY	Courier Service, 45 Boxes to the DCHD Hosing Fair, Washington Convention Center.	96.00
07/07/2017	EDWIN WOODLEY	Back Up Exec - Support	270.43
07/07/2017	EDWIN WOODLEY	Backup Exec Software.	2,157.05
07/10/2017	ALICIA WADE	Riverside Healthy Living Center reservation for DISB's Coffee and Capital event 8/17/17.	570.00
07/10/2017	EDWIN WOODLEY	Office Supplies	1,186.14
07/11/2017	EDWIN WOODLEY	Purchase - Office Supplies - General	4,107.95
07/12/2017	EDWIN WOODLEY	FEDEX	504.22
07/11/2017	EDWIN WOODLEY	Subscription -Enforcement	400.00
07/13/2017	ALICIA WADE	Smartrip Card Reload.	70.00
07/13/2017	ALICIA WADE	Smartrip Card Reload.	70.00
07/13/2017	ALICIA WADE	Smartrip Card Reload.	70.00
07/13/2017	ALICIA WADE	Smartrip Card Reload	70.00
07/13/2017	EDWIN WOODLEY	Reloading of MetroFare Card by Agency Staff	51.00
07/13/2017	EDWIN WOODLEY	Reloading of MetroFare Card by Agency Staff.	70.00
07/13/2017	EDWIN WOODLEY	Reloading of MetroFare Card for use by Agency Staff.	70.00
07/13/2017	EDWIN WOODLEY	Reloading of MetroCard for use by Agency Staff.	70.00
07/13/2017	EDWIN WOODLEY	Reloading Of MetroFare Card	70.00
07/14/2017	ALICIA WADE	DISB's Securities Financial Examiner job posting.	45.40
07/14/2017	ALICIA WADE	H Street Festival 2017 participation.	1,100.00
07/14/2017	EDWIN WOODLEY	Metrofare autoloan	30.00
07/17/2017	ALICIA WADE	OCFO office supplies.	2,442.40
07/18/2017	ALICIA WADE	Microsoft Professional support maintenance.	1,999.00
07/18/2017	ALICIA WADE	DISB office supplies.	242.31
07/18/2017	EDWIN WOODLEY	Camera - Communications	974.00
07/21/2017	ALICIA WADE	CICDC Registration fee Sean ODonnell	295.00
07/21/2017	ALICIA WADE	CICDC registration fee Rebecca Davis	295.00
07/21/2017	ALICIA WADE	CICDC Registration fee Christine Afolabi	295.00
07/21/2017	ALICIA WADE	CICDC Registration fee David Schleit	295.00
07/21/2017	ALICIA WADE	CICDC Registration fee Latasha Davis	295.00
07/21/2017	ALICIA WADE	CICDC REGistration fee. Anu Andrew	295.00
07/21/2017	EDWIN WOODLEY	SOFE Career Development Seminar-Registration Fees. (Merlo, Negash)	1,150.00
07/25/2017	ALICIA WADE	NAIC Professional Designation fee LaTasha Davis	250.00
07/25/2017	EDWIN WOODLEY	Cisco device Smartnet Renewal	1,653.70
07/27/2017	ALICIA WADE	Securities Law books for Securities bureau	888.87
07/25/2017	ALICIA WADE	AFO office supplies	1,203.32
07/25/2017	EDWIN WOODLEY	Purchase of Office Supplies - Securities	432.18
07/28/2017	ALICIA WADE	Banking membership dues payment for AARMR (American Association of Residential Mortgage Regulators)	750.00
07/28/2017	ALICIA WADE	DISB Office supply order	3,294.88
08/01/2017	ALICIA WADE	linkedin advertisement for DISB Deputy Commissioner for Market Operations	290.85
07/31/2017	EDWIN WOODLEY	Office Supplies	94.50
08/01/2017	EDWIN WOODLEY	Purchase, Awards SYEP	1,820.11
08/09/2017	ALICIA WADE	LinkedIn advertisement for DISB Deputy Commissioner for Market Operations	110.35
08/11/2017	EDWIN WOODLEY	SYEP Program-end Networking Event. BankonDC	604.60
08/14/2017	EDWIN WOODLEY	Year End Event - SYEP (Photographer)	1,760.00
08/15/2017	EDWIN WOODLEY	Purchase, Screen Projector to be used at the 2018 Insurance Rates Hearing	304.35
08/17/2017	EDWIN WOODLEY	NAIC - APIR Conference Fees, Anu Andrew	250.00
08/22/2017	EDWIN WOODLEY	Town Hall Meeting - Audio Costs - (Insurance Rates Hearing)	1,079.17
08/23/2017	EDWIN WOODLEY	Purchase of Office Paper	1,080.00
08/25/2017	EDWIN WOODLEY	Purchase, Business Cards	643.50
08/29/2017	EDWIN WOODLEY	Laptop Purchase - OCFO	2,785.09
08/29/2017	EDWIN WOODLEY	Metro Card Reload	60.00
09/02/2017	EDWIN WOODLEY	Cable Bill	97.22
09/01/2017	EDWIN WOODLEY	Barracks Row Festival - Event Fee (Communications)	340.00
09/01/2017	EDWIN WOODLEY	SYEP Year Event - Bank on DC	752.60
09/05/2017	EDWIN WOODLEY	CICDC Conference - D. Christhilf	295.00
09/05/2017	EDWIN WOODLEY	CICDC Conference - J. Bunyarsie	295.00
09/06/2017	EDWIN WOODLEY	Team Mate forum	795.00
09/06/2017	EDWIN WOODLEY	Payment of FedEx	494.87
09/06/2017	EDWIN WOODLEY	Shredding Services	609.00
08/24/2017	EDWIN WOODLEY	Otter Box Cell Phone Case purchase - Agency Staff	1,813.00
09/11/2017	EDWIN WOODLEY	FIESTA DC- Booth Fee - Communications	1,100.00
09/14/2017	EDWIN WOODLEY	Galaxy S7 defender series case	585.00
09/16/2017	EDWIN WOODLEY	Captives Marketing Meeting	318.75
09/15/2017	EDWIN WOODLEY	Metro Card Reload	27.85
09/15/2017	EDWIN WOODLEY	Refill of Agency's Metro Card for Staff use	75.30
09/15/2017	EDWIN WOODLEY	Refill Metro Card	23.25
09/19/2017	EDWIN WOODLEY	Great Basin (B. Bressman)	2,388.00
09/19/2017	EDWIN WOODLEY	Marketing Promotional Tool - Communications	2,497.00
09/20/2017	EDWIN WOODLEY	Equipment PA system for meeting	265.00
09/20/2017	EDWIN WOODLEY	Courier Services	342.00
09/20/2017	EDWIN WOODLEY	Communication Event #1	2,294.80
09/28/2017	EDWIN WOODLEY	Refund	(318.75)

Tran Date	Employee	Purpose	Amount
<b>Total</b>			<b>\$ 197,044.73</b>



## Appendix 9

**Department of Insurance, Securities and Banking**  
**FY 2018 Purchase Card Expenditure**

<b>Tran Date</b>	<b>Employee</b>	<b>Purpose</b>	<b>Amount</b>
10/04/2017	EDWIN WOODLEY	FINRA - Adu, George	700.00
10/04/2017	EDWIN WOODLEY	FINRA - McManus, James	700.00
10/04/2017	EDWIN WOODLEY	Event Set up - Communications. Total charge 2463.81. First transaction was charged for 2461.85, erroneously.	2.00
10/04/2017	EDWIN WOODLEY	Event Set-Up - Communications	2,461.85
10/06/2017	ALICIA WADE	Risk Finance Captive Reports Leaders Report article.	2,450.00
10/12/2017	EDWIN WOODLEY	Reloading of MetroCard for use by Agency Staff	70.00
10/17/2017	EDWIN WOODLEY	Toner Purchase	79.50
10/18/2017	EDWIN WOODLEY	Reloading of the MetroCard for use by Agency Staff	50.00
10/18/2017	EDWIN WOODLEY	Reloading of Metro Fare Card for use by Agency Staff.	45.00
10/19/2017	EDWIN WOODLEY	Purchase of copier paper.	1,560.00
10/24/2017	EDWIN WOODLEY	2018 World Captive Forum	1,892.65
10/25/2017	EDWIN WOODLEY	2018 World Captive Forum - Risk Finance	995.00
10/27/2017	EDWIN WOODLEY	Comcast - October	98.39
10/31/2017	ALICIA WADE	Medicare online training. RaShaunda Benson, Health Insurance Analyst	144.00
10/30/2017	ALICIA WADE	Conference fees. Risk Finance for exhibit space fee 2018	2,500.00
10/31/2017	EDWIN WOODLEY	Renewal of Diskeeper Service Contract	2,498.80
10/31/2017	EDWIN WOODLEY	ABC Techinical Solutions - Maintnenace Agreement Diskeeper (IT)	2,499.48
11/01/2017	EDWIN WOODLEY	Purchase - Amazon Books - Structuring Venture Capital, Private Equity and Entrepreneurial Transactions, 2017 Edition (Banking/SSBCI)	485.00
11/03/2017	ALICIA WADE	Training from the Back of the Room for Nneka Azikiwe, Bank on DC	1,095.00
11/03/2017	EDWIN WOODLEY	The Aquiline Group - Business Cards	411.25
11/08/2017	EDWIN WOODLEY	Conference Dues - Consumer Federation of America (BankonDC)	110.00
11/09/2017	EDWIN WOODLEY	Promotional Items - Capitive Insurance	2,500.00
11/13/2017	EDWIN WOODLEY	Courier Services - Administrative Services	81.00
11/16/2017	EDWIN WOODLEY	Center For Dispute Settlement - Foreclosure Mediation Services	750.00
11/17/2017	EDWIN WOODLEY	Federal Express	690.60
11/16/2017	EDWIN WOODLEY	Purchase - Move Boxes (OGC/ECPB)	279.48
11/16/2017	EDWIN WOODLEY	Purchase - File Folders (Banking Bureau)	51.50
11/16/2017	EDWIN WOODLEY	Purchase - Move Boxes (Administrative Services)	221.72
11/30/2017	EDWIN WOODLEY	Actex Mad River Books - Office Support	48.30
12/01/2017	EDWIN WOODLEY	SP+ Parking - Staff Subsidized Parking	1,729.00
12/01/2017	EDWIN WOODLEY	Purchase - Office Supplies (OCFO)	2,420.34
12/01/2017	EDWIN WOODLEY	Reloading of the MetroCard for use by Agency Staff	60.00
12/07/2017	EDWIN WOODLEY	PO Box Rental - Yearly (Enforcement and Consumer Protection Bureau)	200.00
12/11/2017	EDWIN WOODLEY	Courier Services - Administrative Services	231.00
12/14/2017	EDWIN WOODLEY	Purchase - Office Supplies (Administrative Services)	824.00
12/21/2017	EDWIN WOODLEY	Translation Services (Communications)	450.00
12/28/2017	EDWIN WOODLEY	Purchase - Office Supplies (Administrative Services)	813.50
01/03/2018	EDWIN WOODLEY	GSA Secure-Combination Lock - Enforcement and Consumer Protection Bureau	2,990.00
01/04/2018	EDWIN WOODLEY	Conference fees. Risk Finance for exhibit space fee 2018	395.00
01/10/2018	EDWIN WOODLEY	Courier Services - Administrative Services	91.00
01/16/2018	EDWIN WOODLEY	Purchase - Agency Consumer Resources Guides	2,500.00
01/18/2018	EDWIN WOODLEY	Reloading of the MetroCard for use by Agency Staff	30.00
01/18/2018	EDWIN WOODLEY	Reloading of the MetroCard for use by Agency Staff	30.00
01/18/2018	EDWIN WOODLEY	Reloading of the MetroCard for use by Agency Staff	30.00
01/19/2018	EDWIN WOODLEY	Purchase - Office Supplies (Administrative Services)	722.55
<b>Total</b>			<b>\$ 38,986.91</b>

## Appendix 10

### DISB'S CURRENT Memoranda of Understanding (MOU) Memoranda of Agreement (MOA)

PARTIES	PURPOSE	EXECUTION DATE	EXPIRATION DATE	DISB BUREAU/OFFICE	COMMENTS
<b>1. DISB and North American Securities Administrators Association, Inc. (NASAA)</b>	MOU between DISB and NASAA for maximum uniformity.	March 24, 2014	None (see comments)	Commissioner	There is no expiration date and MOU will remain in effect until further negotiations of the parties, whenever it may occur.  CURRENT
<b>2. DISB and Department of Consumer and Regulatory Affairs (DCRA)</b>	MOU between DISB and DCRA for delegation authority to DISB	December 1, 2016	Sep. 30, 2017	Banking	The new Agreement for renewal covering Fiscal Year 2018, effective from October 1, 2017 until September 30, 2018 was signed by DISB and sent to DCRA for execution on August 16, 2017.
<b>3. DISB and Consumer Financial Protection Bureau (CFPB)</b>	MOU between DISB and CFPB for the Sharing of Information for Consumer Protection Purposes for FY 2012	March 15, 2012	None (see comments)	Securities & Insurance	There is no expiration date and MOU remains in full effect until superseded by the signed, agreement of the parties.
<b>4. DISB and the Department of Treasury Financial Crimes Enforcement Network (FinCEN)</b>	MOU between DISB and FinCEN to establish procedures for the Sharing and Exchanging of confidential	Aug.30, 2012	None (see comments)	Securities	Remains in full effect until superseded by the signed, mutual agreement of the parties.

	Information in FY 2013 and up.				
<b>5. DISB and the National Association of Insurance Commissioners (NAIC)</b>	MOU between DISB and NAIC for uninterrupted access to the Data System of confidential Information (Application)	Nov.29, 2010	None (see comments)	Commissioner	There is no expiration date and MOU remains in full effect until superseded by the signed, agreement of the parties.
<b>6. DISB and the Consumer Financial Protection Bureau (CFPB), the Conference of State Bank Supervisors (CSBS), and the Other Signatories (The PARTIES)</b>	DISB and the Consumer Financial Protection Bureau (CFPB), the Conference of State Bank Supervisors (CSBS), and the Other Signatories (The PARTIES).	by CFPB on Jan.4, 2011; by CSBS on Jan.14, 2011; by DISB March 15, 2012	None (see comments)	Commissioner	There is no expiration date and MOU remains in full effect until superseded by the signed, agreement of the parties.
<b>7. DISB Contract Agreement w. Fieldprint, Inc.</b>	DISB's MOU with Fieldprint, Inc. to perform "Channeler" functions on behalf of DISB.	Dec. 19, 2013;	None (see comments)	Securities	Agreement will remain in effect for an <b>INITIAL</b> period of two (2) years from the effective date (December 19, 2013). However, beginning <b>December 19, 2015</b> , the term of the Agreement shall <b>AUTOMATICALLY</b> renew <b>THEREAFTER</b> for additional one (1) year periods. Provider may cancel, renew or terminate the Agreement with sixty (60) days' notice to End-User.
<b>8. DISB and the FINANCIAL Stability</b>	MOU Between Council FSOC and DISB	May 19, 2015	None (see comments)	Insurance	There is no expiration date and MOU remains in full effect until superseded by the signed, agreement of the parties.

<b>Oversight Council (FSOC)</b>	concerning the provision of information. Dodd-Frank Act				
<b>9. Common Interest Agreement between US DEPARTMENT of LABOR and DISB</b>	MEWA question - DC DOI/NAIC. Common Interest Agreement between US Department of Labor and DISB to share certain information without waiving any legal privileges or protections.	June 12, 2015	None (see comments)	Commissioner	There is no expiration date and MOU remains in full effect until superseded by the signed, agreement of the parties.
<b>10. DISB and D.C. Health Care Benefit Exchange Authority (HBX)</b>	MOA between DISB and HBX to secure services for assessment collection.	Executed by DISB on 09/21/16  Executed by HBX on 10/06/16	Sept. 30, 2018	OCFO	Amendment for Fiscal 2018 Year was executed by Executive Director of DC <b>HBX on August 1, 2017 and DISB Commissioner on August 3, 2017.</b>
<b>11. DISB and Metropolitan Police Department (MPD)</b>	Letter of agreement extending a one-year option for the MOU between DISB and MPD to conduct fingerprinting services as authorized by FBI for FY 2016	Executed by MPD on Dec. 12, 2016 by DISB on Nov. 2016	Sept. 30, 2018	Insurance	An Agreement to Renew for one option period Fiscal Year 2018 was executed by <b>DISB Commissioner on August 9, 2017 and By MPD Chief Police on January 12, 2018.</b>
<b>12. DISB and the Department of Employment Services (DOES)</b>	MOU between DISB and DOES to develop Summer Youth Employment Program (SYEP) to train and employ District youth	Signed by DISB on March 6, 2017	Sept. 30, 2017	Banking	Expired.  Note: LSR for FY 2018 completed Legal and forwarded to Michelle Hammonds for full execution.

	enrolled in the SYEP within DISB				Last Update: 1/23/18
<b>13. DISB and the Department of Small and Local Business Development (DSLBD)</b>	MOU between DISB and DOES to increase access to capital for small businesses by providing financial support for small business located in overlooked and underserved communities.	Signed by DISB and DSLBD on Sept. 23, 2016.	Sept. 30, 2016	Commissioner	Parties may extend the period of this MOU by exercising a maximum of 5 option periods. Option periods may consist of a fiscal year, a fraction, or multiple successive fractions of a year.
<b>14. DISB and Department of Energy and Environment (DOEE)</b>	MOA Between DOEE and DISB to memorialize the ongoing partnership between DOEE and DISB and to coordinate the Parties' responsibilities with respect to flood insurance outreach and education.	Signed by DOEE and DISB on March 11, 2016.	Dec. 31, 2019.		No extension. No funds applied.
<b>15. DISB and The Centers for Medicare &amp; Medicaid Services (CMS)</b>	DISB and CMS Services For information sharing as it relates to the Agencies regulatory responsibilities.	June 8, 2007	NONE	Insurance	There is no expiration date and MOU will remain in effect until further negotiations of the parties, whenever it may occur.  30 days' notice of cancellation.

# Appendix 11

## **Department of Insurance, Securities and Banking (SR0)** **Fiscal Year 2017 and 2018 Federal Grants**

The Department of Insurance, Securities and Banking received a Grant Award from the US Department of Health and Human Services in FY 2012. The grant was for an amount of \$3,803,324. The award has been extended to September 30, 2018. The FY 2017 and FY 2018 Budget and Expenditure amounts are shown in the table below.

In addition, the Department received another grant in FY 2017. The grant is for planning and implementing the Insurance Market Reforms and Part A of Title XXVII. The grant award amount is \$1,138,052.09 and the grant period ends on October 30, 2018.

<b>Fiscal Year</b>	<b>Grant No.</b>	<b>Grant Title</b>		<b>Comp Source Group</b>	<b>Comp Source Group Title</b>	<b>Budget</b>	<b>Expenditures</b>
<b>2017</b>	<b>IBPRII</b>	<b>HEALTH INSURANCE RATE REVIEW PHASE II</b>	<b>NON-PERSONNEL SERVICES</b>	<b>0041</b>	CONTRACTUAL SERVICES - OTHER	145,405.00	145,405.00
	<b>IMR17F</b>	<b>INSURANCE MARKET REFORMS GRANT</b>	<b>NON-PERSONNEL SERVICES</b>	<b>0041</b>	CONTRACTUAL SERVICES - OTHER	0.00	0.00
<b>2017 Total</b>						<b>145,405.00</b>	<b>145,405.00</b>
<b>2018</b>	<b>IBPRII</b>	<b>HEALTH INSURANCE RATE REVIEW PHASE II</b>	<b>NON-PERSONNEL SERVICES</b>	<b>0041</b>	CONTRACTUAL SERVICES - OTHER	494,706.67	0.00
	<b>IMR17F</b>	<b>INSURANCE MARKET REFORMS GRANT</b>	<b>NON-PERSONNEL SERVICES</b>	<b>0041</b>	CONTRACTUAL SERVICES - OTHER	1,138,052.09	0.00
<b>2018 Total</b>						<b>1,632,758.76</b>	<b>0.00</b>
<b>Summary</b>						<b>1,778,163.76</b>	<b>145,405.00</b>

For FY 2017 and FY 2018, the Federal Grants pay for Contractual Services and all FTEs are funded by Special Purposed Revenue funds.

## Department of Insurance, Securities and Banking FY2017

Agency Department of Insurance, Securities and Banking

Agency Code SR0

Fiscal Year 2017

**Mission** The mission of the Department of Insurance, Securities and Banking is twofold: 1) protect consumers by providing equitable, thorough, efficient, and prompt regulatory supervision of the financial services companies, firms, and individuals operating in the District of Columbia, and 2) develop and improve market conditions to attract and retain financial services firms to the District of Columbia.

## 2017 Strategic Objectives

Objective Number	Strategic Objective
1	Provide high quality and efficient consumer protection services to District residents and businesses.
2	Provide high quality and cost effective regulation of financial services providers to ensure compliance with District laws.
3	Establish the District as a premier destination for financial services firms by coordinating with other agencies to increase the number of financial services industry jobs available for District residents, and to generate additional revenue for the District.
4	Provide high quality services to financially empower residents and create pathways to the middle class.
5	Provide valuable assistance and support to District based small businesses and entrepreneurs that will create or retain jobs.
6	Create and maintain a highly efficient, transparent and responsive District government.**

## 2017 Key Performance Indicators

Measure	New Measure/ Benchmark Year	Frequency of Reporting	Add Data Fields (if applicable)	FY 2014 Actual	FY 2015 Target	FY 2015 Actual	FY 2016 Target	FY 2016 Actual	FY 2017 Target
<b>1 - Provide high quality and efficient consumer protection services to District residents and businesses. (4 Measures)</b>									
Percentage of Insurance, Securities and Banking consumer complaints resolved within 45 days of receipt.	<input type="checkbox"/>	Quarterly		98.1%	98%	97.6%	95%	99.04%	95%
Number of residents who receive in-person fraud abuse prevention, financial literacy training and/or consumer protection information.	<input type="checkbox"/>	Quarterly		Not available	2000	7925	3000	6990	7000
Percentage increase in the number of fraud alerts from the previous fiscal year developed and available on the Department's website and other media.	<input type="checkbox"/>	Quarterly		Not available	Not available	Not available	10%	266.67%	10%
Percentage of scheduled risk retention groups examined during the fiscal year.	<input type="checkbox"/>	Quarterly		Not available	100%	100%	100%	100%	100%
<b>2 - Provide high quality and cost effective regulation of financial services providers to ensure compliance with District laws. (4 Measures)</b>									
Percentage of scheduled non-depository financial institutions examined during the fiscal year.	<input type="checkbox"/>	Quarterly		Not available	100%	57%	100%	117.14%	100%
Percentage of scheduled domestic insurance companies examined during the fiscal year.	<input type="checkbox"/>	Quarterly		Not available	85%	100%	100%	100%	100%
Percentage of scheduled District-based investment firms examined during the fiscal year.	<input type="checkbox"/>	Quarterly		Not available	85%	100%	100%	100%	100%





Performance Management- Employee Performance Plan Completion	✓			Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017	Forthcoming October 2017

## 2017 Operations

Operations Header	Operations Title	Operations Description	Type of Operations
<b>1 - Provide high quality and efficient consumer protection services to District residents and businesses. (5 Activities)</b>			
PUBLIC AFFAIRS	Outreach campaigns	Conduct outreach campaigns to provide residents with information that will help them make informed choices about financial services offerings (e.g., DC Saves Week, Financial Literacy Month, DASH for the STASH and the Financial Fitness Challenge).	Key Project
PUBLIC AFFAIRS	Financial education events	Hold at least two in-person financial education events in every Ward by the end of the fiscal year.	Key Project
PUBLIC AFFAIRS	Consumer alerts	Publish and distribute consumer alerts, guides and articles to inform consumers about financial services issues and to help prevent them from becoming victims of scams and abuses.	Key Project
CONSUMER SERVICES	Complaint activity	Review complaint activity to identify trends that are adverse to the interests of consumers.	Key Project
CONSUMER SERVICES	Trend analysis	Utilize trend analysis from complaint activity to develop education and enforcement initiatives to address the trends and improve outcomes for consumers.	Key Project
<b>2 - Provide high quality and cost effective regulation of financial services providers to ensure compliance with District laws. (3 Activities)</b>			
BANKING EXAMS	Non-depository exams	Conduct examinations of non-depository financial institutions scheduled during the fiscal year.	Daily Service
INSURANCE EXAMS	Domestic insurance company exams	Conduct examinations of domestic insurance companies scheduled during the fiscal year.	Daily Service
SECURITIES EXAMS	Investment adviser firm exams	Conduct examinations of investment adviser firms scheduled during the fiscal year.	Daily Service
<b>3 - Establish the District as a premier destination for financial services firms by coordinating with other agencies to increase the number of financial services industry jobs available for District residents, and to generate additional revenue for the District. (2 Activities)</b>			
REGULATORY REVIEW AND LICENSING	Review laws	Review the District's financial services laws and regulations to identify the areas where legislation and regulations should be revised or repealed.	Key Project
AGENCY MANAGEMENT	Financial Services Academy	Develop a public private partnership where DISB and the financial services industry work with District universities and schools to train students to fill jobs in the financial services industry.	Key Project
<b>4 - Provide high quality services to financially empower residents and create pathways to the middle class. (4 Activities)</b>			
BANKING	Bank on DC program	Promote the Bank on DC program to reduce the number of unbanked and underbanked residents in the District.	Key Project
PUBLIC AFFAIRS	Financial services curriculum	Deliver financial services curriculum that contains topics of interest and importance to all population segments in the District.	Key Project
PUBLIC AFFAIRS	Seminars and educational events	Conduct seminars and educational events to provide residents with information on financial services.	Daily Service
CONSUMER SERVICES	Consumer guides and alerts	Prepare consumer guides and alerts to provide District residents with information about financial products and services.	Key Project
<b>5 - Provide valuable assistance and support to District based small businesses and entrepreneurs that will create or retain jobs. (3 Activities)</b>			
DC MARKET OPERATIONS BANKING	SSBCI program promotion	Promote the SSBCI program to local banks and financial institutions, the business community, and District agencies such as DSLBD, DGS and DMPED.	Daily Service
DC MARKET OPERATIONS BANKING	SSBCI program partnerships	Work with District agencies, incubators, chambers of commerce, universities and other organizations to provide technical assistance to small businesses to enable them to qualify for loans.	Daily Service
DC MARKET OPERATIONS BANKING	SSBCI program	Administer the Department's State Small Business Credit Initiative (SSBCI) program to provide financial support to District-based small businesses and entrepreneurs.	Daily Service

2017 Workload Measures

Measure	New Measure/ Benchmark Year	Add Historical and Target Data (FY17)	Numerator Title	Units	Frequency of Reporting	FY 2014	FY 2015	FY 2016 Actual
<b>1 - Consumer alerts (1 Measure)</b>								
Number of consumer guides and alerts issued to consumers.	<input type="checkbox"/>		Number of consumer guides and alerts issued to consumers	Number of consumer guides and alerts	Quarterly	Not available	Not available	5
<b>1 - Outreach campaigns (1 Measure)</b>								
Number of District residents receiving financial literacy training and consumer protection information.	<input type="checkbox"/>		Number of District residents receiving financial literacy training and consumer protection information.	Number of District residents	Quarterly	Not available	Not available	6990
<b>2 - Domestic insurance company exams (1 Measure)</b>								
Number of domestic insurance company examinations completed during the fiscal year.	<input type="checkbox"/>		Number of domestic insurance companies examined	Number of domestic insurance companies	Quarterly	Not available	Not available	0
<b>2 - Investment adviser firm exams (1 Measure)</b>								
Number of District-based investment advisers examinations completed during the fiscal year.	<input type="checkbox"/>		Number of District-based investment adviser companies examined	Number of District-based investment adviser companies	Quarterly	Not available	Not available	16
<b>2 - Non-depository exams (1 Measure)</b>								
Number of non-depository financial institutions examinations completed during the fiscal year.	<input type="checkbox"/>		Number of non-depository financial institutions examined	Number of non-depository financial institutions	Quarterly	Not available	Not available	317
<b>3 - Review laws (2 Measures)</b>								
Number of recommendations prepared by the Department that address the benefits to the District of creating new legislation or amending existing legislation or regulations.	<input type="checkbox"/>		Number of recommendations prepared.	Number of recommendations	Quarterly	Not available	Not available	6
Number of bills or rulemakings developed by the Department to make the District more attractive for financial services business.	<input type="checkbox"/>		Number of bills and rulemakings developed	Number of bills or rulemakings	Quarterly	Not available	Not available	2
<b>4 - Bank on DC program (1 Measure)</b>								
Number of Bank on DC or other Financially Fit DC events held.	<input type="checkbox"/>		Number of Bank on DC or other Financially Fit DC events held.	Number of events	Quarterly	Not available	Not available	80
<b>4 - Financial services curriculum (1 Measure)</b>								
Number of consumers receiving financial literacy training and/or consumer protection information.	<input type="checkbox"/>		Number of consumers receiving financial literacy training and/or consumer protection information.	Number of consumers	Quarterly	Not available	Not available	6990
<b>4 - Seminars and educational events (1 Measure)</b>								
Number of events held where residents were provided with financial literacy training and/or consumer protection information.	<input type="checkbox"/>		Number of events held where residents were provided with financial literacy training and/or consumer protection information.	Number of events	Quarterly	Not available	Not available	216
<b>5 - SSBCI program partnerships (1 Measure)</b>								
Number of small business assistance clinics, seminars, or other events provided.	<input type="checkbox"/>		Number of small business assistance clinics, seminars, or other events provided.	Number of small business assistance clinics, seminars, and other events provided.	Quarterly	Not available	Not available	12
<b>5 - SSBCI program promotion (1 Measure)</b>								

Number of jobs created or retained in the District with SSBCI funds.	<input type="checkbox"/>	Number of jobs created or retained	Number of jobs created or retained	Quarterly	Not available	Not available	360
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## 2017 Strategic Initiatives

Strategic Initiative Title	Strategic Initiative Description	Proposed Completion Date
<b>AGENCY MANAGEMENT (2 Strategic initiative-operation links)</b>		
Develop a public-private partnership where DISB and the financial services industry work with District universities and schools to train students to fill jobs in the financial services industry	Complete the establishment of the Financial Services Academy to provide District residents with training for positions in the financial services industry.	09-30-2017
Department-wide Senior Financial Fraud Abuse Prevention Program	Complete the establishment and implementation of the Department-wide Senior Financial Fraud Abuse Prevention Program. The program will focus on two primary components: (1) increase the number of outreach events to educate seniors on how to avoid financial scams; (2) enhance DISB's consumer enforcement program to protect District seniors.	09-30-2017
<b>BANKING (1 Strategic Initiative-Operation Link)</b>		
Promote the Bank on DC program to reduce the number of unbanked and underbanked residents in the District.	The Bank on DC program will be expanded as part of the Financially Fit DC initiative. The Financial Fitness program will include an online financial educational curriculum, which will include components on retirement, credit, child savings, retirement and investments.	09-30-2017
<b>BANKING EXAMS (1 Strategic Initiative-Operation Link)</b>		
Conduct examinations of non-depository financial institutions scheduled during the fiscal year.	Develop a plan to streamline the examination process of non-depository financial institutions to improve the efficiency of the Banking Bureau staff without compromising the Department's consumer protection objectives.	09-30-2017
<b>INSURANCE EXAMS (2 Strategic initiative-operation links)</b>		
Conduct examinations of domestic insurance companies scheduled during the fiscal year.	Develop and implement a plan in FY17 to increase the number of financial examinations handled by Department staff, and reduce the Department's use of contract examiners by 25% by the end of 2020.	09-30-2017
Department-wide Market Conduct examinations	Establish a market conduct examination unit in DISB to review the activities of the insurance industry in the District to ensure insurers are complying with the District's consumer protection laws and regulations.	09-30-2017
<b>PUBLIC AFFAIRS (5 Strategic initiative-operation links)</b>		
Engage in comprehensive efforts to provide financial literacy to all residents of the District.	Launch the Financial Fitness initiative in FY17, and make available a comprehensive online curriculum to District residents.	09-30-2017
Conduct outreach campaigns to provide residents with information that will help them make informed choices about financial services offerings (e.g., DC Saves Week, Financial Literacy Month, DASH for the STASH and the Financial Fitness Challenge).	Launch a comprehensive marketing campaign in FY17 to encourage District residents to participate in the Financial Fitness initiative, which will increase knowledge and awareness of financial concepts, products and services.	09-30-2017
Publish and distribute consumer alerts, guides and articles to inform consumers about financial services issues and to help prevent them from becoming victims of scams and abuses.	Develop a customer satisfaction survey to measure the effectiveness of the Office of Communications outreach education programs by the end of the fiscal year.	09-30-2017
Deliver financial services curriculum that contains topics of interest and importance to all population segments in the District.	Develop an innovative and effective financial literacy and fraud prevention curriculum that contains topics of interest and importance to all population segments in the District, with particular focus on low income residents, seniors, youth and ex-offenders.	09-30-2017
Conduct seminars and educational events to provide residents with information on financial services.	Initiate a new financial education youth program by working with OSSE. DISB will conduct at least 3 Financial Literacy Days, Financial Summits or Reality Fairs during FY17.	09-30-2017
<b>REGULATORY REVIEW AND LICENSING (1 Strategic Initiative-Operation Link)</b>		
Review the District's financial services laws and regulations to identify the areas where legislation and regulations should be revised or repealed.	Conduct ongoing review of the insurance, securities and banking laws and regulations in the District and other jurisdictions to identify those that are the most modern and business friendly. Based upon the findings and/or outcomes, DISB will draft legislative recommendations and/or regulations to ensure the District's laws and regulations are fair, efficient, and up-to-date.	09-30-2017
<b>SECURITIES EXAMS (1 Strategic Initiative-Operation Link)</b>		
Conduct examinations of investment adviser firms scheduled during the fiscal year.	Develop a customer satisfaction survey to measure the effectiveness of the Department's examinations operations by 09/30/2017.	09-30-2017



**FY2017 Performance Accountability Report**

The Performance Accountability Report (PAR) measures each agency's performance for the fiscal year against the agency's performance plan and includes major accomplishments, updates on initiatives, and key performance indicators (KPIs).

**Mission**

The mission of the Department of Insurance, Securities and Banking is twofold: 1) protect consumers by providing equitable, thorough, efficient, and prompt regulatory supervision of the financial services companies, firms, and individuals operating in the District of Columbia, and 2) develop and improve market conditions to attract and retain financial services firms to the District of Columbia.

**Summary of Services**

DISB regulates several financial services entities: (1) insurance companies, insurance producers, health maintenance organizations, captive insurance companies and risk retention groups; (2) investment advisors, investment advisor representatives, broker-dealers, broker-dealer agents, securities offerings and issuers and agents of issuers and (3) District and state-chartered banks, mortgage lenders and brokers, mortgage loan originators, check cashers, money transmitters, consumer-sales-finance companies, money lenders, and consumer-credit-service organizations.

**FY17 Top Accomplishments**

Accomplishment	Impact on Agency	Impact on Residents
1. Implemented the the Student Loan Ombudsman Establishment and Servicing Regulation Amendment Act of 2016.	The Department recruited an Ombudsman to administer the new law. DISB also prepared implementing regulations, a Student Loan Borrower's Bill of Rights, and a public outreach workplan. The implementation of this new program involved input from the following divisions within the Department: Banking, Consumer Services, Legal and the Office of the Commissioner.	The District will license and regulate student loan servicers operating in the District. District student loan borrowers can file complaints with the Department, and the Ombudsman has the authority to investigate such complaints and, if necessary, refer servicers to the Office of the Attorney General for enforcement. The Ombudsman will also engage in extensive community outreach activities with students and parents that will enable them to make better choices regarding financing the cost of higher education.
The Department completed the establishment and implementation of the Department-wide Senior Financial Fraud Abuse Prevention Program. The program focuses on two primary components: (1) increase the number of outreach events to educate seniors on how to avoid financial scams; (2) enhance	Accomplishments during FY 2017 included: the hiring of new Director of Enforcement, who has significant experience in enforcement and consumer protection. The Director developed an internet enforcement/surveillance strategy, which will improve the Department's ability to identify trends and increase its enforcement activities against individuals and firms that target seniors. DISB also created an agency-wide Senior Financial Fraud Prevention Committee, which is chaired by the Director of the Department's Securities Bureau. Representatives from all of the Department's operating divisions: insurance, securities, banking, enforcement, consumer services, enforcement, and communications are on the committee and meet regularly to monitor and evaluate the effectiveness of the Department	DISB's Senior Financial Fraud Abuse Prevention Program enables District seniors to identify and avoid financial scams, and deter unscrupulous individuals and firms from preying on this vulnerable segment of the population.

DISB's consumer protection and enforcement activities by targeting firms and individuals who prey on District seniors.

enforcement and outreach efforts. The Committee also worked on legislation in FY17 that will provide enhanced protections for firms and individuals who prey on seniors.

## 2017 Strategic Objectives

Objective Number	Strategic Objective
1	Provide high quality and efficient consumer protection services to District residents and businesses.
2	Provide high quality and cost effective regulation of financial services providers to ensure compliance with District laws.
3	Establish the District as a premier destination for financial services firms by coordinating with other agencies to increase the number of financial services industry jobs available for District residents, and to generate additional revenue for the District.
4	Provide high quality services to financially empower residents and create pathways to the middle class.
5	Provide valuable assistance and support to District based small businesses and entrepreneurs that will create or retain jobs.
6	Create and maintain a highly efficient, transparent and responsive District government. **

## 2017 Key Performance Indicators

Measure	Freq	Target	Q1	Q2	Q3	Q4	FY 2017	KPI Status	Explanation
<b>1 - Provide high quality and efficient consumer protection services to District residents and businesses. (4 Measures)</b>									
Percentage of Insurance, Securities and Banking consumer complaints resolved within 45 days of receipt.	Quarterly	95%	89.1%	99%	100%	95.8%	96.1%	Met	
Number of residents who receive in-person fraud abuse prevention, financial literacy training and/or consumer protection information.	Quarterly	7000	2989	2394	6952	5600	17935	Met	
Percentage increase in the number of fraud alerts from the previous fiscal year developed and available on the Department's website and other media.	Quarterly	10%	0%	25%	200%	200%	50%	Met	
Percentage of scheduled risk retention groups examined during the fiscal year.	Quarterly	100%	No applicable incidents	100%	100%	100%	100%	Met	
<b>2 - Provide high quality and cost effective regulation of financial services providers to ensure compliance with District laws. (4 Measures)</b>									
Percentage of scheduled non-depository financial institutions examined during the fiscal year.	Quarterly	100%	85.7%	92.9%	125%	175%	119.6%	Met	
Percentage of scheduled domestic insurance	Quarterly	100	0	17	34	50	100	Met	

companies examined during the fiscal year.									
Percentage of scheduled District-based investment firms examined during the fiscal year.	Quarterly	100%	100%	100%	100%	100%	100%	Met	
Number of financial education offerings targeted for the District's Hispanic population, including in-person outreach events and the availability of resources in English and Spanish.	Annually	4	Annual Measure	Annual Measure	Annual Measure	Annual Measure	5	Met	Annual Measure
<b>3 - Establish the District as a premier destination for financial services firms by coordinating with other agencies to increase the number of financial services industry jobs available for District residents, and to generate additional revenue for the District. (1 Measure)</b>									
Number of amendments to existing financial services laws or regulations, or proposed new laws or regulations drafted during the fiscal year.	Quarterly	4	3	2	2	0	7	Met	
<b>4 - Provide high quality services to financially empower residents and create pathways to the middle class. (3 Measures)</b>									
Number of new bank accounts opened through the Bank on DC program.	Quarterly	750	103	134	102	446	785	Met	
Percentage of increase in the number of regulatory enforcement cases initiated.	Quarterly	10%	26.1%	17.4%	333.3%	340%	82.5%	Met	
Percentage of increase in the number of fraud alerts issued.	Quarterly	10%	0%	25%	200%	200%	50%	Met	
<b>5 - Provide valuable assistance and support to District based small businesses and entrepreneurs that will create or retain jobs. (2 Measures)</b>									
Percentage of State Small Business Credit Initiative applications processed within 30 days of receipt.	Quarterly	95%	No applicable incidents	100%	100%	100%	100%	Met	
Percentage increase in outreach events for small businesses, financial institutions or business organizations.	Quarterly	100%	50%	50%	275%	175%	137.5%	Met	

We've revisited a project to standardize District wide measures for the Objective "Create and maintain a highly efficient, transparent and responsive District government." New measures will be tracked in FY18 and FY19 and published starting in the FY19 Performance Plan.

## 2017 Workload Measures

Measure	Freq	Q1	Q2	Q3	Q4	FY 2017
<b>1 - Consumer alerts (1 Measure)</b>						
Number of consumer guides and alerts issued to consumers.	Quarterly	0	1	4	4	9
<b>1 - Outreach campaigns (1 Measure)</b>						
Number of District residents receiving financial literacy training and consumer	Quarterly	2989	2394	6952	5600	17935

protection information.						
<b>2 - Domestic insurance company exams (1 Measure)</b>						
Number of domestic insurance company examinations completed during the fiscal year.	Quarterly	0	1	2	3	6
<b>2 - Investment adviser firm exams (1 Measure)</b>						
Number of District-based investment advisers examinations completed during the fiscal year.	Quarterly	2	8	7	5	22
<b>2 - Non-depository exams (1 Measure)</b>						
Number of non-depository financial institutions examinations completed during the fiscal year.	Quarterly	24	26	35	49	134
<b>3 - Review laws (2 Measures)</b>						
Number of recommendations prepared by the Department that address the benefits to the District of creating new legislation or amending existing legislation or regulations.	Annually	Annual Measure	Annual Measure	Annual Measure	Annual Measure	21
Number of bills or rulemakings developed by the Department to make the District more attractive for financial services business.	Quarterly	3	1	0	0	4
<b>4 - Bank on DC program (1 Measure)</b>						
Number of Bank on DC or other Financially Fit DC events held.	Quarterly	10	29	33	68	140
<b>4 - Financial services curriculum (1 Measure)</b>						
Number of consumers receiving financial literacy training and/or consumer protection information.	Quarterly	2989	2394	6952	5600	17935
<b>4 - Seminars and educational events (1 Measure)</b>						
Number of events held where residents were provided with financial literacy training and/or consumer protection information.	Quarterly	10	42	77	97	226
<b>5 - SSBCI program partnerships (1 Measure)</b>						
Number of small business assistance clinics, seminars, or other events provided.	Quarterly	1	1	9	7	18
<b>5 - SSBCI program promotion (1 Measure)</b>						
Number of jobs created or retained in the District with SSBCI funds.	Quarterly	0	0	0	0	0

## 2017 Strategic Initiatives

Title	Description	Complete to Date	Status Update	Explanation
<b>AGENCY MANAGEMENT (2 Strategic initiatives)</b>				
Develop a public-private	Complete the establishment of the	50-74%	In FY17, DISB established a relationship with	The initiative



partnership where DISB and the financial services industry work with District universities and schools to train students to fill jobs in the financial services industry	Financial Services Academy to provide District residents with training for positions in the financial services industry.		Gallaudet University's Risk Management program, and provided internships for students with hearing impairments. DISB also met with representatives from George Washington University to discuss the creation of an internship program for students with disabilities. In FY18 DISB will complete the development of the Financial Services Academy by identifying and adding additional educational institutions and financial industry partners, and will finalize an initial curriculum for the Academy.	requires multi-year implementation.
Department-wide Senior Financial Fraud Abuse Prevention Program	Complete the establishment and implementation of the Department-wide Senior Financial Fraud Abuse Prevention Program. The program will focus on two primary components: (1) increase the number of outreach events to educate seniors on how to avoid financial scams; (2) enhance DISB's consumer enforcement program to protect District seniors.	Complete	In Q4, DISB reached 535 seniors through 13 events that specifically targeted seniors to educate them on how to avoid financial scams.	
<b>BANKING (1 Strategic Initiative)</b>				
Promote the Bank on DC program to reduce the number of unbanked and underbanked residents in the District.	The Bank on DC program will be expanded as part of the Financially Fit DC initiative. The Financial Fitness program will include an online financial educational curriculum, which will include components on retirement, credit, child savings, retirement and investments.	Complete	Online curriculum is complete. Topics covered: banking, budgeting, saving, retirement readiness, credit scores and reports, ID theft and fraud prevention, and alternative financial services. Enhancements to program may be considered, upon review of usage and data.	
<b>BANKING EXAMS (1 Strategic Initiative)</b>				
Conduct examinations of non-depository financial institutions scheduled during the fiscal year.	Develop a plan to streamline the examination process of non-depository financial institutions to improve the efficiency of the Banking Bureau staff without compromising the Department's consumer protection objectives.	Complete	New Examination procedures have been developed and are now being implemented.	
<b>INSURANCE EXAMS (2 Strategic initiatives)</b>				
Conduct examinations of domestic insurance companies scheduled during the fiscal year.	Develop and implement a plan in FY17 to increase the number of financial examinations handled by Department staff, and reduce the Department's use of contract examiners by 25% by the end of 2020.	Complete	The IB was successful in its goal of completing 6 exams during the fiscal year. Moreover, the IB utilized its in-house actuary to perform the actuarial review on two-thirds of these exams as planned. Similarly, IB exam staff was utilized in either a staff or supervisory role in performing each of the 6 exams, thus reducing the IB's reliance on	

			contracted services.	
Department-wide Market Conduct examinations	Establish a market conduct examination unit in DISB to review the activities of the insurance industry in the District to ensure insurers are complying with the District's consumer protection laws and regulations.	Complete	Of the 12 draft NAIC standards, DISB now meets standard 2, 3, 4, 5, 7, 9, 10 and 12 for a total of 8 standards met. 8 standards is 66.6% of 12 therefore our goal of meeting 60% compliance with the standards in FY2017 is achieved.	
<b>PUBLIC AFFAIRS (5 Strategic initiatives)</b>				
Engage in comprehensive efforts to provide financial literacy to all residents of the District.	Launch the Financial Fitness initiative in FY17, and make available a comprehensive online curriculum to District residents.	Complete	In January, DISB launched the Financial Fitness initiative with Mayor Bowser to encourage residents to take control of their financial wellbeing. DISB has completed this initiative.	
Conduct outreach campaigns to provide residents with information that will help them make informed choices about financial services offerings (e.g., DC Saves Week, Financial Literacy Month, DASH for the STASH and the Financial Fitness Challenge).	Launch a comprehensive marketing campaign in FY17 to encourage District residents to participate in the Financial Fitness initiative, which will increase knowledge and awareness of financial concepts, products and services.	Complete	In Q3, DISB reached 6,952 residents. This brings the FY17 total to 12,335 and exceeds the 7K target. DISB held a financial services clinic for students at UDC's Community College, shared info on DC BizCAP at 11 small business-related events, increased its outreach to the District's Hispanic population and ran ads in local newspapers on protecting your home and belongings, and Financially Fit DC.	
Publish and distribute consumer alerts, guides and articles to inform consumers about financial services issues and to help prevent them from becoming victims of scams and abuses.	Develop a customer satisfaction survey to measure the effectiveness of the Office of Communications outreach education programs by the end of the fiscal year.	Complete	In Q3, DISB issued 2 articles that were picked up by The Washington Informer. "Now is the Time to Develop Health Habits" was issued on April 13. "Make the pledge to Protect Your Finances" was issued on June 7. DISB issued 4 alerts: Unlicensed Financial Advisers (April 11), Hurricane Prep (June 9), Counterfeit Check Scam (June 12) and Public Insurance Adjuster (June 21). They are linked to @DCDISB.	
Deliver financial services curriculum that contains topics of interest and importance to all population segments in the District.	Develop an innovative and effective financial literacy and fraud prevention curriculum that contains topics of interest and importance to all population segments in the District, with particular focus on low income residents, seniors, youth and ex-offenders.	Complete	This initiative was completed as of January 9, 2017.  In Q2, DISB launched Financially Fit DC, a comprehensive financial literacy program designed to empower all District residents to take control of their financial health. Financially Fit DC is driven by a web-based financial assessment tool that guides participants through the process of creating a workable budget, checking their credit, purchasing a home, and planning for retirement. In Q2, roughly 196 residents signed up for the program.	

Conduct seminars and educational events to provide residents with information on financial services.	Initiate a new financial education youth program by working with OSSE. DISB will conduct at least 3 Financial Literacy Days, Financial Summits or Reality Fairs during FY17.	Complete	In Q4, DISB participated in 77 events where residents were provided with financial literacy training and/or consumer protection information. The events focused on a variety of topics (e.g. DC BizCAP, Bank on DC, Financially Fit DC, reverse mortgages, business insurance, financial scams, renters insurance, elder abuse, etc.)
<b>REGULATORY REVIEW AND LICENSING (1 Strategic Initiative)</b>			
Review the District's financial services laws and regulations to identify the areas where legislation and regulations should be revised or repealed.	Conduct ongoing review of the insurance, securities and banking laws and regulations in the District and other jurisdictions to identify those that are the most modern and business friendly. Based upon the findings and/or outcomes, DISB will draft legislative recommendations and/or regulations to ensure the District's laws and regulations are fair, efficient, and up-to-date.	Complete	DISB participated in EOM's annual Leg Fest, with four legislative proposals selected by the Mayor for drafting and introduction. To date, three of those proposals have been introduced in the Council and are under Council review.
<b>SECURITIES EXAMS (1 Strategic Initiative)</b>			
Conduct examinations of investment adviser firms scheduled during the fiscal year.	Develop a customer satisfaction survey to measure the effectiveness of the Department's examinations operations by 09/30/2017.	Complete	In Q2, the Securities Bureau developed a Customer Satisfaction Survey form, and the Examinations Division began including it in closing letters to firms. We have received two completed survey forms from firms during Q2, and both rated the Examination process highly. The Examinations Division will continue to distribute the Survey Form during the remainder of FY 2017. We will report on the survey results to date by April 10, 2017.

## Department of Insurance, Securities and Banking FY2018

**Agency** Department of Insurance, Securities and Banking

**Agency Code** SR0

**Fiscal Year** 2018

**Mission** The mission of the Department of Insurance, Securities and Banking is twofold: 1) protect consumers by providing equitable, thorough, efficient, and prompt regulatory supervision of the financial services companies, firms, and individuals operating in the District of Columbia, and 2) develop and improve market conditions to attract and retain financial services firms to the District of Columbia.

### 2018 Strategic Objectives

Objective Number	Strategic Objective	# of Measures	# of Operations
1	Provide high quality and efficient consumer protection services to District residents and businesses.	3	8
2	Provide high quality and cost effective regulation of financial services providers to ensure compliance with District laws.	3	3
3	Establish the District as a premier destination for financial services firms by coordinating with other agencies to increase the number of financial services industry jobs available for District residents, and to generate additional revenue for the District.	1	1
4	Provide high quality services to financially empower residents and create pathways to the middle class.	3	4
5	Provide valuable assistance and support to District based small businesses and entrepreneurs that will create or retain jobs.	2	3
6	Create and maintain a highly efficient, transparent and responsive District government.**	9	0
<b>TOT</b>		<b>21</b>	<b>19</b>

### 2018 Key Performance Indicators

Measure	New Measure/ Benchmark Year	FY 2014 Actual	FY 2015 Target	FY 2015 Actual	FY 2016 Target	FY 2016 Actual	FY 2017 Target	FY 2017 Actual	FY 2018 Target
<b>1 - Provide high quality and efficient consumer protection services to District residents and businesses. (3 Measures)</b>									
Percent of Insurance, Securities and Banking complaints scheduled to be closed within 45 days of receipt	<input type="checkbox"/>	98.1%	98%	97.6%	95%	99%	95%	96.1%	95%
Percent increase in the number of fraud alerts from the previous fiscal year developed and available on the Department's website and other media	<input type="checkbox"/>	Not available	Not available	Not available	10%	266.7%	10%	50%	10%

Percent of scheduled captive financial analyses conducted during the fiscal year	<input type="checkbox"/>	100%	100%	100%	100%	100%	100%	100%	100%
<b>2 - Provide high quality and cost effective regulation of financial services providers to ensure compliance with District laws. (3 Measures)</b>									
Percent of scheduled non-depository financial institutions examined during the fiscal year	<input type="checkbox"/>	Not available	100%	57%	100%	117.1%	100%	119.6%	100%
Percent of scheduled domestic insurance companies examined during the fiscal year	<input type="checkbox"/>	90%	85%	100%	100%	100%	100%	100%	100%
Percent of scheduled District-based investment firms examined during the fiscal year	<input type="checkbox"/>	75%	85%	100%	100%	100%	100%	100%	100%
<b>3 - Establish the District as a premier destination for financial services firms by coordinating with other agencies to increase the number of financial services industry jobs available for District residents, and to generate additional revenue for the District. (1 Measure)</b>									
Increase cyber fraud enforcement efforts by 10 percent	<input checked="" type="checkbox"/>	Not available	Not available	Not available	Not available	New Measure	New Measure	New Measure	New Measure
<b>4 - Provide high quality services to financially empower residents and create pathways to the middle class. (3 Measures)</b>									
Increase by 10 percent the number of new bank accounts opened through the Bank on DC program from the previous year	<input type="checkbox"/>	900	750	888	750	1711	750	785	750

Percent of increase in the number of regulatory enforcement cases initiated	<input type="checkbox"/>	Not available	Not available	Not available	10%	Not Available	10%	82.5%	10%
Percent of increase in the number of fraud alerts issued	<input type="checkbox"/>	Not available	Not available	Not available	10%	266.7%	10%	50%	10%

**5 - Provide valuable assistance and support to District based small businesses and entrepreneurs that will create or retain jobs. (2 Measures)**

Percent of State Small Business Credit Initiative applications processed within 30 days of receipt	<input type="checkbox"/>	Not available	Not available	Not available	Not available	Not Available	95%	100%	95%
Percent increase in outreach events for small businesses, financial institutions or business organizations	<input type="checkbox"/>	Not available	Not available	Not available	Not available	Not Available	100%	137.5%	100%

We've revisited a project to standardize District wide measures for the Objective "Create and maintain a highly efficient, transparent and responsive District government." New measures will be tracked in FY18 and FY19 and published starting in the FY19 Performance Plan.

**2018 Operations**

Operations Header	Operations Title	Operations Description	Type of Operations	# of Measures	# of Strategic Initiatives
<b>1 - Provide high quality and efficient consumer protection services to District residents and businesses. (8 Activities)</b>					
PUBLIC AFFAIRS	Outreach campaigns	Conduct outreach campaigns to provide residents with information that will help them make informed choices about financial services offerings (e.g., DC Saves Week, Financial Literacy Month, DASH for the STASH and the Financial Fitness Challenge).	Key Project	2	0
PUBLIC AFFAIRS	Financial education events	Hold at least two in-person financial education events in every Ward by the end of the fiscal year.	Key Project	0	0

PUBLIC AFFAIRS	Consumer alerts	Publish and distribute consumer alerts, guides and articles to inform consumers about financial services issues and to help prevent them from becoming victims of scams and abuses.	Key Project	1	1
CONSUMER SERVICES	Complaint activity	Review complaint activity to identify trends that are adverse to the interests of consumers.	Daily Service	0	0
CONSUMER SERVICES	Trend analysis	Utilize trend analysis from complaint activity to develop education and enforcement initiatives to address the trends and improve outcomes for consumers.	Daily Service	0	1
PUBLIC AFFAIRS	Customer satisfaction surveys	DISB will continue to provide the customer satisfaction survey to the investment adviser firms it examines. DISB will review the survey responses and consider whether any modifications to the Examinations Program would be appropriate in light of the feedback.	Daily Service	0	0
PUBLIC AFFAIRS	Senior Financial Fraud Abuse Prevention Program	Continue the implementation of the Department's Senior Financial Fraud Abuse Prevention Program. This initiative will focus on two primary components: (1) increase the number of outreach events to educate seniors on how to recognize and avoid financial scams; (2) enhance DISB's consumer enforcement program to protect District seniors.	Daily Service	0	0
PUBLIC AFFAIRS	Consumer alerts and guides on financial services issues.	Publish and distribute consumer alerts, guides and articles. Offer an expanded Consumer Financial Resources Guide that provides stories/scenarios, how-to's and other directions for resolving financial services concerns and preventing scams and abuses.	Daily Service	0	0
TOT				3	2
<b>2 - Provide high quality and cost effective regulation of financial services providers to ensure compliance with District laws. (3 Activities)</b>					
BANKING EXAMS	Non-depository exams	Conduct examinations of non-depository financial institutions scheduled during the fiscal year.	Daily Service	1	1
INSURANCE EXAMS	Domestic insurance company exams	Conduct examinations of domestic insurance companies scheduled during the fiscal year.	Daily Service	1	1
SECURITIES EXAMS	Investment firm exams	Conduct examinations of investment firms scheduled during the fiscal year.	Daily Service	1	0
TOT				3	2
<b>3 - Establish the District as a premier destination for financial services firms by coordinating with other agencies to increase the number of financial services industry jobs available for District residents, and to generate additional revenue for the District. (1 Activity)</b>					
AGENCY MANAGEMENT	Financial Services Academy	Develop a public private partnership where DISB and the financial services industry work with District universities and schools to train students to fill jobs in the financial services industry.	Daily Service	0	1
TOT				0	1

<b>4 - Provide high quality services to financially empower residents and create pathways to the middle class. (4 Activities)</b>					
PUBLIC AFFAIRS	Financial Literacy for all Residents of the District.	Conduct seminars, educational events and workshops to provide residents with information on financial services and engage in comprehensive efforts to provide financial literacy. Examples include: DC Saves Week, Financial Literacy Month, DASH for the STASH, Insurance Awareness Day.	Daily Service	1	1
BANKING	Bank on DC program	Promote the Bank on DC program to reduce the number of unbanked and underbanked residents in the District.	Key Project	1	0
PUBLIC AFFAIRS	Financial services curriculum	Deliver financial services curriculum that contains topics of interest and importance to all population segments in the District.	Key Project	1	0
CONSUMER SERVICES	Consumer guides and alerts	Prepare consumer guides and alerts to provide District residents with information about financial products and services.	Daily Service	0	0
TOT				3	1
<b>5 - Provide valuable assistance and support to District based small businesses and entrepreneurs that will create or retain jobs. (3 Activities)</b>					
DC MARKET OPERATIONS BANKING	SSBCI program promotion	Promote the SSBCI program to local banks and financial institutions, the business community, and District agencies such as DSLBD, DGS and DMPED.	Daily Service	1	0
DC MARKET OPERATIONS BANKING	SSBCI program partnerships	Work with District agencies, incubators, chambers of commerce, universities and other organizations to provide technical assistance to small businesses to enable them to qualify for loans.	Daily Service	1	0
DC MARKET OPERATIONS BANKING	SSBCI program	Administer the Department's State Small Business Credit Initiative (SSBCI) program to provide financial support to District-based small businesses and entrepreneurs.	Daily Service	0	1
TOT				2	1
<b>TOT</b>				<b>11</b>	<b>7</b>

## 2018 Workload Measures

Measure	New Measure/ Benchmark Year	FY 2014 Actual	FY 2015 Actual	FY2016 Actual	FY 2017 Actual
<b>1 - Consumer alerts (1 Measure)</b>					
Number of consumer guides and alerts issued	<input type="checkbox"/>	Not available	Not available	5	9
<b>1 - Outreach campaigns (2 Measures)</b>					
Number of residents who receive in-person fraud abuse prevention, financial literacy training and/or consumer protection information	<input type="checkbox"/>	Not available	Not available	6990	17935
The number of Hispanic residents who receive financial education offerings at outreach events	<input checked="" type="checkbox"/>	Not available	Not available	New Measure	New Measure



<b>2 - Domestic insurance company exams (1 Measure)</b>					
Number of domestic insurance company examinations completed during the fiscal year	<input type="checkbox"/>	Not available	Not available	0	6
<b>2 - Investment firm exams (1 Measure)</b>					
Number of District-based investment firm examinations completed during the fiscal year	<input type="checkbox"/>	Not available	Not available	16	22
<b>2 - Non-depository exams (1 Measure)</b>					
Number of non-depository financial institutions examinations completed during the fiscal year	<input type="checkbox"/>	Not available	Not available	317	134
<b>4 - Bank on DC program (1 Measure)</b>					
Number of Bank on DC or other Financially Fit DC events held	<input type="checkbox"/>	Not available	Not available	80	140
<b>4 - Financial Literacy for all Residents of the District. (1 Measure)</b>					
Number of events held where residents were provided with financial literacy training and/or consumer protection information	<input type="checkbox"/>	Not available	Not available	216	226
<b>4 - Financial services curriculum (1 Measure)</b>					
Number of consumers receiving financial literacy training and/or consumer protection information.	<input type="checkbox"/>	Not available	Not available	6990	17935
<b>5 - SSBCI program partnerships (1 Measure)</b>					
Number of small business assistance clinics, seminars, or other events provided	<input type="checkbox"/>	Not available	Not available	12	18
<b>5 - SSBCI program promotion (1 Measure)</b>					
Number of jobs created or retained in the District with SSBCI funds.	<input type="checkbox"/>	Not available	Not available	360	0

## Initiatives

Strategic Initiative Title	Strategic Initiative Description	Proposed Completion Date
<b>Consumer alerts (1 Strategic Initiative)</b>		
Internet and social media surveillance initiative	In FY 18, DISB will complete implementation of this initiative to identify the variety of fraudulent schemes committed against District residents, monitor fraud trends, and uncover the identities of the perpetrators through collaboration with local, state, and federal regulatory and law enforcement authorities.	09-30-2018
<b>Domestic insurance company exams (1 Strategic Initiative)</b>		
Conduct premium tax examinations of insurance companies and brokers licensed in the District	In FY18, DISB will develop and implement a plan to conduct premium tax examinations of insurance companies licensed in the District and surplus lines brokers who sell insurance underwritten by insurers not licensed in the District to determine compliance with the District's premium tax laws.	09-30-2018
<b>Financial Literacy for all Residents of the District. (1 Strategic Initiative)</b>		

Financial Education Events: High School and Beyond	In FY18, DISB will Initiate a new financial education program for high school graduates and recent graduates, including their parents. DISB will conduct at least a total of four Financial Literacy Days, Financial Summits/Forums, Financial Services Clinics or Reality Fairs .	09-30-2018
<b>Financial Services Academy (1 Strategic Initiative)</b>		
Financial Services Academy: Public-private partnership between DISB, the financial services industries and District universities and colleges.	In FY 18, DISB will increase participation in the Financial Services Academy by adding new financial services companies and universities and colleges to the program.	09-30-2018
<b>Non-depository exams (1 Strategic Initiative)</b>		
Formalize and update both the non-depository and depository examination process	In FY 18, DISB will develop and standardize all examination processes and procedures including exam reports, exam workpapers, and risk scoping, and exam checklists	09-30-2018
<b>SSBCI program (1 Strategic Initiative)</b>		
Implement the District's Inclusive Growth Leadership Fund	In FY18, DISB will promulgate regulations and start accepting applications to implement the Inclusive Growth Leadership Fund. This new program will ensure that DC BizCAP funds are deployed in a manner that support the Mayor's Economic Strategy and commitment to inclusive prosperity.	09-30-2018
<b>Trend analysis (1 Strategic Initiative)</b>		
Market Conduct Unit	In FY18, DISB will establish a market conduct unit in the Consumer Protection Division, which will conduct examinations to determine compliance with the District's laws and regulations regarding activities in the marketplace.	09-30-2018

Created on Dec. 15, 2016 at 3:17 PM (EST). Last updated by [Katz, Lia \(EOM\)](#) on June 6 5:49 PM at 5:49 PM (EDT). Owned by [Katz, Lia \(EOM\)](#).

Appendix 15  
List of Studies, Research, Papers, Reports and Analyses

FY 2017

Bureau/DIV	Name of study	Purpose	Status	Copy attached
INSURANCE	“Recommendations for the Rate Filing Process for Calendar Year 2018 and Later”	Recommendations from consulting actuaries on improvements for future ACA rate reviews.	Recommendations currently under review	No, not yet complete
INSURANCE	“ACA Market Reform Study – I”	Review of the coverage of preventive health services and appeals process.	Received a grant from DHHS to fund the study. Engaged a contractor to conduct the work; work is currently underway with analysis and stakeholder input.	No, not yet complete
INSURANCE	“ACA Market Reform Study – II”	Review of non-discrimination under comprehensive health insurance coverage and parity in mental health and substance abuse disorder benefits.	Received a grant from DHHS to fund the study. Engaged a contractor to conduct the work; work is currently underway with analysis and stakeholder input.	No, not yet complete
INSURANCE	“ACA Individual and Small Group Rate Analysis”	To review whether to merge the individual and small group markets and/or whether to expand the definition of small group size to 100.	Using remaining funds from the Cycle II Rate Review Grant received from DHHS to fund the analysis. Engaged a contractor to conduct the work; work is currently underway with analysis and stakeholder input.	No, not yet complete

FY 2018

None to date.

Appendix 16

Department of Insurance, Securities and Banking (SR0)

List of Employees with Salaries over \$100,000

Name	Posn Nbr	Title	Program	Program Title	Activity	Vac Stat	Sal Plan	Grade	Step	Annual Salary	Annual Benefits	Overtime Paid
Ahaiwe,Bright A	00012491	CONTROLLER	100F	Agency Fiscal Operations	130F	F	DS0007	16	10	176,296.00	35,964.38	
Sheppard,Dana G	00036539	Director of Risk Finance	6000	Risk Finance Bureau	6020	F	DS0086	16	0	171,854.13	35,058.24	
Miles,Theodore A	00015183	DIR OF SECURITIES	3000	Securities Bureau	3010	F	DS0086	16	0	171,849.44	35,057.29	
bramble,jocelyn	00041785	SUPERVISOR TRIAL ATTORNEY	1000	Agency Management Program	1060	F	LX0001	2	0	171,000.00	34,884.00	
Parker,Charlotte W	00041786	ATTORNEY ADVISOR	1000	Agency Management Program	1060	F	LA0002	15	10	168,403.00	34,354.21	
dos Santos,Simone M.	00075599	ATTORNEY ADVISOR	1000	Agency Management Program	1060	F	LA0002	15	10	168,403.00	34,354.21	
Barlow,Philip A	00036295	Associate Commissioner For Ins	2000	Insurance Bureau	2010	F	DS0086	16	0	166,589.93	33,984.35	
Taylor,Stephen C.	00039088	Commissioner Ins Sec&Banking	1000	Agency Management Program	1090	F	DX0000	E5	0	164,439.50	33,545.66	
Bressman,Brian	00075430	DIR OF FRAUD	4000	Enforcement Program	4060	F	DS0086	16	1	155,000.00	31,620.00	
O'Donnell,Patrick S.	00035765	Supervisory Financial Examiner	8000	Market Examinations Division	8040	F	DS0086	15	0	154,868.88	31,593.25	
Levi,Adam	00042200	ATTORNEY ADVISOR	1000	Agency Management Program	1060	F	LA0002	15	6	153,915.00	31,398.66	
Vaidyanathan,Shankar	00027840	Chief Information Officer	1000	Agency Management Program	1040	F	DS0086	15	0	143,178.23	29,208.36	
Blackstone,Liliah R	00041787	ATTORNEY ADVISOR	1000	Agency Management Program	1060	F	LA0002	14	9	142,075.00	28,983.30	
Tanhehco,Efren L	00073445	Supervisory Health Actuary	2000	Insurance Bureau	2090	F	DS0086	14	0	135,061.06	27,552.46	
Meaza,Senayet	00075391	Director of Market Examination	3000	Securities Bureau	3080	F	DS0086	15	0	134,554.59	27,449.14	
Mcmanus,James M.	00008873	ASST DIR	3000	Securities Bureau	3010	F	DS0086	15	0	133,515.73	27,237.21	
Brown,Nathaniel Kevin	00009191	Supvy Ins Oper Exam (Auditing)	8000	Market Examinations Division	8010	F	DS0086	14	0	131,548.35	26,835.86	
Bowles,Zadie	00009105	INSURANCE LICENSING SPEC MGR	2000	Insurance Bureau	2010	F	DS0086	14	0	128,364.29	26,186.32	
LI,Xiangchun	00075076	Financial Examiner & Analyst	8000	Market Examinations Division	8040	F	DS0077	14	8	126,838.00	25,874.95	
Christhilf,David	00085202	ACTUARY	2000	Insurance Bureau	2015	F	DS0077	14	8	126,838.00	25,874.95	
Fontaine,Jamai Y	00004205	SUPV INSURANCE EXAM GEN	2000	Insurance Bureau	2010	F	DS0086	14	0	124,731.14	25,445.15	
Purdie,Katrice Diana	00034872	Chief of Policy and Administra	1000	Agency Management Program	1040	F	DS0086	16	0	122,750.39	25,041.08	
Williams,Brian	00034846	Associate Commiss. for Banking	5000	Banking Bureau	5060	F	DS0086	16	0	122,750.00	25,041.00	
Goff,Maurice V	00000483	ASST DIR SEC LICENSING	3000	Securities Bureau	3030	F	DS0086	14	0	122,252.77	24,939.57	
Schleit,David	00036363	FINANCIAL EXAMINER OFFICER	6000	Risk Finance Bureau	6010	F	DS0077	14	6	120,200.00	24,520.80	
Caesar,Camille	00075396	Program Manager (SSBCI)	5000	Banking Bureau	5070	F	DS0086	14	0	120,000.00	24,480.00	
Liebers,Howard M	00036236	Health Care Policy Analyst	2000	Insurance Bureau	2050	F	DS0077	14	5	116,881.00	23,843.72	
Fuller,Samuel V	00075388	Lead Bank Examiner	8000	Market Examinations Division	8030	F	DS0077	14	5	116,881.00	23,843.72	140.48
Nkojo,Robert I	00008351	ACTUARY MGR	2000	Insurance Bureau	2015	F	DS0086	14	0	114,493.50	23,356.67	
Moore,Terry L	00034862	Sr. Banking Licensing Speciali	5000	Banking Bureau	5060	F	DS0077	13	10	112,956.00	23,043.02	
Rielley,John M	00035565	INSURANCE EXAMINER	2000	Insurance Bureau	2010	F	DS0077	13	10	112,956.00	23,043.02	
Hartig,Kathryn	00036294	Public Information Officer	1000	Agency Management Program	1080	F	DS0086	14	0	112,550.88	22,960.38	
Irwin,Trey	00075551	Supervisory Bank Examiner	8000	Market Examinations Division	8030	F	DS0086	15	0	110,621.00	22,566.68	
Godie,Enyew	00001761	BUDGET OFFICER	100F	Agency Fiscal Operations	110F	F	DS0007	14	3	110,242.00	22,489.37	
Dyson,Monica L	00003501	ACTUARY	2000	Insurance Bureau	2015	F	DS0077	13	9	110,145.00	22,469.58	
Belen,Carmen	00026346	INSURANCE EXAMINER	2000	Insurance Bureau	2010	F	DS0077	13	9	110,145.00	22,469.58	
King,Angela Jenice	00036494	Insurance Examiner (Property a	2000	Insurance Bureau	2015	F	DS0077	13	9	110,145.00	22,469.58	
Rouse,Brian A	00075387	Sr. Banking Licensing Speciali	5000	Banking Bureau	5060	F	DS0077	13	9	110,145.00	22,469.58	
Burt,Charles	00001945	Student Loan Ombudsman	5000	Banking Bureau	5070	F	DS0086	14	0	110,000.00	22,440.00	

Name	Posn Nbr	Title	Program	Program Title	Activity	Vac Stat	Sal Plan	Grade	Step	Annual Salary	Annual Benefits	Overtime Paid
Merlo,Samuel A	00011195	FINANCIAL EXAMINER INS	2000	Insurance Bureau	2015	F	DS0077	13	8	107,334.00	21,896.14	
Negash,Yohaness	00012196	FINANCIAL EXAMINER INS	2000	Insurance Bureau	2015	F	DS0077	13	8	107,334.00	21,896.14	
Johnson,Colin B	00015197	INSURANCE EXAMINER	2000	Insurance Bureau	2050	F	DS0077	13	8	107,334.00	21,896.14	
Anderson II,Lloyd J	00035768	INFO TECH SPEC	1000	Agency Management Program	1040	F	DS0077	13	8	107,334.00	21,896.14	
Adu,George	00039603	Secur Finan Exam (Rpt & Discl)	3000	Securities Bureau	3010	F	DS0077	13	8	107,334.00	21,896.14	
Bryant,Tanya D	00003290	Public Affairs Specialist	1000	Agency Management Program	1080	F	DS0077	13	7	104,523.00	21,322.69	880.20
Morgan,John	00005439	ACTUARY	2000	Insurance Bureau	2090	F	DS0077	13	7	104,523.00	21,322.69	
Kunzweiler,Brad L	00035980	SECURITIES FINANCIAL EXAM	8000	Market Examinations Division	8020	F	DS0077	13	7	104,523.00	21,322.69	
Shirley,Darniece L	00073451	ACTUARY	2000	Insurance Bureau	2090	F	DS0077	13	7	104,523.00	21,322.69	
Vanhorne,Lashawn M	00043252	ACCOUNTS PAYABLE SUPV	100F	Agency Fiscal Operations	120F	F	DS0007	13	7	104,521.00	21,322.28	
Abdullah,Idriys J	00043792	CONSUMER PROTECTION ADVOCATE	1000	Agency Management Program	1080	F	DS0087	13	10	104,423.00	21,302.29	
Tengen,Juliana N	00034870	Investigator Fraud	4000	Enforcement Program	4060	F	DS0077	13	6	101,712.00	20,749.25	

## Appendix 17

**Department of Insurance, Securities and Banking (SRO)**  
**Fiscal Year 2017 and 2018: Top 25 Overtime Earners**

Fiscal Year	Employee Name	Position Title	Position No.	Program Code	Program Title	Activity Code	Salary	Fringe Benefits	Overtime Amount Paid
2017	Bryant,Tanya D	00003290	Public Affairs Specialist	1000	Agency Management Program	1080	104,523.00	21,322.69	880.20
	Drafton-Lowery,Lucille	00034860	Public Affairs Specialist	1000	Agency Management Program	1080	97,340.00	19,857.36	596.68
	Dickens,Marionnetta	00010013	INSURANCE OPERATIONS SPEC	9000	Compliance Division	9010	97,340.00	19,857.36	376.72
	Melvin Jr.,Albert L	00025163	CLERICAL ASSISTANT	1000	Agency Management Program	1040	55,462.00	11,314.25	266.65
	Mathis,Michelle D.	00075544	Operations Manager	1000	Agency Management Program	1060	98,901.00	20,175.80	47.55
<b>2017 Total</b>							<b>453,566.00</b>	<b>92,527.46</b>	<b>2,167.80</b>
2018	Simmons,Marlene O	00045891	Management Liaison Specialist	1000	Agency Management Program	1017	69,641.00	14,206.76	1,305.77
	Pedroso,Tamisha S.	00018144	Staff Assistant	1000	Agency Management Program	1090	51,709.00	10,548.64	969.54
	Murphy,Marcus	00025507	CLERICAL ASSISTANT	1000	Agency Management Program	1040	42,250.00	8,619.00	914.08
	Richards,Shaun	00025163	CLERICAL ASSISTANT	1000	Agency Management Program	1040	42,250.00	8,619.00	883.60
	CLEVELAND,VAUN B	00041791	Public Affairs Specialist	1000	Agency Management Program	1080	78,444.00	16,002.58	713.27
	Matthews,Sylvia D	00015980	INS OPERATIONS SPEC	9000	Compliance Division	9010	94,978.00	19,375.51	547.95
	Patterson,Deserie	00035827	Imaging Specialist	1000	Agency Management Program	1040	64,079.00	13,072.12	415.90
	Benson,RaShaunda	00078131	Health Insurance Analyst.	2000	Insurance Bureau	2010	63,467.00	12,947.27	152.56
Pettigrew,Alice VonEva	00022252	Management Liaison Specialist	1000	Agency Management Program	1010	64,160.00	13,088.64	30.85	
<b>2018 Total</b>							<b>570,978.00</b>	<b>116,479.52</b>	<b>5,933.52</b>
<b>Grand Total</b>							<b>1,024,544.00</b>	<b>209,006.98</b>	<b>8,101.32</b>

**COMPENSATION COLLECTIVE BARGAINING  
AGREEMENT**

**BETWEEN**

**THE DISTRICT OF COLUMBIA GOVERNMENT**

**AND**

**COMPENSATION UNITS 1 AND 2**

**EFFECTIVE APRIL 1, 2013 – SEPTEMBER 30, 2017**

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## PREAMBLE

This Compensation Agreement is entered into between the Government of the District of Columbia and the undersigned labor organizations representing units of employees comprising Compensation Units 1 and 2, as certified by the Public Employee Relations Board (PERB).

The Agreement was reached after negotiations during which the parties were able to negotiate on any and all negotiable compensation issues, and contains the full agreement of the parties as to all such compensation issues. The Agreement shall not be reconsidered during its life nor shall either party make any changes in compensation for the duration of the Agreement unless by mutual consent or as required by law.

## ARTICLE 1 WAGES

### SECTION A: FISCAL YEAR 2013:

Effective the first day of the first full pay period beginning on or after April 1, 2013, the FY 2013 salary schedules of employees employed in bargaining units as certified and assigned to Compensation Units 1 and 2 by the Public Employees Relations Board shall be adjusted by 3%.

### SECTION B: FISCAL YEAR 2014:

The Parties agree that the District shall set aside the amount equivalent to 1.5% of the total salaries for Compensation Units 1 and 2, as of November 19, 2012, to be used to implement any compensation adjustment required by the Classification and Compensation and Reform Project.

### SECTION C: FISCAL YEAR 2015:

Effective the first day of the first full pay period beginning on or after October 1, 2014, the FY 2015 salary schedules of employees employed in bargaining units as certified and assigned to Compensation Units 1 and 2 by the Public Employees Relations Board shall be adjusted by 3%.

### SECTION D: FISCAL YEAR 2016:

Effective the first day of the first full pay period beginning on or after October 1, 2015, the FY 2016 salary schedules of employees employed in bargaining units as certified and assigned to Compensation Units 1 & 2 by the Public Employees Relations Board shall be adjusted by 3%.

**SECTION E: FISCAL YEAR 2017:**

Effective the first day of the first full pay period beginning on or after October 1, 2016, the FY 2017 salary schedules of employees employed in bargaining units as certified and assigned to Compensation Units 1 & 2 by the Public Employees Relations Board shall be adjusted by 3%.

**ARTICLE 2  
METRO PASS**

The District of Columbia Government shall subsidize the cost of monthly transit passes for personal use by employees by not less than twenty five (\$25.00) per month for employees who purchase and use such passes to commute to and from work.

**ARTICLE 3  
PRE-PAID LEGAL PLAN**

**SECTION A:**

The Employer shall make a monthly contribution of ten dollars (\$10.00) for each bargaining unit member toward a pre-paid legal services plan. The Employer shall make monthly contributions directly to the designated provider of the legal services program.

**SECTION B:**

The plan shall be contracted for by the Union subject to a competitive bidding process where bidders are evaluated and selected by the Union. The District may present a proposed contract which shall be evaluated on the same basis as other bidders. The contract shall provide that the Employer will be held harmless from any liability arising out of the implementation and administration of the plan by the benefit provider, that the benefit provider will supply utilization statistics to the Employer and the Union upon request for each year of the contract, and that the benefit provider shall bear all administrative costs.

**SECTION C:**

The parties shall meet to develop procedures to implement the legal plan which shall be binding upon the benefit provider. The procedures shall include an enrollment process.

**SECTION D:**

To be selected for a contract under this Article, the benefit provider must maintain an office in the District of Columbia; be incorporated in the District and pay a franchise tax and other applicable taxes; have service providers in the District; and maintain a District bank account.

**SECTION E:**

The Employer's responsibility under the terms of this Article shall be as outlined in Section C of this Article and to make premium payments as is required under Section A of this Article. To the extent that any disputes or inquiries are made by the legal services provider chosen by the Union, those inquiries shall be made exclusively to the Union. The Employer shall only be required to communicate with the Union to resolve any disputes that may arise in the administration of this Article.

**ARTICLE 4  
DISTRICT OF COLUMBIA  
NEGOTIATED EMPLOYEE ASSISTANCE HOME PURCHASE  
PROGRAM**

**SECTION A:**

The Parties shall continue the Joint Labor-Management Taskforce on Employee Housing.

**SECTION B:**

Pursuant to the DPM, Part 1, Chapter 3 §301, the District provides a preference for District residents in employment. In order to encourage employees to live and work in the District of Columbia, a joint Labor-Management Task Force on Employee Housing was established during previous negotiations with Compensation Units 1 & 2. The Taskforce strives to inform employees of the programs currently available for home ownership in the District of Columbia. Additionally, the Taskforce collaborates with other government agencies including the Department of Housing and Community Development and the District's Housing Finance Agency to further affordable housing opportunities for bargaining unit employees, who have been employed by the District Government for at least one year.

**SECTION C:**

The parties agree that \$500,000.00 will be set aside to be used toward Negotiated employee Assistance Home Purchase Program (NEAHP) for the duration of the Agreement. If at any time, the funds set aside have been depleted, the Parties will promptly convene negotiations to provide additional funds for the program.

**SECTION D:**

Any funds set aside in Fiscal Years 2014, 2015, 2016 and 2017 shall be available for expenditure in that fiscal year or any other fiscal year covered by the Compensation Units 1 and 2 Agreement. All funds set aside for housing incentives shall be expended or obligated prior to the expiration of the Compensation Units 1 and 2 Agreement for FY 2014 – FY 2017.

**ARTICLE 5  
BENEFITS COMMITTEE**

**SECTION A:**

The parties agree to continue their participation on the District's Joint Labor-Management Benefits Committee for the purpose of addressing the benefits of employees in Compensation Units 1 and 2. The Benefits Committee shall meet quarterly, in January, April, July and October of each year.

**SECTION B: RESPONSIBILITIES:**

The Parties shall be authorized to consider all matters that concern the benefits of employees in Compensation Units 1 and 2 that are subject to mandatory bargaining between the parties. The Parties shall be empowered to address such matters only to the extent granted by the Unions in Compensation Units 1 and 2 and the District of Columbia Government. The parties agree to apply a system of expedited arbitration if necessary to resolve issues that are subject to mandatory bargaining. The Committee may, by consensus, discuss and consider other benefit issues that are not mandatory bargaining subjects.

**SECTION C:**

The Committee shall:

1. Monitor the quality and level of services provided to covered employees under existing Health, Optical and Dental Insurance Plans for employees in Compensation Units 1 and 2.
2. Recommend changes and enhancements in Health, Optical and Dental benefits for employees in Compensation Units 1 and 2 consistent with Chapter 6, Subchapter XXI of the D.C. Official Code (2001 ed.).
3. With the assistance of the Office of Contracting and Procurement, evaluate criteria for bids, make recommendations concerning the preparation of solicitation of bids and make recommendations to the contracting officer concerning the selection of providers following the receipt of bids, consistent with Chapter 4 of the D.C. Official Code (2001 ed.).

4. Following the receipt of bids to select health, dental, optical, life and disability insurance providers, the Union's Chief Negotiator shall be notified to identify no more than two individuals to participate in the RFP selection process.
5. Explore issues concerning the workers' compensation system that affect employees in Compensation Units 1 and 2 consistent with Chapter 6, Subchapter XXIII of the D.C. Official Code (2001 ed.).
6. The Union shall be notified of proposed benefit programs to determine the extent to which they impact employees in Compensation Units 1 and 2. Upon notification, the Union shall inform the Office of Labor Relations and Collective Bargaining within ten (10) calendar days to discuss any concerns it has regarding the impact on employees in Compensation Units 1 and 2.

## **ARTICLE 6 BENEFITS**

### **SECTION A: LIFE INSURANCE:**

1. Life insurance is provided to covered employees in accordance with §1-622.01, *et seq.* of the District of Columbia Official Code (2001 Edition) and Chapter 87 of Title 5 of the United States Code.

(a) District of Columbia Official Code §1-622.03 (2001 Edition) requires that benefits shall be provided as set forth in §1-622.07 to all employees of the District first employed after September 30, 1987, except those specifically excluded by law or by rule.

(b) District of Columbia Official Code §1-622.01 (2001 Edition) requires that benefits shall be provided as set forth in Chapter 87 of Title 5 of the United States Code for all employees of the District government first employed before October 1, 1987, except those specifically excluded by law or rule and regulation.

2. The current life insurance benefits for employees hired on or after October 1, 1987 are: The District of Columbia provides life insurance in an amount equal to the employee's annual salary rounded to the next thousand, plus an additional \$2,000. Employees are required to pay two-thirds (2/3) of the total cost of the monthly premium. The District Government shall pay one-third (1/3) of the total cost of the premium. Employees may choose to purchase additional life insurance coverage through the District Government. These additions to the basic coverage are set-forth in the schedule below:

Option A – Standard	Provides \$10,000 additional coverage	Cost determined by age
Option B – Additional	Provides coverage up to five times the employee's annual salary	Cost determined by age and employee's salary
Option C – Family	Provides \$5,000 coverage for the eligible spouse and \$2,500 for each eligible child.	Cost determined by age.

Employees must contact their respective personnel offices to enroll or make changes in their life insurance coverage.

**SECTION B: HEALTH INSURANCE:**

1. Pursuant to D.C. Official Code §1-621.02 (2001 Edition), all employees covered by this agreement and hired after September 30, 1987, shall be entitled to enroll in group health insurance coverage provided by the District of Columbia.

(a) Health insurance coverage shall provide a level of benefits comparable to the plan(s) provided on the effective date of this agreement. Benefit levels shall not be reduced during the term of this agreement except by mutual agreement of the District, representatives of Compensation Units 1 and 2 and the insurance carrier(s). District employees are required to execute an enrollment form in order to participate in this program.

(b) The District may elect to provide additional health care providers for employees employed after September 30, 1987, provided that such addition of providers does not reduce the current level of benefits provided to employees. Should the District Government decide to expand the list of eligible providers, the District shall give Compensation Units 1 & 2 representatives notice of the proposed additions.

(c) Employees are required to contribute 25% of the total premium cost of the employee's selected plan. The District of Columbia Government shall contribute 75% of the premium cost of the employee's selected plan.

2. Pursuant to D.C. Official Code §1-621.01 (2001 Edition), all District employees covered by this agreement and hired before October 1, 1987, shall be eligible to participate in group health insurance coverage provided through the Federal Employees Health Benefits Program (FEHB) as provided in Chapter 89 of Title 5 of the United States Code. This program is administered by United States Office of Personnel Management.

3. The plan descriptions shall provide the terms of coverage and administration of the respective plans. Employees and union representatives are entitled to receive a copy of the summary plan description upon request. Additionally, employees

and union representatives are entitled to review copies of the actual plan description upon advance request.

**SECTION C: OPTICAL AND DENTAL:**

1. The District shall provide Optical and Dental Plan coverage at a level of benefits comparable to the plan(s) provided on the effective date of this agreement. Benefit levels shall not be reduced during the term of this agreement except by mutual agreement of the District, the Union and the insurance carrier(s). District employees are required to execute an enrollment form in order to participate in the Optical and Dental program.

2. The District may elect to provide additional Optical and/or Dental providers, provided that such addition of providers does not reduce the current level of benefits provided to employees. Should the District Government decide to expand the list of eligible providers, the District shall give Compensation Units 1 & 2 representatives notice of the proposed additions.

**SECTION D: SHORT-TERM DISABILITY INSURANCE PROGRAM**

Employees covered by this Agreement shall be eligible to enroll, at their own expense, in the District's Short-Term Disability Insurance Program, which provides for partial income replacement when employees are required to be absent from duty due to a non-work-related qualifying medical condition. Employees may use income replacement benefits under the program in conjunction with annual or sick leave benefits provided for in this Agreement.

**SECTION E: ANNUAL LEAVE:**

1. In accordance with D.C. Official Code §1-612.03 (2001 Edition), full-time employees covered by the terms of this agreement are entitled to:

(a) one-half (1/2) day (4 hours) for each full biweekly pay period for an employee with less than three years of service (accruing a total of thirteen (13) annual leave days per annum);

(b) three-fourths (3/4) day (6 hours) for each full biweekly pay period, except that the accrual for the last full biweekly pay period in the year is one and one-fourth days (10 hours), for an employee with more than three (3) but less than fifteen (15) years of service (accruing a total of twenty (20) annual leave days per annum); and,

(c) one (1) day (8 hours) for each full biweekly pay period for an employee with fifteen (15) or more years of service (accruing a total of twenty-six (26) annual leave days per annum).

2. Part-time employees who work at least 40 hours per pay period earn annual leave at one-half the rate of full-time employees.

3. Employees shall be eligible to use annual leave in accordance with the District of Columbia laws.

**SECTION F: SICK LEAVE:**

1. In accordance with District of Columbia Official Code §1-612.03 (2001 Edition), a full-time employee covered by the terms of this agreement may accumulate up to thirteen (13) sick days in a calendar year.

2. Part-time employees for whom there has been established in advance a regular tour of duty of a definite day or hour of any day during each administrative workweek of the biweekly pay period shall earn sick leave at the rate of one (1) hour for each twenty (20) hours of duty. Credit may not exceed four (4) hours of sick leave for 80 hours of duty in any pay period. There is no credit of leave for fractional parts of a biweekly pay period either at the beginning or end of an employee's period of service.

**SECTION G: OTHER FORMS OF LEAVE:**

1. **Military Leave:** An employee is entitled to leave, without loss of pay, leave, or credit for time of service as reserve members of the armed forces or as members of the National Guard to the extent provided in D.C. Official Code §1-612.03(m) (2001 Edition).

2. **Court Leave:** An employee is entitled to leave, without loss of pay, leave, or service credit during a period of absence in which he or she is required to report for jury duty or to appear as a witness on behalf of the District of Columbia Government, or the Federal or a state or local government to the extent provided in D.C. Official Code §1-612.03(l) (2001 Edition).

3. **Funeral Leave:**

a. An employee is entitled to two (2) days of leave, without loss of pay, leave, or service credit to make arrangements for or to attend the funeral or memorial service for an immediate relative. In addition, the Employer shall grant an employee's request for annual or compensatory time up to three (3) days upon the death of an immediate relative. Approval of additional time shall be at the Employer's discretion. However, requests for leave shall be granted unless the Agency's ability to accomplish its work would be seriously impaired.

b. For the purpose of this section "immediate relative" means the following relatives of the employee: spouse (including a person identified by an employee as his/her "domestic partner" (as defined in D.C. Official Code §32-701 (2001 edition), and related laws), and parents thereof, children (including adopted and foster children and children of whom the employee is legal guardian and spouses thereof, parents, grandparents, grandchildren, brothers, sisters, and spouses thereof. For the purposes of certification of leave, employees shall provide a copy of the obituary or death notice, a note from clergy or funeral professional or a death certificate upon the Employer's request.



c. An employee is entitled to not more than three (3) days of leave, without loss of pay, leave, or service credit to make arrangements for or to attend the funeral or memorial service for a family member who died as a result of a wound, disease or injury incurred while serving as a member of the armed forces in a combat zone to the extent provided in D.C. Official Code §1-612.03(n) (2001 Edition).

**SECTION H: PRE-TAX BENEFITS:**

1. Employee contributions to benefits programs established pursuant to D.C. Official Code §1-611.19 (2001 ed.), including the District of Columbia Employees Health Benefits Program, may be made on a pre-tax basis in accordance with the requirements of the Internal Revenue Code and, to the extent permitted by the Internal Revenue Code, such pre-tax contributions shall not effect a reduction of the amount of any other retirement, pension, or other benefits provided by law.

2. To the extent permitted by the Internal Revenue Code, any amount of contributions made on a pre-tax basis shall be included in the employee's contributions to existing life insurance, retirement system, and for any other District government program keyed to the employee's scheduled rate of pay, but shall not be included for the purpose of computing Federal or District income tax withholdings, including F.I.C.A., on behalf of any such employee.

**SECTION I: RETIREMENT:**

1. **CIVIL SERVICE RETIREMENT SYSTEM (CSRS):** As prescribed by 5 U.S.C. §8401 and related chapters, employees first hired by the District of Columbia Government before October 1, 1987, are subject to the provisions of the CSRS, which is administered by the U.S. Office of Personnel Management. Under Optional Retirement the aforementioned employee may choose to retire when he/she reaches:

- (a) Age 55 and 30 years of service;
- (b) Age 60 and 20 years of service;
- (c) Age 62 and 5 years of service.

Under Voluntary Early Retirement, which must be authorized by the U.S. Office of Personnel Management, an employee may choose to retire when he/she reaches:

- (a) Age 50 and 20 years of service;
- (b) Any age and 25 years of service.

The pension of an employee who chooses Voluntary Early Retirement will be reduced by 2% for each year under age 55.

**2. CIVIL SERVICE RETIREMENT SYSTEM: SPECIAL RETIREMENT PROVISIONS FOR LAW ENFORCEMENT OFFICERS:**

Employees first hired by the District of Columbia Government before October 1, 1987, who are subject to the provisions of the CSRS and determined to be:

- (a) a "law enforcement officer" within the meaning of 5 U.S.C. §8331(20)(D);  
and
- (b) eligible for benefits under the special retirement provision for law enforcement officers;

shall continue to have their retirement benefits administered by the U. S. Office of Personnel Management in accordance with applicable law and regulation.

**3. DEFINED CONTRIBUTION PENSION PLAN:**

Section A:

The District of Columbia shall continue the Defined Contribution Pension Plan currently in effect which includes:

(1) All eligible employees hired by the District on or after October 1, 1987, are enrolled into the defined contribution pension plan.

(2) As prescribed by §1-626.09(c) of the D.C. Official Code (2001 Edition) after the completion of one year of service, the District shall contribute an amount not less than 5% of their base salary to an employee's Defined Contribution Pension Plan account. The District government funds this plan; there is no employee contribution to the Defined Contribution Pension Plan.

(3) As prescribed by §1-626.09(d) of the D.C. Official Code (2001 Edition) the District shall contribute an amount not less than an additional .5% of a detention officer's base salary to the same plan.

(4) Compensation Units 1 and 2 Joint Labor Management Technical Advisory Pension Reform Committee

(a) Establishment of the Joint Labor-Management Technical Advisory Pension Reform Committee (JLMTAPRC or Committee)

(1) The Parties agree that employees should have the security of a predictable level of income for their retirement after a career in public service. In order to support the objective of providing retirement income for employees hired on or after October 1, 1987, the District shall plan and implement an enhanced retirement program effective October 1, 2008. The enhanced program will consist of a

deferred compensation component and a defined benefit component.

(2) Accordingly, the Parties agree that the JLMTAPRC is hereby established for the purpose of developing an enhanced retirement program for employees covered by the Compensation Units 1 and 2 Agreement.

(b) Composition of the JLMTAPRC

The Joint Labor-Management Technical Advisory Pension Reform Committee will be composed of six (6) members, three (3) appointed by labor and three (3) appointed by management, and the Chief Negotiators (or his/her designee) of Compensation Units 1 and 2. Appointed representatives must possess a pension plan background including but not limited to consulting, financial or actuarial services. In addition, an independent consulting firm with demonstrated experience in pension plans design and actuarial analysis will support the Committee.

(c) Responsibilities of the JLMTAPRC

The Committee shall be responsible to:

- Plan and design an enhanced retirement program for employees hired on or after October 1, 1987 with equitable sharing of costs and risks between employee and employer;
- Establish a formula cap for employee and employer contributions;
- Establish the final compensation calculation using the highest three-year consecutive average employee wages;
- Include retirement provisions such as disability, survivor and death benefits, health and life insurance benefits;
- Design a plan sustainable within the allocated budget;
- Draft and support legislation to amend the D.C. Code in furtherance of the "Enhanced Retirement Program."

(d) Duration of the Committee

The Committee shall complete and submit a report with its recommendations to the City Administrator for the District of Columbia within one hundred and twenty (120) days after the effective date of the Compensation Units 1 and 2 Agreement.

#### **4. TIAA-CREF PLAN:**

For eligible education service employees at the University of the District of Columbia hired by the University or a predecessor institution, the University will contribute an amount not less than seven percent (7%) of their base salary to the Teachers Insurance and Annuity Association College Retirement Equities Fund (TIAA-CREF).

#### **SECTION J: HOLIDAYS:**

1. As prescribed by D.C. Official Code §1-612.02 (2001 Edition) the following legal public holidays are provided to all employees covered by this agreement:

- (a) New Year's Day, January 1st of each year;
- (b) Dr. Martin Luther King, Jr.'s Birthday, the 3rd Monday in January of each year;
- (c) Washington's Birthday, the 3rd Monday in February of each year;
- (d) Emancipation Day, April 16<sup>th</sup>;
- (e) Memorial Day, the last Monday in May of each year;
- (f) Independence Day, July 4th of each year;
- (g) Labor Day, the 1st Monday in September of each year;
- (h) Columbus Day, the 2nd Monday in October of each year;
- (i) Veterans Day, November 11th of each year;
- (j) Thanksgiving Day, the 4th Thursday in November of each year;  
and
- (k) Christmas Day, December 25th of each year.

2. When an employee, having a regularly scheduled tour of duty is relieved or prevented from working on a day District agencies are closed by order of the Mayor, he or she is entitled to the same pay for that day as for a day on which an ordinary day's work is performed.

### **ARTICLE 7 OVERTIME**

#### **SECTION A: Overtime Work:**

Hours of work authorized in excess of eight (8) hours in a pay status in a day or forty (40) hours in a pay status in a work week shall be overtime work for which an employee shall receive either overtime pay or compensatory time unless the employee has used unscheduled leave during the eight (8) hours shift or the forty (40) hour work week. The unscheduled leave rule will not apply when an employee has worked a sixteen (16) hour shift (back-to-back) and takes unscheduled leave for an eight (8) hour period following the back-to-back shift or where an employee has indicated his/her preference not to work overtime and the Employer has no other option but to order the employee to work overtime. Scheduled leave is leave requested and approved prior to the close of the preceding shift.

**SECTION B: Compressed, Alternate and Flexible Schedules:**

1. Compressed, Alternate and Flexible schedules may be jointly determined within a specific work area that modifies this overtime provision (as outlined in Section A of this Article) but must be submitted to the parties to this contract prior to implementation. This Agreement to jointly determine compressed schedules does not impact on the setting of the tour of duty.

2. When an employee works a Compressed, Alternate, and Flexible schedule, which generally means (1) in the case of a full-time employee, an 80-hour biweekly basic work requirement which is scheduled for less than 10 workdays, and (2) in the case of a part-time employee, a biweekly basic work requirement of less than 80 hours which is scheduled for less than 10 workdays, the employee would receive overtime pay or compensatory time for all hours in a pay status in excess of his/her assigned tour of duty, consistent with the 2004 District of Columbia Omnibus Authorization Act, 118 Stat. 2230, Pub. L. 108-386 Section (October 30, 2004).

3. The purpose of this Section is to allow for authorized Compressed, Alternate, and Flexible time schedules which exceed eight (8) hours in a day or 40 hours in a week to be deemed the employee's regular tour of duty, and not be considered and not be considered overtime within the confines of the specific compressed work schedule and this Article. Bargaining unit members so affected would receive overtime or compensatory time for all hours in pay status in excess of their assigned tour of duty.

**SECTION C:**

Subject to the provisions of Section D of this Article, an employee who performs overtime work shall receive either pay or compensatory time at a rate of time and one-half (1-1/2) for each hour of work for which overtime is payable.

**SECTION D:**

Bargaining Unit employees shall receive overtime pay unless the employee and the supervisor mutually agree to compensatory time in lieu of pay for overtime work. Such mutual agreement shall be made prior to the overtime work being performed.

**SECTION E:**

Paramedics and Emergency Medical Services Technicians employed by the Fire and Emergency Medical Services Department and represented by the American Federation of Government Employees, Local 3721 shall earn overtime after they have worked 40 hours in a week.

**ARTICLE 8  
INCENTIVE PROGRAMS**

## **PART I - SICK LEAVE INCENTIVE PROGRAM:**

In order to recognize an employee's productivity through his/her responsible use of accrued sick leave, the Employer agrees to provide time-off in accordance with the following:

### **SECTION A:**

A full time employee who is in a pay status for the leave year shall accrue annually:

1. Three (3) days off for utilizing a total of no more than two (2) days of accrued sick leave.
2. Two (2) days off for utilizing a total of more than two (2) but not more than four (4) days of accrued sick leave.
3. One (1) day off for utilizing a total of more than four (4) but no more than five (5) days of accrued sick leave.

### **SECTION B:**

Employees in a non-pay status for no more than two (2) pay periods for the leave year shall remain eligible for incentive days under this Article. Sick leave usage for maternity or catastrophic illness/injury, not to exceed two (2) consecutive pay periods, shall not be counted against sick leave for calculating eligibility for incentive leave under this Article.

### **SECTION C:**

Time off pursuant to a sick leave incentive award shall be selected by the employee and requested at least three (3) full workdays in advance of the leave date. Requests for time off pursuant to an incentive award shall be given priority consideration and the employee's supervisor shall approve such requests for time off unless staffing needs or workload considerations dictate otherwise. If the request is denied, the employee shall request and be granted a different day off within one month of the date the employee initially requested. Requests for time off shall be made on the standard "Application for Leave" form.

### **SECTION D:**

All incentive days must be used in full-day increments following the leave year in which they were earned. Incentive days may not be substituted for any other type of absence from duty. There shall be no carryover or payment for any unused incentive days.

### **SECTION E:**

Part-time employees are not eligible for the sick leave incentive as provided in this Article.

**SECTION F:**

This program shall be in effect in Fiscal Years 2014, 2015, 2016 and 2017.

**PART II – PERFORMANCE INCENTIVE PILOT PROGRAM:**

In order to recognize employees' productivity through their accomplishment of established goals and objectives, special acts toward the accomplishment of agency initiatives, demonstrated leadership in meeting agency program and/or project goals and/or the District's Strategic Plan initiatives, the Employer, in accordance with criteria established by the High Performance Workplace Committee agrees to establish pilot incentive programs within agencies, including time off without loss of pay or charge to leave as an incentive award. The District of Columbia Government Office of Labor Management Partnerships and the District of Columbia Incentive Awards Committee may serve as resources at the request of the parties in the implementation of the pilot incentive programs within agencies.

**ARTICLE 9**

**CALL-BACK/CALL-IN/ON-CALL AND PREMIUM PAY**

**SECTION A: CALL-BACK**

A minimum of four (4) hours of overtime, shall be credited to any employee who is called back to perform unscheduled overtime work on a regular workday after he/she completes the regular work schedule and has left his/her place of employment.

**SECTION B: CALL-IN**

1. When an employee is called in before his/her regular tour of duty to perform unscheduled overtime and there is no break before the regular tour is to begin, a minimum of two (2) hours of overtime shall be credited to the employee.

2. A minimum of four (4) hours of overtime work shall be credited to any employee who is called in when not scheduled and informed in advance, on one of the days when he/she is off duty.

**SECTION C: ON-CALL**

1. An employee may be required to be on call after having completed his/her regular tour of duty. The employer shall specify the hours during which the employee is on call; and shall compensate the employee at a rate of twenty-five percent (25%) of his/her basic rate of pay for each hour the employee is on call.

2. The employee's schedule must specify the hours during which he/she will be required to remain on-call. On call designation will be made on the form attached as Appendix 1.

**SECTION D: HOLIDAY PAY**

An employee who is required to work on a legal holiday falling within his or her regular basic workweek, shall be paid at the rate of twice his or her regular basic rate of pay for not more than eight (8) hours of such work.

**SECTION E: NIGHT DIFFERENTIAL**

An employee shall receive night differential pay at a rate of ten percent (10%) in excess of their basic day rate of compensation when they perform night work on a regularly scheduled tour of duty falling between 6:00 p.m. and 6:00 a.m. Employees shall receive night differential in lieu of shift differential.

**SECTION F: PAY FOR SUNDAY WORK**

A full-time employee assigned to a regularly scheduled tour of duty, any part of which includes hours that fall between midnight Saturday and midnight Sunday, is entitled to Sunday premium pay for each hour of work performed which is not overtime work and which is not in excess of eight (8) hours for each tour of duty which begins or ends on Sunday. Sunday premium pay is computed as an additional twenty-five percent (25%) of the employee's basic rate of compensation.

**SECTION G: ADDITIONAL INCOME ALLOWANCE FOR CHILD AND FAMILY SERVICES**

1. The Additional Income Allowance (AIA) program within the Child and Family Services Agency (CFSA) which was established pursuant to the "Personnel Recruitment and Retention Incentives for Child and Family Services Agency Compensation System Changes Emergency Approval Resolution of 2001", Council Resolution 14-53 (March 23, 2001) and as contained in Chapter 11, Section 1154 of the District Personnel Manual, "Recruitment and Retention Incentives – Child and Family Services Agency," shall remain in full force and effect during the term of this Agreement.
2. The Administration of the AIA within CFSA shall be governed by the implementing regulations established in Child and Family Services Agency, Human Resources Administration Issuance System, HRA Instruction No. IV.11-3.



3. **OTHER SUBORDINATE AGENCIES WITH SIGNIFICANT RECRUITMENT AND RETENTION PROBLEMS**

Subordinate agencies covered by this Agreement may provide additional income allowances for positions that have significant recruitment and retention problems consistent with Chapter 11, Part B, Section 1143 of the District Personnel Manual.

**ARTICLE 10  
MILEAGE ALLOWANCE**

**SECTION A:**

The parties agree that the mileage allowance established for the employees of the Federal Government who are authorized to use their personal vehicles in the performance of their official duties shall be the rate for Compensation Units 1 and 2 employees, who are also authorized in advance, by Management to use their personal vehicles in the performance of their official duties.

**SECTION B:**

To receive such allowance, authorization by Management must be issued prior to the use of the employee's vehicle in the performance of duty. Employees shall use the appropriate District Form to document mileage and request reimbursement of the allowance.

**SECTION C:**

1. Employees required to use their personal vehicle for official business if a government vehicle is not available, who are reimbursed by the District on a mileage basis for such use, are within the scope of the District of Columbia Non-Liability Act (D.C. Official Code §§2-411 through 2-416 (2001 Edition)). The Non-Liability Act generally provides that a District Employee is not subject to personal liability in a civil suit for property damage or for personal injury arising out of a motor vehicle accident during the discharge of the employee's official duties, so long as the employee was acting within the scope of his or her employment.

2. Claims by employees for personal property damage or loss incident to the use of their personal vehicle for official business if a government vehicle is not available may be made under the Military Personnel and Civilian Employees Claim Act of 1964 (31 U.S.C. §3701 *et seq.*).

**SECTION D:**

No employee within Compensation 1 and 2 shall be required to use his/her personal vehicle unless the position vacancy announcement, position description or other pre-hire

documentation informs the employee that the use of his/her personal vehicle is a requirement of the job.

**SECTION E:**

Employees required as a condition of employment to use their personal vehicle in the performance of their official duties may be provided a parking space or shall be reimbursed for non-commuter parking expenses, which are incurred in the performance of their official duties.

**ARTICLE 11**  
**ANNUAL LEAVE/COMPENSATORY TIME BUY-OUT**

**SECTION A:**

An employee who is separated or is otherwise entitled to a lump-sum payment under personnel regulations for the District of Columbia Government shall receive such payment for each hour of unused annual leave or compensatory time in the employee's official leave record.

**SECTION B:**

The lump-sum payment shall be computed on the basis of the employee's rate at the time of separation in accordance with such personnel regulations.

**ARTICLE 12**  
**BACK PAY**

Arbitration awards or settlement agreements in cases involving an individual employee shall be paid within sixty (60) days of receipt from the employee of relevant documentation, including documentation of interim earnings and other potential offsets. The responsible Agency shall submit the SF-52 and all other required documentation to the Department of Human Resources within thirty (30) days upon receipt from the employee of relevant documentation.

**ARTICLE 13**  
**DUTY STATION COVERAGE**

The Fire and Emergency Medical Services employees and the correctional officers at the Department of Corrections and the Department of Youth Rehabilitative Services who are covered under Section 7(k) of the Fair Labor Standards Act shall be compensated a minimum of one hour pay if required to remain at his/her duty station beyond the normal tour of duty.

## **ARTICLE 14 GRIEVANCES**

### **SECTION A:**

This Compensation Agreement shall be incorporated by reference into local working conditions agreements in order to utilize the grievance/arbitration procedure in those Agreements to consider alleged violations of this Agreement.

### **SECTION B:**

Grievances concerning compensation shall be filed with the appropriate agency and the Office of Labor Relations and Collective Bargaining under the applicable working conditions agreement.

## **ARTICLE 15 LOCAL ENVIRONMENT PAY**

### **SECTION A:**

Each department or agency shall eliminate or reduce to the lowest level possible all hazards, physical hardships, and working conditions of an unusual nature. When such action does not overcome the hazard, physical hardship, or unusual nature of the working condition, additional pay is warranted. Even though additional pay for exposure to a hazard, physical hardship, or unusual working condition is authorized, there is a responsibility on the part of a department or agency to initiate continuing positive action to eliminate danger and risk which contribute to or cause the hazard, physical hardship, or unusual working condition. The existence of pay for exposure to hazardous working conditions or hardships in a local environment is not intended to condone work practices that circumvent safety laws, rules and regulations.

### **SECTION B:**

Local environment pay is paid for exposure to (1) a hazard of an unusual nature which could result in significant injury, illness, or death, such as on a high structure when the hazard is not practically eliminated by protective facilities or an open structure when adverse conditions exist, e.g., darkness, lightning, steady rain, snow, sleet, ice, or high wind velocity; (2) a physical hardship of an unusual nature under circumstances which cause significant physical discomfort in the form of nausea, or skin, eye, ear or nose irritation, or conditions which cause abnormal soil of body and clothing, etc., and where such distress or discomfort is not practically eliminated.

**SECTION C:**

Wage Grade (WG) employees as listed in Chapter 11B, Appendix C of the DPM and any other employee including District Service (DS) employees as determined pursuant to Section 4 of this Article and Chapter 11B, Subpart 10.6 of the DPM are eligible for environmental differentials.

**SECTION D:**

The determination as to whether additional pay is warranted for workplace exposure to environmental hazards, hardships or unusual working conditions may be initiated by an agency or labor organization in accordance with the provisions of Chapter 11B, Subpart 10.6 of the DPM.

**SECTION E:**

Employees eligible for local environment pay under the terms of this Agreement shall be compensated as follows:

1. **Severe Exposure.** Employees subject to “Severe” exposure shall receive local environment pay equal to twenty seven percent (27%) of *the rate for RW 10, step 2 on the Compensation Unit 2 pay schedule*. The following categories of work are currently paid the rate for “severe” exposure:

- High Work

2. **Moderate Exposure.** Employees subject to “Moderate” exposure shall receive local environment pay equal to ten percent (10%) of *the rate for RW 10, step 2 on the Compensation Unit 2 pay schedule*. The following categories of work are currently paid the rate for “moderate” exposure:

- Explosives and Incendiary  
Materials – High Degree Hazard
- Poison (Toxic Chemicals)  
– High Degree Hazard
- Micro Organisms  
– High Degree Hazard

3. **Low Exposure.** Employees subject to “Low” exposure shall receive local environment pay equal to five percent (5%) of *the rate for RW 10, step 2 on the Compensation Unit 2 pay schedule*. The following categories of work are currently paid the rate for “low” exposure:

- Dirty Work
- Cold Work
- Hot Work
- Welding Preheated metals

- Explosives and Incendiary Materials
  - Low Degree Hazard
- Poison (Toxic Chemicals)
  - Low Degree Hazard
- Micro Organisms
  - Low Degree Hazard

**SECTION F:**

These changes to local environment pay shall not take effect until the payroll modules of PeopleSoft are implemented by the District of Columbia.

**ARTICLE 16  
NEWLY CERTIFIED BARGAINING UNITS**

For units placed into a new compensation unit, working conditions or non-compensatory matters shall be negotiated simultaneous with negotiations concerning compensation. Where the agreement is for a newly certified collective bargaining unit assigned to an existing compensation unit, the parties shall proceed promptly to negotiate simultaneously any working conditions, other non-compensatory matters, and coverage of the compensation agreement. There should not be read into the new language any intent that an existing compensation agreement shall become negotiable when there is a newly certified collective bargaining unit. Rather, the intent is to require prompt negotiations of non-compensatory matters as well as application of compensation (e.g., when pay scale shall apply to the newly certified unit).

**ARTICLE 17  
TERM AND TEMPORARY EMPLOYEES**

The District of Columbia recognizes that many temporary and term employees have had their terms extended to perform permanent services. To address the interests of current term and temporary employees whose appointments have been so extended over time and who perform permanent services, the District of Columbia and the Union representing the employees in Compensation Units 1 and 2 agree to the following:

**SECTION A:**

Joint labor-management committees established in each agency/program in the Compensation Units 1 and 2 collective bargaining agreement which was effective through September 30, 2010, shall continue and will identify temporary and term employees whose current term and or temporary appointments extend to September 30, 2006, and who perform permanent services in District agency programs.

**SECTION B:**

Each Agency and Local Union shall review all term appointments within the respective agencies to determine whether such appointments are made and maintained consistent with applicable law. The Union shall identify individual appointments it believes to be contrary to applicable law and notify the Agency. The Agency shall provide the Union reason(s) for the term or temporary nature of the appointment(s), where said appointments appear to be contrary to law. If an employee has been inappropriately appointed to or maintained in a temporary or term appointment, the Agency and the Union shall meet to resolve the matter.

**SECTION C:**

The agency shall convert bargaining unit temporary and term employees identified by the joint labor-management committees, who perform permanent services, who are in a pay status as of September 30, 2010, and are paid from appropriated funding to the career service prior to the end of the FY 2013 – FY 2017 Compensation Agreement.

**SECTION D:**

Prior to the end of the FY 2013 – FY 2017 Compensation Agreement, to the extent not inconsistent with District or Federal law and regulation, the District shall make reasonable efforts to convert to the career service temporary and term bargaining unit employees identified by the joint labor-management committees who perform permanent services, are in a pay status as of September 30, 2017, are full-time permanent positions, and are paid through intra-district funding or federal grant funding.

**SECTION E:**

Employees in term or temporary appointments shall be converted to permanent appointments, consistent with the D.C. Official Code.

**SECTION F:**

District agencies retain the authority to make term and temporary appointments as appropriate for seasonal and temporary work needs.

**SECTION G:**

A Joint-Labor Management Committee shall consist of one (1) representative from each national union comprising Compensation Units 1 and 2. The District shall appoint an equal number of representatives. The Committee will facilitate the implementation of this Article should difficulties arise in the Joint-Labor Management Committees set forth in Section A.

**ARTICLE 18**  
**SAVINGS CLAUSE**

**SECTION A:**

Should any provisions of this Agreement be rendered or declared invalid by reason of any existing or subsequently enacted law or by decree of a court or administrative agency of competent jurisdiction, such invalidation shall not affect any other part or provision hereof. Where appropriate, the parties shall meet within 120 days to negotiate any substitute provision(s).

**SECTION B:**

The terms of this contract supersede any subsequently enacted D.C. laws, District Personnel Manual (DPM) regulations, or departmental rules concerning compensation covered herein.


**ARTICLE 19**  
**DURATION**

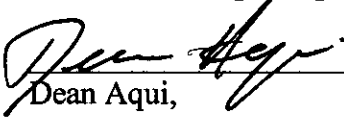
This Agreement shall remain in full force and effect through September 30, 2017. On this \_\_\_\_\_ day of \_\_\_\_\_ 2013, and as witness the parties hereto have set their signature.

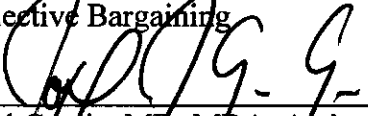
**Compensation Units One and Two Collective Bargaining Agreement**

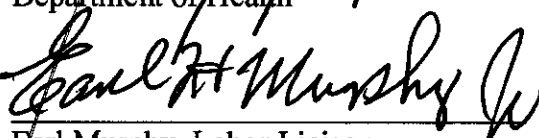
Signed: July, 2013


**FOR THE DISTRICT OF COLUMBIA  
GOVERNMENT**


  
\_\_\_\_\_  
Natasha Campbell, Director  
Office of Labor Relations and  
Collective Bargaining

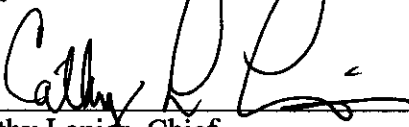
  
\_\_\_\_\_  
Dean Aquino,  
Supervisory Attorney Advisor  
Office of Labor Relations and  
Collective Bargaining

  
\_\_\_\_\_  
Joxel Garcia, MD, MBA, Acting Director  
Department of Health

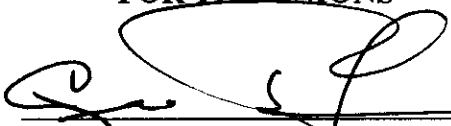
  
\_\_\_\_\_  
Earl Murphy, Labor Liaison  
Department of Health


  
\_\_\_\_\_  
William Howland, Director  
Department of Public Works

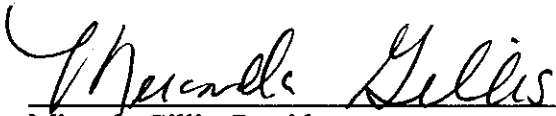
  
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Department of Public Works

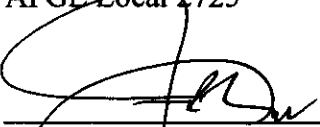
  
\_\_\_\_\_  
Cathy Lanier, Chief  
Metropolitan Police Department

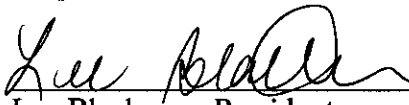
**FOR THE UNIONS**

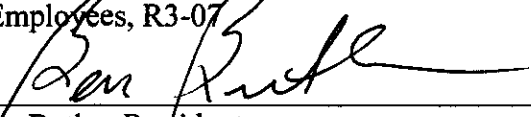
  
\_\_\_\_\_  
Geo T. Johnson, Chief Negotiator  
Compensation Units 1 and 2

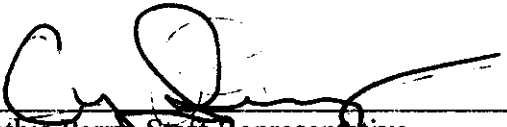
  
\_\_\_\_\_  
James Ivey, President  
AFSCME Local 2091

  
\_\_\_\_\_  
Miranda Gillis, President  
AFGE Local 2725

  
\_\_\_\_\_  
John Rosser, Chairman  
Fraternal Order of Police/Department of  
Corrections Labor Committee

  
\_\_\_\_\_  
Lee Blackmon, President  
National Association of Government  
Employees, R3-07

  
\_\_\_\_\_  
Ben Butler, President  
AFGE Local 2741


  
\_\_\_\_\_  
Cynthia Perry, Staff Representative  
1199 NUCHHE




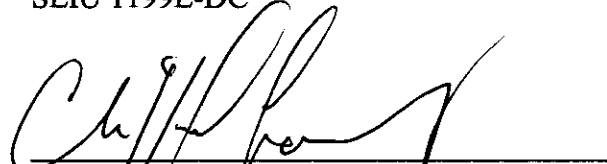
**Compensation Units One and Two Collective Bargaining Agreement**

Signed: July, 2013

\_\_\_\_\_  
Mark Viehmeyer, Labor Liaison  
Metropolitan Police Department

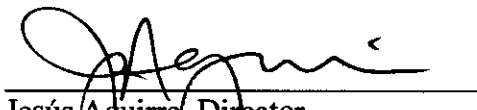
  
\_\_\_\_\_  
Lisa Wallace, Vice President  
SEIU 1199E-DC

  
\_\_\_\_\_  
Kenneth Ellerbe, Chief  
DC Fire and Emergency Medical Services


  
\_\_\_\_\_  
Clifford Lowrey, President  
AFGE Local 1975


\_\_\_\_\_  
Brian Lee  
DC Fire and Emergency Medical Services


\_\_\_\_\_  
Sabrina Brown, President  
AFSCME Local 2401

  
\_\_\_\_\_  
Jesús Aguirre, Director  
Department of Parks and Recreation

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Reginald Walker, President  
AFSCME Local 1200

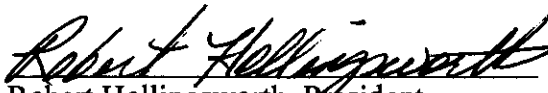
  
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Jamarj Johnson, Labor Liaison  
Department of Park and Recreation

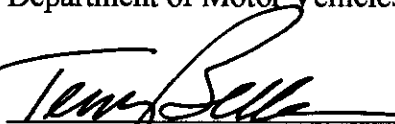
  
\_\_\_\_\_  
Cliff Dedrick, President  
AFSCME Local 2743


  
\_\_\_\_\_  
Lucinda Babers, Director  
Department of Motor Vehicles

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Kenneth Lyons, President  
AFGE Local 3721

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Odessa Nance, Labor Liaison  
Department of Motor Vehicles

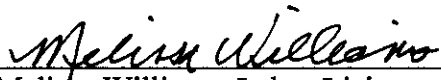
  
\_\_\_\_\_  
Robert Hollingsworth, President  
AFSCME Local 2776


  
\_\_\_\_\_  
Terry Bellamy, Director  
Department of Transportation

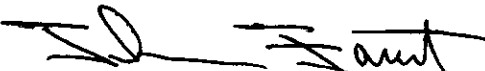
  
\_\_\_\_\_  
Antoinette White-Richardson, President  
AFSCME Local 1808


Compensation Units One and Two Collective Bargaining Agreement


Signed: July, 2013

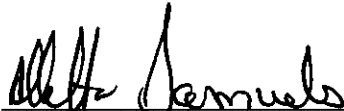
  
Melissa Williams, Labor Liaison  
Department of Transportation


  
Robert Mayfield, President  
AFGE Local 2978


  
Thomas Faust, Director  
Department of Corrections

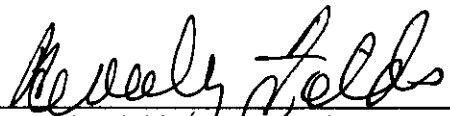
  
Timothy Traylor, President  
AFGE Local 383

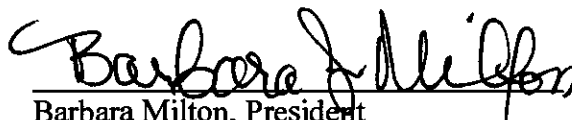
  
Paulette Johnson-Hutchings,  
Labor Liaison  
Department of Corrections


  
~~Richard Campbell~~, President Alletta Samuel  
AFGE Local 1000

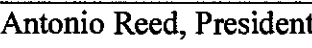
  
Marie Lydie Merre-Louis  
Chief Medical Examiner  
Office of the Chief Medical Examiner

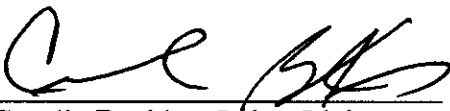
  
Walter Jones, President  
AFSCME Local 2087

  
Beverly Fields, Labor Liaison  
Office of the Chief Medical Examiner


  
Barbara Milton, President  
AFGE Local 631

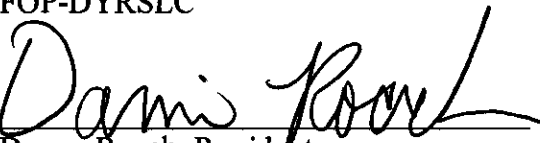
  
Brian Hanlon, Director  
Department of General Services

  
Antonio Reed, President  
NAGE R3-05

  
Cecelia Banks, Labor Liaison  
Department of General Services

  
Cedric Crawley  
FOP-DYRSLC

  
Phillip A. Lattimore, III, Director  
Office of Risk Management


  
Darren Roach, President  
AFSCME Local 877

**Compensation Units One and Two Collective Bargaining Agreement**

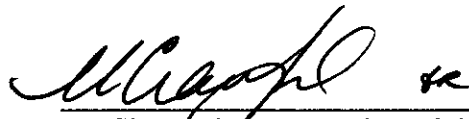
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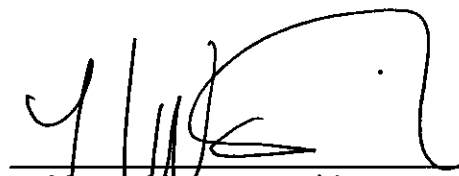
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Amy Mauro, Labor Liaison  
Office of Risk Management

\_\_\_\_\_  
Sheila Bailey-Wilson, President  
AFSCME Local 709

  
\_\_\_\_\_  
Emily Duso, Interim State  
Superintendent of Education  
Office of the State Superintendent  
Of Education


\_\_\_\_\_  
Johnnie Walker, Representative  
AFGE Local 3444


  
\_\_\_\_\_  
RaeShawn Crosson, Labor Liaison  
Office of the State Superintendent  
Of Education


  
\_\_\_\_\_  
Keith Washington, President  
AFSCME Local 2092

\_\_\_\_\_  
Dr. Natwar Gandhi,  
Chief Financial Officer  
Office of the Chief Financial Officer

\_\_\_\_\_  
Mary Horne, President  
AFSCME Local 2095

  
\_\_\_\_\_  
Paul Lundquist, Labor Liaison  
Office of the Chief Financial Officer


  
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Phillip A. Lattimore, III, Director  
Office of Risk Management

  
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Wayne M. Turnage, Director  
Department of Health Care Finance

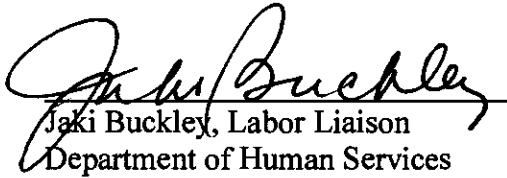
**Compensation Units One and Two Collective Bargaining Agreement**

Signed: July, 2012

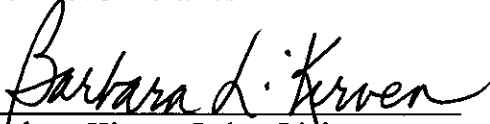
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Portia Shorter, Labor Liaison  
Department of Health Care Finance



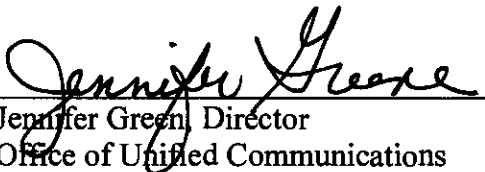
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David Berns, Director  
Department of Human Services

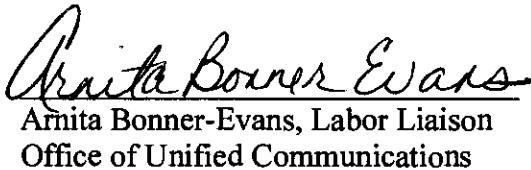
  
Jaki Buckley, Labor Liaison  
Department of Human Services

\_\_\_\_\_  
Ginnie Cooper, Executive Director  
DC Public Libraries



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Barbara Kirven, Labor Liaison  
DC Public Libraries

  
Jennifer Green, Director  
Office of Unified Communications

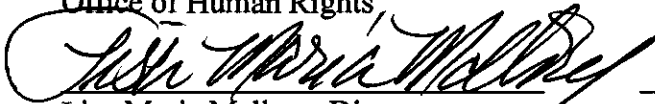
  
Armita Bonner-Evans, Labor Liaison  
Office of Unified Communications

**Compensation Units One and Two Collective Bargaining Agreement**


Signed: July, 2012


\_\_\_\_\_  
Gustavo F. Velasquez, Director  
Office of Human Rights


\_\_\_\_\_  
Ayanna Lee, Labor Liaison  
Office of Human Rights


  
\_\_\_\_\_  
Lisa Maria Mallory, Director  
Department of Employment Services

\_\_\_\_\_  
Rahsaan J. Coefield, Labor Liaison  
Department of Employment Services

  
\_\_\_\_\_  
William P. White, Commissioner  
Department of Insurance, Securities  
And Banking

  
\_\_\_\_\_  
Margaret Schwender, Labor Liaison  
Department of Insurance, Securities  
And Banking

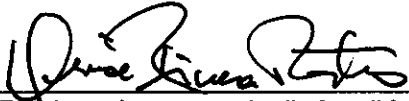
  
\_\_\_\_\_  
Nicholas A. Majett, Director  
Department of Consumer and  
Regulatory Affairs

  
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Donald Tatum, Labor Liaison  
Department of Consumer and  
Regulatory Affairs

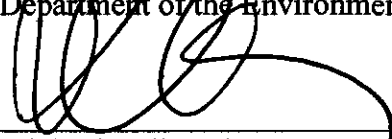
**Compensation Units One and Two Collective Bargaining Agreement**

Signed: July, 2012

\_\_\_\_\_  
Keith Anderson, Director  
Department of the Environment



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Denise Rivera-Portis, Labor Liaison  
Department of the Environment



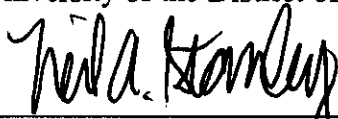
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Michael Kelly, Director  
Department of Housing and  
Community Development



\_\_\_\_\_  
Angela Nottingham, Labor Liaison  
Department of Housing and  
Community Development

\_\_\_\_\_  
Dr. James E. Lyons, Sr., Interim President  
University of the District of Columbia

\_\_\_\_\_, Labor Liaison  
University of the District of Columbia



\_\_\_\_\_  
Neil Stanley, Director  
Department of Youth Rehabilitation  
Services

\_\_\_\_\_  
Tania Mortensen, Labor Liaison  
Department of Youth Rehabilitation  
Services



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Vikkie Garay, Labor Liaison  
Department of General Services

**Compensation Units One and Two Collective Bargaining Agreement**

Signed: July, 2012

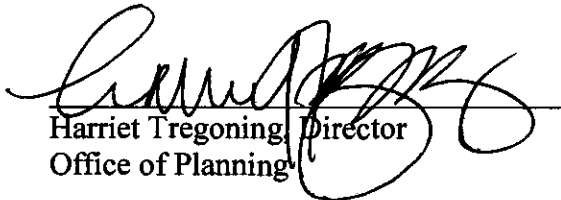
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Ron M. Linton, Commissioner  
DC Taxicab Commission

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Patty Mason, Labor Liaison  
DC Taxicab Commission

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Harriet Tregoning, Director  
Office of Planning

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Sandra Harp, Labor Liaison  
Office of Planning

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Eric E. Richardson, Executive Director  
Office of Cable Television

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Angela Harper, Labor Liaison  
Office of Cable Television

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Robert Mancini, Chief Technology Officer  
Office of the Chief Technology Officer

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Christina Fleps, Labor Liaison  
Office of the Chief Technology Officer

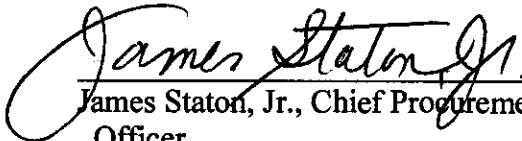
**Compensation Units One and Two Collective Bargaining Agreement**

Signed: July, 2012

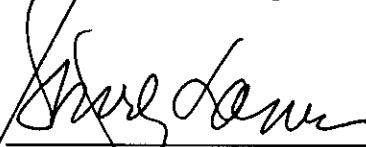


\_\_\_\_\_  
Laura L. Nuss, Director  
Department of Disability Services

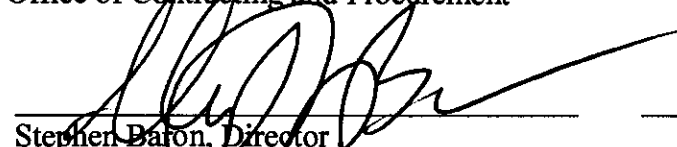
\_\_\_\_\_  
Kehinde Asuelimen, Labor Liaison  
Department of Disability Services



\_\_\_\_\_  
James Staton, Jr., Chief Procurement  
Officer  
Office of Contracting and Procurement



\_\_\_\_\_  
Shirley Danner, Labor Liaison  
Office of Contracting and Procurement



\_\_\_\_\_  
Stephen Baron, Director  
Department of Mental Health



\_\_\_\_\_  
Frankie T. Wheeler, Director,  
Human Resources  
Department of Mental Health

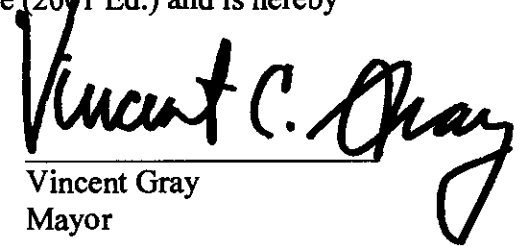


\_\_\_\_\_  
Brendolyn McCarty-Jones, Labor Liaison  
Department of Mental Health



APPROVAL

This collective bargaining agreement between the District of Columbia and Compensation Units 1 and 2, dated April 12, 2012, has been reviewed in accordance with Section 1-617.15 of the District of Columbia Official Code (2001 Ed.) and is hereby approved on this 10 day of July, 2013.

  
Vincent Gray  
Mayor

APPENDIX A

Memorandum of Understanding


Between  
Compensation Units 1 & 2  
and  
The District of Columbia  
Concerning Classification and Compensation Collaborative Review

"The Parties hereby agree that in order to support the objective of rewarding a high performance workforce, a training program for all bargaining committee members shall be developed by a joint labor-management committee. The Committee will be composed of sixteen members, eight appointed by labor and eight appointed by management, and the Chief and Co-Chief negotiators of Compensation Units 1 & 2. This training program shall enhance the understanding of compensation and classification concepts and explore the appropriateness and application of high performance rewards to the District's workforce.

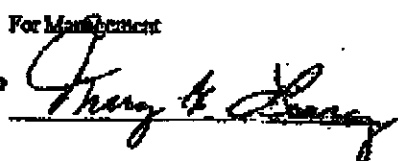
Furthermore, the Parties hereby agree that the District and the Unions shall commence a joint labor-management classification and compensation collaborative review of District jobs. This project shall examine the current classification and compensation systems in order to ensure that job classifications fairly represent actual work performed by District employees as well as the appropriateness of the District's current classification and compensation systems.

In order to support the training, classification and compensation joint labor-management initiatives, it is understood that the District shall retain the services of The Segal Company to assume the role of the lead consultant with these projects."

For Labor

  
\_\_\_\_\_  
David J. Schlein

For Management

  
\_\_\_\_\_

January 30, 2001

**APPENDIX B**

**MEMORANDUM OF AGREEMENT  
BETWEEN THE  
DISTRICT OF COLUMBIA  
AND  
COMPENSATION UNITS 1 AND 2  
CLASSIFICATION AND COMPENSATION REFORM TASK FORCE INITIATIVES**

Pursuant to the terms of the "Memorandum of Understanding Between Compensation - Units 1 and 2 and the District of Columbia Concerning Classification and Compensation Collaborative Review," which was incorporated as part of the Compensation Agreement between the District of Columbia Government and Compensation Units I and 2, FY 2001-FY 2003 ("Compensation Agreement"), the District of Columbia Government and the Unions in Compensation Units I and 2, established the Joint Labor-Management Classification and Compensation Reform Task Force (Joint Task Force). In addition, under the terms of the Compensation Agreement, the District Government agreed to set aside certain funding in fiscal years 2002 and 2003, which would be used by the Joint Task Force to implement initiatives designed to reform the District's compensation and classification systems.

The Compensation Agreement provides that in FY 2003 the District shall invest the equivalent of a minimum of one percent (1 %) increase in the aggregate salaries of Compensation Units 1 and 2 ("1 % Set-aside") toward classification and compensation reform. The District expended a portion of the 1 % Set-aside to implement the first significant change to the compensation system in the District by changing the pay progression of Compensation Units 1 and 2 employees, or how employees move between steps within a grade. The Joint Task Force has also agreed to begin the first classification reform project by reviewing the position classifications in each of the 9 occupational pay groups and where appropriate reclassify positions and adjust the grades and rates of pay for the reclassified positions.

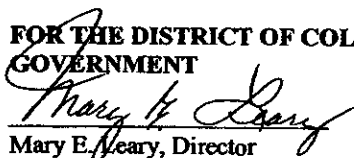
The Joint Task Force classification review will begin in August 2003, with a review of positions in the clerical/administrative occupational group and specific classification series and/or positions, which the Joint Task Force has determined, requires immediate review. The Joint Task Force has agreed that the District shall expend the unencumbered FY 2003 1% Set-aside fund balance under the terms of the Compensation Agreement, to fund increases in salaries or make other pay adjustments for employees in Compensation Units 1 and 2 who occupy positions the grade and/or the rate of pay of which is changed because of reclassification, re-grading, rate adjustment or changes in the District's classification and/or compensation policy as part of the classification reform project initiated by the Joint Task Force in FY 2003.

The Joint Task Force has agreed to apply any rate adjustment retroactively to a date in FY 2003. The retroactive date of implementation will be determined based on the number of employees affected and the unexpended balance of the 1% set-aside. That is pay adjustments will be made in affected employees' pay retroactive to the date permitted by the fund balance. Payment to employees should be made by March 31, 2004.

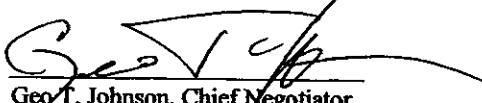
Further, the contracting parties agree that amounts hereafter designated through collective bargaining for classification and compensation collaborative review under the terms of the FY 2004 to FY2006 Compensation Units 1 and 2 Agreement, shall be accorded similar treatment for purposes of implementation. Specifically, any funds set aside in the Fiscal Years 2004, 2005 or 2006 shall be available for expenditure in that fiscal year or any other fiscal year covered by the Compensation Unit 1 and 2 agreement. Provided however, that all funds set aside for compensation and classification reform shall be expended or obligated prior to the expiration of the Compensation Units 1 and 2 Agreement for FY2004 – FY2006.

AGREED, this 26<sup>th</sup> day of August, 2003.

**FOR THE DISTRICT OF COLUMBIA  
GOVERNMENT**

  
Mary E. Neary, Director  
Office of Labor Relations  
and Collective Bargaining

**FOR COMPENSATION UNITS 1 & 2**

  
Geo. T. Johnson, Chief Negotiator  
Compensation Units 1 and 2

*Union Proposal  
2/1/06*

Memorandum of Understanding  
Between  
Compensation Units 1 and 2 and the District of Columbia

The "Memorandum of Understanding between Compensation Units 1 and 2 and the District of Columbia Concerning Classification and Compensation Collaborative Review" was initially incorporated as part of the Compensation Agreement between the District of Columbia Government and Compensation Units 1 and 2 covering fiscal years 2001 through 2003.

Pursuant to the terms of this MOU, the joint Labor Management Classification and Compensation Reform Task Force (LMCCRTF) shall:

1. Effective March 1, 2006, this joint labor management committee established pursuant to the terms of the Compensation Units 1 and 2 collective bargaining agreements (the LMCCRTF) shall be administered under the District's Office of Labor Relations and Collective Bargaining (OLRCB);
2. The LMCCRTF shall have eight (8) voting representatives from labor including representatives from each national labor union comprising Compensation Units 1 and 2 and the District's OLRCB shall appoint an equal number of management representatives;
3. Outside consultants and other subject matter experts are not members of the LMCCRTF and shall not have voting rights in the LMCCRTF. However, such persons may be invited to attend said meetings only when they are presenting information relevant to the task;
4. The funds from the LMCCRTF for fiscal years FY 2004 through FY 2006 shall be used to implement the new pay schedules the last pay period of September 2006, which are attached as Appendices A(1) through A(8) to management's proposals for base wage increases for the contract beginning October 1, 2006.

*med  
2/1/06  
G.T.S.  
2/1/06*

**COMPENSATION AGREEMENT**

**BETWEEN**

**THE OFFICE OF THE ATTORNEY GENERAL**

**AND**

**THE AMERICAN FEDERATION OF GOVERNMENT  
EMPLOYEES, LOCAL 1403,  
AFL-CIO**

**EFFECTIVE OCTOBER 1, 2013 THROUGH SEPTEMBER 30, 2017**

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**PREAMBLE**

This Compensation Agreement (Agreement or Compensation Agreement) is entered into between the Office of the Attorney General and the American Federation of Government Employees, Local 1403, (Union) (herein after jointly referred to as the parties) the sole and exclusive collective bargaining representative of unit employees comprising Compensation Unit 33, as certified by the Public Employee Relations Board (PERB).

**ARTICLE 1 -- RECOGNITION**

AFGE Local 1403 is recognized as the sole and exclusive collective bargaining representative for the bargaining units set forth in PERB Certification No. 121 and PERB Certification No. 133.

**ARTICLE 2 -- WAGES**

	FY 2014	FY 2015	FY 2016	FY 2017
% Increase	1.5%	3%	3 %	3 %

SECTION A – FY 2014

The A-35 salary schedule for all bargaining unit employees will be increased by one and one half percent (1.5%) effective the first day of the first full pay period commencing on or after October 1, 2013. The Union has agreed to forego any adjustments coming from the District’s Classification and Compensation initiative for the term of this Agreement.

Each employee who receives an “exceeds expectations” or substantially similar or higher rating for the evaluation period ending August 31, 2013, shall receive a two percent (2%) bonus. Bonus payments shall be paid to each qualified employee within the second quarter of the fiscal year beginning October 1, 2013, and in no event later than March 31, 2014. If Employer has not conducted a performance review for an employee by December 31, 2013, the employee shall be entitled to the bonus amount for FY 2014, established by the rating in the most recent annual performance evaluation, if any.



#### SECTION B -- FY 2015

The A-35 salary schedule for all bargaining unit employees will be increased by three percent (3%) effective the first day of the first full pay period commencing on or after October 1, 2014.

Each employee who receives an "exceeds expectations" or substantially similar or higher rating for the evaluation period ending August 31, 2014, shall receive a two percent (2%) bonus. Bonus payments shall be paid to each qualified employee within the second quarter of the fiscal year beginning October 1, 2014, and in no event later than March 31, 2015. If Employer has not conducted a performance review for an employee by December 31, 2014, the employee shall be entitled to the bonus amount for FY 2015, established by the rating in the most recent annual performance evaluation, if any.

#### SECTION C -- FY 2016

The A-35 salary schedule for all bargaining unit employees will be increased by three percent (3%) effective the first day of the first full pay period commencing on or after October 1, 2015.

Each employee who receives an "exceeds expectations" or substantially similar or higher rating for the evaluation period ending August 31, 2015, shall receive a two percent (2%) bonus. Bonus payments shall be paid to each qualified employee within the second quarter of the fiscal year beginning October 1, 2015, and in no event later than March 31, 2016. If Employer has not conducted a performance review for an employee by December 31, 2015, the employee shall be entitled to the bonus amount for FY 2016, established by the rating in the most recent annual performance evaluation, if any.

#### SECTION D -- FY 2017

The A-35 salary schedule for all bargaining unit employees will be increased by three percent (3%) effective the first day of the first full pay period commencing on or after October 1, 2016.

Each employee who receives an "exceeds expectations" or substantially similar or higher rating for the evaluation period ending August 31, 2016, shall receive a two percent (2%) bonus. Bonus payments shall be paid to each qualified employee within the second quarter of the fiscal year beginning October 1, 2016, and in no event later than March 31, 2017. If Employer has not conducted a performance review for an employee by December 31, 2016, the employee shall be entitled to the bonus amount for FY 2017, established by the rating in the most recent annual performance evaluation, if any.

## SECTION E – Saturday and Holiday Pay

Effective FY 2015, attorneys who are required to work on Saturdays or holidays to provide court coverage will receive straight time pay for all hours worked. Disbursements for Saturday and holiday pay will not exceed \$65,000.00 for any fiscal year of this Agreement. After disbursements reach \$65,000.00 in any one fiscal year, attorneys who are required to work on Saturdays or holidays for the remainder of that fiscal year will receive compensatory time for the number of hours actually worked.

For the period of FY2014 that occurs after the effective date of this contract, all OAG attorneys who are required to work on Saturdays and holidays to provide court coverage shall receive compensatory time for the hours actually worked.

## **ARTICLE 3 -- BENEFITS COMMITTEE**

### **SECTION A – General**

The parties herein agree to establish a Benefits Committee. AFGE shall select two representatives to serve on the committee, at least one of whom shall have expertise in benefits, and the other of whom shall have such expertise or a demonstrated commitment to developing the necessary expertise. The District of Columbia Human Resources office shall appoint representatives with authority to serve on the committee. The Benefits Committee shall meet at least quarterly during the 24 month period immediately prior to the expiration of a benefits contract and have its first meeting within thirty (30) business days following the Council's approval of this Agreement.

### **SECTION B – Purpose**

The purpose of the Benefits Committee shall be to address the benefits of employees in the Local 1403 bargaining unit and of other local unions that may join this committee and make recommendations to the Executive regarding those benefits. AFGE shall not have final decision making authority with regard to benefits. Differences in opinion arising from Benefits Committee meetings or the procurement process, including but not limited to vendor recommendations/selection and what benefits the District shall provide shall not be subject to grievance arbitration, or any bargained or statutory resolution process, unless an existing benefit is substantively modified or decreased. Arbitration is limited to interest arbitration to resolve conflicts resulting from the negotiation of successor collective bargaining agreements effective October 1, 2017, unless an existing benefit is substantively modified or decreased.

### **SECTION C -- Responsibilities**

The members of the Benefits Committee shall be authorized to consider all matters that concern the benefits of employees represented by the Committee that are subject to mandatory bargaining between the parties. The Benefits Committee shall:

1. Monitor the quality and level of services provided to covered employees under existing Health, Retirement, Optical, Life, Disability, Indemnity and Dental Insurance Plans.
2. Review and recommend changes and enhancements in Health, Retirement, Optical, Life, Disability, Indemnity and Dental benefits, and any proposals for new benefits, consistent with Chapter 6, Subchapter XXI of the D.C. Official Code (2012 Repl.).
3. With the assistance of the Office of Contracting and Procurement, evaluate criteria for bids, make recommendations concerning the preparation of solicitations for requests for qualifications or proposals and make recommendations to the contracting officer concerning the selection of providers following the receipt of any statements of qualifications or bids, consistent with Chapter 4 of the D.C. Official Code (2012 Repl.).
4. Following the receipt of statements of qualification or bids to select Health, Retirement, Optical, Life, Disability, Indemnity and Dental insurance providers, or any statements of qualification or bids for the addition of new benefits providers, the Union President shall be notified to identify no more than one individual from the Benefits Committee to participate in each RFQ or RFP selection process and that representative shall not have final decision-making authority. However, Management shall consider the comments of Benefits Committee members and the input of the individuals selected to participate in the RFP selection process in good faith in the decision-making process.
5. Explore issues concerning the workers' compensation system that affect employees consistent with Chapter 6, Subchapter XXIII of the D.C. Official Code (2012 Repl.).
6. The Committee shall be notified by email of any alteration of existing benefits programs, and proposed additional benefit programs to determine the extent to which they impact employees. Upon notification, the Committee shall notify the Office of Labor Relations and Collective Bargaining within ten (10) calendar days to discuss any concerns any Committee member has regarding the impact on employees.

#### **SECTION D – Maintenance of Benefits**

Nothing herein shall be construed to reduce, modify or eliminate any benefits that bargaining unit members enjoyed prior to entering into this Agreement.

#### **SECTION E – Additional Benefits**

The parties agree that the establishment of this Benefits Committee does not limit or prohibit the parties to this Agreement from negotiating and agreeing to additional or modified benefits.

## ARTICLE 4 -- BENEFITS

Except as otherwise provided in this Agreement, the Parties hereby incorporate the following specific benefits provided under the Compensation Agreement between the District of Columbia Government and Compensations Units 1 and 2, FY 2013 – FY 2017: Life Insurance; Health Insurance; Indemnity Insurance; Short and Long Term Disability Insurance; Optical and Dental Insurance; Annual, Sick and Other Leave; Pre-Tax Benefits; Retirement; Civil Services Retirement System; Defined Contribution; Deferred Compensation; as the applicable benefits for bargaining unit members covered by this Agreement.

Such benefits shall be amended or revised by any additional benefits negotiated and approved by the Benefits Committee established in Article 3, the City Council, and the Mayor with the express written consent of the Union for the duration of this Agreement.

### SECTION A -- Life Insurance

1. Life insurance is provided to covered employees in accordance with §1-622.01, *et seq.* of the District of Columbia Official Code (2012 Repl.) and Chapter 87 of Title 5 of the United States Code.

(a) District of Columbia Official Code §1-622.03 (2012 Repl.) requires that benefits shall be provided as set forth in §1-622.07 to all employees of the District first employed after September 30, 1987, except those specifically excluded by law or by rule.

(b) District of Columbia Official Code §1-622.01 (2012 Repl.) requires that benefits shall be provided as set forth in Chapter 87 of Title 5 of the United States Code for all employees of the District government first employed before October 1, 1987, except those specifically excluded by law or rule and regulation.

2. The current life insurance benefits for employees hired on or after October 1, 1987 are: The District of Columbia provides life insurance in an amount equal to the employee's annual salary rounded to the next thousand, plus an additional \$2,000. Employees are required to pay two-thirds (2/3) of the total cost of the monthly premium. The District Government shall pay one-third (1/3) of the total cost of the premium. Employees may choose to purchase additional life insurance coverage through the District Government. These additions to the basic coverage are set-forth in the schedule below:

Option A – Standard. Provides \$10,000 additional coverage. Cost determined by age.

Option B – Additional. Provides coverage up to five times the employee's annual salary. Cost determined by age and employee's salary.

Option C – Family. Provides \$10,000 coverage for the eligible spouse and \$10,000 for each eligible child; \$25,000 coverage for eligible spouse and \$10,000 for each eligible

child; or \$50,000 coverage for eligible spouse and \$10,000 for each eligible child. Cost determined by age.

The level of life insurance benefits provided to Employees covered under this Agreement shall not be decreased or revised during the term of this Agreement without the express advance written consent of the Union. The District shall provide life insurance coverage for employees hired on or after October 1, 1987 that shall provide a level of benefits as comparable to similarly situated employees.

Employees must contact their respective personnel office to enroll or make changes in their life insurance coverage.

**SECTION B -- Health Insurance**

1. Pursuant to D.C. Official Code § 1-621.02 (2012 Repl.), all employees covered by this agreement and hired after September 30, 1987, shall be entitled to enroll in group health insurance provided by the District of Columbia. Health insurance coverage shall provide a level of benefits comparable to the plan(s) provided on the effective date of this agreement. District employees are required to execute an enrollment form in order to participate in this program.

(a) The Employer may elect to provide additional health care providers for employees employed after September 1, 1987, provided that such addition of providers does not reduce the current level of benefits provided to employees. If the Employer decides to expand the list of eligible providers, the Employer shall give Union representatives notice of the proposed additions.

(b) Employees are required to contribute 25% of the total premium cost of the employee's selected plan. The Employer shall contribute 75% of the premium cost of the employee's selected plan.

2. Pursuant to D.C. Official Code § 1-621.01 (2012 Repl.), all District employees covered by this agreement and hired before October 1, 1987, shall be eligible to participate in group health insurance coverage provided through the Federal Employees Health Benefits Program (FEHB) as provided in Chapter 89 of Title 5 of the United States Code. The United States Office of personnel management administers this program.

3. The plan descriptions shall provide the terms of coverage and administration of the respective plans. Plan summaries and the full plans will be available on the DCHR website. Where the full plan is not posted a link to the plans will be provided on the DCHR website.

### **SECTION C – Optical and Dental**

1. The District shall provide Optical and Dental Plan coverage at a level of benefits comparable to the plan(s) provided on the effective date of this agreement. Benefit levels shall not be reduced during the term of this agreement except by mutual agreement of the District, the Union and the insurance carrier(s). District employees are required to execute an enrollment form in order to participate in the Optical and Dental program.

2. The District may elect to provide additional Optical and/or Dental providers, provided that such addition of providers does not reduce the current level of benefits provided to employees. Should the District Government decide to expand the list of eligible providers, the District shall give Union representatives notice of the proposed additions.

### **SECTION D – Short and Long Term Disability**

1. Employees covered by this Agreement shall be eligible to enroll, at their own expense, in the District's Short and Long Term Disability Insurance Programs, which provide for partial income replacement when employees are required to be absent from duty due to a non-work-related qualifying medical condition. Employees may use income replacement benefits under the program in conjunction with annual or sick leave benefits provided for in this Agreement.

2. Short and Long Term Disability Benefit levels shall not be decreased or revised during the term of this Agreement without the express written consent of the Union.

3. The District may elect to provide additional Short and/or Long Term Disability coverage providers, provided that the addition of providers does not reduce or substantively modify the current level of benefits provided to employees. If the District decides to expand the list of eligible providers, the District shall give the Union advance notice of the proposed additions.

### **SECTION E – AFLAC**

Employer shall provide access to the AFLAC indemnity benefits currently in effect for Union employees.

### **SECTION F -- Annual Leave**

1. In accordance with D.C. Official Code §1-612.03 (2012 Repl.), full-time employees covered by the terms of this Agreement are entitled to:

- (a) one-half (1/2) day (4 hours) for each full biweekly pay period for an employee with less than three (3) years of service (accruing a total of thirteen (13) annual leave days per annum);

(b) three-fourths (3/4) day (6 hours) for each full biweekly pay period, except that the accrual for the last full biweekly pay period in the year is one and one-fourth days (10 hours), for an employee with more than three (3) but less than fifteen (15) years of service (accruing a total of twenty (20) annual leave days per annum); and,

(c) one (1) day (8 hours) for each full biweekly pay period for an employee with fifteen (15) or more years of service (accruing a total of twenty-six (26) annual leave days per annum).

2. Part-Time employees who work on a prearranged scheduled tour of duty are entitled to earn leave as provided above on a pro rata basis.

3. Employees shall be eligible to use annual leave in accordance with the District of Columbia Laws.

4. An employee's request to use annual leave shall not be unreasonably denied.

#### **SECTION G – Sick Leave**

1. In accordance with District of Columbia Code §1-612.03 (2012 Repl.), a full-time employee covered by the terms of this Agreement may accumulate up to thirteen (13) sick days which accrues on the basis of four hours for each full biweekly pay period, and may accumulate up to thirteen (13) days in a calendar year.

2. In the case of part-time employment, the rate at which leave accrues under this subsection shall be a percentage of the rate prescribed above which is determined by dividing 40 into the number of hours in the regularly scheduled work week of that employee during that fiscal year.

3. An employee may use sick leave to

(a) Provide care for a family member who is incapacitated as a result of physical or mental illness, injury, pregnancy, or childbirth;

(b) Provide care for a family member as a result of medical, dental, or optical examination or treatment;

(c) Provide care for a foster child or a prospective or newly adopted child in the employee's care; or

(d) Make any other use allowed by law.

4. An employee's request to take sick leave shall not be unreasonably denied.

## **SECTION H – Other Forms of Leave**

1. **Military Leave:** An employee is entitled to leave, without loss of pay, leave, or credit for time of service as reserve members of the armed forces or as members of the National Guard to the extent provided in D.C. Official Code §1-612.03(m)(2012 Repl.).

2. **Court Leave:** An employee is entitled to leave, without loss of pay, leave, or service credit during a period of absence in which he or she is required to report for jury duty or to appear as a witness on behalf of the District of Columbia Government, or the Federal or a State or Local Government to the extent provided in D.C. Official Code §1-612.03(l) (2012 Repl.).

3. **Funeral Leave:**

(a) An employee is entitled to three (3) days of leave without loss of pay, leave, or service credit to make arrangements for or to attend the funeral or memorial service for an immediate relative. In addition, the Employer shall grant an employee's request for annual, sick or compensatory time up to three (3) days upon the death of an immediate relative. Approval of additional time shall be at the Employer's discretion. However, requests for leave shall be granted unless the Agency's ability to accomplish its work would be seriously impaired. For purposes of this section "immediate relative" means the following relatives of the employee: spouse (including a person identified by an employee as his/her "domestic partner" as defined in D.C. Official Code §32-701 (2012 Repl.) and related laws), parents and grandparents thereof, children (including adopted and foster children and children of whom the employee is legal guardian and spouses thereof, parents, grandparents, grandchildren, brothers, sisters, and spouses thereof) and any individual related by blood or affinity whose close association with the employee is the equivalent of a family relationship. For the purpose of leave certification, employees shall provide a copy of the obituary or death notice, a note from clergy or funeral professional or a death certificate within ten (10) business days of the Employer's request.

(b) An employee is entitled to three (3) days of leave, without loss of pay, leave, or service credit to make arrangements for or to attend the funeral or memorial service of a family member who died as a result of a wound, disease or injury incurred while serving as a member of the armed forces in a combat zone to the extent provided in D.C. Official Code § 1-612.03(n) (2012 Repl.).

4. **Administrative Closing –** An employee who has previously scheduled leave for a day (or portion of a day) on which the District of Columbia or the Office of the Attorney General closes by order of the Mayor or the Attorney General shall not be charged leave for that day, or portion of the day, that the District agency is closed.



5. Back-to-School Leave – Subject to the discretion of an individual’s manager as described in this section, any employee who serves as the primary caregiver for a child enrolled in school, including pre-school, elementary school, middle or junior high school, or high school, may take 2 hours of excused leave (that is without charge to the employee’s leave balance) to assist his or her child in preparing for and traveling to the first day of school during the academic year. An employee’s individual manager shall make every effort to grant requests for excused absences on the first day; however, the granting of all such requests may not be feasible if it results in disruption of public services provided by the administration. Accordingly, when an employee cannot be granted an excused absence on his or her child’s first school day, he or she shall be given an excused absence of 2 hours during the first week of school or as soon thereafter as practicable, in order to assist his or her child in preparing for an attending school.

### **SECTION I -- Pre-Tax Benefits**

1. Employee contributions to benefits programs established pursuant to D.C. Official Code §1-611.19 (2012 Repl.), including the District of Columbia Employees Health Benefits Program, may be made on a pre-tax basis in accordance with the requirements of the Internal Revenue Code and, to the extent permitted by the Internal Revenue Code, such pre-tax contributions shall not effect a reduction of the amount of any other retirement, pension, or other benefits provided by law.

2. To the extent permitted by the Internal Revenue Code, any amount of contributions made on a pre-tax basis shall be included in the employee's contributions to existing life insurance, retirement system, and for any other District government program keyed to the employee's scheduled rate of pay, but shall not be included for the purpose of computing Federal or District income tax withholdings, including F.I.C.A., on behalf of any such employee.

### **SECTION J – Retirement**

1. **CIVIL SERVICE RETIREMENT SYSTEM (CSRS):** As prescribed by 5 U.S.C. § 8401 and related chapters, employees first hired by the District of Columbia Government before October 1, 1987, are subject to the provisions of the CSRS, which is administered by the U.S. Office of Personnel Management. Under Optional Retirement the aforementioned employee may choose to retire when he/she reaches:

- (a) Age 55 and 30 years of service;
- (b) Age 60 and 20 years of service;
- (c) Age 62 and 5 years of service.

Under Voluntary Early Retirement, which must be authorized by the U.S. Office of Personnel Management, an employee may choose to retire when he/she reaches:

- (a) Age 50 and 20 years of service;
- (b) Any age and 25 years of service.

The pension of an employee who chooses Voluntary Early Retirement will be reduced by 2% for each year under age 55.

2. **DEFINED CONTRIBUTION PENSION PLAN:** The District shall continue the Defined Contribution Pension Plan currently in effect which includes:

(a) All eligible employees hired by the District on or after October 1, 1987, shall be enrolled into the defined contribution pension plan as prescribed by D.C. Official Code § 1-626.09 (2012 Repl.).

(b) After the completion of one year of service, the District shall contribute an amount not less than 5% of their base salary to an employee's Defined Contribution Pension Plan account. The District government funds this plan. There is no employee contribution to the Defined Contribution Pension Plan. After two years of plan participation, an employee is entitled to 20% of the account. After three years of plan participation, an employee is entitled to 40% of the account. After 4 years of plan participation, an employee is entitled to 60% of the account. An employee is fully vested after five years of plan participation and is entitled to 100% of the account.

3. **DEFERRED COMPENSATION PROGRAM:** All District employees covered by this Agreement shall be eligible to participate in the District's Deferred Compensation Program as currently described in Section 1-626.05 and related Chapters of the D.C. Official Code (2012 Repl.). The Deferred Compensation Program is a savings system through pre-tax deductions and allows employees to accumulate funds for long-term goals, including retirement. The portion of salary contributed reduces the amount of taxable income in each paycheck. The Internal Revenue Service determines the annual maximum deferral amount. Under the program, employees may choose from various fixed or variable rate investment options.

#### SECTION K – Holidays

1. The following legal public holidays are provided to all employees covered by this Agreement:

- (a) New Year's Day, January 1st of each year;
- (b) Dr. Martin Luther King, Jr.'s Birthday, the 3rd Monday in January of each year;
- (c) Washington's Birthday, the 3rd Monday in February of each year;
- (d) D.C. Emancipation Day, April 16<sup>th</sup> of each year;
- (e) Memorial Day, the last Monday in May of each year;
- (f) Independence Day, July 4th of each year;

- (g) Labor Day, the 1st Monday in September of each year;
- (h) Columbus Day, the 2nd Monday in October of each year;
- (i) Veterans Day, November 11th of each year;
- (j) Thanksgiving Day, the 4th Thursday in November of each year; and
- (k) Christmas Day, December 25th of each year.

2. Any other legal public holiday observed by the District and any other day declared a holiday for District workers by the President, Congress, or the Mayor will also be granted to employees covered by this Agreement (together, the holidays described in this section are referred to as Holidays throughout this Agreement). When an employee, having a regularly scheduled tour of duty is relieved or prevented from working on a day District agencies are closed by order of the Mayor, he or she is entitled to the same pay for that day as for a day on which an ordinary day's work is performed.

#### **SECTION L – Benefits Levels**

The level of benefits shall not be decreased or revised during the term of this Agreement without the express written consent of the Union.

### **ARTICLE 5 COMPENSATORY TIME**

A lawyer who is required to work one or more hours outside his or her normal work hours may request an equal amount of compensatory time from his or her supervisor. If the request is granted, the time will be recorded on the employee's records and may be used, in the same manner that annual leave is used. Compensatory time may only be approved for working at scheduled or special events outside an employee's regular work hours, travel time outside normal work hours, and extraordinary assignments. Compensatory time will not be approved to allow an employee to complete regular assignments. Regular assignments are preparation for trials, drafting motions and responses to motions, including but not limited to, Motions for Temporary Restraining Orders, Motions for Preliminary Injunctions, and any other daily tasks performed by attorneys. Compensatory time will not be provided if additional work beyond the regular work day has resulted from the employee's inefficient use of time during the regular work day. Compensatory time credit should be requested by an employee before the work is performed whenever possible. The decision to grant an employee compensatory time is at the discretion of management. Employees may not carry more than 24 hours of compensatory time for more than 2 successive pay periods. In no event will an employee be entitled to pay in lieu of compensatory time, except as expressly provided elsewhere in this Agreement.

**ARTICLE 6  
PROFESSIONAL MEMBERSHIPS**

During the course of each fiscal year, the Employer shall provide a total of one (1) day of administrative leave (8 hours or the hourly work day for Employee) to any Employee who uses his/her out-of-State bar license by entering his or her appearance on behalf of the District of Columbia or individuals acting within the scope of their employment in any proceeding outside the District of Columbia. The use of administrative leave must be approved by the Employee's supervisor, which shall not be unreasonably withheld, and must be used no later than the last day of the fiscal year or 30 days after the Employee uses his/her out-of-State bar license, whichever is later.

**ARTICLE 7  
MONTHLY TRANSIT SUBSIDY**

Beginning the first full pay period on or after Council approval, the District of Columbia Government shall subsidize the cost of monthly transit for personal use by employees by twenty-five dollars (\$25.00) per month for actual transportation expenses incurred by employees who commute to and from work.

**ARTICLE 8  
MILEAGE ALLOWANCE METRO REIMBURSEMENT AND  
ACCESS TO OFFICIAL GOVERNMENT VEHICLES AND TRANSPORTATION**

SECTION A – Parking Spaces

Three (3) parking spaces shall be set aside from among those allocated to the Office of the Attorney General in the underground parking garage at 441 4th St., NW, Washington, D.C. for use by bargaining unit members as determined by the Union. The parking spaces shall be funded by the Union. The parking rate payable by the Union will not exceed the rate applicable to the parking spaces allocated to the Office of the Attorney General. The Union, within its sole discretion, may utilize one or more of its allocated spaces from time to time to provide short term parking for its members. Upon request, the Union shall notify the Employer which employees are authorized to use the Union parking spaces.

SECTION B – Mileage Allowance

The parties agree that the mileage allowance established by the U.S. General Services Administration for authorized Federal Government travel shall be the reimbursement rate for Union employees authorized to use their personal vehicles for official District of Columbia business. To receive such allowance, authorization by Employer must be received in advance of the employees' travel. Employees shall use the appropriate District Form to document mileage and timely request reimbursement.

### SECTION C – Use of Personal Vehicles

1. Employees who are authorized and are within the scope of employment while using their personal vehicle for official business are covered by the District of Columbia Non-Liability Act (D.C. Official Code §§2-411 through 2-416 (2012 Repl.)). The Non-Liability Act generally provides that a District Employee is not subject to personal liability in a civil suit for property damage or for personal injury arising out of a motor vehicle accident during the discharge of the employee's official duties, so long as the employee was acting within the scope of his or her employment.

2. Claims by employees for personal property damage or loss incident to the use of their personal vehicle for official business may be made under the Military Personnel and Civilian Employees Claim Act of 1964 (31 U.S.C. §3701 *et seq.*).

### SECTION D – Reimbursement for Use of Personal Vehicles

In the event it becomes necessary for employees to use their personal vehicle for official government business, employees shall obtain prior approval from his/her immediate supervisor and shall be reimbursed for mileage and parking incurred consistent with District of Columbia rules, regulations and orders.

### SECTION E- Reimbursement for Taxicab Expenses

Employees who must travel by taxicab for official government business to a destination that is not accessible by Metro shall be reimbursed for their travel, provided that they receive prior authorization from an immediate supervisor for reimbursement.

### SECTION F – Metro Fare Cards

Upon request, Employer shall provide metro fare cards in electronic form to employees for official government travel within the WMATA system. The metro fare card value shall be equivalent to the cost of travel at the time of day during which the employee travels.

### SECTION G – Availability of Fleet Vehicles

Upon prior approval by an immediate supervisor, management shall facilitate the request for a Department of Public Works fleet vehicle and to the extent available, Employees may use the vehicle for official government business at no charge to the Employee.

## **ARTICLE 9 SICK LEAVE INCENTIVE PROGRAM**

In order to recognize an employee's productivity through his/her responsible use of accrued sick leave, the Employer agrees to provide time-off in accordance with the following:

## SECTION A – Accrual

A full time employee who is in a pay status for the leave year shall accrue annually:

1. Three (3) days off for utilizing a total of no more than two (2) days of accrued sick leave.
2. Two (2) days off for utilizing a total of more than two (2) but not more than four (4) days of accrued sick leave.
3. One (1) day off for utilizing a total of more than four (4) but no more than five (5) days of accrued sick leave.

## SECTION B – Employees in a Non-pay Status

Employees in a non-pay status for no more than two (2) pay periods for the leave year shall remain eligible for incentive days under this Article. Sick leave usage for maternity or catastrophic illness/injury, not to exceed two (2) consecutive pay periods, shall not be counted against sick leave for calculating eligibility for incentive leave under this Article.

## SECTION C – Procedure for Use of Time Accrued

Time off pursuant to a sick leave incentive award shall be selected by the employee and requested at least three (3) full workdays in advance of the leave date. Requests for time off pursuant to an incentive award shall be given priority consideration and the employee's supervisor shall approve such requests for time off unless staffing needs or workload considerations dictate otherwise. If the request is denied, the employee shall request and be granted a different day off within one month of the date the employee initially requested. Requests for time off shall be made on the standard "Application for Leave" form.

## SECTION D – Use of Time Accrued

All incentive days must be used in full-day increments following the leave year in which they were earned. Incentive days may not be substituted for any other type of absence from duty. There shall be no carryover or payment for any unused incentive days.

## SECTION E – Part Time Employees

Part-time employees are not eligible for the sick leave incentive as provided in this Article.

**ARTICLE 10  
ANNUAL LEAVE/COMPENSATORY TIME BUY-OUT**

**SECTION A – Payment for Annual Leave/Compensatory Time**

An employee who is separated or is otherwise entitled to a lump-sum payment under personnel regulations for the District of Columbia Government shall receive payment for each hour of unused annual leave or compensatory time in the employee's official leave record.

**SECTION B – Computation**

The lump-sum payment shall be computed on the basis of the employee's hourly pay rate at the time of separation.

**ARTICLE 11  
BACK PAY**

Arbitration awards or settlement agreements in cases involving an individual employee shall be paid within sixty (60) days of receipt from the employee of relevant documentation, including documentation of interim earnings and other potential offsets. Employer shall submit the SF-52 and all other required documentation to the Department of Human Resources or the Office of Pay and Retirement Services within thirty (30) days following receipt from the employee of relevant documentation.

**ARTICLE 12  
WAITING PERIODS FOR ADVANCEMENT WITHIN STEPS**

The within-grade waiting periods on the A-35 salary scale for step advancement for bargaining unit employees with a prearranged regularly scheduled tour of duty are as follows:

1. Steps 2, 3, 4 and 5: fifty-two (52) calendar weeks of creditable service;
2. Steps 6, 7, 8, 9 and 10: one hundred and four (104) calendar weeks of creditable service.

**ARTICLE 13  
GRIEVANCE AND ARBITRATION PROCEDURES**

Grievance procedures shall be determined by the terms and conditions of Article 30 in the Non Compensation Agreement.

## **ARTICLE 14 SAVINGS CLAUSE**

### **SECTION A**

In the event any article, section or portion of this Agreement is held to be invalid and unenforceable by any court or other authority of competent jurisdiction, such decision shall apply only to the specific article, section, or portion thereof specified in the decision; and upon issuance of such a decision, the Employer and the Union agree to immediately negotiate a substitute for the invalidated article, section or portion thereof to the extent possible.

### **SECTION B**

The terms of this Agreement supersede any subsequently enacted D.C. laws, District Personnel Manual (DPM) regulations, or departmental rules concerning compensation covered herein for the term of this agreement.

## **ARTICLE 15 DURATION AND FINALITY**

### **Section 1 -- Effective Date**

This agreement shall be implemented as provided herein subject to the requirements of Section 1715 of the District of Columbia Comprehensive Merit Personnel Act D.C. Official Code, § 1-617.15(a), (2012 Repl.). This Agreement shall be effective on the date provided by law (i.e., when it is approved by the Council or as otherwise effective pursuant to D.C. Official Code § 1-617.17 (2012 Repl.)) and shall remain in full force and effect until September 30, 2017, or until a new compensation agreement becomes effective. Notice to reopen the Agreement shall be provided as required by D.C. Official Code § 1-617.17 (f)(1)(A)(i) (2012 Repl.).

### **Section 2 – Finality**

This Agreement was reached after negotiations during which the parties were able to negotiate on any and all negotiable non-compensation issues, and contains the full agreement of the parties as to all such compensation issues that were or could have been negotiated.



**ARTICLE 16  
INCORPORATION OF NON COMPENSATION AGREEMENT**

The terms and conditions of the Non Compensation Agreement Between the Office of the Attorney General and the American Federation of Government Employees, Local 1403, AFL-CIO, effective October 1, 2013 through September 30, 2017 (Non Compensation Agreement), are incorporated herein by reference into this Agreement. The provisions of this Compensation Agreement shall control to the extent of any inconsistency.

On this 25<sup>th</sup> day of March, 2014 and in witness to this Agreement, the Parties hereto set their signatures.

**FOR THE DISTRICT OF COLUMBIA  
GOVERNMENT**

\_\_\_\_\_  
Irvin B. Nathan, Attorney General  
Office of the Attorney General

\_\_\_\_\_  
Nadine C. Wilburn,  
Chief Counsel, Personnel, Labor &  
Employment Division  
Office of the Attorney General

\_\_\_\_\_  
Natasha Campbell  
Director, Office of Labor Relations &  
Collective Bargaining  
Office of Labor Relations &  
Collective Bargaining

\_\_\_\_\_  
Dean Aqui  
Attorney Advisor  
Office of Labor Relations &  
Collective Bargaining

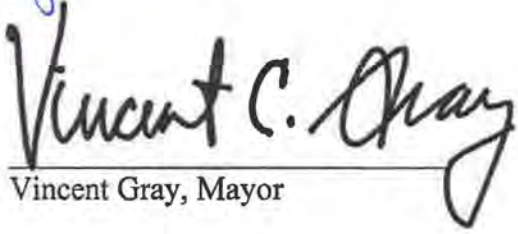
**FOR THE AMERICAN FEDERATION  
OF GOVERNMENT EMPLOYEES  
LOCAL 1403**

\_\_\_\_\_  
Shana Frost, Acting President  
AFGE, Local 1403

\_\_\_\_\_  
Robert A. DeBerardinis, Vice President  
AFGE, Local 1403

APPROVAL

This collective bargaining agreement between the District of Columbia and Compensation Unit 33, dated 28 March 2014 has been reviewed in accordance with §1-617.15 of the District of Columbia Official Code (2012 Repl.) and is hereby approved on this 24 day of June 2014.

  
Vincent Gray, Mayor

**DRAFT COLLECTIVE BARGAINING WORKING CONDITIONS AGREEMENT**

**BETWEEN**

**AMERICAN FEDERATION OF GOVERNMENT  
EMPLOYEES, LOCAL 1403,  
AFL-CIO,**

**AND**

**THE DISTRICT OF COLUMBIA,**

**AND**

**THE OFFICE OF THE ATTORNEY GENERAL,  
THE GOVERNMENT OF THE  
DISTRICT OF COLUMBIA**

**EFFECTIVE OCTOBER 1, 2013 THROUGH SEPTEMBER 30, 2017**

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## **ARTICLE 1 RECOGNITION**

### **Section 1 - Recognition**

- A. The American Federation of Government Employees, (AFGE) Local 1403 (Union) is recognized as the sole and exclusive collective bargaining representative of employees in the bargaining unit as defined in Section 2 of this Article.
- B. As the sole and exclusive representative, the Union is entitled to act for and to negotiate collective bargaining agreements (CBA) on behalf of all employees in the bargaining unit. The Union shall represent the interests of all employees in the bargaining unit without discrimination as to membership.
- C. The Employer shall give the Union an opportunity to be present at any formal meeting between the Employer and one or more employee(s) in the bargaining unit concerning any grievance or general condition of employment of the employee(s) in the bargaining unit. A “formal meeting” refers to any meeting between an employee and any individual in his or her supervisory chain of control that includes at least one (1) other management official or supervisor and at least one (1) Union representative.

### **Section 2 – Coverage**

- A. All Series 905 attorneys employed by the Office of the Attorney General for the District of Columbia (OAG or Employer), including Agency Counsel, except employees excluded under Section 5 of the Article. PERB Case No. O1-RC-03; Certification No. 121; PERB Case No. 01014-RC-0301, Certification No. 121, 133 (April 19, 2005).
- B. AFGE Local 1403 is recognized as the sole and exclusive bargaining representative for the bargaining units set forth in PERB Certification No. 121 and PERB Certification No. 133. In the event that any attorney positions within Local 1403’s bargaining unit that are currently assigned to the Office of the Attorney General are subsequently assigned to other agencies within the District of Columbia Government, the parties agree that Local 1403 will open negotiations, within thirty (30) days of the effective date of the transfer of positions, to establish an agreement governing the working conditions of the bargaining unit employees within those positions.

### **Section 3 – New Units**

The provisions of this Agreement shall not cover bargaining unit employees under the administrative jurisdiction of the Attorney General and/or the Mayor of the District of Columbia certified during the term of this Agreement. Representatives of any new units shall meet to negotiate a separate Agreement which shall govern the new units.

#### **Section 4 – Unit Clarification(s)**

The Union and the Employer shall file a Joint Petition with the Public Employee Relations Board to clarify and correct inaccuracies contained or arising within the current unit certifications. Prior to filing the joint petition, the Union and Employer shall confer on the revised unit descriptions.

#### **Section 5 - Exclusions from Coverage**

The following employees are excluded from the bargaining unit covered by the Agreement:

1. All management officials;
2. All supervisors;
3. Employees who act in a confidential capacity with respect to an individual who formulates or effectuates management policies regarding attorney employees in the field of labor relations;
4. Employees engaged in personnel work regarding attorney employees in other than a purely clerical capacity;
5. Employees who are engaged in administering the provisions of Title XVII of the District of Columbia Comprehensive Merit Personnel Act of 1978, D.C. Law 2-139; and
6. Interns, volunteers, pro bono attorneys, contract attorneys, attorneys who are detailed to the OAG from federal agencies.

**ARTICLE 2**  
**LABOR-MANAGEMENT RELATIONS**

**Section 1 - Composition and Function of the Labor-Management Committee**

- A. The parties shall continue the existing Labor-Management Committee (LMC) that will be constituted of an agreed upon number of Union and Employer representatives.
- B. The purpose of the LMC is to provide a forum for the exchange of views on working conditions, terms of employment, risk assessment, matters of common interest or other matters, which either party believes will contribute to improvement in the relations between the Union and the Employer within the framework of this Agreement.
- C. Performance evaluation appeals, grievances and disciplinary matters shall not be the subject of discussions at these meetings, nor shall the meeting be for any other purpose, which would modify, add to or detract from the provisions of this Agreement. The Committee shall adopt rules for meetings including rules for notices, agendas, times and locations.
- D. Changes to the functions and structure (except changes involving a particular individual as to personnel/supervisory appointments or transfers or space relocations) of the OAG are a proper matter for consideration by the Labor-Management Committee or relevant subcommittee.

**Section 2 - Subcommittees**

The parties may mutually agree to establish subcommittees of the LMC to study problems and conditions.

**Section 3 – Union’s Right to Request Impact and Effects Bargaining**

Nothing herein shall be construed to limit the Union's right to request impact and effects bargaining over any proposed organizational changes.

**Section 4 - Findings and Recommendations of the Labor-Management Committee or Subcommittee**

When possible, the findings and recommendations of the LMC or subcommittee thereof will be forwarded to the Attorney General or his/her designee for consideration. The Attorney General or his/her designee shall respond in writing to any written findings and recommendations of the committee or subcommittee within a reasonable period of time. At the time recommendations are forwarded by the committee or subcommittee to the Attorney General or his/her designee, the committee or subcommittee shall recommend a requested response date from the Attorney General, or his/her designee.

**Section 5 - Labor-Management Meetings**



A. In mutual recognition of the parties' joint desire to discuss and resolve matters of concern at the lowest possible level, the Union steward and first-level supervisor, who shall be a Section Chief for those attorneys who are in a Section or Deputies for those attorneys who are not in a Section, should meet periodically for the purpose of meaningful consultation and communication on the problems and policies of the organization in their working unit, and if appropriate, the steward may meet with supervisors of a higher level. Such meetings between supervisors and stewards shall be on duty time, shall be brief, and shall cover matters of concern between them and appropriate to their relationship.

B. Appropriate Management and Union representatives shall meet at either party's request to discuss problems concerning the implementation of this Agreement. Each party shall furnish the other with an itemized agenda setting forth the topics of discussion one (1) day before the meeting, unless otherwise agreed. The parties further agree that items not on the agenda may be raised for discussion, if agreed to by the parties at the meeting.

### **Section 6 - Organizational Changes**

A. The parties agree that changes to the functions and structure (except changes involving a particular individual as to personnel/supervisory appointments or transfers or space relocations) of the OAG are a proper matter for consideration by the Labor-Management Committee or relevant subcommittee. The Employer may, in its discretion, solicit the views of the Union on any proposed organizational change at any time, but agrees that it shall provide to the Union President a copy of the final draft of organizational changes that will impact Bargaining Unit Employees. The Union President or his/her designee may call a meeting of the Labor-Management Committee or relevant subcommittee concerning the proposed changes and Employer shall honor any such request. Following these consultations, the Union will be provided a copy of the final plan that has been approved by appropriate officials. If any changes to the plan are made thereafter, the Union shall be provided a copy of such changes.

### **Section 7 – Risk Assessment**

A. The LMC will act as the Risk Assessment and Control Committee (RACC) on all risk management issues concerning the OAG. When the LMC acts as the RACC, an equal number of representatives from Union and Management shall be included in the meetings.

B. The LMC will make recommendations to the Attorney General concerning risk management issues for OAG. The Attorney General or his/her designee will respond to risk management recommendations of the LMC within a reasonable period of time after receipt, but in no event later than four (4) weeks following the transmittal of a written recommendation from the LMC to the Attorney General. The Attorney General will take any corrective actions needed within a reasonable period of time, given the context of the recommendation.

C. The LMC shall include a RACC risk management agenda within the agenda of the LMC at least four (4) times each year on a quarterly basis.

D. Risk management issues will be considered by the LMC as a whole, with one vote for each committee member authorized.

**ARTICLE 3**  
**ADMINISTRATION OF LEAVE**

Except as otherwise provided in this Agreement or the corresponding Compensation Agreement, the parties shall adhere to all applicable law and District government rules and regulation in the administration of leave. Annual leave must be reasonably requested in advance except in an emergency (unanticipated event). Employer's decision to grant or deny annual leave shall be made within 72 hours of the request, excluding Saturdays, Sundays, holidays, and any other day that the District government is closed and will be based solely on mission (including coverage) requirements. Except in emergency situations, the Employer shall not consider the reason for the annual leave request in making the leave determination. If requested by the employee, the supervisor shall discuss the reason for the denial of any request, and discuss when the employee will be able to take the requested leave. Requests for annual leave shall be approved when possible.

**ARTICLE 4**  
**ALTERNATIVE WORK SCHEDULE**

The Employer agrees to continue implementation of its Attorney, Non-Attorney Manager, and Support Staff Alternative Work Schedule Program (Office Order No. 2011-07) (March 28, 2011), in effect on September 12, 2013, and set out as Attachment A to this Agreement.

**ARTICLE 5**  
**EMPLOYEE ASSISTANCE PROGRAM**

**Section 1 - General**

The parties recognize that alcoholism, drug abuse, and emotional and mental illness are health problems that may affect job performance. To this end, the Employer will, at least annually, make employees aware of the District's Employee Assistance Program (EAP) (District Personnel Manual (DPM) Chapter 20B, Section 2050) and available services provided under it. The provisions of the DPM govern except as provided below.

**Section 2 - Use of Sick Leave**

Employees undergoing a prescribed program of treatment for alcoholism, drug abuse, emotional illness, or mental illness will be allowed to use available sick leave with appropriate documentation of attendance and/or referral for this purpose on the same basis as any other illness.

**ARTICLE 6**  
**UNION STEWARDS/OFFICIAL TIME**

**Section 1 - Number of Stewards**

- A. The Union may designate, other than the Chief Steward, no more than five (5) stewards, or one (1) steward for every fifty (50) bargaining unit employees, whichever is greater.
- B. The Union will endeavor, whenever possible, to limit the number of Union Representatives working in the same division, to a number that will not cause a significant work disruption in that work unit.

**Section 2 - Designation of Representatives**

- A. Union Officers, Stewards and Other Representatives
1. Union Officers and Stewards: The Union agrees to provide the OAG and the Office of Labor Relations and Collective Bargaining (OLRCB) with a written list of its officers and stewards within two (2) workdays after the date this Agreement is executed and within five (5) working days after each general election.
  2. Other Representatives: The Union will also notify the Employer and OLRCB, in writing, of other Union representatives who may request official time, along with a description of their individual Union assignments.
- B. Changes in the list will be submitted to the Employer's designated official(s) at least two (2) workdays prior to the assumption of representational responsibilities by any new officers, stewards or other representatives. If a Union official is not on the list of designated representatives and is needed prior to the two (2) days notice, the Union President shall notify the Employer's designated official(s) by phone and/or e-mail before the official will be recognized. The Employer shall recognize any Union official designated pursuant to this section.
- C. The Employer will not recognize any Union official or representative who is not listed as required or for whom notification was not provided in accordance with this section.
- D. Except where explicitly provided, this Agreement shall not be interpreted in any manner that interferes with the Union's right to designate representatives of its own choosing on any particular representational matter.
- E. The Union will be notified prior to any change in tours of duty of duly appointed Stewards. The Union shall also be notified prior to the organization of tours of duty that would affect the members of the unit.
- F. Employer recognizes that the Union may designate employee members, selected or appointed to a Union office or delegated to a Union function and agrees that, upon request, the employee may be granted annual leave or leave without pay for the period of time required to be away from his/her job. Such requests will be submitted as far in advance as possible, but not less than one (1) working day prior to the day the leave is to begin in the event the leave request is eight (8)

hours or less, or five (5) working days in advance, in the event the leave request exceeds eight (8) hours. The Union shall be notified of a disapproval of leave in writing together with the Employer's justification. Leave contemplated under this article shall not be denied except for good cause.

### **Section 3 - Performance Appraisals**

A. No Union representative will be disadvantaged in the assessment of his/her performance based on his/her participation in Union activities and/or use of official time to conduct labor-management business authorized by this Agreement. However, performance problems unrelated to participation in Union activities and/or the use of official time may be addressed in accordance with other relevant provisions of this Agreement.

B. At the beginning of the rating year or when the Union representative is initially appointed, workload and performance expectations will be established that consider the actual use of official time and the impact on performance of the duties of the employee's position. Additionally, the designated supervisor and the Union representative will meet at least quarterly to discuss needed adjustments to workload and representational needs.

### **Section 4 - Official Time for Representational Activity**

A. Pursuant to the statutory right and responsibility of the Union to represent bargaining unit employees, representatives of the Union will be granted reasonable amounts of official time to investigate, prepare for, and conduct representational functions in accordance with the provisions of this Article as follows. The Union President (office currently occupied by Shana Frost on an acting basis) will be assigned a caseload equal to no greater than 50% of the average caseload of an attorney with his or her grade level and experience in the Division which employs the Union President. The Union Vice President # 1 (office currently occupied by Robert DeBerardinis) will be assigned a caseload equal to no greater than 75% of the average caseload of an attorney with his/her grade level and experience in the Division which employs the Union Vice President #1. No other Union members or officer will be assigned a reduced caseload. However, other Union members or officers shall be granted reasonable amounts of official time to investigate, prepare for, and conduct representational functions as needed, including necessary travel time. Employer will not be required to grant or approve official time for any Union shop steward, officer or other representative who has not complied with the Employer notification requirements of Section 2 of this Article.

B. For the purpose of this Article, "representational functions" means those authorized activities undertaken by employees on behalf of other employees or the Union pursuant to representational rights under the terms of this Agreement and District of Columbia law. Examples of activities for which reasonable amounts of official time will be authorized include:

1. collective bargaining negotiations;
2. discussions with Employer representatives concerning personnel policies, practices, and matters affecting working conditions;

3. any proceeding in which the Union is representing an employee or the Union pursuant to its obligations under this Agreement;
  4. grievance meetings and arbitration hearings;
  5. a disciplinary or adverse action oral reply meeting, if the Union is designated as representative of the employee;
  6. any meetings for the purpose of presenting replies to the proposed termination of probationers, if the Union is designated as representative of the employee;
  7. any meeting for the purpose of presenting reconsideration replies in connection with the denial of within-grade increases, if the Union is designated as representative of the employee;
  8. attendance at an examination of an employee who reasonably believes he or she may be the subject of a disciplinary or adverse action;
  9. informal consultation meetings between the Employer and the Union;
  10. conferring with affected employees about matters for which remedial relief is available under the terms of this Agreement;
  11. attendance at meetings of committees on which Union representatives are authorized members by the Employer or this Agreement;
  12. attendance at labor-management committee meetings or other joint labor-management cooperative efforts;
  13. attendance at Employer recognized or sponsored activities to which the Union has been invited;
  14. attendance at public hearings of the District of Columbia City Council or other legislative/administrative bodies of the District or federal government relating to matters that affect either the OAG or labor relations/labor matters in the District of Columbia that impact or may impact the Union;
  15. necessary travel to any of the activities listed above;
  16. training related to the representational functions of Union officials and stewards which the parties agree is to their mutual benefit and for which management is given notice and provided with an agenda and course description; and
  17. new employee orientation meetings.
- C. Official time shall not include time spent on internal Union business, including, but not limited to:
1. Attending Local, Regional, or National Union meetings;

2. Soliciting members;
3. Collecting dues;
4. Posting notices of Union meetings; administering elections;
5. Preparing and distributing internal Union newsletters or other such internal documents;  
and,
6. Internal Union strategy sessions, except for representational functions.

### **Section 5 - Requesting Official Time**

A. All use of official time by any Union officer, official, steward or other representative must be recorded on the Employer-approved Official Time Report Form and submitted on a monthly basis to Employer's designee.

B. Official time for Union representatives should be requested on the approved "Official Time Report" form. The Union representative will request authorization for official time from his or her supervisor in advance and as is consistent with workload requirements except when circumstances do not allow for advance approval (e.g., unscheduled meetings called by management where the Union's attendance is requested; or representation of employees in investigatory interviews; or circumstances where the employee might be subject to discipline). Failure to properly request and obtain approval of official time may result in disciplinary action depending on the circumstances.

C. All advance requests for official time are understood to be estimates.

D. If a request for official time is denied, the manager or supervisor refusing such permission shall give the reasons for refusal in writing to the individual who was so denied if the individual involved makes such a request.

E. Employee Union representatives, except the Union President, in light of her 50% reduced caseload, and Vice President #1, in light of his 25% reduced caseload, will complete the "Official Time Report" form (attached to this Agreement as Exhibit "A") provided by the Employer to accurately depict the actual official time used in a timely manner each pay period.

F. Management shall not prevent Union representatives from representing employees at reasonable times consistent with the provisions of this Agreement. The Union and employees recognize that workload and scheduling considerations will not always allow for the immediate release of employees from their assignments. However, the Employer agrees that such permission for release shall not be unreasonably delayed or denied. Workload needs will be balanced with official time needs prior to approval based on the following standard: official time requests shall be granted unless they hinder the accomplishment of essential workload requirements that cannot otherwise be accommodated.

G. All affected employees (e.g., grievants, representatives, witnesses, and appellants) whose presence has been determined to be necessary, by either the Union or the Employer, as the case may be, at relevant proceedings (including hearings, meetings, arbitrations, oral replies, or other labor-



management business) will receive necessary official/duty time to participate in and travel to and from the proceedings.

## **Section 6**

A. The parties agree that Union officials and stewards are entitled to take a reasonable amount of official time and the officials and stewards requesting/using official time shall be treated with civility and shall not be discriminated against because they participate in Union activities and/or take official time. Likewise, Union officials and stewards shall treat supervisors with civility in regard to their supervisors need to have information about the amount and type of official time being requested so that the supervisor can effectively manage their personnel and allotted workload. The parties agree that there is a need for flexibility to enable managers to effectuate the mission of the government and, at the same time, to enable Union officials and stewards of the bargaining unit to take care of Union business expeditiously.

B. In cases of alleged abuse of official time by the Union, or alleged improper restriction of official time or discrimination by the Employer, the parties shall endeavor to resolve the matter at the lowest possible level. If efforts to resolve the matter between the first line supervisor and the Union official or representative fail, then the party alleging the abuse or improper restriction shall bring the matter to the attention of the appropriate management and Union representatives. If the matter is not resolved then either party may seek assistance from the D.C. Office of Labor Relations and Collective Bargaining.

## **Section 7**

The parties shall conduct separate training concerning use of official time for members and managers and supervisors.

**ARTICLE 7**  
**UNION USE OF EMPLOYER FACILITIES AND SERVICES**

- A. Upon request, the Union may have access to meeting space by following established OAG procedures. Except as provided elsewhere in this Agreement, the Union shall attempt to hold meetings during the non-work time of employees attending the meetings. The Union will be responsible for maintaining decorum at meetings on the Employer's premises and for restoring the space to the same condition to which it existed prior to the meetings.
- B. Employer manpower, office space, and supplies, except as otherwise provided in this Agreement, shall not be used in support of internal Union business.
- C. The Employer may provide appropriate office space with a locking door for the Union. Assigned Union office space will remain in use unless or until the Employer needs require the use of the assigned space. In this event, management will notify the Union sixty (60) days in advance. Other approximately equivalent or mutually agreeable space will be made available at least fifteen (15) business days prior to the time the Union is required to vacate the present office.
- D. The Employer will make available to the Union at a minimum two (2) locking file cabinets, one (1) desk, and three (3) chairs.
- E. The Union shall limit its posting of notices and bulletins to Union-designated bulletin boards, and each such posting shall be authorized and initialed by a Union officer or steward. A courtesy copy of all materials to be posted pursuant to this article will be provided to the Attorney General or his/her designee at the time of posting. Each bulletin board shall have the following notice posted in a prominent place:

This bulletin board is for the exclusive use of AFGE Local 1403 and its membership. Matters posted on the board are not intended to reflect the official views of the DC Government or the Employer unless issued by them.

The contents of the notices posted on the bulletin board shall be at the discretion of the Union, except that the Attorney General or his/her designee may request the removal of language or material that it believes is defamatory or discriminatory. With notice to the Union, Employer may remove language or material that is defamatory or discriminatory.

- F. Union officers and representatives, and other unit members who serve in any capacity on behalf of the Union, may use their regular workstations including telephones, computers, and e-mails to communicate with bargaining unit employees in connection with their representational functions; provided however, such activity shall not interfere with the effective operation of the Government's business. Employer shall not monitor Union telephone or email activity or content related to representational functions. All communication regarding terms and conditions of employment shall be in accordance with the Code of Conduct applicable to District Government employees as defined in the Government Ethics Act (D.C. Law 19-124, D.C. Official Code § 1-1161.01 *et seq.*). Communications, including broadcast emails, will not contain statements that

reflect on or attack the integrity or motives of individuals, the Office of the Attorney General, or other agencies of the District Government. Communications will clearly identify the Union official responsible for its content.

## **ARTICLE 8 PERSONNEL FILES**

### **Section 1 - Official Files - Definition**

The Official Personnel File ("OPF") for each employee is maintained solely by the District of Columbia Department of Human Resources ("DCHR").

### **Section 2 - Right to Examine**

Employees and/or their authorized representatives shall be permitted to examine all contents of the employee's personnel files, including without limitation the OPF, whether maintained by OAG, DCHR or elsewhere, upon request.

### **Section 3 - Right to Respond**

Each Employee shall have the right to answer any material filed in his/her OAG personnel files and his/her answer shall be attached to the material to which it relates. Unless prohibited by law or regulation, in the case of complaints made orally that are reduced to writing and placed in an OAG personnel file, Employees shall be informed of the person making the complaint; the substance of the complaint, and the date the complaint was made and may respond as provided for in this section.

### **Section 4 - Right to Copy**

An employee and/or their authorized representatives will be permitted to copy any material in all personnel files, including without limitation the OPF, for that employee maintained by the Employer.

### **Section 5 - Access by Union**

Upon presentation of written authorization by an employee, the Union representative may examine all of the employee's personnel files, including without limitation the OPF, and obtain copies of the material free of charge.

### **Section 6 – Employee to Receive Copies**

As consistent with applicable law, the employee shall receive a copy of all material placed in his/her OPF and all personnel related materials, including electronic data, upon request.

**ARTICLE 9**  
**JOB DESCRIPTIONS**

Each employee within the unit shall receive a copy of his/her current job description upon request. When an employee's job description is changed, the employee and the Union shall be provided a copy of the new job description. When there is a material change in job duties, the employee shall be given advance notice of the change.

**ARTICLE 10**  
**LATE ARRIVAL/EARLY DISMISSAL**

**Section A -- Late Arrival**

Employees shall be permitted to arrive late at work without charge to leave during inclement weather or during other extraordinary circumstances where the District government has authorized a late arrival for all non-essential employees, consistent with the authorization. All employees shall be considered non-essential for purposes of this Article unless they have been previously notified of their essential status.

**Section B -- Early Dismissal**

Whenever the Mayor, designated agency head, or an authorized official authorizes the early dismissal of District government employees, all employees (except those who have been designated in advance as essential employees consistent with the applicable laws and regulations and those who have been notified by their supervisor that because of specific pressing work requirements that they may not leave work early) shall be permitted to leave their duty stations consistent with the early dismissal authorization. The Attorney General (or his or her designee) shall make every reasonable effort to ensure that employees are notified timely of the early dismissal or other leave policy during extraordinary circumstances. In addition, managers and supervisors shall make every reasonable attempt to ensure that employees who they manage or supervise are notified of the early dismissal authorization.

Notice shall be provided to employees whose work assignments do not permit them to leave work early regardless of the general early release authorization.

**Section C -- Employees on leave during the late arrival/early dismissal period**

An employee who previously requested and was granted leave during the authorized late arrival and/or early dismissal hours shall not be charged leave for the period requested that coincides with the authorized late arrival and/or early dismissal hours.

**ARTICLE 11**  
**STRIKES AND LOCKOUTS**

In accordance with applicable law, it shall be unlawful for any District Government employee or the Union to authorize, ratify or participate in a strike against the District. The term strike as used herein means any unauthorized concerted work stoppage or slowdown. No lockout of employees shall be instituted by the Employer during the term of this Agreement except that the Employer in a strike situation retains the right to close down any facilities to provide for the safety of employees, equipment or the public.

**ARTICLE 12**  
**CONTRACTING OUT/PRIVATIZATION**

Employer recognizes the Union's desire to retain all work regularly performed for the Employer, and the Union recognizes the Employer's need to maintain an efficient workplace; therefore, Employer will use its best efforts to continue to use bargaining unit employees and not subcontract work that has been traditionally and regularly performed by its employees. Decisions regarding contracting out are areas of discretion of the Employer. The impact and implementation of contracting out upon bargaining unit employees is a mandatory subject of bargaining. The Employer must notify the Union at least thirty (30) days in advance of any contracting out actions. The Union shall have full opportunity to make its recommendations known to the Employer who will duly consider the Union's position and give reasons in writing to the Union for any contracting out action. The Employer shall consult with the Union to determine if the needs of the Government may be met by means other than contracting out work traditionally performed by bargaining unit employees. The Employer shall minimize displacement actions by reassigning or retraining affected employees in order to retain bargaining unit employees consistent with available budget and applicable laws and regulations.



## **ARTICLE 13 UNION RIGHTS AND SECURITY**

### **Section 1 – Exclusive Agent**

The Union shall be the exclusive collective bargaining representative of bargaining unit employees.

### **Section 2 – Access to Employees**

Representatives of the Union shall have access to individual employees, either new or rehired, in its bargaining unit to explain Union membership, services and programs. Such access shall be voluntary for new and rehired employees and shall occur during the formal orientation session. The Union shall have the opportunity to provide a fifteen (15) minute presentation as a part of the orientation programs for the Employer.

### **Section 3 – Dues Check off**

Pursuant to D.C. Official Code § 1-617.07 (2012 Repl.), the Employer shall deduct dues from the bi-weekly salaries of those employees who authorize the deduction of said dues. The Union shall be solely responsible for notifying employees, prior to obtaining their authorization, that they have certain constitutional rights under *Chicago Teachers Union Local No.1 v. Hudson*, 475 U.S. 292 (1986) and related cases. The employee must complete and sign an authorized dues deduction form to authorize the withholding. Employer will promptly process dues deduction forms.

### **Section 4 – Annual Notification of Annual Dues Amount**

The amount to be deducted shall be certified to the Office of Labor Relations and Collective Bargaining (OLRCB) annually in writing by the appropriate official of the Union. The employee's authorization shall be forwarded to the OLRCB. It is the responsibility of the employee and the Union to bring errors or changes in status to the attention of the Employer. Corrections or changes shall be made at the earliest opportunity after notification is received but in no case will changes be made retroactively, unless the Employer fails to deduct dues due to the Employer's action or inaction. This provision shall supersede any other dues deduction agreement in effect prior to the effective date of this Agreement.

### **Section 5 – Service Fees**

In keeping with the principle that employees who benefit by the Agreement should share in the cost of its administration, the Union shall require that employees who do not pay Union dues to pay an amount (not to exceed Union dues) that represents the cost of negotiation and/or representation. Such service fee deductions shall be allowed when the Union presents evidence that at least fifty-one percent (51%) of the employees in the unit are members of the Union.

## **Section 6 – Cost of Processing**

Union dues and/or service fees shall be transmitted to the Union, minus a fee of \$.15 per deduction (dues or service fee) per pay period, payable to the OLRCB, for the administrative expenses associated with the collection of said dues pursuant to executed dues check off authorizations.

## **Section 7 – Hold Harmless**

The Union shall indemnify, defend and hold the Employer harmless against any and all claims, demands and other forms of liability that may arise from the operation of this Article. In any case in which a judgment is entered against the Employer as a result of the deduction of dues or other fees, the amount held to be improperly deducted from an employee's pay and actually transferred to the Union by the Employer shall be returned to the Employer or conveyed by the Union to the employee(s) as appropriate.

## **Section 8**

Payment of dues or service fees shall not be a condition of employment.

## **Section 9**

When a service fee is not in effect, the Union may require that an employee who does not pay dues or service fees to pay reasonable costs incurred by the Union in representing such employee in grievances, adverse actions or appeal proceedings within the provisions of the CMPA, provided the Union gives advance notice of said costs to the employee.

## **Section 10**

The terms and conditions of this Agreement shall apply to all employees in the bargaining unit without regard to Union membership.

## **ARTICLE 14 TERM EMPLOYEES**

### **Section 1**

- A. Term employees in the bargaining unit shall be given not less than two (2) pay period's notice of the termination of their appointment.
- B. Term bargaining unit employees shall be fully informed in their offer letter prior to their entrance on duty that the offer of employment is a term position. Term employees shall be provided a copy of their official position description.
- C. To the extent not inconsistent with District or Federal law and regulations, the Employer shall use its best efforts, subject to funding, to convert term bargaining unit employees ("NTE employees") to permanent ("FTE") status by the end of each fiscal year, when the term bargaining unit employee: 1) performs services for which OAG has a continuous need, 2) is in a pay status as of September 30, 2013, and continuing on an ongoing basis any term bargaining unit employee in a pay status by September 30<sup>th</sup> of each successive year, and 3) has both served for at least one year and performed at a meets expectations level, or the equivalent, for the most recent evaluation rating period. If a term employee is separated by management for any reason, other than project termination or budgetary reasons, and management previously extended the employee's term for 13 months, so that the employee is separated at the end of his or her second term, the employee shall have an opportunity to challenge his or her separation to the same extent as permanent unit employees.
- D. By December 1<sup>st</sup> of each year, Employer must provide the Union with the names of all unit term employees, the reason why their positions are term positions, and the names of all unit employees who have been converted to FTE status.

### **Section 2 – Priority Conversion of NTE Employees to FTE Status**

When management determines to fill a FTE vacancy in a legal services section, the most senior qualified NTE employee with substantially similar, or greater, experience to the vacant position in that section, providing that the employee has a satisfactory performance appraisal and more than 24 months continuous employment, must be offered the FTE position.

## **ARTICLE 15 DISCRIMINATION**

### **Section 1 – General Provisions**

A. In accordance with the D.C. Human Rights Act of 1977, as amended, D.C. Official Code 2-1401 *et seq.* (2012 Repl.), the Employer shall not discriminate against any Employee because of actual or perceived race, color, religion, national origin, sex, age, marital status, personal appearance, sexual orientation, family responsibilities, matriculation, political affiliation, disability, gender identity or expression or genetic information. The Employer's violation of the Human Rights Act shall also constitute a violation of this Agreement.

B. Employer and the Union agree to cooperate to provide equal opportunity for employment and promotion to all qualified persons, to cooperate in ending discrimination, and to promote the full realization of equal employment opportunity through a positive and continuing effort. To this end, EEO concerns may be filed with OAG's EEO Director in accordance with OAG's Equal Employment Opportunity Office Order No. 2006-11. At the request of either party, the EEO Director shall consider any employment practice or policy that allegedly has an adverse impact on members of any protected group.

### **Section 2 - Equal Employment Practices**

The Employer shall continue implementation of its Equal Employment Opportunity Policy (OAG Office Order No. 2006-11 (March 9, 2006 or successor orders) and any Affirmative Action Plan in accordance with existing law on affirmative action. The Affirmative Action Plan will be developed in accordance with Federal and D.C. Office of Human Rights guidelines. Union input on the development of the Affirmative Action Plan may be provided through OAG's EEO Director. The Employer shall provide the Union a copy of the Affirmative Action Plan, when developed by the Employer.

### **Section 3 – Sexual Harassment**

A. All Employees must be allowed to work in an environment free from sexual harassment. Therefore, the parties agree to identify and work to eliminate such occurrences in accordance with the OAG Sexual Harassment policy contained in OAG Office Order No. 2006-11 as amended or any subsequent policy developed.

B. Sexual harassment includes unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when: (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment; (2) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual; or (3) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

#### **Section 4 – Union Activity**

The Employer shall not in any way discriminate against any employee because of his/her membership or affiliation in or with the Union or service in any capacity on behalf of the Union. Each employee has the right, freely and without fear of penalty or reprisal:

1. To form, join and assist in labor organization or to refrain from this activity;
2. To engage in collective bargaining concerning terms and conditions of employment, as may be appropriate under the law, rules and regulations through a duly designated representative; and
3. To be protected in the exercise of these rights.

#### **Section 5 – Discrimination Charges and Election**

A. An employee may raise a complaint of discrimination under applicable law (to OAG's EEO Director through the administrative complaint process, the Office of Human Rights, the Equal Employment Opportunity Commission, local or federal courts), or through the negotiated grievance procedure but not both. In consideration for the benefits of arbitration, each employee must sign the attached waiver acknowledging voluntary waiver of his/her federal statutory rights, including his/her rights under Title VII as a condition precedent to submission of his/her discrimination complaint to the grievance process. If an employee elects not to voluntarily waive his/her rights, the employee cannot submit his/her discrimination claim through the grievance process. Grievances must be filed within thirty (30) days of the date that the employee knew or should have known of the conduct being grieved. An employee shall be deemed to have exercised this option when the matter that give rise to the allegation of discrimination is made the subject of a timely filed grievance or a formal EEO complaint, whichever event (filing) occurs first.

B. The Union and Employer shall agree on a panel of arbitrators who shall have at least five years of experience in employment discrimination law to hear such grievances at the arbitration level of review.

C. A complainant has the right to be accompanied, represented, and advised by a representative of her/his choosing at any stage of the complaint process, except where there is a conflict of interest or position.

D. The Employer shall notify the Union of all remedial or corrective actions that impact on bargaining unit employees to be taken as the result of informal or formal resolution of EEO complaints.

FORM TO BE COMPLETED BY EMPLOYEES WHO DECIDE TO FILE A GRIEVANCE  
OVER A DISCRIMINATION CHARGE

I, \_\_\_\_\_, acknowledge that I have decided to submit my employment discrimination charge through the grievance procedure. In consideration of arbitration, I will forego and waive my rights to file a separate claim under the discrimination statutes, including Title VII, in accordance with applicable law governing such elections. *See Alexander v. Denver-Gardner*, 415 U.S. 36 (1974).

Dated:

\_\_\_\_\_  
EMPLOYEE'S NAME

## **ARTICLE 16 SAFETY AND HEALTH**

### **Section 1 - Working Conditions**

- A. The Employer shall provide and maintain safe working conditions for all employees. It is understood that the District may exceed standards established by regulations consistent with the objectives set by law. The Union will cooperate in these efforts by encouraging its members to work in a safe manner and to obey established safety practices and regulations.
- B. Matters involving safety and health will be governed by the D.C. Occupational Safety and Health Plan in accordance with the Comprehensive Merit Personnel Act (D.C. Official Code section 1-620.01 *et seq.*, as amended (2012 Repl.)).

### **Section 2 - Corrective Actions**

- A. If an Employee observes a condition that he or she reasonably believes to be unsafe, the employee shall report the condition to the immediate supervisor and the OAG Risk Manager Specialist.
- B. If the supervisor determines that a condition constitutes an immediate hazard to the health and safety of the employee, the supervisor shall take immediate precautions to protect the employee and contact the Risk Manager Specialist as necessary. If the supervisor does not agree that the condition constitutes an immediate hazard to the health and safety of the employee, the employee may immediately refer the matter to the next level supervisor or designee. The supervisor or designee shall meet as soon as possible with the employee and his/her Union representative to make a determination of final actions to be taken, if any.
- C. Employees shall be protected against penalty or reprisal for reporting an unsafe or unhealthful working condition or practice, or assisting in the investigation of such condition or practice.

### **Section 3 - First Aid Kits and Defibrillators**

- A. Subject to budget, Employer shall make first-aid kits reasonably available for the use of all employees in case of on the job injuries.
- B. The need for additional first-aid kits is an appropriate issue for the Risk Assessment and Control Committee recommendation. Recommendations of the Risk Assessment and Control Committee will be referred to the Attorney General or his/her designee.
- C. Employer shall provide accessible defibrillators meeting the applicable standard of care on each floor where OAG controls its own office space.
- D. Employees who have been identified by the Risk Management Specialist as having been exposed to a toxic substance (including, but not limited to asbestos) in sufficient quantity or

duration to meet District Government risk standards shall receive appropriate health screening. In the absence of District Government risk standards, the OAG Risk Manager will refer to standards established by other appropriate authorities such as OSHA, NIOSH or the EPA.

#### **Section 4 – Excessive Temperatures in Buildings**

Employees, other than those determined by the Employer to be essential, shall be released from duty or reassigned to other duties of a similar nature at a suitably temperate site because of excessively hot or cold conditions in a building. The Employer shall make this determination as expeditiously as possible. In lieu of dismissal, the Employer may authorize employees affected by excessive temperature conditions to telecommute until the condition abates. Administrative leave shall be granted if authorized by the Mayor or his or her designee.

#### **Section 5 – Maintenance of Health Records**

Medical records of employees shall be maintained in accordance with the applicable provisions of law. Medical records shall not be disclosed to anyone except in compliance with applicable laws, rules and regulations relating to the disclosure of information. Copies of rules relating to medical records and information shall be made available to the Union.



**ARTICLE 17**  
**INFORMATIONAL REPORTS ON EMPLOYEES**

Upon request, and at least annually by December 31<sup>st</sup> of each year, Employer shall provide the Union a list of bargaining unit members that includes the name, grade, step, title, hire date, organizational unit, assignment, location, contact information (including work address, telephone number and fax number) and bargaining unit status of each bargaining unit employee. The Employer shall maintain the Union on the regular distribution list for the New Hires and Resignations Report, which shall be updated at least quarterly. The Employer shall include the Union status on the New Hires and Resignations Report provided to the Union.

**ARTICLE 18**  
**FITNESS FOR DUTY**

The Employer agrees to comply with applicable District law and controlling regulations concerning fitness for duty.

**ARTICLE 19**  
**REQUESTS FOR INFORMATION**

Consistent with law and upon request of the Union, the Employer shall provide relevant information that the Union needs to perform its duties in grievance processing and collective bargaining negotiations.

**ARTICLE 20**  
**EMPLOYEE USE OF INFORMATION TECHNOLOGY**

**Section 1 – New Technology**

Whenever the Employer proposes to acquire or implement equipment or technological changes that may adversely impact employees in the bargaining unit, the Employer shall notify the Union and, when requested, bargain over any adverse effect. Appropriate training for affected employees that will enable them to maintain their present job status shall be among the principal considerations as part of such bargaining. The Employer shall provide training for affected employees to acquire and maintain the skills and knowledge necessary for new equipment or procedures. The training shall be held during working hours. The Employer shall bear the expense of the training. The Employer shall provide training for employees who had previously not been required to use existing technology but who are then required to do so.

**Section 2 – Electronic Mail Use**

The parties acknowledge that D.C. Government-provided electronic mail (email) services are to be used for internal and external communications that serve legitimate government functions and purposes. Employees are expected to be familiar with the D.C. Government's Email User Policy. The parties agree that employees are allowed to use email on a limited basis for personal purposes, but such use should be limited to non-work time and should not interfere with the performance of the employee's duties, nor used to conduct outside employment or for discriminatory or harassing purposes or exchange of pornographic, discriminatory or harassing material.

**Section 3 – Internet Access and Use**

The parties agree that Internet access through the Office of the Attorney General facilities is considered D.C. Government property and must be used for the program needs of the OAG. Employees are expected to be familiar with the D.C. Government's Internet Access and Use Policy. The parties agree that employees may be allowed to use the Internet on a limited basis for personal purposes, but that such use should be limited to non-work time and should not interfere with the performance of the employee's duties. Employees are expressly prohibited from visiting websites to conduct outside employment or that contain discriminatory, pornographic, bandwidth-consuming, or harassing material.

**Section 4 – Telephone Use**

The Employer and Union agree that D.C. Government telephones must be used primarily in support of D.C. Government programs. The parties acknowledge that employees are permitted to use telephones on an occasional and selective basis for personal purposes. Such use is a privilege and not a right and may not be abused for the conduct of outside employment during the scheduled tour of duty of the employee or for discriminatory, pornographic, or harassing purposes.

## **Section 5 - Privacy**

Except as provided generally under current, written, and published D.C. Government policies, the Office of the Attorney General shall not monitor employee email, telephone, or internet use, unless it has good cause to believe that an employee has violated this Article or any applicable law or regulation. The Employer will share with the Union notices of any changes or modifications to said policies that it receives.

## **ARTICLE 21 TRAINING**

### **Section 1 - New Employee Orientation**

Employer will provide each new employee with an orientation to include at least a fifteen (15) minute presentation by the Union regarding Union membership.

### **Section 2 - Continued Training Opportunities**

The Employer and Union mutually agree that the legal services provided by attorneys employed by OAG will be enhanced by the opportunity for attorneys to engage in continuing legal education that is relevant to their work. The Employer shall encourage and assist Employees in obtaining career-related training and education both inside and outside the OAG by collecting and posting current information available on training and educational opportunities. The Employer shall inform Employees of time or expense assistance the Employer may be able to provide. Continued training shall be provided and approved within budgetary constraints. The Employer will use its best efforts to provide a variety of appropriate continuing legal education opportunities, including ongoing access to online training opportunities and legal ethics training opportunities, throughout each year at no cost to employees to enable employees to meet their continuing legal education requirements under the Legal Service Act.

### **Section 3 - Requests for Continued Training**

The Employer may consider requests for continued training of Employees and may provide time or expense assistance to Employees. Continued training opportunities shall be afforded Employees on a fair and impartial basis to the maximum extent possible. Employees shall be promptly informed of a denial of a training request together with the reason for the denial. The parties agree that the program needs of the Employer are paramount in providing training to Bargaining Unit Employees.

## **ARTICLE 22 EMPLOYEE RIGHTS**

### **Section 1 – Respect in the Workplace**

It is the intent of the OAG and the Union that all employees both within the bargaining unit and outside shall be treated with fairness and dignity.

### **Section 2 - Employee Rights**

All Union employees have the right, and shall be protected in the free exercise of that right without fear of penalty or reprisal:

1. to organize a labor organization free from interference, restraint, or coercion;
2. to form, join, or assist any labor organization;
3. to bargain collectively through representatives of their own choosing; and
4. to refrain from any or all such activities under subsections (1), (2), and (3) of this subsection, except to the extent that such right may be affected by an agreement requiring membership in a labor organization as a condition of employment as authorized in D.C. Official Code § 1-617.11 (2012 Supp.) (“Employee Rights”).

Employee Rights shall extend to participation in the management of the Union and acting for it in the capacity of a Union representative, including representation of its views to the officials of the Mayor, D.C. Council or Congress.

### **Section 3 - Employee Grievances**

An individual employee may present a grievance at any time to the Employer without the intervention of the Union; provided, however, that the Union is afforded at least forty-eight (48) hours advance notice to be present and to offer its view when requested by an employee at any meeting held to resolve the grievance. Any employee or group of employees who present a personal grievance to the Employer may not do so under the name, or by representation, of the Union. Resolutions of grievance must be consistent with the terms of this Agreement.

### **Section 4 – Conflicts of Interest**

This Agreement does not authorize participation in the management of or acting as a representative of a labor organization by any employee if the participation or activity would result in a conflict of interest, a breach of legal ethics, or otherwise be incompatible with applicable law or with the official duties of the employee.

## **Section 5 - Campaigns or Drives - Solicitation of Employees in the Bargaining Unit**

A. Definition: For the purpose of this Article, solicitation of employees in the bargaining unit means OAG or District government approved solicitations which have been announced in generally published OAG or D.C. government directives.

B. Participation: Contributions from employees in the bargaining unit and participation by employees in the unit to solicit contributions shall be voluntary. There shall be no discrimination against any employee in the unit for non-participation or for any level of contributions. An employee in the bargaining unit may be requested to volunteer or solicit for contributions. Absent a volunteer, OAG will request the Union to assist in providing the needed volunteer. Consistent with District government ethics rules, regulations and law, no management or supervisory employee shall participate in any direct solicitation of employees in the bargaining unit who are under his/her supervision except for occasional office functions.



**ARTICLE 23**  
**SABBATICAL/EXTENDED LEAVE**

It is the policy of the Office of the Attorney General for the District of Columbia (OAG) to allow attorneys to apply for an extended time away from work for community service, education, travel or other outside interests in a non-pay status. To be eligible for a sabbatical, an attorney must have both: 1) been employed with the OAG for seven years, and 2) received a performance evaluation of at least Successful, or an equivalent rating, in every category for the rating period which immediately precedes the application for sabbatical/extended leave. An attorney who receives a Needs Improvement or a Fails Expectation, or an equivalent rating, in any category is ineligible. After completion of the attorney's seventh anniversary with the OAG and each successive seven years after return from a sabbatical, the attorney may request up to one (1) year of leave as sabbatical. Attorneys who elect to take a sabbatical will return to a comparable position with the OAG.

**Section 1 – Process**

Application for sabbatical should be submitted to the attorney's immediate supervisor no later than 120 days before the proposed leave is to commence. The immediate supervisor shall review each application and send a recommendation to approve or disapprove the request to the Attorney General within 30 days of the submission of the request.

**Section 2 – Supervisor's Authority**

Sabbaticals may be taken for any purpose. However, the reason for the request may be taken into consideration by the employee's supervisor in determining whether to approve the request. Final decision on request for sabbatical is in the sole discretion of the Attorney General who, in his/her discretion, may set limits on the number of attorneys who shall be approved for a sabbatical in any one year. If an employee asks for the reason for the denial, a supervisor must provide a written justification for the denial. The denial of an application for sabbatical/extended leave is not grievable.

**Section 3 – Potential Loss of Benefits and Insurance Premiums**

Attorneys understand that an extended leave of absence in a non pay status may impact his or her retirement and other benefits with the District of Columbia. Attorneys also understand that they are required to pay their portion of any insurance premiums while in a non pay status. Attorneys shall inform themselves of the District of Columbia rules and regulations applicable to an extended leave of absence in a non pay status before submitting the request for sabbatical. Under no circumstances is the OAG required to allow attorneys to use leave intermittently to avoid the loss of benefits while the attorney is on sabbatical.

**ARTICLE 24**  
**REASSIGNMENTS, PROMOTIONS, DETAILS**

**Section 1 – Promotions**

The criteria and selection process for line attorney promotions are contained in OAG Office Order number 2007-36, entitled Promotion Policy for Legal Service Attorneys in the Office of the Attorney General. The terms of this policy are incorporated by reference into this Agreement, except as otherwise provided herein.

**Section 2 - Promotion Priority Process**

Notwithstanding any other provision in this Agreement or in promotion policies and office orders, an attorney who is rated qualified for a promotion and assigned a promotion ranking number but not promoted in the rating period for which he or she is first qualified shall be promoted in rank order before attorneys who are later qualified for promotion, unless the Employer can demonstrate that a substantial reason exists for deviating from this provision.

**Section 3 - The Promotions Ranking Committee**

The Promotions Ranking Committee (PRC) shall be comprised of Employer representatives from each division in OAG. The PRC will rank all promotion candidates office-wide in accordance with procedures outlined in the Office Order establishing the PRC. The PRC shall be governed by the specific provisions set forth in applicable District of Columbia laws and regulations.

**Section 4 – Grievance on Failure to Comply with Process**

Attorneys may not grieve a failure to obtain a promotion or failure to appear on a list of candidates recommended for promotion. The decision on whether to grant a promotion is within the sole and unreviewable discretion of the Attorney General. However, attorneys may grieve management’s alleged failure to comply with the process outlined in Office Order number 2007-36, later orders or section 2 above.

**Section 5 – Filling Vacancies**

A. Whenever an attorney vacancy exists within OAG, other than a temporary opening, in any existing job classification or as the result of the development or establishment of a new job classification, Employer shall provide a copy to the Union which shall post such vacancy notice on all Union bulletin boards. The Employer shall also post the announcement electronically through the use of agency-wide e-mail no later than ten (10) working days prior to the closing date. A copy of the notices of OAG job openings will be provided to the appropriate Union Steward at the time of posting.

B. During this period, employees who wish to apply for the position, including employees on layoff, may do so. The application shall be in writing, and may be submitted by electronic

mail, any official District online application system or in person to the appropriate Personnel Office.

### **Section 6 - Job Qualifications**

Management has the right to determine job qualifications. Where the Employer has considered the recommendations of the PRC and has determined that two or more employees/applicants for a position are equally qualified to perform the duties of the position, the selection shall be made by the Employer from the designated qualified candidates. The Employer may also reject all candidates on the list and may request a new list.

### **Section 7 - Additional Duties**

Issues involving changed or additional duties assigned to an employee, within his/her present position, shall be considered in accordance with District government position classification guidelines set forth in the District Personnel Manual and any other applicable District of Columbia law.

**ARTICLE 25**  
**TIMELY RECEIPT OF CORRECT PAY AND EXPENSE REIMBURSEMENTS**

**Section 1 - Tardy or Non-Receipt of Pay**

- A. Employer shall use its best efforts to take all action necessary to correct tardy receipts or non-receipts of employee paychecks due to electronic, delivery, or other pay errors within its control.
- B. Employer shall use its best efforts to take all action necessary to assist in correcting tardy receipts or non-receipts of employee paychecks due to electronic, delivery, or other pay errors when the specific error or needed correction is not within its control.

**Section 2 - Pay Errors**

Employer shall expeditiously use its best efforts to take all action necessary to correct all other paycheck errors including those concerning benefits, sick leave, annual leave and various deductions. In any event, the Employer shall correct all pay errors no later than two (2) weeks following the identification of the error by the employee or the Employer. In the event that pay errors continue to exist more than two pay period after Employee provides notice to the appropriate Employer representative and the delay results due to no fault of Employee, Employee shall receive four (4) hours of administrative leave.

**Section 3 - Timely Receipt of Pay, Pay Increases, Bonuses and Reimbursements**

- A. Employer agrees to use its best efforts to ensure that pay increases, including but not limited to those resulting from step increases, promotions, bonuses and other salary increases, are paid on the effective date. To this end, Employer shall, among other things, use its best efforts to ensure that paperwork needed to implement such increases is completed within a reasonable time of the proposed effective date of the action and shall process the proposed action as expeditiously as possible, to avoid or minimize any delay in implementation.
- B. The Employer must pay all pay increases, including but not limited to those resulting from step increases, promotions, bonuses and other salary increases no later than two (2) pay periods following the effective date of the increase.

**Section 4 - Timely Reimbursement of Expenses**

Employer shall use its best efforts to take all necessary action to ensure that reimbursement of pre-authorized expenses related to the employee's employment, including but not limited to travel and education expenses, is paid within thirty (30) days of submission of a proper request.

**Section 5 - Audits**

In the event Employee requests an audit of pay and benefit records because of errors made in their computation, Employer shall complete such audit and transmit the results to the requesting employee within ten (10) business days or shall provide the employee a reason why additional time is required and shall give a projected date of completion.

**ARTICLE 26  
GENERAL PROVISIONS**

**Section 1 - Work Rules**

Employees will be advised of verbal and written work rules that they are required to follow. The Employer agrees that proposed new written work rules and the revision of existing written work rules shall be subject to notice and consultation with the Union.

**Section 2 – Identification Device**

The Employer agrees that the employee has a right to participate and identify with the Union as his/her representative in collective bargaining matters. Therefore, the Employer agrees that such identification devices as emblems, buttons and pins supplied by the Union to the employees within the bargaining unit may be worn on their clothing except when appearing in court or before any administrative tribunal or other government agency on behalf of the Employer.

**Section 3 - Distribution of Agreement**

The Employer and the Union agree to electronically distribute the fully executed version of this contract to all management and covered employees upon execution of the contract by the parties.

**Section 4 – Office Space**

Employer will consider the attorney client and other privileges in providing space. Office space will be identified by OAG and assigned by the Union. Employer determines space, division and section allocation, as well as what offices are available for bargaining unit employees. Employer will afford the Union the advance opportunity to consult over the design of new office space at each step of the design process. The parties acknowledge that this does not interfere with management's final authority to determine the final design.

**ARTICLE 27**  
**COMPUTATION OF TIME**

All time frames referenced in this Agreement shall be interpreted as business days, unless otherwise specified.

## **ARTICLE 28 GRIEVANCE AND ARBITRATION PROCEDURES**

### **Section 1 – Definitions**

A grievance under this section is an allegation that the other party has violated a provision of this Agreement. RIFs, furloughs, disciplinary actions and performance rating appeals are excluded from the definition of grievance under this section and such disciplinary actions and ratings are not subject to challenge, review or arbitration under the grievance and arbitration procedures of this section. The grievability of disciplinary actions and performance evaluations is governed by other parts of this Agreement and the Compensation Agreement.

### **Section 2 – Performance Ratings**

Any performance rating may be appealed within thirty (30) calendar days of receipt by the employee to a three-person committee established by the Attorney General. The committee shall be empowered to review the basis for a direct supervisor's rating, conduct a hearing, receive written briefs, and issue a written decision which shall approve, modify, or reject a performance rating. Any decision by the Committee shall be appealable to the Attorney General within thirty (30) calendar days of receipt of the decision by the employee. The Attorney General's decision shall be final and no further appeal shall be allowed under this Agreement. If the committee does not act within thirty (30) calendar days of the appeal, the evaluation may be appealed to the Attorney General who shall issue a decision within fifteen (15) calendar days thereafter. If the Attorney General does not act within fifteen (15) calendar days, unsatisfactory evaluations may be appealed under the provisions of this Article within fifteen (15) calendar days. The Attorney General shall establish procedures for appeals under this Article to the committee and to the Attorney General.

### **Section 3 – General Provisions**

Other than a disciplinary action and evaluations, any grievance that may arise between the parties involving an alleged violation of this Agreement, shall be settled as described in this Article unless otherwise agreed to in writing by the Union President and the Attorney General or his/her designee.

### **Section 4 – Information Requests**

Both parties shall provide all information determined to be reasonable and needed by the other party for processing of a grievance after a request by the other party within a reasonable amount of time.

### **Section 5 - Procedure**

This procedure is designed to enable the parties to settle grievances at the lowest possible administrative level. Grievances must be filed at the lowest level where resolution is possible. Therefore, all grievances shall ordinarily be presented to the immediate supervisor unless it is

clear that the immediate supervisor does not have authority to deal with the grievance and that it should be filed elsewhere. The Union may request a face-to-face meeting with the appropriate management representative who is delegated authority to deal with the grievance at each step. The parties agree to endeavor to engage in productive meetings to resolve a grievance.

Nothing in this Agreement shall be construed as precluding discussion between an employee, the Union and the appropriate supervisor over a matter of interest or concern to any of them prior to the initiation of a grievance. Once a matter has been made the subject of a grievance under this procedure, nothing herein shall preclude any party (the Union, the Employer or the Employee) from attempting to resolve the grievance informally at the appropriate level.

**Step 1:** The employee and/or the Union shall take up the grievance, in writing, with the employee's immediate supervisor within ten (10) business days from the date of the occurrence or when the employee or the Union knew or should have known of the occurrence. The written grievance shall be clearly identified as a grievance submitted under the provisions of this Article, and shall list the name of the grievant or grievants, the contract provisions allegedly violated, the basic facts, issues, or concerns giving rise to the grievance, the date or approximate date and location of the violation and the remedy sought. The supervisor shall address the matter and shall respond, in writing, to the Steward and/or the employee within ten (10) business days after the receipt of the grievance.

**Step 2:** If the grievance has not been settled, or the supervisor has failed to respond, it may be presented in writing by the Union to the second level supervisor within ten (10) business days after the Step 1 response is due or received, whichever is sooner. The second level supervisor shall respond to the Union in writing within ten (10) business days after receipt of the written grievance.

**Step 3:** If the grievance is still unresolved, or the supervisor has failed to respond, it may be presented in writing by the Union to the Attorney General or his/her designee within twenty (20) working days after the Step 2 response is due or received, whichever is sooner. The Attorney General or his/her designee, shall respond in writing to the Union within twenty (20) business days after receipt of the written grievance.

**Step 4:** If the grievance is still unresolved, or the Attorney General or his/her designee has failed to respond, the Union may by written notice request arbitration within twenty (20) business days after the reply at Step 3 is due or received whichever is sooner.

A grievance filed by the Union on a matter involving more than one division within OAG, may be filed with the Attorney General or his/her designee at Step 3. The grievance must be filed within ten (10) business days from the date of the occurrence giving rise to the grievance or when the Union knew or should have known of the occurrence.

When mutually agreed by the parties, grievances on the same matter on behalf of two (2) or more employees may be processed as a single grievance for the purpose of resolving all the grievances.



A grievance filed by the Union which does not seek personal relief for a particular employee or a group of employees, but rather expresses the Union's disagreement with management's interpretation or application of the Agreement and which seeks an institutional remedy shall be filed at Step 3 within ten (10) business days from the date of the occurrence or when the Union knew or should have known of the occurrence to the extent reasonably possible.

A grievance filed by the Employer should be filed directly with the Union President within ten (10) business days from the date of the occurrence or when the Employer knew or should have known of the occurrence giving rise to the grievance. The Union President shall have ten (10) business days to respond. If the Employer's grievance is still unresolved, or the Union President or his/her designee has failed to respond, the Employer may by written notice request arbitration within twenty (20) business days after the Union's reply is due or received whichever is sooner.

A grievance concerning a continuing violation of this Agreement may be filed at any time during the existence of the alleged violation of this Agreement.

### **Section 6 - Selection of the Arbitrator**

The arbitration proceeding shall be conducted by an arbitrator selected by the Employer and the Union. The Federal Mediation and Conciliation Service (FMCS) shall be requested to provide a list of seven (7) arbitrators from which an arbitrator shall be selected within seven (7) calendar days after receipt of the list by both parties. Both the Employer and the Union may strike three (3) names from the list using the alternate strike method. The party requesting arbitration shall strike the first name. The arbitration hearing shall be conducted pursuant to the FMCS guidelines unless modified by this Agreement.

### **Section 7 – Authority of the Arbitrator**

The jurisdiction and authority of the arbitrator and his/her opinion and award shall be confined exclusively to the interpretation or application of the express provisions of this Agreement at issue between the Union and the Employer consistent with applicable law and regulation. He/she shall have no authority to add to, detract from, alter, amend, or modify any provision of this Agreement; or to impose on either party a limitation or obligation not explicitly provided for in this Agreement. The written award of the arbitrator on the merits of any grievance adjudicated within his jurisdiction and authority shall be final and binding on the aggrieved employee, the Union and the Employer, subject to either party's appeal rights to the Public Employee Relations Board and the Superior Court of the District of Columbia.

### **Section 8 - Decision of the Arbitrator**

The arbitrator shall be requested to render his/her decision in writing within thirty (30) calendar days after the conclusion of the arbitration hearing.

### **Section 9 - Expenses of the Arbitrator**

Expenses for the arbitrator's services and the proceeding shall be borne equally by the Employer

and the Union. However, each party shall be responsible for compensating its own representatives and witnesses. If either party desires a record of the arbitration proceedings, it may cause such a recording to be made, providing it pays for the record and makes copies available without charge to the other party and the arbitrator.

#### **Section 10 - Time Off For Grievance Hearings**

The employee, Union Steward and/or Union representative shall, upon request, be permitted to meet and discuss grievances with designated management officials at each step of the Grievance Procedure within the time specified consistent with Section 4 of Article 6 on Union Stewards.

#### **Section 11 – Time Limits**

All time limits following the initiation of any grievance set forth in this Article may be extended by mutual consent, but if not so extended, must be strictly observed. If the matter in dispute is not resolved within the time period provided for in any step, the next step may be invoked. The appropriate representative of either party shall not unreasonably deny a request for an extension of time if the request is made in writing by the original deadline date. The parties may mutually agree in writing to waive Steps 1 and/or 2 of the procedure described in this Article.

#### **Section 12 – Termination of Grievance**

A grievance shall terminate when either party terminates its own grievance, when both parties consent or for failure to meet contractual time limits. The termination of a grievance shall not prejudice either party from reinstituting a grievance at a later date.

#### **Section 13 - Exclusions**

Matters not within the jurisdiction of the Employer will not be processed as a grievance under this Article unless the matter is specifically included in another provision of this Agreement or the Compensation Agreement.

**ARTICLE 30**  
**DISCIPLINE AND DISCHARGE**

**Section 1 -- Disciplinary Actions**

A. Assistant Attorneys General ("AAG") in the bargaining unit are appointed to serve the District of Columbia consistent with the provisions of the Legal Service Act. An AAG may be subject to disciplinary action, including reprimand, suspension (with or without pay), reduction in grade or step, or removal for unacceptable performance or for any reason that is not arbitrary or capricious. Disciplinary actions shall be processed in accordance with Section 3614, Chapter 36 of the D.C. Personnel Regulations. The Employer shall provide the Employee with ten (10) calendar days advance notice, consistent with the notice provisions of Chapter 36 of the D.C. Personnel Regulations, of any proposed discipline, with the exception of summary removal. The proposed notice of discipline will also be sent to the Union.

B. Notwithstanding Section 1A herein, the Attorney General, may summarily suspend or remove a bargaining unit member, in accordance with Sections 1616 and 1617 of the DPM, when the employee's conduct:

1. Threatens the integrity of government operations;
2. Constitutes an immediate hazard to the agency, to other District employees, or to the employee; or
3. Is detrimental to public health, safety, or welfare.

C. Upon request, an employee subject to any disciplinary action shall be allowed access to his or her officer, at a mutually agreeable time, to retrieve personal items.

D. If there is no appeal pursuant to the provisions herein, the Attorney General's decision shall be the final agency decision.

**Section 2 -- Appeal Procedures**

After the Attorney General issues an administrative decision in accordance with §3614, Chapter 36 of the D.C. Personnel Regulations, the Union, on behalf of the Employee, may appeal the Attorney General's suspensions of ten days or more, including demotions and terminations, within ten (10) business days of the Attorney General's decision. This time limit may be extended by mutual consent of the parties, but if not so extended, must be strictly observed. An appeal to the OEA shall stay the time limits for invoking a review by the Mayor under Section 3614, Chapter 36 of the D.C. Personnel Regulations. The Attorney General's decision in connection with a suspension of less than ten days or any other corrective action is final and not subject to appeal.

### **Section 3 -- Stay of Disciplinary Action**

The filing of an appeal shall not serve to stay or delay the effective date of the Attorney General's final administrative decision.

### **Section 4 -- Standard of Review and Authority of the OEA**

A. The OEA Hearing Officer's jurisdiction and authority and opinion shall be confined exclusively to suspensions of ten days or more, and shall be an advisory decision concerning whether the Employer's decision to discipline is: (1) a result of the Employee's unacceptable performance, (2) for any reason that is not arbitrary or capricious in accordance with § 106.56(a) of the Legal Service Act, or (3) both.

B. The OEA Hearing Officer does not have authority to modify, amend, or rescind any disciplinary action or to impose any back-pay or other financial obligation on the Employer resulting from the disciplinary action.

### **Section 5 -- Time Limits**

All time limits set forth, in this Article must be strictly observed. If the Union fails to pursue any step within the time limit then it shall have no further right to continue the appeal.

### **Section 6 -- Extension of Time Limits**

All time limits set forth in this Article may be extended by mutual consent, but if not so extended, must be strictly observed. If the matter in dispute is not resolved within the time period provided for in any step, the next step may be invoked. However, if a party fails to pursue any step within the time limit, then he/she shall have no further right to continue the grievance. The appropriate representative of either party shall not unreasonably deny a request for an extension of time if such request is made in writing by the original deadline date. The parties may mutually agree in writing to waive Steps 1 and or 2 of the procedure described in this Article.

### **Section 7 -- Substitution of Binding Arbitration Procedures**

In the event that the Council of the District of Columbia legislatively establishes a binding arbitration process concerning discipline and discharge for any unit employees in the Legal Service, the parties agree to reopen negotiations solely to rescind this Article to the extent of any conflict and incorporate the binding arbitration process into this Agreement to the maximum extent possible.

**ARTICLE 31**  
**SAVINGS CLAUSE**

**SECTION A**

In the event any article, section or portion of this Agreement is held to be invalid and unenforceable by any court or other authority of competent jurisdiction, such decision shall apply only to the specific article, section, or portion thereof specified in the decision; and upon issuance of such a decision, the Employer and the Union agree to immediately negotiate a substitute for the invalidated article, section or portion thereof to the extent possible.

**SECTION B**

The terms of this Agreement supersede any subsequently enacted D.C. laws, District Personnel Manual (DPM) regulations, or departmental rules concerning non-compensation covered herein for the term of this agreement.

**ARTICLE 32**  
**INCORPORATION OF COMPENSATION AGREEMENT TERMS**

The terms and conditions of the Compensation Agreement between the Office of the Attorney General and the American Federation of Government Employees, Local 1403, AFL-CIO, effective October 1, 2013, through September 30, 2017, (Compensation Agreement), are incorporated by reference into this Agreement. The provisions of the Compensation Agreement shall control to the extent of any inconsistency.

**ARTICLE 33**  
**DURATION AND FINALITY**

**Section 1 -- Effective Date**

This agreement shall be implemented as provided herein subject to the requirements of Section 1715 of the District of Columbia Comprehensive Merit Personnel Act D.C. Official Code, § 1-617.15(a), (2012 Repl.). This Agreement shall be effective on the date provided by law (i.e., when it is approved by the Council or as otherwise effective pursuant to D.C. Official Code § 1-617.17 (2012 Repl.)) and shall remain in full force and effect until September 30, 2017, or until a new non compensation agreement becomes effective. Notice to reopen the Agreement shall be provided as required by D.C. Official Code § 1- 617.17 (f)(1)(A)(i) (2012 Repl.).

**Section 2 – Finality**

This Agreement was reached after negotiations during which the parties were able to negotiate on any and all negotiable non-compensation issues, and contains the full agreement of the parties as to all such non-compensation issues that were or could have been negotiated.

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On this \_\_\_\_\_ day of \_\_\_\_\_, 2014 and in witness to this Agreement, the parties hereto set their signatures.

**FOR THE DISTRICT OF COLUMBIA  
GOVERNMENT**

**FOR THE AMERICAN FEDERATION  
OF GOVERNMENT EMPLOYEES  
LOCAL 1403**

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**Irvin B. Nathan, Attorney General  
Office of the Attorney General**

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**Shana Frost, Acting President  
AFGE, Local 1403**

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**Nadine C. Wilburn,  
Chief Counsel, Personnel, Labor &  
Employment Division  
Office of the Attorney General**

---

**Robert A. DeBerardinis, Vice President  
AFGE, Local 1403**

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**Natasha Campbell, Director  
Office of Labor Relations & Collective  
Bargaining**

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**Dean Aqui, Attorney Advisor  
Office of Labor Relations & Collective  
Bargaining**



**APPROVAL**

This collective bargaining working conditions agreement between the District of Columbia and Compensation Unit 33 represented by AFGE, Local 1403, dated \_\_\_\_\_, has been reviewed in accordance with Section 1-617.15 of the District of Columbia Official Code (2012 Repl.) and is hereby approved on this \_\_\_\_\_ day of \_\_\_\_\_.

\_\_\_\_\_  
Vincent Gray, Mayor

## Appendix 19

DISB Outreach Events for FY2017 and FY2018 to date										
EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF ACCOUNTS OPENED (Bank on DC)	# OF ATTENDEES (FinFitDC)	FinFitDC SIGN UPS
<b>OCTOBER 2016</b>										
Money Smart for Older Adults	10/04/16	East Rock Creek Village, 7838 Eastern Avenue, NW, Suite D	4	Seniors, Financial Fraud Prevention	N/A	2	--	--	--	--
Great Streets Conference	10/06/16	Kellogg Conference Hotel at Gallaudet University, 800 Florida Avenue, NE	6	Small Business	DMPED	68	--	--	--	--
Project Empowerment	10/07/16	DOES - 4058 Minnesota Ave NE	7	Financial Literacy	DOES	--	29	29	--	--
Women's Ministry Annual Health and Informational Fair	10/08/16	Gethsemane Baptist Church, 5119 4th Street, NW	4	DISB Consumer Services, Programs and Resources	Gethsemane Baptist Church Senior Ministry	42	--	--	--	--
Brookland Manor Community Center Health Fair	10/12/16	Brookland Manor Community Center, 2511 14th Street, NE	5	DISB Consumer Services, Programs and Resources	N/A	55	--	--	--	--
Zeta Phi Beta Sorority, Inc. Fall Financial literacy Program	10/12/16	University of the District of Columbia 4200 Connecticut Ave Washington, DC 20008	3	Financial Literacy	Bank on DC/ Zeta Phi Beta Sorority, Inc.	--	12	--	--	--
Annual Credit, Financial Literacy and Homeownership Fair	10/15/16	Anacostia Library, 1800 Good Hope Road, SE	8	Financial Literacy	SOME	42	19	3	--	--
Hillcrest Day 2016	10/15/16	Hillcrest Recreation Center, Denver Avenue, SE	7	DISB Consumer Services, Programs and Resources	Hillcrest Community Civic Association, East of the River Magazine, THEARC, the I CAN@THARC Theater technical internship program	56	--	--	--	--
14th Annual Foggy/Bottom/West End Neighborhood Block Party	10/16/16	2200 Block of I (Eye) Street (at the Foggy Bottom Metro, between 22nd and 23rd Streets, NW)	2	DISB Consumer Services, Programs and Resources	The George Washington University	95	--	--	--	--
Money Smart for Older Adults	10/17/16	Ward Circle AARP Neighborhood Chapter, Metropolitan Memorial Methodist Church, 3401 Nebraska Avenue, NW	3	Seniors, Financial Fraud Prevention	AARP Ward Circle Chapter	14	--	--	--	--
5th Annual Community Health, Wellness and Information Fair	10/19/16	River Park Cooperative 1311 Delaware Avenue, SW	6	Seniors, Financial Fraud Prevention	Southwest Waterfront AARP Chapter and DCOA	96	--	--	--	--
5th Annual Community Health, Wellness and Information Fair	10/20/16	Nineteenth Street Baptist Church 4606 16th Street, NW	4	Seniors, Financial Fraud Prevention	Office on Aging, DC Retired Educators	98	--	--	--	--
The LEAP Academy- 2017 Cohort	10/21/16	441 4th St NW	A8W	Financial Literacy	LEAP Academy/ Bank on DC	--	29	--	--	--

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF ACCOUNTS OPENED (Bank on DC)	# OF ATTENDEES (FinFitDC)	FinFitDC SIGN UPS
Greater Washington Jumpstart Teacher Training	10/22/16	Impact Hub DC 419 7th Street NW	2	Financial Literacy	Greater Washington Jumpstart Bank on DC DISB	--	6	--	--	--
The State of the Ward 4 Senior Day	10/26/16	Riggs LaSalle Recreation Center, 501 Riggs Road, NE	4	Seniors, Financial Fraud Prevention	Councilmember Brendon Todd's Office	96	--	--	--	--
Greater Washington Jumpstart Teacher Training	10/29/16	Impact Hub DC 419 7th Street NW	2	Financial Literacy	Greater Washington Jumpstart Bank on DC DISB	--	6	--	--	--
Industrial Bank	--	--	--	Bank on DC	--	--	--	2	--	--
<b>NOVEMBER 2016</b>										
Money Smart for Older Adults	11/01/16	Asbury Dwelling, 1616 Marion St NW	1	Seniors, Financial Fraud Prevention	Asbury Dwelling Senior Building	14	--	--	--	--
Economic Inclusion Series	11/02/16	The R.I.S.E. Demonstration Center 2730 Martin Luther King, Jr. Avenue, SE	8	Economic Inclusion	DISB, OCC, FDIC, Federal Reserve of Richmond	--	70	--	--	--
Coffee & Capital	11/03/16	The R.I.S.E. Demonstration Center 2730 Martin Luther King, Jr. Avenue, SE	8	Small Business	DISB	15	--	--	--	--
DC Family Services Administration Case Managers Senior Fraud Prevention Brown Bag Presentation	11/09/16	DC Family Services Administration Case Managers Senior Fraud	6	Financial Literacy/Financial Fraud Prevention	DISB/DC Elder Abuse Prevention Committee	18	--	--	--	--
Bank on DC Financial Literacy Day	11/09/16	Washington Math Public Charter School- 1920 Bladensburg Rd NE	5	Financial Education	Bank on DC	--	29	--	--	--
2017 Summer Youth Employment Program Parent Information Session	11/09/16	Woodland Terrace Community Center 2311 Ainger Pl SE	8	Financial Education	Summer Youth Employment Program, the Office of Youth Programs	--	21	--	--	--
Ministering to Seniors, Health and Informational Fair Emmanuel Baptist Church	11/16/16	2409 Ainger Place, SE	8	Seniors, Financial Fraud Prevention	DC Office on Aging	32	--	--	--	--
The Annual Meeting & ECON Showcase	11/18/16	National Education Association, 101 16th Street, NW	2	Small Business	WDCEP	--	--	--	--	--
Project Empowerment	11/18/16	DOES - 4058 Minnesota Ave NE	7	Financial Literacy	Bank on DC	--	--	29	--	--
AARP-DC Ward 8 Fraud Prevention Training for Seniors	11/19/16	RISE Demonstration Center, 2730 ML 'King, Jr. Ave., SE	8	Seniors, Financial Fraud Prevention	AARP-DC	43	--	--	--	--
Reverse Mortgage Presentation	11/29/16	Hayes Senior Wellness Center, 500 K Street, NE	6	Seniors, Reverse Mortgages	DISB	18	--	--	--	--

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF ACCOUNTS OPENED (Bank on DC)	# OF ATTENDEES (FinFitDC)	FinFitDC SIGN UPS
Congress Heights Senior Wellness Center's Community Health, Wellness and Informational Fair	11/30/16	Congress Heights Senior Wellness Center, 3500 Martin Luther King Jr., SE	8	Seniors, Financial Fraud Prevention	Congress Heights Senior Wellness Center	45	--	--	--	--
2017 Summer Youth Employment Program Parent Information Session*	11/30/16	Latin American Youth Center 1419 Columbia Rd NW	1	Financial Education	Summer Youth Employment Program, the Office of Youth Programs	--	7	--	--	--

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF ACCOUNTS OPENED (Bank on DC)	# OF ATTENDEES (FinFitDC)	FinFitDC SIGN UPS
<b>DECEMBER 2016</b>										
The Moneywise Wealth, Health and Digital Empowerment Summit	12/03/16	National Education Association, 101 16th Street, NW	2	DISB Consumer Services, Resources and Programs	The National Endowment for Financial Education, Fannie Mae, Metro DC Chapter of the Links, Inc.	76	--	--	--	--
Mayor's 18th Annual Senior Holiday Celebration	12/08/16	DC Stadium Armory, 2001 East Capital Street, NE	6	Seniors, Financial Fraud Prevention	DC Office on Aging	1950	--	--	--	--
Project Empowerment	12/09/16	DOES - 4058 Minnesota Ave NE	7	Financial Literacy	Bank on DC	--	--	39	--	--
Money Smart for Older Adults	12/15/16	4000 Cathedral Avenue, NW	3	Seniors, Financial Fraud Prevention	DISB, Westchester Cooperative	12	--	--	--	--
The LEAP Academy- 2017 Cohort	12/16/16	441 4th St NW	A8W	Financial Literacy	LEAP Academy/ Bank on DC	--	32	--	--	--
Industrial Bank	--	--	--	Bank on DC	--	--	--	1	--	--
<b>JANUARY 2017</b>										
Community Health, Wellness and Informational Fair	01/04/17	Hayes Senior Wellness Center. 500 K Street, NE	6	Seniors, Financial Fraud Prevention	DC Office on Aging	34	--	--	--	--
Financially Fit DC Launch	01/09/17	HD Woodson High School- 540 55th St NE Washington DC	8	Financially Fit DC	DMGEO, DISB, DHCD	68	13	--	--	40
Community Health, Wellness and Informational Fair	01/10/17	G.W. Carver Senior Apartments, 4800 East Capital Street, NE	7	Seniors, Financial Fraud Prevention	DC Office on Aging	32	--	--	--	--
DC Economic Development Open House	01/12/17	Convention Center- 801 Mt Vernon PI NW, 151 A/B	2	DISB Consumers, Services and Resources	DMPED	194	46	--	--	39
Community Health, Wellness and Informational Fair	01/18/17	Residents of Colony House, 930 Farragut Street, NW	4	Seniors, Financial Fraud Prevention	DC Office on Aging	18	--	--	--	--
Attorney General Karl Racine Second Panel on Financial Literacy	01/24/17	UPO's Petey Greene Center 2907 Martin Luther King, Jr. Ave. SE Washington, DC 20032	8	Financial Literacy	Office of Attorney General	20	14	--	--	--
Money Management Session*	01/27/17	Catholic Charities, 1001 Lawrence St NE	5	Financial Literacy	Catholic Charities/CAAB, Bank on DC	--	9	--	--	--
Personal Money Management- Pathways to Financial Success LEAP Academy	01/27/17	DCHR-441 4th St NW	A8W	Banking Access, Financial Literacy	Bank on DC, DCHR, FDIC	--	17	7	--	6
Project Empowerment	01/27/17	DOES - 4058 Minnesota Ave NE	7	Financial Literacy	Bank on DC	--	--	34	--	--
Returning Citizen Community Prayer Breakfast	01/28/17	Good Success Church and Ministries, , 4401 Sheriff Road, NE.	7	Financial Literacy	Metropolitan Police Department	110	--	--	--	--
Financially Fit DC- New Users	01/31/17	--	--	--	--	--	--	--	--	74
<b>FEBRUARY 2017</b>										

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF ACCOUNTS OPENED (Bank on DC)	# OF ATTENDEES (FinFitDC)	FinFitDC SIGN UPS
Money Smart for Older Adults	02/08/17	Greenleaf Senior Apartments 1200 Delaware Avenue, SW 20024	6	Seniors, Financial Fraud Prevention	Elder Abuse Prevention Committee, Seabury Resources	17	--	--	--	--
Community Health, Wellness & Informational Fair	02/08/17	Residents of Allen House, 3760 Minnesota Avenue, NE	7	Seniors, Financial Fraud Prevention	DC Office on Aging and Residents of Allen House	26	--	--	--	--
Money Smart for Older Adults	02/09/17	Arthur Capper Senior Building, 900 5th St, SE 20003	6	Seniors, Financial Fraud Prevention	Elder Abuse Prevention Committee, Seabury Resources	22	--	--	--	--
Future Business Leaders of America (FBLA)	02/09/17	Roosevelt High School 4301 13th Street NW Washington, DC 20011	4	Financial Literacy	FBLA DC Chapter	--	12	--	--	--
Money Smart for Older Adults	02/10/17	Asbury Dwellings 1616 Marion St, NW 20010	1	Seniors, Financial Fraud Prevention	Elder Abuse Prevention Committee, Seabury Resources	15	--	--	--	--
Student Council Health Fair	02/10/17	Howard University College of Dentistry, 600 W Street, NW	1	College Students	Howard University College of Dentistry	35	5	--	--	--
Community Health, Wellness & Informational Fair	02/13/17	Model Cities Senior Wellness Center, 1901 Evarts Street, NE	5	Seniors, Financial Fraud Prevention	DC Office on Aging, Howard University School of Dentistry	57	--	--	--	--
Money Smart for Older Adults	02/15/17	Grace Lutheran Church, 4300 16th Street, NW.	4	Seniors, Financial Fraud Prevention	Elder Abuse Prevention Committee, Advisory Neighborhood Commission 4A	5	--	--	--	--
2nd Annual DCHR DC Direct Connect Hiring	02/16/17	Barry Farm Recreation Center, 1230 Sumner Road, SE	8	DISB Jobs, Consumer Services, Resources and Programs	DC Office of Human Resources	123	--	--	--	--
Project Empowerment	02/17/17	DOES - 4058 Minnesota Ave NE	7	Financial Literacy	Bank on DC	--	--	35	--	--
MBSYEP Certification Event	02/17/17	The R.I.S.E. Demonstration Center 2730 Martin Luther King, Jr. Avenue, SE	A8W	Bank on DC	DOES, MBSYEP	--	39	--	--	--
Money Smart for Older Adults	02/22/17	Sibley Plaza, 1140 North Capitol St, NW 20002	5	Seniors, Financial Fraud Prevention	Elder Abuse Prevention Committee, Seabury Resources	16	--	--	--	--
The American Kidney Fund Screening/Howard University College of Dentistry Screening Fair	02/22/17	Hattie Holmes Senior Wellness Center, 324 Kennedy Street, NW	4	Seniors, Financial Fraud Prevention	DC Office on Aging, Howard University College of Dentistry Screening	62	--	--	--	--
Downtown DC MLK Library VITA Center	02/23/17	901 G Street, NW, Washington, DC 20001	2	Financial Literacy	Bank on DC, CAAB, Community Tax Aid, and United Way	--	15	--	--	--
LEAP Academy for DPW Financial Education Session	02/24/17	DCHR: 441 4th Street NW Washington, DC	A8W	Financial Education	LEAP Program	--	14	--	--	--

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF ACCOUNTS OPENED (Bank on DC)	# OF ATTENDEES (FinFitDC)	FinFitDC SIGN UPS
Grand Oaks Assisted Living Resource Fair	02/28/17	Grand Oaks Assisted Living, 5900 MacArthur Blvd., NW	3	Seniors, Financial Fraud Prevention	Office on Aging	38	--	--	--	--
Industrial Bank	--	--	--	--	--	--	--	5	--	--
Financially Fit DC - New Users	02/28/17	--	--	--	--	--	--	--	--	23
<b>MARCH 2017</b>										
Catholic Charities Mulumba House	03/01/17	621 Rhode Island Ave. NW Washington, DC 20001	6	Financial Education	Catholic Charities	--	10	--	--	--
Wardman Court Community Center	03/02/17	1350 Clifton Street NW Washington, DC 20009	1	Financial Education	Bank on DC, CAAB, Community Tax Aid, and United Way	--	3	--	--	--
Delta GEMS	03/03/17	THEARC 1901 Mississippi Ave SE, Washington, DC 20020	8	Financial Education	Delta GEMS, Bank on DC	--	10	--	--	--
Parent Teacher Conference Vendor Fair & Financial Literacy Session for Parents	03/03/17	McKinley Technology High School	5	Financial Literacy	McKinley Tech PTA	--	9	--	--	--
MBSYEP- Certification Event (March Madness)	03/04/17	Washington Convention Center 801 Mount Vernon Place NW Washington, DC	A8W	Bank on DC Programming	DOES Office of Youth Programs	--	170	--	--	--
OSSE: Young Men's Conference	03/13/17	Kellogg Center Conference Center	A8W	Financial Education	OSSE	--	83	--	--	--
MOWPI- Fresh Start Wednesdays	03/15/17	Barry Farms Recreation Center, 1230 Summer Road SE	8	Financial Education	MOWPI	--	4	--	--	--
Grand Hyatt Washington Health Fair for Employees	03/17/17	1001 G Street, NW	2	DISB Consumer Services, Resources and Programs	Grand Hyatt Washington	57	6	--	--	--
Coffee and Capital	03/20/17	RISE Demonstration Center, 2730 Martin Luther King Ave., SE	8	Small Business	DISB	8	--	--	--	--
OSSE: Young Women's Conference	03/20/17	Kellogg Conference Center 800 Florida Ave NE	A8W	Financial Education	OSSE	--	73	--	--	--
Economic Inclusion Event: Economic Mobility: A Series of Discussions to Improve Financial Health in the Washington Metropolitan Area	03/22/17	441 4th St NW	2	Economic Inclusion	Bank on DC, DISB, CAAB, CNHED, CFED, FDIC, Federal Reserve of Richmond, OCC, United Way	--	70	--	--	--
MOWPI - Fresh Start Wednesdays	03/22/17	1230 Sumner Rd SE, Washington, DC 20020 Multipurpose Room 2	8	Financial Education	MOWPI	--	5	--	--	--
Jubilee Jobs Tax Site	03/25/17	2712 Ontario Road, NW	1	Financial Literacy	Bank on DC, CAAB, Community Tax Aid, and United Way	--	8	--	--	--





EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF ACCOUNTS OPENED (Bank on DC)	# OF ATTENDEES (FinFitDC)	FinFitDC SIGN UPS
<b>APRIL 2017</b>										
Money Smart for Older Adults	04/03/17	Gethsemane Baptist Church, 5119 4th St NW, Washington, DC 20011	4	Consumer Protection (Senior)	Gethsemane Baptist Church Senior Ministry	48	--	--	--	--
Money Smart for Young Adults-FBLA State Leadership Conference	04/04/17	441 4th St., NW-Old City Chamber	A8W	Youth and College Students	Future Business Leaders of America	--	50	--	--	--
Money Smart for Older Adults	04/04/17	IONA Senior Services, 4125 Albemarle St NW	3	Consumer Protection (Senior)	DC Elder Abuse Prevention Committee, IONA Senior Services	14	--	--	--	--
Update from FEMA on National Flood Insurance Program	04/04/17	DISB 7th floor large conference room	6	Flood Insurance	DISB	12	--	--	--	--
Project 500 First Friday	04/07/17	Shannon Place	8	Small Business	DMGEO	10	--	--	--	--
Bellman Community Combine, 2017	04/07/17	Columbia Heights Education Campus, 3103 16th St NW	1	Financial Literacy	CHEC Bellman	--	75	--	--	--
The Capital City Chapter of the Links, Inc. Senior Luncheon	04/08/17	Paul Laurence Dunbar Senior High School, 2101 N Street, NW	5	Seniors, Financial Fraud Prevention	Capital City Chapter of the Links	55	--	--	--	--
MOLA's Food Distribution*	04/11/17	Light of the World Church, 1227 Rhode Island Avenue, NE	5	Financial Literacy and DISB Consumer Services, Resources and Programs	Office of Latino Affairs	--	97	--	--	--
MARC U *STAR Honors Program Presentation	04/11/17	University of the District of Columbia, 4200 Connecticut Avenue, NW, Bldg. 44, Suite 114	3	DISB Consumer Services, Programs and Resources (including Dash for the Stash)	UDC Honors Program	14	--	--	--	--
MOLA 's Food Distribution*	04/12/17	Church of Christ, 4801 16th Street, NW	4	Financial Literacy and DISB Consumer Services, Resources and Programs	Office of Latino Affairs	--	105	--	--	--
The Washington Teachers Union Retirees Chapter Spring Membership Meeting and the Office on Aging Health and Wellness Fair	04/12/17	Stoddard Baptist Global Care @ Washington Center for the Aging (Crystal Room), 2610 18th Street, NE	5	Seniors, Financial Fraud Prevention	The Washington Teachers Union Retirees Chapter Spring Membership Meeting and the Office on Aging	82	--	--	--	--
DC Attorney General Financial Literacy Panel	04/12/17	Juanita E. Thornton/Shepherd Park Neighborhood Library- 7420 Georgia Avenue, NW	4	Financial Literacy	DC Attorney General	--	3	--	--	--
Duke Ellington discussion on insurance with Philip Barlow	04/14/17	Duke Ellington High School	1	Insurance, Youth	DISB	25	--	--	--	--
8th Annual Minority Business Expo*	04/18/17	Walter E. Washington Convention Center, 801 Mt. Vernon Place, NW	6	Minority Business Expo	Greater Washington Hispanic Chamber of Commerce	47	--	--	--	--

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF ACCOUNTS OPENED (Bank on DC)	# OF ATTENDEES (FinFitDC)	FinFitDC SIGN UPS
Money Smart for Older Adults	04/19/17	Seabury at Friendship Terrace, 4201 Butterworth Place, N.W., Washington, DC 20016  Phone: (202) 244-7400	3	Consumer Protection (Senior)	DISB, Seabury Resources for the Aging	12	--	--	--	--
Health, Wellness and Information Fair	04/20/17	Chevy Chase Community Center, 5601 Connecticut Avenue, NW	3	Senior	Office on Aging	32	--	--	--	--
The LEAP Academy- 2017 Cohort	04/21/17	441 4th St NW	A8W	Financial Literacy	LEAP Academy/ Bank on DC	--	20	--	--	--

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF ACCOUNTS OPENED (Bank on DC)	# OF ATTENDEES (FinFitDC)	FinFitDC SIGN UPS
Project Empowerment	04/21/17	DOES - 4058 Minnesota Ave NE	7	Financial Literacy	Bank on DC	--	32	15	--	--
Money Smart for Older Adults-Reverse Mortgage Presentation	04/24/17	Model Cities Senior Wellness Center, 1901 Everts Street N.E., 20018	5	Seniors, Reverse Mortgages, Financial Fraud Prevention	DISB, DCOA, Model Cities Senior Wellness Center, Housing Counseling Services. Inc.	52	--	--	--	--
UPO Senior Housing Fair	04/25/17	Petey Green Center, 2907 Martin Luther King Jr Ave SE	8	Seniors, Financial Fraud Prevention	UPO	110	--	--	--	--
DC BizCAP panel discussion with SB Works	04/25/17	2316 Rhode Island Ave NE	5	Small Business	SB Works	8	--	--	--	--
Money Smart for Older Adults-Reverse Mortgages	04/26/17	New Samaritan Baptist Church 1100 Florida Ave NE	5	Seniors, Reverse Mortgages, Financial Fraud Prevention	New Samaritan Baptist Church	71	--	--	--	--
DC Buys: Reverse Trade Fair	04/27/17	Gallaudet University, 800 Florida Avenue, NE	5	Small Business	Office of Contracting and Procurement	200	--	--	--	--
DISB's Financial Services Clinic: Creating, Growing, Protecting Wealth	04/28/17	UDC-CC Bertie Backus Campus, 5171 South Dakota Avenue, NE, Rooms 102-106	5	Financial Education, College Students	DISB	5	5	--	--	--
Achieving Financial Security: A Community Forum	04/29/17	Metropolitan AME Church, 1518 M Street NW	2	Financial Literacy	National Capital Chapter - Society of Financial Service Professionals	--	10	--	--	--
Spring 2017 Job Fair	04/29/17	Mary Virginia Merrick Center, 4275 4th Street, SE	8	Health and Job Fair	The Temple of Praise Employment Ministry	26	--	--	--	--
Walter Reed Dreams Community Block Party	04/29/17	6900 Georgia Avenue, NW (enter at Butternut St. gate)	4	Financial Literacy	DMPED/ Office of Planning	150	--	--	--	--
Financially Fit DC New Users	--	--	--	--	--	--	--	--	--	674
Industrial Bank	--	--	--	Bank on DC	--	--	--	4	--	--
<b>MAY 2017</b>										
DHS' Dept. of Policy Development and Training/Office of Quality Assurance and Analysis (DPDT/OQAA)	05/01/17	64 New York Avenue, N.E	5	Financial Literacy	DHS	--	31	--	--	--
DCRA Building Safety Month Kick Off Ceremony	05/01/17	1100 4th Street SW, WDC 20024	6	Insurance	DCRA	70	--	--	--	--
SB Works panel discussion with DSLBD	05/01/17	2316 Rhode Island Avenue Northeast	5	Small Business	N/A	10	--	--	--	--
DCRA Small Business event	05/01/17	1100 4th Street SW	6	Small Business	DCRA	30	--	--	--	--
St. Anthony Catholic School's career day	05/02/17	3400 12th Street NE	5	Career development	St. Anthony's Catholic School	15	--	--	--	--
Reality Fair at Maya Angelou Public Charter School	05/03/17	5600 East Capitol St NE, Washington, DC 20019	7	Financial Literacy	Bank on DC	--	50	--	--	--
Money Smart for Older Adults	05/03/17	RISE Demonstration Center	8	Seniors	ANC Meeting with Commissioner Cuthbert	19	--	--	--	--

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF ACCOUNTS OPENED (Bank on DC)	# OF ATTENDEES (FinFitDC)	FinFitDC SIGN UPS
DC Chamber 2017 Small Business and Economic Development Summit	05/09/17	Walter Washington Convention Center, 801 Mount Vernon Place NW	6	Small Business	DC Chamber, DMPED, DCRA, Events DC, DC Health Link	78	--	--	--	--

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF ACCOUNTS OPENED (Bank on DC)	# OF ATTENDEES (FinFitDC)	FinFitDC SIGN UPS
Senior Reverse Mortgage Presentation	05/10/17	Hattie Holmes Senior Wellness Center 324 Kennedy St. NW Washington, DC 20011	4	Financial literacy and fraud prevention (Senior)	DISB, Hattie Holmes Senior Wellness Center, DCOA, Housing Counseling Services.	29	--	--	--	--
Project Empowerment	05/12/17	DOES - 4058 Minnesota Ave NE	7	Financial Literacy	Bank on DC	--	55	29	--	--
5th Annual CPDC and Emmaus Aging in Community Health and Wellness Fair "Age out Loud	05/12/17	R.I.S.E. Demonstration Center, 2730 Martin Luther King, Jr. Avenue, SE	8	Senior	CPDC & DCOA	30	--	--	--	--
Bossed Up Mentorship Program	05/13/17	KIPP: Brentwood Campus-1405 Brentwood Pkwy NE	5	Financial Literacy	KIPP DC	--	60	--	--	--
Money Smart Reverse Mortgage Presentation	05/16/17	Hayes Senior Wellness Center, 500 K St., NW	5	Consumer Protection (Senior)	DISB, EAPC, DCOA	12	--	--	--	--
Robert L. Walker House 1st Older Americans Month "Age Out Loud"	05/16/17	2201 Savannah St SE, Washington, DC, 20020	8	Senior	Robert Walker House	45	--	--	--	--
DC Biz Chat with WDCEP	05/18/17	1495 F Street, NW	2	Small Business Insurance	WDCEP	45	--	--	--	--
Terrific Inc., Older Americans Month "Aging Out Loud"	05/19/17	Nineteenth Street Baptist Church, 4606 16th Street, NW	4	Senior	Terrific Inc.	48	--	--	--	--
Money Smart Reverse Mortgage Presentation	05/19/17	Marshall Heights Community Development Organization, 3939 Benning Road, NE	7	Consumer Protection (Senior)	DISB, MHCDO	11	--	--	--	--
Capital Guardian Youth Challenge Reality Fair	05/24/17	3201 Oak Hill Dr., Laurel MD 20724	A8W	Financial Education	CGYCA & Bank on DC	--	31	31	--	--
Board of Child Care- Early Childhood Development Center	05/25/17	308 15th St SE	6	Financial Literacy	Bank on DC, Board of Childcare	--	6	--	--	--
Model Cities Senior Wellness Center Older Americans Month	05/31/17	Model Cities Senior Wellness Center Older Americans Month, 1901 Evarts Street, NE	5	Senior	Office on Aging, Model Cities Senior Wellness Center	57	--	--	--	--
Financially Fit DC New Users	--	--	--	--	--	--	--	--	--	67
Industrial Bank	--	--	--	Bank on DC	--	--	--	7	--	--
<b>JUNE 2017</b>										
Money Smart Senior Fraud/Reverse Mortgage Presentation	06/01/17	1667 Good Hope Rd., SE, 20020	8	Consumer Protection Workshop (Senior)	DISB, EAPC, SOME	16	--	--	--	--
Project Empowerment	06/02/17	DOES - 4058 Minnesota Ave NE	7	Financial Literacy	Bank on DC	--	30	15	--	--
Senior Resource Fair	06/03/17	Washington Latin Public Charter School, 5200 2nd Street, NW	4	Seniors	Office on Aging	20	--	--	--	--
Chinatown Community Picnic	06/03/17	Chinatown Park (corner of 5th & Mass. Ave., NW	2	DISB Consumer Services, Resources and Programs	Mayor's Office of Asian and Pacific Islanders	100	--	--	--	--

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East of the River Housing Fair and Homeownership Town Hall	06/03/17	Thurgood Marshall Academy Gym, 2427 MLK Jr. Avenue, SE	8	Housing	Manna, Inc.	20	--	--	--	--
3rd Women's Expo 2017*	06/04/17	The Sphinx Club at Franklin Square, 1315 K Street, NW	2	Small Business	El Poder de Ser Mujer	54	--	--	--	--
OSSE Middle School Conference on College and Careers	06/06/17	Kellogg Center Conference Center 800 Florida Ave NE Washington, DC	A8W	Financial Education	OSSE	--	43	--	--	--
Goodwill of Greater Washington	06/10/17	Goodwill Retail Store 2200 South Dakota Ave NE	5	Financial Literacy	Bank on DC & Goodwill	--	14	--	--	--
Familyfest at King Greenleaf	06/10/17	King Greenleaf Recreation Center 201 N Street SW	6	Financial Literacy	DHCD	17	--	--	12	1
Capital Pride Day 2017	06/11/17	Pennsylvania Ave., NW, between 3rd and 7th Streets., NW	2	DISB Consumer Services, Resources and Programs	Capital Pride Alliance	683	--	--	--	--
Reverse Mortgage Presentation	06/12/17	Washington Seniors Wellness Center, 3001 Alabama Avenue, SE	7	Financial Literacy (Seniors)	DISB, EAPC	24	--	--	--	--
DC PTAC Small Business Summit	06/14/17	The University of the District of Columbia, 4200 Connecticut Ave. NW, Student Center Bldg. 57	1	Access to Capital	DSLBD (DC Procurement Technical Assistance Center)	30	--	--	--	--
Congresswoman Norton's Small Business Fair	06/15/17	Washington Convention Center, 801 Mount Vernon Place, NW	2	Presentation on Access to Capital and Insuring Your Business	Congresswoman Norton's Office	167	--	--	--	--
North Michigan Park Community Day	06/17/17	1333 Emerson Street, NE	5	DISB Consumer Services, Resources and Programs	North Michigan Park Civic Association	84	--	--	--	--
DCHFA: DC Open Doors House Crawl Tour	06/17/17	DC Housing Finance Agency 815 Florida Ave. NW Washington, DC 20001	1	Homebuyers	DCHFA & DC Open Doors	--	--	--	17	10
The Mayor's 6th Annual Senior Symposium	06/20/17	Frank W. Ballou Senior High School, 3401 4th Street, SE	8	Seniors	DC Office on Aging	522	--	--	--	--
Money Smart for Older Adults-The Mayor's 6th Annual Senior Symposium	06/20/17	Frank W. Ballou Senior High School, 3401 4th Street, SE	8	Consumer Protection	DC Office on Aging	26	--	--	--	--
GZEP Staff Orientation and Training	06/20/17	R.I.S.E Center 2700 Martian Luther King Jr. Ave. SE Washington, DC 20020	8	Financial Education	GZEP	--	40	--	--	--
Ward 7 Home Buyers Club Interest Meeting	06/20/17	3939 Benning Rd NE, Washington, DC 20019	7	Financially Fit DC	University Legal Services	--	--	--	6	--

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UDC Institute on Gerontology Community Health, Wellness and Information Fair	06/21/17	UDC Institute on Gerontology, 4200 Connecticut Avenue, NW	3	Senior	Office on Aging and UDC Institute on Gerontology	48	--	--	--	--
Ninth Annual DC Housing Expo and Home Show	06/24/17	Walter E. Washington Convention Center, 801 Mt. Vernon Place, NW	2	Housing	Department of Housing and Community Development	976	402	--	60	--
Annual Ward 4 Family Fun Day	06/25/17	Kingsbury Day School, 5000 14th Street, NW	4	DISB Consumer Services, Resources and Programs	Councilmember Brendon Todd's Office	80	--	--	--	--
Department of Motor Vehicles	06/26/17	95 M Street SW Washington, DC 20024	6	Financial Education	MBSYEP	--	12	--	--	--
The We Are All Educators Org. (The WAAE)	06/28/17	Eastern High School 1700 East Capitol St. Washington, DC	6	Financial Education	MBSYEP	--	12	--	--	--
Senior Fest	06/29/17	Kenilworth Park, 4300 Anacostia Avenue, NE	7	Seniors, Financial Fraud Prevention	Mayor Bowser and DPR	450	--	--	--	--
P.A.I.N.T.S. Institute	06/29/17	1242 H Street NE Washington, DC 20002	6	Financial Education	MBSYEP	--	20	--	--	--
P.A.I.N.T.S. Institute	06/29/17	1242 H Street NE Washington, DC 20002	6	Financial Education	MBSYEP	--	19	--	--	--
Red Sprinkle, LLC	06/29/17	1150 Michigan Ave NE, Washington, DC 20017	5	Financial Education	MBSYEP	--	35	--	--	--
Red Sprinkle, LLC	06/29/17	1150 Michigan Ave NE, Washington, DC 20017	5	Financial Education	MBSYEP	--	19	--	--	--
Department of Small and Local Business Development	06/29/17	441 4th St NW Suite 850 NW Washington, DC 20001	2	Financial Education	MBSYEP	--	2	--	--	--
Project EDEN ReGeneration and Columbia Learning Ministries	06/30/17	3754 Martin Luther King Jr Ave SE 101 Washington, DC 20032	8	Financial Education	MBSYEP	--	8	--	--	--
Financially Fit DC New Users	--	--	--	--	--	--	--	--	--	54
Industrial Bank	--	--	--	Bank on DC	--	--	--	1	--	--
<b>JULY 2017</b>										
Joe's Den B/A "Camp Oje"	07/03/17	425 C Street NE	6	Financial Education	MBSYEP	--	11	--	--	--
GZEP- Phelps ACE High School	07/03/17	704 26th Street NE Washington, DC 20002	5	Financial Education	MBSYEP	--	11	--	--	--
Sew-N-Know	07/03/17	5171 South Dakota Ave NE Room 321 Washington DC 20017	5	Financial Education	MBSYEP	--	29	--	--	--
Department of Energy and Environment, Solar Works DC	07/05/17	Ballou STAY, 3401 4th St SE, Washington, DC 20032	8	Financial Education	MBSYEP	--	14	--	--	--
Arbor View Community Center	07/05/17	1220 Southern Avenue, S.E. Washington DC 20032	8	Financial Education	MBSYEP	--	10	--	--	--
Washington National Cathedral - Cathedral Scholars Program	07/06/17	3101 Wisconsin Avenue NW, 7th Fl Perry Auditorium, Washington DC 20016	3	Financial Education	MBSYEP	--	31	--	--	--

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Ward 7 Home buyers Club	07/11/17	Marshal Heights- 3939 Benning Road, NE	7	Financial Education	University Legal Services	--	--	--	10	--
Amy Jacques Garvey, Inc.	07/10/17	Randall Memorial United Methodist 1002 46th Street, NE Washington, DC 20019	7	Financial Education	MBSYEP	--	25	--	--	--
Amy Jacques Garvey, Inc.	07/10/17	Randall Memorial United Methodist 1002 46th Street, NE Washington, DC 20019	7	Financial Education	MBSYEP	--	13	--	--	--
GZEP- H.D Woodson High School	07/10/17	540 55th Street NE Washington, DC 20019	7	Financial Education	MBSYEP	--	32	--	--	--
GZEP- LaSalle Educational Campus	07/10/17	501 Riggs Road NE Washington, DC 20011	4	Financial Education	MBSYEP	--	20	--	--	--
2017 UDC/SYEP Pathways to College and Careers	07/10/17	5171 South Dakota Ave NE Washington DC 20017	5	Financial Education	MBSYEP	--	10	--	--	--
Young Ladies of Tomorrow	07/11/17	206 Bryant St NE Washington DC 20002	5	Financial Education	MBSYEP	--	4	--	--	--
Bradley & Associates	07/12/17	2312 Rhode Island Ave 20018	5	Financial Education	MBSYEP	--	18	--	--	--
Bradley & Associates	07/12/17	1150 Michigan Avenue, NE Washington, DC	5	Financial Education	MBSYEP	--	28	--	--	--
Dancing with a Purpose	07/12/17	533 Ritchie Road, Capitol Heights MD (3633 Horner Place SE)	8	Financial Education	MBSYEP	--	10	--	--	--
Office of the Chief Technology Officer (OCTO)	07/12/17	200 I Street, SE, 5th Floor, Washington, DC	6	Financial Education	MBSYEP	--	16	--	--	--
Pendergrast Alston Consulting Services	07/13/17	4601 Texas Avenue SE Washington, DC 20019	7	Financial Education	MBSYEP	--	14	--	--	--
Pendergrast Alston Consulting Services	07/13/17	3919 Georgia Ave., NW Washington, DC 20011	4	Financial Education	MBSYEP	--	17	--	--	--
Department of Behavioral Health	07/13/17	64 New York Ave, NE	5	Financial Education	MBSYEP	--	17	--	--	--
Far Southeast Family Strengthening Collaborative	07/14/17	2041 MLK Jr. Ave, SE, Ste. 304, Washington, DC 20002	8	Financial Education	MBSYEP	--	7	--	--	--
Project Empowerment	07/14/17	DOES - 4058 Minnesota Ave NE	7	Financial Literacy	Bank on DC	--	15	6	--	--
GZEP- Kramer Middle School	07/17/17	1700 Q Street SE Washington, DC 20020	8	Financial Education	MBSYEP	--	23	--	--	--
Greater Love Church	07/17/17	4421 Jay St., NE Washington, DC	7	Financial Education	MBSYEP	--	15	--	--	--
Amy Jacques Garvey, Inc.	07/17/17	Randall Memorial United Methodist 1002 46th Street, NE Washington, DC 20019	7	Financial Education	MBSYEP	--	27	--	--	--



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GZEP- Ballou High School	07/17/17	3410 4th Street SE Washington, DC 20032	8	Financial Education	MBSYEP	--	31	--	--	--
Dance Place	07/17/17	3225 8th Street NE Washington, DC	5	Financial Education	MBSYEP	--	14	--	--	--
Momma's Safe Haven	07/17/17	3331 22nd Street SE Washington, DC	8	Financial Education	MBSYEP	--	7	--	--	--
Amy Jacques Garvey, Inc.	07/17/17	Randall Memorial United Methodist 1002 46th Street, NE Washington, DC 20019	7	Financial Education	MBSYEP	--	30	--	--	--
Department of Behavioral Health	07/18/17	1629 13th Street NW	2	Financial Education	MBSYEP	--	6	--	--	--
City Blossoms	07/18/17	516 Kennedy St NW Washington DC 20011	4	Financial Education	MBSYEP	--	16	--	--	--
The MusicianShip	07/18/17	3950 Chesapeake St. NW Washington DC 20016	3	Financial Education	MBSYEP	--	115	--	--	--
Office of Unified Communications	07/18/17	2720 Martin Luther King Jr., Ave., SE, Wash, DC	8	Financial Education	MBSYEP	--	1	--	--	--
Children & Charity International	07/19/17	1629 13th Street NW	2	Financial Education	MBSYEP	--	24	--	--	--
Calvin Woodland Sr. Foundation	07/19/17	2498 Alabama Ave SE Washington, DC	8	Financial Education	MBSYEP	--	32	--	--	--
Children & Charity International	07/19/17	1629 13th Street NW	2	Financial Education	MBSYEP	--	9	--	--	--
3rd Annual Build It in DC Forum 2017	07/19/17	Washington Convention Center	2	Access to Capital	DCRA	--	0	--	--	--
Money Smart for Older Adults- Spanish	07/20/17	VIDA Senior Center, 1842 Calvert St NW Washington, DC 20009	1	Consumer Protection (Senior)	DISB, EAPC, USDOJ	36	0	--	--	--
Sunshine Early Learning Center	07/20/17	4224 6th Street SE Washington, DC	8	Financial Literacy	Sunshine Early Learning Center	--	8	--	--	--
Pendergrast Alston Consulting	07/20/17	4601 Texas Ave SE	8	Financial Education	MBSYEP	--	21	--	--	--
National Park Service (Anacostia)	07/20/17	1900 Anacostia Drive SE Washington DC 20019	7	Financial Education	MBSYEP	--	16	--	--	--
Office of the Attorney General	07/20/17	441 4th St. NW Washington, DC 20001 Suite 1100S	2	Financial Education	MBSYEP	--	1	--	--	--
Department of Small and Local Business Development	07/20/17	441 4th St NW Suite 850 NW Washington, DC 20001	2	Financial Education	MBSYEP	--	2	--	--	--
General Services Administration	07/20/17	301 7th Street NW Washington DC 20407	1	Financial Education	MBSYEP	--	10	--	--	--
ADC Management Solutions	07/21/17	601 Howard Pl NW, Washington, DC 20059	1	Financial Education	MBSYEP	--	28	--	--	--
Department of Consumer & Regulatory Affairs (DCRA)	07/24/17	1100 - 4th Street SW, Rm E200	2	Financial Education	MBSYEP	--	23	--	--	--
The Greater First Baptist Summer Camp	07/24/17	2701 13th Street NW Washington, DC 20009	1	Financial Education	MBSYEP	--	6	--	--	--

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Ward 7 Home buyers Club	07/25/17	Marshal Heights- 3939 Benning Road, NE	7	Financial Education	University Legal Services	--	--	--	12	--
Eastern Market Small Business Financing Panel	07/25/17	Eastern Market North Hall, 225 7th Street, SE	6	Small Business	Eastern Market Main Street	10	--	--	--	--
AFGE Local 1456 Health and Wellness Fair	07/27/17	155 Ridge Road SE WDC	8	Financial Literacy	AFGE Local 1456	32	--	--	--	--
Money Smart -Renters Insurance	07/28/17	Robert L. Walker House, 2201 Savannah Street, SE	8	Consumer Protection	DISB, Robert L. Walker House	12	--	--	--	--
Second Annual Great Streets Conference	07/28/17	Kellogg Conference Hotel at Gallaudet University	6	Small Business	DMPED	72	--	--	--	--
Financially Fit DC New Users	--	--	--	--	--	--	--	--	--	11
MBSYEP Accounts (DGEFCU)	--	--	--	--	--	--	--	385	--	--
Industrial Bank	--	--	--	--	--	--	--	3	--	--
<b>AUGUST 2017</b>										
National Night Out - Citywide Kickoff	08/01/17	Greenleaf Recreation Center, 201 N Street, NW	6	DISB Consumer Services, Resources and Programs	MPD	73	--	--	--	--
National Night Out	08/01/17	Bruce Monroe Park, 3000 Georgia Avenue, NW	1	DISB Consumer Services, Resources and Programs	National Association of Town Watch	38	--	--	--	--
Congresswoman Norton's 20th Annual Job Opportunity Fair	08/02/17	Washington Convention Center	6	Job Fair and DISB Consumer Services, Resources and Programs	Congresswoman Norton's Office	72	--	--	--	--
Young Ladies of Tomorrow	08/02/17	206 Bryant St. NE Washington, DC 20002	5	Financial Literacy	MBSYEP	--	3	--	--	--
USDA Summer Intern Workshops	08/03/17	Patriots Plaza 355 E. Street, SW	6	Financial Education	MBSYEP	--	8	--	--	--
River East Emerging Leaders	08/03/17	Union Town Bar and Grill-	8	Panel Discussion & vendor fair	River East Emerging Leaders	--	47	--	--	--

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Project Empowerment	08/04/17	DOES - 4058 Minnesota Ave NE	7	Financial Literacy	Bank on DC	--	65	39	--	--
Capital Harvest Farmers Market	08/04/17	Ronald Regan Bldg., 1300 Pennsylvania Avenue, NW	2	DISB Consumer Services, Resources and Programs	TCMA	35	--	--	--	--
Ward 7 Home buyers Club	08/08/17	Marshal Heights- 3939 Benning Road, NE	7	Financial Education	University Legal Services	--	--	--	12	--
5th Annual Nineteenth Street Baptist Church Block Party	08/12/17	4606 16th Street, NW	4	DISB Consumer Services, Resources and Programs	19th Street Baptist Church	43	--	--	--	--
Pre-Career Fair Professional Development Workshop	08/14/17	DOES- 4058 Minnesota Ave. NE	7	Account Enrollment	DOES- Office of Youth Programs	--	25	2	--	1
DISB's Coffee & Capital	08/17/17	Riverside Center, 601 Division Avenue, NE	7	Access to capital	DISB	21	--	--	--	--
"No Money, Mo Problems" Financial Literacy Workshop	08/19/17	1315 Irving Street NW Washington, DC 20010	1	Financial Education	DOES	--	10	--	--	--
Ward 7 Home buyers Club	08/22/17	Marshal Heights- 3939 Benning Road, NE	7	Financial Education	University Legal Services	--	--	--	6	--
Money Smart-Reverse Mortgages	08/23/17	Bernice Fonteneau Senior Wellness Center, 3531 Georgia Ave NW, Washington, DC 20010 (202) 727-0338	1	Consumer Protection (Senior)	DISB, EAPC, Housing Counseling Services, Inc.	21	--	--	--	--
Accessing Capital: How to Get Funds for your Business*	08/24/17	1640 Columbia Road, NW	1	Small Business	GWHCC	18	--	--	--	--
Money Smart for Older Adults	08/28/17	Knollwood Senior Living Community, 6200 Oregon Avenue, NW	4	Consumer Protection (Senior)	DISB, EAPC, DCOA, Knollwood Senior Living Community	46	--	--	--	--
Young Ladies of Tomorrow	08/30/17	206 Bryant St. NE Washington, DC 20002	5	Financial Literacy	MBSYEP	--	7	--	--	--
Financially Fit DC New Users	--	--	--	--	--	--	--	--	--	27
Industrial Bank	--	--	--	--	--	--	--	3	--	--
<b>SEPTEMBER 2017</b>										
Senior Homeowners Day	09/05/17	Marshall Heights CDO 3939 Minnesota Ave., NE	7	Consumer Protection	Marshall Heights CDO	16	--	--	--	--
Ward 7 Homebuyers Club	09/05/17	Marshall Heights, 3939 Benning Road	7	Financial Education	University Legal Services	--	6	--	--	--
UDC new student nursing assistant orientation for the healthcare program	09/06/17	United Medical Center 1310 Southern Ave SE Washington, D 20032	8	Bank on DC Programming	UDC	--	35	--	--	--
Mt. Olive Baptist Church- Annual Achievement Day	09/10/17	1140 6th St NE	6	Bank on DC- Financial Education	Mt. Olive Baptist Church	--	79	--	--	--
Money Smart for Older Adults- Reverse Mortgages	09/12/17	Congress Heights Senior Wellness Center, 3500 Martin Luther King Jr Ave SE.	8	Consumer Protection (Senior)	DISB, EAPC, Housing Counseling Services, Inc.	8	--	--	--	--
Money Smart for Older Adults	09/15/17	UPO Foster Grandparent program, Mathews Memorial Baptist Church, 2616 Martin Luther King Jr Ave SE.	8	Consumer Protection (Senior)	DISB, EAPC, United Planning Organization	174	--	--	--	--

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Project Empowerment	09/15/17	DOES - 4058 Minnesota Ave NE	7	Financial Literacy	Bank on DC	--	36	6	--	--
Ward 5 Day	09/16/17	Langdon Park, 2901 20th Street, NE	5	DISB Consumer Services, Resources and Programs	Councilmember Kenyan R. McDuffie	60	--	--	--	--

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF ACCOUNTS OPENED (Bank on DC)	# OF ATTENDEES (FinFitDC)	FinFitDC SIGN UPS
H Street Festival 2017	09/16/17	H Street (between 4th & 14th Street, NE	6	DISB Consumer Services, Resources and Programs	H Street Main Street	888	--	--	--	--
Office of the Tenant Advocate 10th Anniversary - Symposium	09/16/17	Gallaudet University,800 Florida Ave NE (Kellogg Center)	6	DISB Consumer Services, Resources and Programs	Office of the Tenant Advocate	72	--	--	--	--
Fiesta DC 2017*	09/17/17	Pennsylvania Avenue, NW (between 3rd & 7th Streets	2	DISB Consumer Services, Resources and Programs in Spanish	Fiesta DC Inc	442	--	--	--	--
Entree DC Forum	09/18/17	Walter E. Washington DC Convention Center, 801 Mt. Vernon Place, NW	2	Small Business	WDCEP	51	--	--	--	--
Hattie Holmes Health Fair	09/18/17	Hattie Holmes Senior Wellness Center, 324 Kennedy St NW	4	Senior	Hattie Holmes Senior Wellness Center	52	--	--	--	--
Money Smart for Older Adults-Reverse Mortgages	09/19/17	Peoples Congregational Church, , 4704 13th St NW, Washington, DC 20011	4	Consumer Protection (Senior)	DISB, EAPC, Emery Heights AARP Neighborhood Chapter	21	--	--	--	--
Money Smart for Older Adults-Reverse Mortgages	09/20/17	Peoples Congregational Church, , 4704 13th St NW, Washington, DC 20011	4	Consumer Protection (Senior)	DISB, EAPC, Shepherd Park AARP Neighborhood Chapter	35	--	--	--	--
Washington, DC   100,00 Opportunities Initiative Job Fair	09/20/17	Walter E. Washington Convention Center 810 7th St NW Washington, DC 20001	A8W	Youth	DOES and 100k Opportunity	--	1070	--	--	--
Department of Human Resources	09/21/17	441 4th Street, NW, Suite 330 South, Washington, DC 20001	2	Bank on DC Programming	Bank on DC	--	19	--	--	--
Coffee & Capital	09/21/17	1800 Martin Luther King Jr Ave SE (Conference Room, Ground Floor)	8	Small Business	DISB	19	--	--	--	--
Money Smart for Older Adults	09/21/17	Hemmingway Temple AME Church, 501 P St, NW	5	Consumer Protection (Senior)	DISB, EAPC, USDOJ	10	--	--	--	--
3rd Annual Health & Resource Fair (Guy Mason)	09/22/17	Guy Mason Recreation Center, 3600 Calvert Street, NW	3	District Seniors	DCOA	70	--	--	--	--
Barracks Row Fall Festival	09/23/17	(Cross section of 8th Street, SE and G Street, SE)	6	DISB Consumer Services, Resources and Programs	Barracks Row Main Street	500	--	--	--	--
DC State Fair	09/24/17	Waterfront Station in Southwest DC (375 and 425 M St. SW)	6	DISB Consumer Services, Resources and Programs	The Board of the DC State Fair	245	--	--	--	--
Farm Fresh Market	09/24/17	1500 20th St NW, Dupont Circle	2	DISB Consumer Services, Resources and Programs	FRESHFARM	73	--	--	--	--
Money Smart for Older Adults	09/25/17	Money Smart for Older Adults	4	Consumer Protection (Senior)	DISB, EAPC, DCOA, Knollwood Senior Living Community	25	--	--	--	--

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Department of Human Resources	09/26/17	441 4th Street, NW, Suite 330 South, Washington, DC 20001	3	Bank on DC Programming	Bank on DC	--	41	--	--	--

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF ACCOUNTS OPENED (Bank on DC)	# OF ATTENDEES (FinFitDC)	FinFitDC SIGN UPS
Hillcrest Community Day	09/30/17	Hillcrest Recreation Center, 3100 Denver St SE	7	DISB Consumer Services, Resources and Programs	Hillcrest Recreation Center	100	--	--	--	--
Financially Fit DC New Users	--	--	--	--	--	--	--	--	--	25
Industrial Bank	--	--	--	--	--	--	--	4	--	--
Democracy Federal Credit Union	--	--	--	--	--	--	--	7	--	--
<b>OCTOBER 2017</b>										
Office of the Chief Financial Officer	10/04/17	1101 4th Street, SW, Suite 850 West Washington, DC 20024	6	Bank on DC Programming	Bank on DC	--	9	1	--	--
D.C. Commission on African-American Affairs Public Forum (Education, Housing & Economic Opportunity in DC)	10/04/17	Luke C. Moore HS 1001 Monroe Street NE Washington, DC 20017	5	Community Outreach Event	MOAAA	--	8	1	--	--
Money Smart for Older Adults-Financial Exploitation	10/05/17	Holy Temple Church of Christ, 435 12th Street SE Washington, DC 20003	6	Consumer Protection (Senior)	DISB, EAPC, Holy Temple Church of Christ	18	--	--	--	--
Department of Human Resources	10/05/17	441 4th Street, NW, Suite 330 South, Washington, DC 20001	2	Bank on DC Programming	Bank on DC	--	28	2	--	--
Capital Guardian Youth ChalleNGe Academy Financial Readiness Presentation	10/06/17	3201 Oak Hill Drive Laurel, Maryland 20724 United States	A8w	Financial Education	CGYCA	--	46	--	--	--
Department of Human Resources	10/11/17	441 4th Street, NW, Suite 330 South, Washington, DC 20001	2	Bank on DC Programming	Bank on DC	--	28	1	--	1
Office of the Chief Financial Officer	10/12/17	1101 4th Street, SW, Suite 850 West Washington, DC 20024	6	Bank on DC Programming	Bank on DC	--	38	2	--	2
Capitol View Civic Association-Money Smart for Older Adults	10/16/17	Hughes Memorial Church, 51st and Ames St., NE	7	Consumer Protection (Seniors)	Capitol View Civic Association, DISB	24	--	--	--	--
National Society of Compliance Professionals National Conference	10/16/17	Omni Shoreham Hotel, 2500 Calvert St NW, Washington, DC 20008	2	Consumer Protection (Seniors)	National Society of Compliance Professionals	110	--	--	--	--
Insurance in the Shared Economy Presentation	10/17/17	National Association of Broadcasters, 1771 N Street, NW	2	Insurance	Consumer Action	25	--	--	--	--
Financially Fit DC Workshop Series	10/18/17	Fort Chaplin Apartments 15 42nd St. NE, Unit 1 Washington, DC 20019	7	Financial Education	Fort Chaplin, DISB and FinFitDC	--	--	--	3	--
Community Health & Resource Fair	10/19/17	Nineteenth Street Baptist Church, 4606 16th Street, NW	4	Seniors, Financial Fraud Prevention	DC Retired Educators Association Annual Business Meeting and DCOA	160	--	--	--	--

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF ACCOUNTS OPENED (Bank on DC)	# OF ATTENDEES (FinFitDC)	FinFitDC SIGN UPS
Department of Human Resources	10/19/17	441 4th Street, NW, Suite 330 South, Washington, DC 20001	2	Bank on DC Programming	Bank on DC	--	55	4	--	--
The LEAP Academy- 2017 Cohort	10/20/17	441 4th St NW Washington, DC	A8w	Financial Literacy	LEAP Academy/ Bank on DC	--	12	--	--	--



EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF ACCOUNTS OPENED (Bank on DC)	# OF ATTENDEES (FinFitDC)	FinFitDC SIGN UPS
Money Smart for Older Adults	10/23/17	Knollwood Senior Living Community, 6200 Oregon Avenue, NW	4	Consumer Protection (Senior)	DISB, EAPC, DCOA, Knollwood Senior Living Community	29	--	--	--	--
Economic Mobility: Pathways to Income and Wealth Creation for Women	10/25/17	R.I.S.E. Demonstration Center 2730 Martin Luther King Jr. Avenue SE	8	Financial Education	DISB, FDIC, Federal Reserve, OCC, CNHED, CAAB, Prosperity Now, United Way & MOWPI Office of Ward 4	--	46	--	--	--
3rd Annual Ward 4 State of the Senior Address	10/26/17	Riggs-LaSalle Recreation Center	4	Senior	Councilmember Bandon Todd	340	--	--	--	--
141st Annual Meeting of the District of Columbia Baptist Convention (DCBC)	10/26/17	DCBC Office, 1628 16th Street NW; Peoples Community Baptist Church, 31 Norwood Rd, Silver Spring, MD	Other	Consumer Protection	DC Baptist Convention	125	--	--	--	--
Department of Human Resources	10/26/17	441 4th Street, NW, Suite 330 South, Washington, DC 20001	2	Bank on DC Programming	Bank on DC	--	63	4	--	--
SOME Financial Wellness and Homeownership fair	10/26/17	Anacostia Library- 1800 Good Hope Rd SE, Washington, DC 20020	8	Financial Education	So Others Might Eat (SOME)	--	17	3	--	--
Money Smart for Older Adults	10/27/17	Walker Memorial Baptist Church, 2020 13th St NW, Washington, DC 20009	2	Consumer Protection (Senior Financial Fraud)	Walker Memorial Baptist Church, DISB, EAPC	16	--	--	--	--
Project Empowerment	10/12/17	DOES - 4058 Minnesota Ave NE	A8w	Financial Literacy	DOES	--	149	9	--	--
Financially Fit DC New Users	10/31/17	--	--	--	--	--	--	--	--	29
<b>NOVEMBER 2017</b>										
Financially Fit DC Workshop Series	11/01/17	Fort Chaplin Apartments 15 42nd St. NE, Unit 1 Washington, DC 20019	7	Financial Education	Fort Chaplin, DISB, Bank on DC and FinFitDC	--	--	--	1	--
DCHL Enrollment Day & Health Fair	11/04/17	Watha T. Daniel (Shaw) Library	2	DISB Consumer Services, Resources and Programs	The DC Health Benefit Exchange Authority, DC Public Library and AARP	300	--	--	--	--
Capital Guardian Youth Challenge Academy Financial Readiness Presentation	11/06/17	3201 Oak Hill Drive Laurel, Maryland 20724 United States	A8W	Financial Education	CGYCA	--	46	--	--	--
Open Enrollment Fair	11/14/17	DC Public Schools Central Office 1200 First Street, NE WDC 20002	6	Bank on DC Programming	DCHR	--	148	--	--	--
Open Enrollment Fair	11/15/17	Child & Family Services Agency 200 I Street, SE WDC 20003	6	Bank on DC Programming	DCHR	--	167	--	--	--
Open Enrollment Fair	11/16/17	Saint Elizabeth's Hospital 1100 Alabama Avenue, SE WDC 20032	8	Bank on DC Programming	DCHR	--	165	2	--	--

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF ACCOUNTS OPENED (Bank on DC)	# OF ATTENDEES (FinFitDC)	FinFitDC SIGN UPS
Community Resource Fair - Carver Senior Apartments	11/20/17	4800 East Capitol Street, NE	7	Financial Education Consumer Protection	DCOA	36	--	--	--	--

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF ACCOUNTS OPENED (Bank on DC)	# OF ATTENDEES (FinFitDC)	FinFitDC SIGN UPS
Financially Fit DC Workshop Series	11/21/17	Fort Chaplin Apartments 15 42nd St. NE, Unit 1 Washington, DC 20019	7	Financial Education	Fort Chaplin, DISB and FinFitDC and Bank on DC	--	--	--	55	--
Capital Guardian Youth ChalleNGe Academy Financial Readiness Presentation	11/21/17	3201 Oak Hill Drive Laurel, Maryland 20724 United States	A8W	Financial Education	CGYCA	--	46	--	--	--
Open Enrollment	11/21/17	DPW 1831 Fenwick St NE	5	Bank on DC Programming	DCHR	--	4	--	--	--
Open Enrollment Fair	11/28/17	John A. Wilson Building 1350 Pennsylvania Avenue, NW WDC 20004	2	Bank on DC Programming	DCHR	--	50	1	--	--
Kennedy Recreation Center 2017 Community Health and Resource Fair	11/29/17	Kennedy Recreation Center, 1401 7th Street, NW	6	Seniors, Financial Fraud Prevention	DC Office on Aging	32	--	--	--	--
Project Empowerment	11/22/17	Department of Employment Services 4058 Minnesota Avenue, NE	A8W	Financial Literacy	DOES	--	110	28	--	--
Financially Fit DC New Users	11/30/17	--	--	--	--	--	--	--	--	6
<b>DECEMBER 2017</b>										
World AIDS Day 2017	12/01/17	Reeves Center, 2000 14th Street, NW	1	DISB Consumer Services, Resources and Programs	Serve DC, Mayor's Office on Volunteerism, Mayor's Office of LGBTQ	200	--	--	--	--
Open Enrollment Fair	12/05/17	Office of the Chief Financial Officer 1101 4th Street, SW WDC 20024	6	Bank on DC Programming	DCHR	--	221	1	--	--
Open Enrollment Fair	12/06/17	DC Housing Authority 1133 N. Capitol Street, NE WDC 20002	6	Bank on DC Programming	DCHR	--	97	1	--	--
WDCEP's Econ Showcase and Annual Meeting	12/12/17	Washington Convention Center	2	Small Business	WDCEP	200	--	--	--	--
Mayor's 19th Annual Senior Holiday Celebration	12/13/17	DC Stadium Armory, 2001 East Capital Street, NE	6	Seniors	DCOA	1500	--	--	--	--
Project Empowerment	12/14/17	Department of Employment Services 4058 Minnesota Avenue, NE	A8W	Financial Literacy	DOES	--	85	9	--	--
The LEAP Academy- 2017 Cohort	12/15/17	441 4th St NW Washington, DC	A8W	Financial Literacy	LEAP Academy/ Bank on DC	--	12	--	--	--
Financially Fit DC New Users	--	--	--	--	--	--	--	--	--	8
<b>JANUARY 2018</b>										
Money Smart for Older Adults	01/17/18	University of the District of Columbia, 4200 Connecticut Avenue, N.W, Bldg. 44, Room A03	A8W	Seniors, Financial Fraud Prevention	DISB, EAPC, UDC Institute of Gerontology, James Lee, 202-274-6658	33	--	--	--	--

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF ACCOUNTS OPENED (Bank on DC)	# OF ATTENDEES (FinFitDC)	FinFitDC SIGN UPS
McKinley Tech Reality Fair	01/17/18	151 T St NE, Washington DC	5	Bank on DC Programming	McKinley Tech, Bank on DC and Greater Washington Jump Start Coalition	--	22	--	--	--
Victory Heights First Annual Community Day	01/18/18	1369 Irving Street, NW	1	Senior Event	DCOA	32	--	--	--	--
DOES Session	01/18/18	Community Empowerment Training Academy 101 Xenia Street SW 1st Floor Washington, DC 20032	8	Financial Education	DOES-OSY	--	17	--	--	--
DOES Session	01/18/18	Community Empowerment Training Academy 101 Xenia Street SW 1st Floor Washington, DC 20032	8	Financial Education	DOES-OSY	--	17	--	--	--
DOES Session	01/19/18	Contemporary Family Services 601 50th Street NE Barry Farms Recreation Center 1230 Sumner Rd SE	7	Financial Education	DOES-OSY	--	14	--	--	--
MBSYEP Parent/Child Information Session	01/19/18	Trinidad Recreation Center 1310 Childress St. NE	8	Bank on DC Programming	MBSYEP	--	18	--	--	--
MBSYEP Parent/Child Information Session	01/22/18	Columbia Heights Recreation Center 1480 Girard St NW	5	Bank on DC Programming	MBSYEP	--	8	--	--	--
MBSYEP Parent/Child Information Session	01/23/18	Shiloh Baptist Church, 1500 9th St., NW	1	Bank on DC Programming	MBSYEP	--	17	--	--	--
Money Smart for Older Adults	01/24/18	Nai Xander 143 Kennedy St, NW	1	Consumer Protection	DISB, EAPC, Shiloh Baptist Church	40	--	--	--	--
DOES Session	01/25/18	Tyler House, 1200 North Capitol St, NW, Washington, DC 20002	4	Financial Education	DOES-OSY	--	11	--	--	--
Renters Insurance Workshop	01/29/18	DISB, 1050 First Street, NE	5	Consumer Protection	DISB, Tyler House	4	--	--	--	--
Student Loan Ombudsman's Open Office Hours	01/29/18	Hayes Senior Wellness Center Resource Fair	6	Student Loans	DISB	5	--	--	--	--
Hayes Senior Wellness Center Resource Fair	01/31/18	Hayes Senior Wellness Center, 500 K Street, NE	6	Senior Event	DCOA	60	--	--	--	--

\*Outreach to the District's Latino Community

Yellow fill - DISB multiple program events

A8W = Citywide

## Appendix 20

### Bank Locations by Ward

Financial Institution	Address	Ward
BANK OF AMERICA, NATIONAL ASSOCIATION	3500 Georgia Avenue, N.W.	1
BANK OF AMERICA, NATIONAL ASSOCIATION	1835 Columbia Road, N.W.	1
BANK OF AMERICA, NATIONAL ASSOCIATION	3131 Mt. Pleasant Street, N.W.	1
BANK OF AMERICA, NATIONAL ASSOCIATION	3100 14th Street, N.W.	1
United Bank	1301 U Street, N.W.	1
BRANCH BANKING AND TRUST COMPANY	1804 14th Street, N.W.	1
BRANCH BANKING AND TRUST COMPANY	1801 Adams Mill Road, N.W.	1
BRANCH BANKING AND TRUST COMPANY	3101 14th Street, N.W.	1
CITIBANK, NATIONAL ASSOCIATION	3241 14th Street, N.W.	1
CITY FIRST BANK OF D.C., NATIONAL ASSOCIATION	1432 U Street, N.W.	1
INDUSTRIAL BANK, DC Chartered	2000 11th Street, N.W.	1
INDUSTRIAL BANK, DC Chartered	2000 14th Street, N.W.	1
PNC BANK, NATIONAL ASSOCIATION	1779 Columbia Road, N.W.	1
PNC BANK, NATIONAL ASSOCIATION	3300 14th Street, N.W.	1
SUNTRUST BANK	1800 Columbia Road, N.W.	1
SUNTRUST BANK	1250 U Street, N.W.	1
WELLS FARGO BANK, NATIONAL ASSOCIATION	1901 7th Street, N.W.	1
WELLS FARGO BANK, NATIONAL ASSOCIATION	3325 14th Street, N.W.	1
WELLS FARGO BANK, NATIONAL ASSOCIATION	1804 Adams Mills Road, N.W.	1
	<b>Total in Ward 1</b>	<b>19</b>
AMALGAMATED BANK	1825 K Street, N.W.	2
ATLANTIC TRUST COMPANY, NATIONAL ASSOCIATION	1201 F Street, N.W. Suite 900	2
BANK OF AMERICA, NATIONAL ASSOCIATION	1801 K Street, N.W.	2
BANK OF AMERICA, NATIONAL ASSOCIATION	901 K Street, N.W. Suite 101	2
BANK OF AMERICA, NATIONAL ASSOCIATION	1339 Wisconsin Avenue, N.W.	2
BANK OF AMERICA, NATIONAL ASSOCIATION	888 17th Street, N.W.	2
BANK OF AMERICA, NATIONAL ASSOCIATION	700 13th Street, N.W.	2
BANK OF AMERICA, NATIONAL ASSOCIATION	2201 C Street, N.W.	2

## Appendix 20

### Bank Locations by Ward

BANK OF AMERICA, NATIONAL ASSOCIATION	3 Dupont Circle, N.W.	2
BANK OF AMERICA, NATIONAL ASSOCIATION	2001 Pennsylvania Avenue, N.W.	2
BANK OF AMERICA, NATIONAL ASSOCIATION	1090 Vermont Avenue, N.W.	2
BANK OF AMERICA, NATIONAL ASSOCIATION	1001 Pennsylvania Avenue, N.W.	2
BANK OF AMERICA, NATIONAL ASSOCIATION	1501 Pennsylvania Avenue, N.W.	2
BANK OF AMERICA, NATIONAL ASSOCIATION	600 14 Th Street, N.W.	2
UNITED BANK	1001 Wisconsin Avenue, N.W.	2
UNITED BANK	1301 O Street, N.W.	2
UNITED BANK	1350 I Street, N.W.	2
UNITED BANK	1115 30th Street, N.W.	2
BNY MELLON, NATIONAL ASSOCIATION	1250 H Street, N.W.	2
BRANCH BANKING AND TRUST COMPANY	1909 K Street, N.W.	2
BRANCH BANKING AND TRUST COMPANY	815 Connecticut Avenue, N.W.	2
BRANCH BANKING AND TRUST COMPANY	1730 Rhode Island Avenue, N.W.	2
BRANCH BANKING AND TRUST COMPANY	1365 Wisconsin Avenue, N.W.	2
BRANCH BANKING AND TRUST COMPANY	601 13th Street, N.W.	2
BRANCH BANKING AND TRUST COMPANY	614 H Street, N.W.	2
BRANCH BANKING AND TRUST COMPANY	1099 New York Avenue, N.W. Suite 100	2
CAPITAL BANK, NATIONAL ASSOCIATION	1776 I Street, N.W.	2
CAPITAL ONE, NATIONAL ASSOCIATION	1800 M Street, N.W.	2
CAPITAL ONE, NATIONAL ASSOCIATION	1545 Wisconsin Avenue, N.W.	2
CAPITAL ONE, NATIONAL ASSOCIATION	925 15th Street, N.W.	2
CAPITAL ONE, NATIONAL ASSOCIATION	1717 Pennsylvania Avenue, N.W.	2
CAPITAL ONE, NATIONAL ASSOCIATION	701 Pennsylvania Avenue, N.W.	2
CAPITAL ONE, NATIONAL ASSOCIATION	901 New York Avenue	2
CAPITAL ONE, NATIONAL ASSOCIATION	1700 K Street, N.W.	2
CAPITAL ONE, NATIONAL ASSOCIATION	1200 F Street, N.W.	2
CARDINAL BANK	1776 K Street, N.W.	2
CARDINAL BANK	1825 Wisconsin Avenue, N.W.	2

## Appendix 20

### Bank Locations by Ward

CITIBANK, NATIONAL ASSOCIATION	1775 Pennsylvania Avenue, N.W.	2
CITIBANK, NATIONAL ASSOCIATION	1400 G Street, N.W.	2
CITIBANK, NATIONAL ASSOCIATION	1000 Connecticut Avenue, N.W.	2
CITIBANK, NATIONAL ASSOCIATION	1218 Connecticut Avenue, N.W.	2
CITIBANK, NATIONAL ASSOCIATION	1000 Vermont Avenue, N.W.	2
CITIBANK, NATIONAL ASSOCIATION	1101 Pennsylvania Avenue, N.W. 9th Floor	2
CITIBANK, NATIONAL ASSOCIATION	750 9th Street, N.W. Suite 101	2
CITIBANK, NATIONAL ASSOCIATION	2221 I Street, N.W.	2
CITIBANK, NATIONAL ASSOCIATION	1717 K Street, N.W.	2
CITIBANK, NATIONAL ASSOCIATION	1101 Pennsylvania Avenue, N.W.	2
COLOMBO BANK	1301 9th Street, N.W.	2
CONGRESSIONAL BANK	2101 K Street, N.W.	2
CONGRESSIONAL BANK	1301 K Street, N.W.	2
EAGLEBANK	700 7th Street, N.W.	2
EAGLEBANK	2001 K Street, N.W.	2
EAGLEBANK	1228 Connecticut Avenue, N.W.	2
EAGLEBANK	1425 K Street, N.W.	2
HSBC BANK USA, NATIONAL ASSOCIATION	1715 Wisconsin Avenue, N.W.	2
INDUSTRIAL BANK	1317 F Street, N.W.	2
JOHN MARSHALL BANK	1330 New Hampshire Avenue, N.W. Suite 110	2
JPMORGAN CHASE BANK, NATIONAL ASSOCIATION	800 Connecticut Avenue	2
MANUFACTURERS AND TRADERS TRUST COMPANY	1680 K Street, N.W.	2
MANUFACTURERS AND TRADERS TRUST COMPANY	1899 L Street, N.W.	2
MANUFACTURERS AND TRADERS TRUST COMPANY	555 12th Street, N.W.	2
MANUFACTURERS AND TRADERS TRUST COMPANY	1350 I Street, N.W. Suite 200	2
PNC BANK, NATIONAL ASSOCIATION	1800 M Street, N.W.	2
PNC BANK, NATIONAL ASSOCIATION	833 7th Street, N.W.	2
PNC BANK, NATIONAL ASSOCIATION	800 H Street, N.E.	2
PNC BANK, NATIONAL ASSOCIATION	601 Penn Avenue, N.W.	2

## Appendix 20

### Bank Locations by Ward

PNC BANK, NATIONAL ASSOCIATION	1331 Pennsylvania Avenue, N.W.	2
PNC BANK, NATIONAL ASSOCIATION	1405 P Street, N.W.	2
PNC BANK, NATIONAL ASSOCIATION	1400 K Street, N.W.	2
PNC BANK, NATIONAL ASSOCIATION	1919 Pennsylvania Avenue, N.W.	2
PNC BANK, NATIONAL ASSOCIATION	800 17th Street, N.W.	2
PNC BANK, NATIONAL ASSOCIATION	1913 Massachusetts Avenue, N.W.	2
PNC BANK, NATIONAL ASSOCIATION	1800 M Street, N.W.	2
PNC BANK, NATIONAL ASSOCIATION	1920 L Street, N.W.	2
PNC BANK, NATIONAL ASSOCIATION	2501 Pennsylvania Avenue, N.W.	2
PREMIER BANK, INC.	1130 Connecticut Avenue, N.W. Suite 200	2
PREMIER BANK, INC.	1604 17th Street, N.W.	2
PREMIER BANK, INC.	1501 K Street, N.W.	2
PRESIDENTIAL BANK, FSB	1660 K Street	2
SANDY SPRING BANK	1299 Pennsylvania Avenue, N.W.	2
STATE BANK OF INDIA (CALIFORNIA)	2001 Pennsylvania Avenue, N.W.	2
SUNTRUST BANK	1445 New York Avenue, N.W.	2
SUNTRUST BANK	1100 G Street, N.W.	2
SUNTRUST BANK	1275 K Street, N.W.	2
SUNTRUST BANK	900 17th Street, N.W.	2
SUNTRUST BANK	1020 19th Street, N.W.	2
SUNTRUST BANK	1855 Wisconsin Avenue, N.W.	2
SUNTRUST BANK	2929 M Street, N.W.	2
SUNTRUST BANK	1369 Connecticut Avenue, N.W.	2
SUNTRUST BANK	1150 Connecticut Avenue, N.W.	2
SUNTRUST BANK	2250 M Street, N.W.	2
SUNTRUST BANK	3435 Connecticut Avenue, N.W.	2
TD BANK, NATIONAL ASSOCIATION	1753 Connecticut Avenue, N.W.	2
TD BANK, NATIONAL ASSOCIATION	901 7th Street	2
TD BANK, NATIONAL ASSOCIATION	605 14th Street, N.W.	2



## Appendix 20

### Bank Locations by Ward

TD BANK, NATIONAL ASSOCIATION	1030 15th Street, N.W.	2
TD BANK, NATIONAL ASSOCIATION	1489 P Street, N.W.	2
TD BANK, NATIONAL ASSOCIATION	801 17th Street, N.W.	2
TD BANK, NATIONAL ASSOCIATION	1200 New Hampshire Avenue, N.W. Front 4	2
TD BANK, NATIONAL ASSOCIATION	2000 K Street, N.W.	2
THE BANK OF NEW YORK MELLON	1250 H Street, N.W.	2
THE NORTHERN TRUST COMPANY	800 Connecticut Avenue, N.W., Suite 200	2
UNITED BANK	1875 Eye Street, N.W.	2
UNITED BANK	1001 G Street, N.W.	2
UNITED BANK	4900 Massachusetts Avenue, N.W.	2
UNITED BANK	1667 K Street, N.W.	2
WASHINGTONFIRST BANK	1146 - 19th Street, N.W.	2
WASHINGTONFIRST BANK	1025 Connecticut Avenue, N.W. 1st Floor	2
WELLS FARGO BANK, NATIONAL ASSOCIATION	1350 New York Avenue, N.W.	2
WELLS FARGO BANK, NATIONAL ASSOCIATION	1700 Pennsylvania Avenue, N.W.	2
WELLS FARGO BANK, NATIONAL ASSOCIATION	2901 M Street, N.W.	2
WELLS FARGO BANK, NATIONAL ASSOCIATION	1100 Connecticut Avenue, N.W.	2
WELLS FARGO BANK, NATIONAL ASSOCIATION	1800 K Street, N.W.	2
WELLS FARGO BANK, NATIONAL ASSOCIATION	1300 Connecticut Avenue, N.W.	2
WELLS FARGO BANK, NATIONAL ASSOCIATION	1510 K Street, N.W.	2
WELLS FARGO BANK, NATIONAL ASSOCIATION	1850 M Street, N.W.	2
WELLS FARGO BANK, NATIONAL ASSOCIATION	801 Pennsylvania Avenue, N.W.	2
WELLS FARGO BANK, NATIONAL ASSOCIATION	1310 G Street, N.W.	2
WELLS FARGO BANK, NATIONAL ASSOCIATION	2000 L Street, N.W.	2
WELLS FARGO BANK, NATIONAL ASSOCIATION	1300 I Street, N.W.	2
WELLS FARGO BANK, NATIONAL ASSOCIATION	1447 P Street, N.W.	2
WELLS FARGO BANK, NATIONAL ASSOCIATION	1934 14th Street, N.W.	2
WILMINGTON TRUST, NATIONAL ASSOCIATION	1350 I Street, N.W.	2
	<b>Total in Ward 2</b>	<b>124</b>

## Appendix 20

### Bank Locations by Ward

BANK OF AMERICA, NATIONAL ASSOCIATION	3401 Connecticut Avenue, N.W.	3
BANK OF AMERICA, NATIONAL ASSOCIATION	5201 Wisconsin Avenue, N.W.	3
BANK OF AMERICA, NATIONAL ASSOCIATION	4301 49th Street, N.W.	3
BANK OF AMERICA, NATIONAL ASSOCIATION	4201 Connecticut Avenue, N.W.	3
BRANCH BANKING AND TRUST COMPANY	5200 Wisconsin Avenue, N.W.	3
CAPITAL ONE, NATIONAL ASSOCIATION	4860 Massachusetts Avenue, N.W.	3
CAPITAL ONE, NATIONAL ASSOCIATION	5714 Connecticut Avenue, N.W.	3
CAPITAL ONE, NATIONAL ASSOCIATION	3519 Connecticut Avenue	3
CAPITAL ONE, NATIONAL ASSOCIATION	4400 Massachusetts Avenue N.W.	3
CITIBANK, NATIONAL ASSOCIATION	5700 Connecticut Avenue, N.W.	3
CITIBANK, NATIONAL ASSOCIATION	5250 Macarthur Boulevard, N.W.	3
CITIBANK, NATIONAL ASSOCIATION	5001 Wisconsin Avenue, N.W.	3
CITIBANK, NATIONAL ASSOCIATION	1901 Wisconsin Avenue, N.W.	3
CONGRESSIONAL BANK	5600 Connecticut Avenue, N.W.	3
EAGLEBANK	1044 Wisconsin Avenue, N.W.	3
HSBC BANK USA, NATIONAL ASSOCIATION	1401 I Street, N.W.	3
MANUFACTURERS AND TRADERS TRUST COMPANY	5630 Connecticut Avenue, N.W.	3
MANUFACTURERS AND TRADERS TRUST COMPANY	2620 Connecticut Avenue, N.W.	3
MANUFACTURERS AND TRADERS TRUST COMPANY	1420 Wisconsin Avenue, N.W.	3
PNC BANK, NATIONAL ASSOCIATION	1201 Wisconsin Avenue, N.W.	3
PNC BANK, NATIONAL ASSOCIATION	3800 Reservoir Road, N.W.	3
PNC BANK, NATIONAL ASSOCIATION	4249 Wisconsin Avenue, N.W.	3
PNC BANK, NATIONAL ASSOCIATION	3336 Wisconsin Avenue, N.W.	3
PNC BANK, NATIONAL ASSOCIATION	5530 Connecticut Avenue, N.W.	3
PNC BANK, NATIONAL ASSOCIATION	4835 Massachusetts Avenue, N.W.	3
SUNTRUST BANK	5000 Connecticut Avenue, N.W.	3
SUNTRUST BANK	3301 New Mexico Avenue, N.W.	3
SUNTRUST BANK	3201 Wisconsin Avenue, N.W.	3
TD BANK, NATIONAL ASSOCIATION	4849 Wisconsin Avenue, N.W.	3

## Appendix 20

### Bank Locations by Ward

TD BANK, NATIONAL ASSOCIATION	1611 Wisconsin Avenue, N.W.	3
WELLS FARGO BANK, NATIONAL ASSOCIATION	4302 Connecticut Avenue, N.W.	3
WELLS FARGO BANK, NATIONAL ASSOCIATION	5201 Macarthur Boulevard, N.W.	3
WELLS FARGO BANK, NATIONAL ASSOCIATION	3700 Calvert Street, N.W.	3
WELLS FARGO BANK, NATIONAL ASSOCIATION	5100 Wisconsin Avenue	3
WELLS FARGO BANK, NATIONAL ASSOCIATION	5701 Connecticut Avenue, N.W.	3
WELLS FARGO BANK, NATIONAL ASSOCIATION	4841 Massachusetts Avenue, N.W.	3
WELLS FARGO BANK, NATIONAL ASSOCIATION	3314 Wisconsin Avenue, N.W.	3
	<b>Total in Ward 3</b>	<b>38</b>
INDUSTRIAL BANK, DC CHARTERED	4812 Georgia Avenue, N.W.	4
MANUFACTURERS AND TRADERS TRUST COMPANY	6434 Georgia Avenue, N.W.	4
PNC BANK, NATIONAL ASSOCIATION	7601 Georgia Avenue, N.W.	4
SUNTRUST BANK	6422 Georgia Avenue, N.W.	4
THE NATIONAL CAPITAL BANK OF WASHINGTON	5228 44th Street, N.W.	4
UNITED BANK	3050 Military Road, N.W.	4
	<b>Total in Ward 4</b>	<b>6</b>
BANK OF AMERICA, NATIONAL ASSOCIATION	915 Rhode Island Avenue, N.E.	5
CITIBANK, NATIONAL ASSOCIATION	1060 Brentwood Road, N.E.	5
PNC BANK, NATIONAL ASSOCIATION	1348 Fourth Street, N.E.	5
PNC BANK, NATIONAL ASSOCIATION	3806 12th Street, N.E.	5
SUNTRUST BANK	1601 Maryland Avenue, N.E.	5
SUNTRUST BANK	410 Rhode Island Avenue, N.E.	5
TD BANK, NATIONAL ASSOCIATION	905 Rhode Island Avenue, N.E.	5
WELLS FARGO BANK, NATIONAL ASSOCIATION	2119 Bladensburg Road, N.E.	5
WELLS FARGO BANK, NATIONAL ASSOCIATION	125 Michigan Avenue, N.E.	5
WELLS FARGO BANK, NATIONAL ASSOCIATION	1200 First Street, N.E.	5
	<b>Total in Ward 5</b>	<b>10</b>
BANK OF AMERICA, NATIONAL ASSOCIATION	201 Pennsylvania Avenue, S.E.	6
BANK OF AMERICA, NATIONAL ASSOCIATION	722 H Street, N.E.	6

## Appendix 20

### Bank Locations by Ward

BANK OF AMERICA, NATIONAL ASSOCIATION	55 M Street, S.E. Suite 101	6
BRANCH BANKING AND TRUST COMPANY	317 Pennsylvania Avenue, S.E.	6
BRANCH BANKING AND TRUST COMPANY	360 H Street, N.E.	6
CAPITAL ONE, NATIONAL ASSOCIATION	1075 5th Street, N.W.	6
CAPITAL ONE, NATIONAL ASSOCIATION	1100 New Jersey Avenue, S.E.	6
CAPITAL ONE, NATIONAL ASSOCIATION	336 Pennsylvania Avenue, S.E.	6
CAPITAL ONE, NATIONAL ASSOCIATION	85 H Street, N.W.	6
CITIBANK, NATIONAL ASSOCIATION	600 Pennsylvania Avenue, S.E.	6
PNC BANK, NATIONAL ASSOCIATION	650 Pennsylvania Avenue, S.E.	6
PREMIER BANK, INC.	1160 First Street, N.E.	6
SUNTRUST BANK	Two Massachusetts Avenue, N.W.	6
SUNTRUST BANK	100 M Street, S.E.	6
SUNTRUST BANK	300 Pennsylvania Avenue, S.E.	6
SUNTRUST BANK	965 L'enfant Plaza North, S.W.	6
TD BANK, NATIONAL ASSOCIATION	1275 First Street, N.E. Suite A	6
THE NATIONAL CAPITAL BANK OF WASHINGTON	316 Pennsylvania Avenue, S.E.	6
WELLS FARGO BANK, NATIONAL ASSOCIATION	600 Maryland Avenue, S.W.	6
WELLS FARGO BANK, NATIONAL ASSOCIATION	1301 Pennsylvania Avenue, N.W.	6
WELLS FARGO BANK, NATIONAL ASSOCIATION	215 Pennsylvania Avenue, S.E.	6
WELLS FARGO BANK, NATIONAL ASSOCIATION	444 North Capitol Street, N.W.	6
WELLS FARGO BANK, NATIONAL ASSOCIATION	20 M Street, S.E.	6
WELLS FARGO BANK, NATIONAL ASSOCIATION	490 L Street, N.W.	6
	<b>Total in Ward 6</b>	<b>24</b>
CAPITAL ONE, NATIONAL ASSOCIATION	2831 Alabama Avenue, S.E.	7
CITIBANK, NATIONAL ASSOCIATION	3917 Minnesota Avenue, N.E.	7
INDUSTRIAL BANK, DC CHARTERED	125 45th Street, N.E.	7
MANUFACTURERS AND TRADERS TRUST COMPANY	2865 Alabama Avenue, S.E.	7
SUNTRUST BANK	2845 Alabama Avenue, S.E.	7
WELLS FARGO BANK, NATIONAL ASSOCIATION	3200 Pennsylvania Avenue, S.E.	7

## Appendix 20

### Bank Locations by Ward

	Total in Ward 7	6
BANK OF AMERICA, NATIONAL ASSOCIATION	2100 Martin Luther King Jr. Avenue, S.E.	8
INDUSTRIAL BANK, DC CHARTERED	1800 Martin Luther King Jr. Avenue, S.E.	8
PNC BANK, NATIONAL ASSOCIATION	2000 Martin Luther King, Jr. Avenue, S.E.	8
PNC BANK, NATIONAL ASSOCIATION	4100 South Capitol Street, S.E.	8
SUNTRUST BANK	1340 Good Hope Road, S.E.	8
WELLS FARGO BANK, NATIONAL ASSOCIATION	1545 Alabama Avenue, S.E.	8
	<b>Total in Ward 8</b>	<b>6</b>

**GRAND TOTAL** 233



**Government of the District of Columbia**  
**Department of Insurance, Securities and Banking**

**Stephen C. Taylor**  
Commissioner

February 8, 2018

The Honorable Kenyan McDuffie  
Chairperson  
Committee on Business and Economic Development  
Council of the District of Columbia  
1350 Pennsylvania Avenue, NW  
Washington, DC 20004

Dear Chairperson McDuffie:

Thank you for your January 18, 2018 letter regarding the upcoming Committee on the Business and Economic Development (Committee) performance oversight hearing for the Department of Insurance, Securities, and Banking (Department) for FY 2017 and FY 2018.

In your letter, you requested that the Department provide responses to questions in preparation for the hearing. The attached document contains the Department's responses to the Committee's questions.

I look forward to appearing before the Committee on February 13, 2018 to discuss the Department's work.

Please contact me if you have any questions or require additional information. Thank you for your support.

Sincerely,

Stephen C. Taylor  
Commissioner

Attachment (with Multiple Appendices)



# Department of Insurance, Securities and Banking



**FY 2017-2018**  
**Performance Oversight**  
**Hearing Responses**  
**Before the**  
**Committee on Business**  
**and Economic Development**  
**Council of the District of Columbia**  
**Kenyan McDuffie, Chairperson**  
**Hearing Date: February 13, 2018**



**Stephen C. Taylor, Commissioner**



# Council of the District of Columbia Committee on Business and Economic Development FY17 and FY18 Performance Oversight Hearing Responses and Appendices

Section	Referring Question	Description
Performance Oversight Hearing Questions		Responses
Appendix 1	1	DISB Organizational Chart
Appendix 2	1, 2	Schedule A
Appendix 3	1a	DISB Agency Organization
Appendix 4	4d	Travel Expenses for FY17 and FY18
Appendix 5	6	FY 2017 and FY 2018 Budget and Actual Expenditures
Appendix 6	7	Intra-District Transfers for FY17 and FY18
Appendix 7	9	FY 2017 and FY 2018 Special Purpose Revenue Funds
Appendix 8	10	FY 2017 and FY 2018 Contracting and Procurement
Appendix 9	11	FY 2017 and FY 2018 Purchase Card Spending
Appendix 10	12	Current Memoranda of Understanding, Memoranda of Agreement and Other Contracts
Appendix 11	18	FY 2017 and FY 2018 Federal Grants
Appendix 12	23	FY 2017 Performance Plan
Appendix 13	23	FY 2017 Performance Accountability Report
Appendix 14	24	FY 2018 Performance Plan
Appendix 15	26	List of Studies, Research, Papers, Reports and Analyses
Appendix 16	28	List of Employees with Salaries over \$100,000
Appendix 17	29	List of Top 25 Overtime Earners
Appendix 18	31	Collective Bargaining Agreements
Appendix 19	45	Community Outreach Events for FY 2017 and FY 2018
Appendix 20	54	Bank Locations with Ward Numbers



**Stephen C. Taylor, Commissioner**



**Council of the District of Columbia**  
***Committee on Business and Economic Development***  
***Councilmember Kenyan McDuffie, Chairperson***

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**Department of Insurance, Securities and Banking (DISB)**  
**FY 2017 and FY 2018**  
**Reponses to Performance Oversight Questions**

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General Questions

1. Please provide a current organizational chart for the agency, including the number of vacant, frozen, and filled full-time equivalents (FTEs) in each division or subdivision. Include the names and titles of all senior personnel. Also provide the date that the information was collected on the chart.

Please see [Appendix 1 – Organizational Chart](#)

Please see [Appendix 2 – Schedule A](#)

- a. Please provide an explanation of the roles and responsibilities for each division and subdivision.

[Please see Appendix 3 – Agency Organization](#)

- b. Please provide a narrative explanation of any changes made during the previous year.

[The position of Student Loan Ombudsman was established within DISB’s Banking Bureau to ensure Department compliance with D.C. Law 21-214, the “Student Loan Ombudsman Establishment and Servicing Regulation Amendment Act of 2016.”](#)

[DISB also began participation in a partnership involving the District government, businesses, and non-profit organizations to promote the earned income tax credit \(EITC\) and other tax benefits for low-income workers. These special tax breaks, based on the federal and District EITC programs, are designed specifically for low-income and moderate-income workers. People who qualify for the EITC will pay less in taxes or even get cash back. The campaign leverages the skills of hundreds of community volunteers to provide high quality no-cost tax preparation services and connections to asset building opportunities to thousands of hard-working individuals and families throughout the District. Additional program partners include the America Saves/DC Saves Campaign run by Capital Area Asset Builders \(CAAB\).](#)

2. Please provide a current Schedule A for the agency, which identifies all employees by title/position, current salaries, fringe benefits, and program. This Schedule A should also indicate if the positions are continuing/term/temporary/contract and whether they are vacant or frozen positions.

Please see Appendix 2 – Schedule A

- a. For each vacant position, please provide the status of the agency’s efforts to fill the position, as well as the position number, the title, the program number, the activity number, the grade, the salary, and the fringe associated with each position. Please also indicate whether the position must be filled to comply with federal or local law.

Please see Appendix 2 – Schedule A

- b. For each filled position, please provide the employee’s length of service with the agency.

Please see Appendix 2 – Schedule A

3. Please list all employees detailed to or from your agency, if any. For each employee identified, please provide the name of the agency the employee is detailed to or from, the reason for the detail, the date of the detail, and the employee’s projected date of return.

Employee	Agency	Detail Agency	Reason	Start	End
Kathryn Hartig	DISB	DMPED	Ongoing Need	10/17/16	TBD

4. Please provide the Committee with:
  - a. A list of all employees who received or retained cellphones, personal digital assistants, or similar communications devices at agency expense in Fiscal Year 2017 and Fiscal Year 2018, to date;

DISB has 34 cell phones issued to staff. The Department also has 12 mobile broadband/wireless air devices distributed and/or available to staff, as needed. The staff issued 34 cell phones are listed below:

Employee	Device
Stephen Taylor	Cell Phone
Bright Ahaiwe	Cell Phone
Edwin Woodley	Cell Phone
Brian Williams	Cell Phone
Flavian Marwa	Cell Phone
Robbin Jones	Cell Phone
Alicia Wade	Cell Phone

Tanya Bryant	Cell Phone
Michelle Hammonds	Cell Phone
Michael Guishard	Cell Phone
Sharon Shipp	Cell Phone
Brian Bressman	Cell Phone
Dana Sheppard	Cell Phone
Theodore Miles	Cell Phone
Katrice Purdie	Cell Phone
Simone dos Santos	Cell Phone
Charlotte Parker	Cell Phone
Adam Levi	Cell Phone
Sean O'Donnell	Cell Phone
Idriys Abdullah	Cell Phone
Jocelyn Bramble	Cell Phone
Shankar Vaidyanathan	Cell Phone
Lilah Blackstone	Cell Phone
Nathaniel Brown	Cell Phone
Mike McManus	Cell Phone
Lloyd Anderson	Cell Phone
Dereje Belay	Cell Phone
Theford Collins	Cell Phone
Senayet Meaza	Cell Phone
Enyew Godie	Cell Phone
Charles Burt	Cell Phone
Trey Irwin	Cell Phone
Fraud Investigator*	Cell Phone
Fraud Investigator*	Cell Phone

*\*These cell phones are assigned as needed for staff in the Fraud Investigation Unit.*

- b. A list of all vehicles owned, leased, or otherwise used by the agency and to whom the vehicle is assigned, as well as a description of all vehicle accidents involving the agency's vehicles in Fiscal Year 2017 and Fiscal Year 2018, to date;

DISB does not own or lease any vehicles. However, the Department currently participates in the DC Fleet Share Program when appropriate.

- c. A list of employee bonuses or special award pay granted in Fiscal Year 2017 and Fiscal Year 2018, to date;

Assistant General Counsels Lilah Blackstone, Simone dos Santos, Adam Levi, and Charlotte Parker received bonuses in FY 2017. There have been no bonuses

awarded in FY 2018, to date. These bonuses were issued pursuant to the Legal Services Act. For more information, please see the response to question 30.

- d. A list of travel expenses, arranged by employees for Fiscal Year 2017 and Fiscal Year 2018, to date, including the justification for travel; and

Please see Appendix 4 – FY 2017 and FY 2018, to date, Travel Expenses

- e. A list of the total overtime and workers’ compensation payments paid in Fiscal Year 2017 and Fiscal Year 2018, to date, including the number of employees who received overtime and workers’ compensation payments.

*Overtime Payments*

Fiscal Year	Number of Employees	Overtime Amount Paid
2017	5	880.20
		376.72
		596.68
		47.55
		266.65
<b>2017 Total</b>		<b>2,167.80</b>
2018	9	152.56
		713.27
		547.95
		914.08
		415.90
		969.54
		30.85
		883.60
		1,305.77
<b>2018 Total (as of 1/25/18)</b>		<b>5,933.52</b>
<b>Summary</b>		<b>8,101.32</b>

*Workers’ Compensation Payments*

There were no workers’ compensation payments made in FY 2017 or FY 2018, to date.

5. With regard to the use of communication devices:

- a. What procedures are in place to track which individuals or units are assigned mobile devices (including, but not limited to smartphones, laptops, and tablet computers)? Please include how the usage of these devices is controlled.

The mobile phones and mobile broadband /wireless air devices are issued to management or emergency employees. All telephone transactions (including purchases, disconnections, transfers, and installations) are managed by the Department's Administrative Services Manager. The Administrative Services Manager accounts for inventory of all billable assets (e.g., landlines and cell phones) billed to each account each month. Further, he reviews and certifies all vendor invoices. Additionally, the Administrative Services Manager establishes monthly consumption and expenditure profiles to create adequate statistical platforms for greater forecasting capabilities, identifying unusual trends and investigating their causes, taking remedial action, and other cost avoidance measures, if needed.

- b. How does your agency limit the costs associated with its mobile devices?

DISB has a Fixed Cost Management System (FCMS) Coordinator that accounts for inventory of all billable assets (e.g., landlines and cell phones) billed to each account for every month of every fiscal year. The FCMS Coordinator reviews and certifies all vendor invoices. The FCMS Coordinator also establishes monthly consumption and expenditure profiles to create adequate statistical platforms for greater forecasting capabilities, identifying unusual trends and investigating their causes, and for taking remedial action and other cost avoidance measures.

DISB has 12 mobile broadband wireless air devices distributed and/or available to staff. While mobile phones and mobile broadband wireless air devices are issued only to management or emergency employees, the Department rotates the devices as necessary, reducing the number of devices needed, thereby reducing communication costs.

In addition, all requests for telephone issues, including purchases, disconnections, transfers, and installations are managed by the Department's Request for Telecommunications Services (RTS) Administrator. The RTS Administrator confirms with the CFO that appropriate funds have been allocated to the budget for RTS requests and maintains records of expenditures.

- c. For Fiscal Year 2017 and Fiscal Year 2018, to date, what was the total cost including, but not limited to, equipment and service plans for mobile communications and devices?

For FY 2017, the total cost for equipment and service plans for mobile communications and devices was **\$28,352.65**.

For FY 2018, the total cost, to date, for equipment and service plans for mobile communications and devices is **\$5,466.31**.

- 6. Please provide a chart showing your agency’s approved budget and actual spending, by division, for Fiscal Year 2017 and Fiscal Year 2018, to date. In addition, please describe any variance between fiscal year appropriations and actual expenditures.

Please see [Appendix 5 – FY 2017 and FY 2018 Budget and Actual Expenditures](#)

- 7. For FY 2017 and FY 2018, to date, please list all intra-District transfers to or from the agency. For each transfer, include the following details:

- a. Buyer agency;
- b. Seller agency;
- c. The program and activity codes and names in the sending and receiving agencies’ budgets;
- d. Funding source (i.e. local, federal, SPR);
- e. Description of MOU services;
- f. Total MOU amount, including any modifications;
- g. Whether a letter of intent was executed for FY or FY 2018 and if so, on what date,
- h. The date of the submitted request from or to the other agency for the transfer;
- i. The dates of signatures on the relevant MOU; and
- j. The date funds were transferred to the receiving agency.

Please see [Appendix 6 – FY 2017 and FY 2018 List of Intra-District Transfers](#)

- 8. Please list any additional intra-district transfers planned for FY 2018, including the anticipated agency(ies), purposes, and dollar amounts.

*FY 2018 Planned Intra-District Transfers from Other Agencies*

<b>Program No.</b>	<b>Description</b>	<b>Seller Agency</b>	<b>Buyer Agency</b>	<b>Amount</b>
SYE18N	Summer Youth Employment Program	Department of Insurance, Securities and Banking (DISB)	Department of Employment Services (DOES)	\$52,000.00
Total				\$52,000.00

*FY 2018 Planned Intra-District Transfers to Other Agencies*

<b>Program No.</b>	<b>Description</b>	<b>Buyer Agency</b>	<b>Seller Agency</b>	<b>Amount</b>
DIS18N	Background Checks / Fingerprinting	Department of Insurance, Securities and Banking (DISB)	Department of Employment Services (DOES)	\$20,000.00
<b>Total</b>				<b>\$20,000.00</b>

9. For Fiscal Year 2017 and Fiscal Year 2018, to date, please identify any special purpose revenue funds maintained by, used by, or available for use by the agency. For each fund identified, provide: (1) the revenue source name and code; (2) the source of funding; (3) a description of the program that generates the funds; (4) the amount of funds generated by each source or program; and (5) expenditures of funds, including the purpose of each expenditure.

Please see [Appendix 7 – FY 2017 and FY 2018 Special Purpose Revenue Funds](#)

10. Please list each contract, procurement, lease, and grant (“contract”) awarded, entered into, extended, and option years exercised, by your agency during Fiscal Year 2017 and Fiscal Year 2018, to date. For each contract, please provide the following information, where applicable:
- a. The name of the contracting party;
  - b. The nature of the contract, including the end product or service;
  - c. The dollar amount of the contract, including budgeted amount and actually spent;
  - d. The Status of deliverables;
  - e. The term of the contract;
  - f. The Certified Business Enterprise status;
  - g. Whether the contract was competitively bid;
  - h. The name of the agency’s contract monitor and the results of any monitoring activity; and
  - i. The funding source.

Please see [Appendix 8 – FY 2017 and FY 2018 Contracting and Procurement](#)

11. For Fiscal Year 2017 and Fiscal Year 2018, to date, please list any purchase card spending by the agency, the employee making each expenditure, and the general purpose for each expenditure.

Please see [Appendix 9 – FY 2017 and FY 2018 Purchase Card Spending](#)

12. Please list all memoranda of understanding (MOU) entered into by your agency during Fiscal Year 2017 and Fiscal Year 2018, to date, as well as any memoranda of understanding currently in force. For each, indicate the date entered and the termination date.

DISB's Office of the General Counsel keeps an electronic database of all MOUs. Please see Appendix 10 – Current Memoranda of Understanding, Memoranda of Agreement and Other Contracts

13. Please list the ways, other than memoranda of understanding, in which the agency collaborated with analogous agencies in other jurisdictions, with federal agencies, or with non-governmental organizations in Fiscal Year 2017 and Fiscal Year 2018, to date.

### Insurance Bureau

The National Association of Insurance Commissioners (NAIC) is the U.S. standard-setting and regulatory support organization created and governed by the chief insurance regulators from the 50 states, the District of Columbia, and five U.S. territories. Through the NAIC, state insurance regulators establish standards and best practices, conduct peer review, and coordinate their regulatory oversight.

Commissioner Taylor serves on the NAIC Executive Committee and is the Secretary-Treasurer for the NAIC's Northeast Zone. He also serves as Chair of the Consumer Participation Board of Trustees, Chair of the Consumer Liaison Committee, Vice Chair of both the Receivership and Insolvency Task Force and the Risk Retention Group Task Force. He also serves as a member of the Life Insurance and Annuities and International Insurance Relations Committees, and as a member of several task forces and working groups. Insurance Bureau staff participates with many committees of the NAIC, including as Chair of the Life Risk-based Capital Working Group and Vice Chair of the Investment Risk-based Capital Working Group, along with regulators from other jurisdictions. Several Insurance Bureau staff members also participate on regulator-only bulletin boards to collaborate and share information with subject matter experts in other states. Financial examination staff worked on two examinations with regulators from other jurisdictions concerning insurance groups with affiliates domiciled in the District and other jurisdictions.

For the second consecutive year, the District, along with three other states (California, Oregon, and Washington), conducted the Multi-State Insurer Diversity Survey, in which insurers self-reported information about the diversity of their board membership and suppliers. DISB also collaborated with other regulators to launch the Life Insurance Policy Locator Tool on its website, which provides consumers the capability to search for lost life insurance policies and annuities.

The Insurance Bureau interacts with both the Center for Consumer Information and Insurance Oversight (CCIIO), which is part of the U.S. Department of Health and Human Services, and the Federal Insurance Office, which is part of the U.S. Department of the Treasury. CCIIO oversees the Affordable Care Act (ACA) and has provided DISB with



two grants that are currently supporting ACA-related work. The Insurance Bureau works with CCIIO for information and interpretations of the ACA federal requirements and CCIIO recently established the State Engagement Coordinator to facilitate information exchange between the Insurance Bureau and CCIIO. DISB participated in meetings with the Federal Insurance Office and insurance stakeholders in FY 2016 on issues that fall under the Office's purview, including the Commissioner's participation in a meeting addressing terrorism insurance.

For the second consecutive year, DISB has worked with the Risk Management Department at Gallaudet University to have a summer intern from the program work at DISB as part of the Department's Financial Services Academy. This year, the student worked on a project looking at the use of data from wearable devices by insurers. DISB also collaborates with non-governmental organizations through its Insurance Advisory Committee (IAC), which includes various stakeholders from industry, consumers, and advocacy organizations. The IAC meets quarterly and provides input on policy and regulatory decisions made by DISB. The IAC's Health Insurance Subcommittee has been particularly busy in the past year – notably developing a comprehensive network adequacy plan specifically designed for the District of Columbia market.

Insurance Bureau staff has worked with the National Council on Compensation Insurance (NCCI) to update a DISB notice to include Workers' Compensation Residual Market information, which resulted in increased awareness of the Workers' Compensation Residual market mechanism. Staff worked with DOES to establish comprehensive guidelines and instructions for the implementation of the District's Safe Work Place Program and the 5 percent workers' compensation discount. This work included developing guidelines, instructions, and explanations for the program and for the 5 percent credit that can be requested by a business if interested in implementing a plan to reduce the number of accidents or casualties at the worksite. Staff worked with MPD to coordinate an understanding on laws regarding electronic devices to provide proof of insurance coverage, which resulted in both agencies confirming that the use of smartphones and other electronic devices to verify proof of valid insurance coverage, in lieu of an insurance card, is allowed at a traffic stop. A consumer alert for DISB was developed to promote this use.

Insurance Bureau staff collaborated with DC Water and DCRA to educate the community on the Water Tower Initiative, which is a DC Water plan to perform water system improvements for the proposed Anacostia 2<sup>nd</sup> high service area, and to explain what may or may not be covered under a standard homeowner's policy in cases of a malfunctioning water valve. DISB also participated in a community outreach meeting at St. Elizabeth's on July 12, 2017, on the same subject.

The Insurance Bureau worked with the ORM to address a self-insurance coverage verification complaint lodged by the School Without Walls at Francis-Stevens. The concerned party was able to secure a Letter of Self-Insurance from ORM, which proved evidence of liability coverage and allowed the school to "secure a few grants and extend our school garden."

Finally, the Associate Commissioner for Insurance serves as a member of the American Academy of Actuaries Public Interest Task Force and the Health Care Policy Analyst serves as a member of the District's Interagency Coordinating Council.

### **Securities Bureau**

The Securities Bureau collaborates extensively with other securities regulators and sister District government agencies in the performance of its regulatory responsibilities. The following description is not exhaustive, but sets forth some of the principal ways in which the Bureau collaborates.

*Federal securities regulators -- The Securities and Exchange Commission (SEC) and Financial Industry Regulatory Authority (FINRA)*

Licensing – The Securities Bureau shares information with the SEC regarding firms that move from one jurisdiction to another (e.g., because the firm's assets under management go above or below the state ceiling of \$100 million under Dodd-Frank). Each division within the Securities Bureau, as well as other offices in DISB, utilize the Central Registration Depository/Investment Adviser Registration Depository (CRD/IARD) database, which is maintained by FINRA and is the repository of all regulatory information that broker-dealers, investment advisers, and their licensed associates are required to file with federal or state regulators. Some of the information in that database is available to the public through Brokercheck and the Investment Adviser Public Disclosure (IAPD).

Examinations – The Securities Bureau participates in a quarterly conference call of the regulators in the mid-Atlantic region hosted by FINRA. During the call, Bureau staff notes current trends and compares plans for examination in each jurisdiction to avoid duplication and overlap.

Corporation Finance – The Securities Bureau extensively utilizes the EDGAR database, which is the repository of all corporate filings with the SEC, including registrations and notice filings for exempt offerings. In one category of securities offerings that must be registered with DISB – registration by coordination – the Bureau interacts regularly with SEC staff regarding offerings that are being reviewed by both agencies to make sure that the features of the offerings are properly disclosed to investors. The Bureau also consults with the SEC's Office of Small Business, regarding questions of policy and interpretation of SEC regulations that apply to small offerings and exempt offerings, and Bureau staff attends the Annual Conference of Small Business.

Enforcement – The Securities Bureau sends and receives referrals of apparent violations that are best handled by the SEC or by DISB, depending on the characteristics of the matter. In some instances, the Bureau shares information about the subjects of investigations or pending enforcement actions, pursuant to access letters to maintain the confidentiality of the information provided.

Training and updates – The SEC and FINRA conduct extensive training programs throughout the year, many of which are available to state securities regulators and other law enforcement personnel. Each year, Securities Bureau staff attends the mid-Atlantic Conference hosted by the SEC’s Philadelphia Region to hear the SEC’s view of the latest enforcement and compliance trends nationally and in the region. Bureau staff also attend the FINRA Annual Conference and FINRA training programs on such issues as the regulatory principles applicable to the conduct of broker-dealers who are involved in offerings of securities.

*Other securities regulators – NASAA and individual state securities agencies*

The North American Securities Administrators Association (NASAA) is the association of securities regulators throughout North America. DISB is a full participating member. DISB staff are members of various NASAA Committees and Working Groups, including NASAA’s Senior Issues Committee, the Investment Adviser Committee, and the Corporation Finance Committee. Staff attend the NASAA Annual Conference and the Spring Conference, which always takes place in the District of Columbia. NASAA conducts critical training sessions in the five key areas of Securities regulation – Broker-dealer, Corporation Finance, Enforcement, Investment Adviser, and Investor Education. DISB’s Corporation Finance Division participates extensively in coordinated reviews of multi-state offerings. NASAA provides its members with daily news briefings on major new items in the securities field, and coordinates activities such as the issuance of investor advisories.

*State Securities regulators*

Securities Bureau staff interacts frequently with other state regulators, particularly the Maryland and Virginia regulators, because many securities firms have offices in two or three of the local jurisdictions. For example, if a firm that is licensed in a neighboring jurisdiction applies for a license in the District, the Department can find out what its sister agency has learned about the firm through the licensing and examinations processes. The state regulators also share with other state regulators how they have handled situations that may arise in the regulatory process.

**Banking Bureau**

The Banking Bureau regularly collaborates with the Federal Deposit Insurance Corporation (FDIC), Consumer Financial Protection Bureau (CFPB), Conference of State Bank Supervisors (CSBS), and Money Transmitter Regulators Association (MTRA). Throughout the year, Banking Bureau staff participates in conferences and training. The Bureau also regularly works with the FDIC to coordinate joint examinations of financial institutions as well as participates in Multi-State examinations with CSBS.

In FY 2017, staff in the Bank on DC program worked with various organizations to provide educational resources to District residents, such as providing access to speakers, resources, and materials. Activities included partnering with the FDIC, Federal Reserve Bank of

Richmond, Corporation for Enterprise Development, and Coalition for Non-Profit Housing and Economic Development to produce a quarterly Economic Inclusion series during FY 2017. Bank on DC staff also presented on topics including Economic Mobility for Greater Washington; Pathways to Income & Wealth Creation for Women; and Understanding the Community Reinvestment Act: Service, Investment, and Lending. Additionally, two Interagency Listening Sessions were conducted in FY 2017: Affordable Housing and Community Development Needs, and Economic Development and Small Business, both co-sponsored by the FDIC, the Federal Reserve Bank of Richmond, the Office of the Comptroller of Currency (OCC), and DISB. Banking Bureau staff worked with OSSE to provide resources to youth at its Young Men & Young Women's conferences. Bureau staff also worked with DOES and served as the Financial Advisor for the Summer Youth Employment Program; LEAP Academy financial education provider; and worked with Project Empowerment, which provides access to no or low-cost bank accounts and financial education providers.

### **Risk Finance Bureau**

In FY 2017, the Risk Finance Bureau, which regulates captive insurers and risk retention groups domiciled in the District, implemented new corporate governance standards for risk retention groups licensed in the District. The new corporate governance standards will improve board oversight of risk retention groups and will eliminate conflicts of interest. These corporate governance standards were developed by a task force of the National Association of Insurance Commissioners and DISB played a significant role in drafting the new standards. In addition, the Risk Finance Bureau worked closely with regulators from other leading captive domiciles, such as Vermont and South Carolina, to ensure uniformity and consistency in the implementation of the new corporate governance standards.

### **Enforcement and Consumer Protection Division**

DISB's Enforcement and Consumer Protection Division (ECPD) has interacted with the following agencies in other jurisdictions, federal agencies, and with non-governmental organizations in Fiscal Year 2017 and Fiscal Year 2018, to date:

- a. **Security Association of Financial Institutions (SAFI)** – ECPD staff met with SAFI members at financial crimes intelligence meetings and shared information concerning fraud trends and suspicious activities by individuals and entities.
- b. **DELMARVA-SIUIINTEL** – regional intelligence meeting attended by ECPD along with insurance company SIUs and enforcement agencies.
- c. **U.S. Attorney for the District of Columbia Financial Crimes/Suspicious Activity Report Task Force** – ECPD staff is a member of the SARs Task Force and attends monthly meetings along with other local, state, and federal task force agency members to identify cases of financial fraud for investigation and criminal prosecution.

- d. **North American Securities Administrators Association (NASAA)** – Information sharing within multi-state regional information and intelligence sharing and case collaboration at spring, summer, fall, and winter NASAA meetings and conferences.
- e. **National Association of Insurance Commissioners (NAIC)** – ECPD attends NAIC meetings and shares information relating to insurance fraud.
- f. **National Insurance Crime Bureau (NICB)**- ECPD participates in the annual NICB National Fraud Directors’ Conference and maintains a close working relationship with this industry-funded organization. NICB is a source of intelligence and investigative assistance. ECPD assists with NICB-initiated matters impacting the District.
- g. **Federal Bureau of Investigation (FBI)** – ECPD works closely with the FBI on joint investigations into businesses and individuals defrauding the District’s residents and its financial sector companies.
- h. **Office of the U.S. Attorney for the District of Columbia** – ECPD works cooperatively in the investigation and prosecution of criminal financial fraud cases affecting District residents and District businesses.
- i. **U.S. Securities and Exchange Commission (SEC)** – ECPD shares information with the SEC and provides mutual assistance in securities enforcement matters.
- j. **Financial Industry Regulatory Authority (FINRA)** – ECPD collaborates with FINRA’s Enforcement Department and Office of Market Surveillance on investigative matters involving FINRA member firms and their associated persons.
- k. **Commonwealth of Virginia Corporation Commission (Bureau of Financial Institutions, Bureau of Insurance, Division of Securities) and Virginia State Police** – ECPD exchanges information and provides investigative assistance on matters impacting both VA and the District in the areas of Insurance, Securities, and Banking. ECPD collaborates with the VA State Police on criminal matters related to Insurance, Securities, and Banking affecting both VA and the District.
- l. **The Coalition Against Insurance Fraud (CAIF)** – CAIF is a national alliance of consumer groups, public interest organizations, government agencies, and insurers. ECPD works with CAIF on insurance fraud deterrence.

### **Compliance Analysis Division (CAD)**

In FY 2017, the Department collaborated with the District of Columbia Silver Jackets Team, an interagency group formed to mitigate flood risk in the District of Columbia. DISB, in conjunction with the Silver Jackets, hosted the annual National Flood Insurance Legislative Update session. Regulators and representatives from the insurance industry attend this annual update session to learn about changes to the National Flood Insurance Program.

In May 2017, the CAD presented a workshop entitled “Insurance - the Importance of Protecting Your Assets,” in collaboration with DCRA’s Building Safety Month.

### **Office of Communications**

The Office of Communications collaborated with the U.S. Department of the Treasury in FY 2017 and FY 2018 to promote the success of the State Small Business Credit Initiative (SSBCI), which provides funds to support small businesses in the District of Columbia. The Office of Communications regularly collaborates with the NAIC on a variety of tasks to ensure District residents are informed about insurance-related issues. Some key tasks completed in FY 2017 and FY 2018, to date, include alerting residents of potential scams and providing residents with tips to better protect their property. The Office of Communications continues to support the agency as a partner with five other states – California, Minnesota, New York, Oregon, and Washington – to produce the Multistate Insurance Diversity Survey. DISB joined this effort in FY 2016. DISB collaborated with the Consumer Financial Protection Bureau in FY 2017 and FY 2018 to address District residents’ concerns with managing their student loan debt.

14. Please describe any anticipated spending pressures for Fiscal Year 2018. Include a description of the pressure, the estimated amount, and any proposed solutions.

DISB does not anticipate any spending pressures in FY 2018.

15. Please list all currently open capital projects, including an update on all capital projects under the agency’s purview in Fiscal Year 2017 and Fiscal Year 2018, to date, including the amount budgeted, actual dollars spent, and any remaining balances. In addition, please provide:
- a. An update on all capital projects begun, in progress, or concluded in Fiscal Year 2016, Fiscal Year 2017, and Fiscal Year 2018, to date, including the amount budgeted, actual dollars spent, and any remaining balances.
  - b. An update on all capital projects planned for Fiscal Year 2018 through Fiscal Year 2023.
  - c. Whether the capital projects began, in progress, or concluded in Fiscal Year 2016, Fiscal Year 2017, or Fiscal Year 2018, to date have an impact on the operating budget of the agency? If so, please provide an accounting of such impact.

DISB does not have any capital projects.

16. Please provide a list of all budget enhancement requests (including, but not limited to, capital improvement needs), for Fiscal Year 2017 and Fiscal Year 2018, to date. For each, include a description of the need and the amount of funding requested.

There were no budget enhancement requests in FY 2017 or FY 2018, to date.

17. Please list, in chronological order, every reprogramming in Fiscal Year 2017 and Fiscal Year 2018, to date, that impacted the agency, including those that moved funds into the agency, out of the agency, and within the agency. Include the revised, final budget for your agency after the reprogrammings for Fiscal Year 2017 and Fiscal Year 2018. For each reprogramming, list the date, the amount, the rationale, and the reprogramming number.
- a. Please indicate whether a reprogramming impacted the agency’s ability to carry out a directive or recommendation of the Committee.

Department of Insurance, Securities, and Banking (SR0) List of Reprogramming Actions for Special Purpose Revenue Funds			
FY 2017			
Effective Date	Document No.	Description	Amount
9/19/2017	BJSRREP1	This reprogramming was processed to move O-type budget from PS in various Activities to Activity 5080's NPS budget. Funds were needed in NPS for Financially Fit DC, Opportunities Account, and DC BizCAP programs.	\$492,000.00
Total			\$492,000.00
Note: This reprogramming was made within DISB's O-type fund from PS to NPS and did not change the Department's overall budget. Also, it did not impact the Department's ability to carry out directives or Committee recommendations.			

FY 2018
There are no reprogramming actions for Special Purpose Revenue Funds in FY 2018, as of yet.

18. Please list each grant or sub-grant received by your agency in Fiscal Year 2017 and Fiscal Year 2018, to date. List the date, amount, and purpose of the grant or sub-grant received.

Please see Appendix 11 – FY 2017 and FY 2018 Federal Grants.

19. How many FTEs are dependent on grant funding? What are the terms of this funding? If it is set to expire, what plans, if any are in place to continue funding?

All DISB FTEs are funded by Special Purpose Revenue funds. For FY 2017 and FY 2018, the Department’s federal grants pay for contractual services.

20. Please list all pending lawsuits that name the agency as a party. Please identify which cases on the list are lawsuits that potentially expose the city to significant financial liability and/or will result in a change in agency practices, and the current status of the litigation. Please provide the extent of each claim, regardless of its likelihood of success. For those identified, please include an explanation about the issues involved in each case.

**D.C. Healthcare Systems, Inc. (DCHSI)**

DCHSI, a holding company and sole shareholder of D.C. Chartered Health Plan, Inc., filed in the United States District Court for the District of Columbia claims against the District of Columbia, Commissioner Stephen Taylor, Special Deputy Commissioner Dan Watkins, Department of Health Care Finance (DHCF) Director Wayne Turnage, former Commissioner William White, Mercer, and AmeriHealth, for allegedly conspiring to unlawfully seize Chartered, a former managed care organization that provided Medicaid health insurance to District residents. DCHSI alleges that during the contracting period of 2010 and through 2012, the Defendant, DHCF, required Chartered to use unsound actuarial rates, which caused Chartered to become insolvent. DCHSI further alleges that the Defendants conspired to use the District’s rehabilitation authority to assume control of Chartered and liquidate its assets. DCHSI is seeking more than \$90 million in damages. The Defendants adamantly deny the accusation.

On September 17, 2017, Judge Leon issued an Order granting Defendants’ motion to dismiss on the grounds of lack of subject-matter jurisdiction. DCHSI has noted an appeal of Judge Leon’s Order.

**CareFirst**

CareFirst, et al., v. Stephan C. Taylor, et al., 1:16-cv-02656 (CCB) – On July 22, 2016, GHMSI filed a Complaint and Motion for Summary Judgment (MSJ) in the United States District Court for the District of Maryland for temporary and preliminary relief and a final order declaring that its Federal Charter establishing the business entity preempts District law and DISB’s December 30, 2014 Decision and Order finding GHMSI’s 2011 surplus to be excessive; that the Decision and Order violates the Constitution; that the Decision and



Order is void and unenforceable; and to enjoin the Commissioner from entering further orders, among other things.

After moving to substitute the District for the Commissioner, for change of venue, and to dismiss, the Court denied GHMSI's MSJ on its preemption claims and denied the District's motions. Although GHMSI's constitutional claims remain alive, the District has filed a motion to dismiss. GHMSI, in addition to seeking discovery and a temporary restraining order, is seeking a preliminary injunction to prevent the Commissioner from enforcing his June 14, 2016 Order directing GHMSI to distribute as rebates the \$51 million representing the portion of GHMSI's excess surplus attributable to the District. This litigation does not expose the District to liability.

The litigation has been stayed pending the resolution of the Department's surplus review proceedings.

21. Please provide the total number of administrative complaints or grievances that the agency received in Fiscal Year 2017 and Fiscal Year 2018, to date, broken down by source. Please describe the process utilized to respond to any complaints and grievances received and any changes to agency policies or procedures that have resulted from complaints or grievances received. As it relates to a constituent challenging the agency's response to grievances, please indicate:
  - a. Whether a formalized process is in place to request a hearing by the Commissioner.
  - b. If so, is a Commissioner's decision appealable to the Court of Appeals; and
  - c. If there is a formalized hearing process, is that process detailed on the agency's website?

The Consumer Services division provides informal dispute resolution. The process is designed to address differences between consumers and insurance companies. DISB ensures that insurance companies licensed by DISB fulfill the terms and provisions of the insurance contracts they issue and comply with District of Columbia law. Complaints received are assigned to a complaint handler who contacts the insurance company to obtain an explanation about the complaint. The complaint handler reviews the information obtained from the insurance company for compliance with District laws and provisions of the insurance policy. If it is determined that the actions of the insurance company violate District law or a provision of the insurance policy, the Department will take corrective action against the company including ordering them to pay a claim that was previously denied. If the company's action is not found to be in violation of District law, the Department may suggest alternative actions or procedures that may aid in resolving the dispute. While there is no formalized process to appeal the Department's finding, if a consumer challenges the Department's response, the issue is elevated for management review. If the consumer is not satisfied with the management review, the Department may suggest that the consumer seek judicial review in the courts.

<b>Industry Sector</b>	<b>Complaints received FY17</b>	<b>Complaints Received for FY as of 1/30/2018</b>
Insurance	681	197
Securities	0	1
Banking	120	26
<b>Total</b>	<b>801</b>	<b>224</b>

22. Please list and describe any ongoing investigations, audits, or reports on the agency or any employee of the agency, or any investigations, studies, audits, or reports on the agency or any employee of the agency that were completed during Fiscal Year 2017 and Fiscal Year 2018, to date, along with the agency’s compliance or non-compliance with any recommendations.

**DC BizCAP (State Small Business Credit Initiative/SSBCI)**

The U.S. Department of the Treasury initiated a routine audit of DISB’s DC BizCAP program in FY 2017 to determine the District’s compliance with federal law and program guidelines, and the Allocation Agreement executed between the Treasury and DISB. The audit is ongoing.

The Deputy Mayor for Planning and Economic Development contracted with FUSE Corp for an executive-level fellow with a business background to review DISB’s DC BizCAP program. The Fellow has worked at DISB full-time since October 2017. During this time, the Fellow has met with lenders, investors, business owners, incubators, program staff, government officials, and other stakeholders to assess the effectiveness of the DC BizCAP program; to determine if the program is aligned with the Mayor’s economic development plan; and to make recommendations to improve the operations of the program for the benefit of District-based small businesses.

23. Please provide a copy of the agency’s Fiscal Year 2017 performance plan. Please explain which performance plan objectives were completed in Fiscal Year 2017 and whether or not they were completed on time and within budget. If they were not, please provide an explanation.

Please see Appendix 12 – FY 2017 Performance Plan.

DISB met all key performance indicators (KPIs) in FY 2017.

Please see Appendix 13 – FY 2017 Performance Accountability Report for more detail.

24. Please provide a copy of your agency’s Fiscal Year 2018 performance plan as submitted to the Office of the City Administrator.

Please see Appendix 14 – FY 2018 Performance Plan

25. Please provide the number of FOIA requests for Fiscal Year 2017 and Fiscal Year 2018, to date. Include the number granted, partially granted, denied, and pending. In addition, please provide the average response time, the estimated number of FTEs required to process requests, and the estimated number of hours spent responding to these requests.

DISB FY 2017 FOIA ANNUAL REPORT

**Number of FOIA requests received in Fiscal Year 2017 = 49**

- a. Number of FOIA requests pending on October 1, 2016: 2
- b. Number of requests granted, in whole: 8
- c. Number of requests granted, in part, and denied, in part: 1
- d. Number of requests denied, in whole: 6
- e. Number of requests withdrawn: 0
- f. Number of requests referred or forwarded to other public bodies: 3

**Other dispositions: 31**

- a. No Records: 16
- b. Records not reasonably described: 5
- c. No Agency records: 4
- d. Fee-Related Reason: 2
- e. Improper FOIA for Other Reason: 1
- f. Referred to Other Agency: 3

**Average response times**

- a. FOIA requests processed within 15 days: 40
- b. FOIA requests processed between 16 and 25 days: 9
- c. FOIA requests processed in 26 days or more: 0
- d. Median number of days to process FOIA requests: 5.5 days
- e. Number of FTEs required to process: 1 FTE
- f. Number of hours spent responding to requests: 1,000 hours

DISB SEMI-ANNUAL FOIA REPORT (as of January 22, 2018).

**Number of FOIA requests received in Fiscal Year 2018, to date = 13**

- a. Number of FOIA requests pending on October 1, 2017: 5
- b. Number of requests granted, in whole: 4
- c. Number of requests granted, in part, and denied, in part: 1
- d. Number of requests denied, in whole: 1
- e. Number of requests withdrawn: 1
- f. Number of requests referred or forwarded to other public bodies: 0

**Other dispositions: 6**

- a. No Records: 2
- b. Records not reasonably described: 1
- c. No Agency records: 2
- d. Fee-Related Reason: 1
- e. Improper FOIA for Other Reason: 0
- f. Referred to Other Agency: 0

**Average response times**

- a. FOIA requests processed within 15 days: 11
- b. FOIA requests processed between 16 and 25 days: 2
- c. FOIA requests processed in 26 days or more: 0
- d. Median number of days to process FOIA requests: 10.5 days
- e. Number of FTEs required to process: 1 FTE
- f. Number of hours spent responding to requests: 92 hours

26. Please provide a list of all studies, research papers, reports, and analyses that the agency prepared, or contracted for, during Fiscal Year 2017 and Fiscal Year 2018, to date. Please state the status and purpose of each. Please submit a hard copy to the Committee.

Please see Appendix 15 – List of Studies, Research, Papers, Reports, and Analyses

27. How does the agency solicit feedback from customers? Please describe.

DISB solicits feedback from customers via several methods. Whenever the Department holds public hearings and proposes a new rule, it solicits public comments through public notices in the D.C. Register, on its website, and announcements via Twitter. As a rule, the Department gives due consideration to all comments received from the public.

DISB solicits information from the public regarding issues of concern and fraudulent or otherwise unlawful conduct by regulated service providers through the Department’s consumer complaint process (see <http://disb.dc.gov/service/file-complaint-or-report-fraud>). Additionally, DISB regularly engages the public in Department-community meetings during which it discusses and solicits feedback regarding its various programs, such as its Financial Services Clinics, Bank on DC, Foreclosure Mediation, and “Coffee & Capital. The Department also solicits customer feedback through its website-based “Ask the Commissioner” link.

DISB also continues to utilize the Insurance Advisory Committee (IAC) to obtain feedback on insurance matters, including proposed legislation. The Committee includes representatives from the insurance industry, insurance producers, and the medical

community as well as consumer advocates. The IAC provides suggestions to DISB and reviews legislation and regulations proposed by DISB.

With respect to health insurance in the District, the Department held its first public hearing on August 17, 2017. The focus of the hearing was the 2018 rates for policies to be sold on DC Health Link. At the hearing, DISB heard from District residents, producers, and small business owners, in addition to DISB's consulting actuary and the DC Health Link's Executive Director. The hearing was recorded and is posted on the Department's website. DISB also received over 700 email comments, which were reviewed by DISB staff. DISB will have two public hearings on the 2019 rates for plans sold on DC Health Link during FY 2018. DISB also posts all health insurance rate filings to the Department's website when they are received to allow input from the public prior to resolving the filings.

On January 30, 2018, DISB held a public hearing on automobile insurance rates and underwriting criteria.

In addition, through the Securities Bureau's presentations and panel discussions (e.g. SeniorSafe Training), DISB asks the industry and consumer representatives to provide the agency with their feedback. In addition, NASAA has an Ombudsman session twice a year at its national conferences, and the Department receives feedback from those events.

a. What has the agency learned from this feedback?

DISB uses the feedback received from regulated entities and individuals, the public, and other stakeholders to propose legislation and rulemaking; improve the Department's operations; and target and improve the Department's outreach and public engagement activities.

Specifically related to insurance, the IAC has been an invaluable tool to bring stakeholders from diverse backgrounds together to discuss significant insurance regulatory issues. The diversity of the group has led to compromises to come to consensus conclusions and recommendations to DISB. The health insurance rate hearing gave the Department an opportunity to hear directly from consumers and understand how the change in insurance rates affects them and their businesses.

b. How has the agency changed its practices as a result of such feedback?

DISB began developing new consumer guides to help District residents make more informed choices when it comes to their financial and economic development needs. Several consumer guides were developed in 2017, which helped applicants better compare prescription drug coverage, and define and compare health insurance terminology (e.g., premium, deductible, and copayments). DISB also developed consumer guides on cybersecurity and the Equifax Data Breach to help District residents protect their financial history and

identity and to minimize threats from hackers. Beyond that, DISB issued tips on when to consider whether to hire a public insurance adjuster after natural disasters.

Receiving ideas from and presenting proposals to the IAC has reduced potential objections from stakeholders and allowed DISB to present more thoroughly vetted proposals for legislative and regulatory additions or changes. Additionally, the comments received from the 2018 health insurance rates public hearing helped the Commissioner push for additional rate reductions.

DISB values the feedback it receives from the public and its licensees. The Department always will solicit such feedback, as it works to protect and advance the interests of the District and its residents; promotes modern and innovative regulations; and supports efficient business operations. In FY 2018, DISB will be implementing new customer satisfaction and “how we can help you?” surveys for a number of programs.

### Personnel

28. Please separately list each employee whose salary was \$100,000 or more in Fiscal Year 2017 and Fiscal Year 2018, to date. Provide the name, position number, position title, program number, activity number, salary, and fringe. In addition, state the amount of any overtime or bonus pay received by each employee on the list.

Please see Appendix 16 – List of Employees with Salaries over \$100,000

29. Please list in descending order the top 25 overtime earners in your agency In Fiscal Year 2017 and Fiscal Year 2018, to date. For each, state the employee’s name, position number, position title, program number, activity number, salary, fringe, and the aggregate amount of overtime pay earned.

Please see Appendix 17 – List of Top 25 Overtime Earners

30. For Fiscal Year 2017 and Fiscal Year 2018, to date, please provide a list of employee bonuses or special award pay granted that identifies the employee receiving the bonus or special pay, the amount received, and the reason for the bonus or special pay.

**Bonuses**

*FY 2017*

Employee Name	Bonus Paid	Reason
Blackstone, Lilah R.	\$2,841.50	Bonus paid pursuant to the Legal Services Act.
dos Santos, Simone M.	\$6,638.10 <sup>1</sup>	Bonus paid pursuant to the Legal Services Act.
Levi, Adam	\$3,078.00	Bonus paid pursuant to the Legal Services Act.
Parker, Charlotte	\$3,368.06	Bonus paid pursuant to the Legal Services Act.
<b>Total</b>	<b>\$15,925.66</b>	

*FY 2018*

There have been no bonuses paid in FY 2018, to date.

**Special Award Payments**

There have been no special award payments made in FY 2017 or FY 2018, to date.

31. Please provide each collective bargaining agreement that is currently in effect for agency employees. Please include the bargaining unit and the duration of each agreement.

Two collective bargaining agreements are currently in effect for Department employees:

- Master Agreement between the American Federation of State, County and Municipal Employees (AFSCME), District Council 20, AFL-CIO and the Government of the District of Columbia (the Union or AFSCME) are covered. These Union or AFSCME employees have two agreements, a Collective Bargaining (Master Agreement) and a Compensation Agreement, with the Labor Organizations who represent Units 1 and 2. The last formal agreements were effective through Fiscal Year (FY) 2010. While negotiations continued after FY2010, the formal agreements remain in place.
- Most Department attorneys are represented under the American Federation of Government Employees, Local 1403, Compensation Unit 33. The Mayor signed new compensation and collective bargaining agreements on January 16, 2018. If approved by the Council, the agreements will have effective dates of October 1, 2017 through September 30, 2020.

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<sup>1</sup> The \$6,630.10 bonus payment for Simone M. dos Santos is for two (2) years (\$3,270.04 for FY 2016 and \$3,368.06 for FY 2017. The FY 2016 bonus was paid on October 25, 2016 (after the start of FY 2017).

The collective bargaining agreements are attached. Please see Appendix 18 – Collective Bargaining Agreements

32. Does the agency conduct annual performance evaluations of all its employees? Who conducts such evaluations? What steps are taken to ensure that all agency employees are meeting individual job requirements?

Yes, DISB conducted annual performance evaluations of all its employees for the fiscal year ending on September 30, 2017. Evaluations were completed by the employees' immediate supervisor/manager. The evaluations were reviewed by each manager in the supervisory chain in accordance with District-wide performance evaluation criteria and timetables. The Acting Deputy Commissioner reviewed all evaluations and provided comments to DISB managers. In addition, DISB managers and supervisors exercised sound and consistent management throughout FY 2017 by holding periodic meetings, and mandatory mid-year reviews to ensure that all DISB employees were meeting individual job requirements.

### Agency Operations

33. Please list each new program implemented by the agency during Fiscal Year 2017 and Fiscal Year 2018, to date. For each initiative please provide:
- a. A description of the initiative;
  - b. The funding required to implement the initiative; and
  - c. Any documented results of the initiative.

### Insurance Bureau

DISB began participating in a program that reimburses military veterans for the cost of insurance producer licensing examinations. The U.S. Department of Veterans Affairs manages the program as part of the GI Bill. DISB had to complete an application process through OSSE to have the insurance producer licensing examination qualify for reimbursement. There is no funding required of DISB and since the Department does not handle the reimbursement, the Department does not have information on how many veterans may have taken advantage of the benefit. Approximately 200 insurance producer license examinations are taken annually in the District.

### Securities Bureau

#### *Senior Initiative*

During FY 2017, DISB resumed its Senior Initiative. The agency formed an internal committee, with members from the major offices that regulate firms that interface with seniors or otherwise engage with seniors. The committee has been charged with identifying areas within the Department's regulatory sphere in which DISB may be able to reduce or mitigate the effects of financial abuse of seniors. DISB is supporting the



committee with current staff. The committee participated in the drafting of the “Protection of Seniors and Vulnerable Adults from Financial Exploitation Act of 2017,” which the Mayor introduced in September.

### *Customer Satisfaction Survey*

In FY 2017, the Securities Bureau’s Examinations Division began conducting a customer satisfaction survey to measure the effectiveness of DISB’s securities examinations operations. The Division continues to use the customer satisfaction survey in FY 2018. Survey responses will enable the Division to identify any aspects of the examination program that should be adjusted to continue to improve the Securities Bureau’s overall examination process. No extra funding is required to support this survey. The survey responses received in FY 2017 and in FY 2018, to date, rated the examination process as highly helpful and comprehensive.

### **Banking Bureau**

The Student Loan Ombudsman was established within DISB’s Banking Bureau to ensure Department compliance with D.C. Law 21-214, the “Student Loan Ombudsman Establishment and Servicing Regulation Amendment Act of 2016.” The Ombudsman will be attending several events this year where he will have the opportunity to interact with parents and students preparing for college, as well as graduates who are currently repaying student loans. The Ombudsman has begun holding regular office hours where he is available to meet one-on-one with borrowers, students, and parents to answer questions about student loan borrowing and repayment. He also is available to take any complaints, which will be thoroughly investigated.

DISB also is currently participating in a partnership involving the District government, business, and nonprofit organizations to promote the earned income tax credit (EITC) and other tax benefits for low-income workers. The campaign leverages the skills of hundreds of community volunteers to offer high quality no-cost tax preparation services and connections to asset building opportunities to thousands of hard-working individuals and families throughout the District. Additional program partners include the America Saves/DC Saves Campaign run by Capital Area Asset Builders (CAAB).

### **Enforcement and Consumer Protection Division (ECPD)**

ECPD began proactive, undercover cyber-based investigations into fraud schemes targeting District residents and District businesses. The agency appropriated initial funding for this activity and has recurring funding available to support low-cost license fees and other incidentals. This initiative was only recently launched. Due to the confidential nature of this undercover initiative, ECPD is unable to publicly acknowledge the status of any ongoing investigations.

ECPD also began regulatory compliance investigations into licensing and registration of ATMs and check cashing businesses in the District. No additional funding was required

for this initiative. To date, ECPD fraud investigators have inspected over 50 businesses and many were found to be non-compliant with the District's registration and licensing laws.

34. Please explain the impact on your agency of any legislation passed at the federal level during Fiscal Year 2017 and Fiscal Year 2018, to date, which significantly affected agency operations. If regulations are the shared responsibility of multiple agencies, please note.

Both the Tax Cuts and Jobs Act (Pub. Law No: 115-97) (TCJA) and the proposed rule on Association Health Plans (AHPs) unveiled on January 5, 2018, 83 FR 614, RIN:1210-AB85 will significantly impact the health insurance markets in the District. The TCJA repeal of the ACA's individual mandate will lead to an increase in premiums and loss of coverage for millions of Americans, and thousands of District residents. The Department anticipates the repeal of the individual mandate could increase premiums by about 10%, as also referenced by the American Academy of Actuaries and the Congressional Budget Office.

Moreover, the proposed rule on AHPs will make it easier for small businesses -- and some self-employed individuals -- to band together and buy health insurance as one larger employer. While this could help those small businesses in the short term, it could cause a collapse of the District's market as the associations could attract younger and healthier consumers, leaving behind an older and sicker risk pool in the District.

On October 26, 2016, as part of its JOBS Act (Pub. Law No: 112-106) mandates, the SEC adopted final rules that modernize how companies can raise money to fund their businesses through intrastate and small offerings. These rules updated and expanded the capital raising avenues for smaller companies by allowing them to more fully take advantage of changes in technology and business practices.

The SEC amended Rule 147 to modernize this safe harbor rule under Section 3(a)(11) of the Securities Act, so issuers may continue to use state law exemptions for intrastate offerings that are conditioned upon compliance with both Section 3(a)(11) and Rule 147. The SEC also established a new intrastate offering exemption, Securities Act Rule 147A, that, among other things, accommodates offers to out-of-state residents and offerings by companies that are incorporated or organized out-of-state. Amended Rule 147 directly impacts how to conduct securities offerings under the District of Columbia-Only Securities Offerings Exemption (i.e. the District's state crowdfunding rules). As a result of the SEC relaxing the issuer organized and "doing business" in-state requirements, it is easier for issuers to comply with the District of Columbia-Only Securities Offerings Exemption because the District's rules are conditioned upon compliance with both Section 3(a)(11) and Rule 147. DISB is evaluating how the SEC's new intrastate offering exemption, Securities Act Rule 147A, impacts the District's state crowdfunding program.

To facilitate capital formation through regional offerings, the SEC amended Rule 504 of Regulation D under the Securities Act to increase the aggregate amount of securities that may be offered and sold from \$1 million to \$5 million. The rules also apply "bad actor"

disqualifications to Rule 504 offerings to provide additional investor protection, consistent with other rules in Regulation D. In light of the changes to Rule 504, the SEC repealed Rule 505 of Regulation D.

DISB's securities rules will need to be amended to harmonize with SEC Regulation D, Rule 504, which now allows offerings of \$5 million as the aggregate amount, and the Department will work on repealing its Regulation D, Rule 505 in order to conform to the SEC's changes.

35. Please list all regulations for which the agency is responsible for oversight or implementation. Please list by chapter and subject heading, including the date of the most recent revision.

Title 16 – District of Columbia Municipal Regulations

Chapter 37	Department of Insurance, Securities and Banking Infractions (5/27/2005)
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Title 26 – District of Columbia Municipal Regulations

*Insurance*

Chapter A1.	Licensure as Insurance Producer (10/4/2013)
Chapter A2.	Restrictions on Solicitations and Sales (10/21/1988)
Chapter A3.	Prohibitions on Arbitrary Cancellation (10/21/1988)
Chapter A5.	Motor Vehicle Insurance: Required Insurance (10/21/1988)
Chapter A6.	District of Columbia Automobile Insurance Plan (12/31/2004)
Chapter A8.	Taxicab Insurance (7/23/2004)
Chapter A9.	Ambulance Insurance (10/21/1988)
Chapter A10.	Life Insurance (10/21/1988)
Chapter A11.	Annuity Mortality Tables (4/7/2000)
Chapter A13.	Insurance Placement Facilities (1/7/2005)
Chapter A14.	Insider Trading (10/21/1988)
Chapter A15.	Proxy Solicitation (10/21/1988)
Chapter A16.	Insurance Holding Company System Regulations (4/22/1994)
Chapter A17.	Motor Vehicle Insurance: Administration Fund Bureau and Administration Fund (10/21/1988)
Chapter A18.	Uninsured Motorist Fund (10/21/1988)
Chapter A19.	Insurance Coverage for Drug Abuse, Alcohol Abuse, and Mental Illness (7/14/1989)
Chapter A20.	Certification for Participation in the Medical Liability Captive Insurance Program (1/28/2011)
Chapter A21.	Sinking Fund (7/28/1989)
Chapter A22.	Medicare Supplement Insurance Minimum Standards (11/13/2009)
Chapter A23.	Reinsurance (4/22/1994)

Chapter A24.	Company Organization, Management and Securities (4/22/1994)
Chapter A25.	Annual Statement Filing Requirements (5/19/1995)
Chapter A26.	Long Term Care Insurance (4/11/2008)
Chapter A27.	Variable Life Insurance Contracts (2/24/1995)
Chapter A28.	Credit for Reinsurance Regulations (5/3/1996)
Chapter A29.	Statements of Actuarial Opinion and Memorandum Regulation (3/11/2005)
Chapter A30.	Valuation of Life Insurance Policies (9/26/2008)
Chapter A31.	Investment Guidelines for Health Maintenance Organizations (HMOs) (6/8/2007)
Chapter A35.	Health Maintenance Organizations (HMOs) (7/11/2003)
Chapter A36.	Privacy of Consumer Financial Information (2/14/2003)
Chapter A37.	Captive Insurance Companies (9/20/2013)
Chapter A38.	Rules of Practice and Procedure for Hearings (8/8/2003)
Chapter A39.	Licensure as a Public Insurance Adjuster (4/25/2003)
Chapter A40.	Reciprocal Insurance Companies (1/18/2008)
Chapter A41.	Title Insurance Rate Making (3/18/2011)
Chapter A42.	Uniform Credentialing and re-Credentialing Form (8/11/2006)
Chapter A43.	Uniform Consultation Referral Form (5/25/2007)
Chapter A44.	Child-Only Policies (3/18/2011)
Chapter A45.	Oversight Role and Fiduciary Obligations of Members of the Board of Directors of a Hospital and Medical Services Corporation (9/17/2004)
Chapter A46.	Procedures for the Determination of Excess Surplus (11/13/2009)
Chapter A50.	Unfair Trade Practices (4/16/2004)
Chapter A51.	Standard Non-forfeiture Law for Individual Deferred Annuities (5/28/2004)
Chapter A52.	Military Sales Practices (12/7/2007)
Chapter A53.	Medical Malpractice Liability Hearing Rules and Rate Filing Requirements (12/12/2008)
Chapter A56.	Certified Capital Companies (3/11/2011)
Chapter A58.	Senior-Specific Certifications, Designations and Credentials (7/30/2010)
Chapter A82.	Continuing Care Requirement Communities (10/20/2006)
Chapter A84.	Suitability in Annuity Transactions (12/24/2010)
Chapter A88.	Health Benefit Plans Prompt Payment (6/16/2006)

*Securities*

Chapter B1.	Broker-Dealers, Agents, Investment Advisers, and Investment Adviser Representatives (12/6/2013)
Chapter B2.	Registration of Securities Offerings (11/30/2001)
Chapter B3.	Rules of Practice and Procedures for Hearings (10/11/2002)

*Banking*

Chapter C1.	General Provisions (8/19/1988)
Chapter C2.	Applications (8/19/1988)
Chapter C3.	Powers (8/19/1988)
Chapter C4.	Administrative Procedures (8/19/1988)
Chapter C6.	Fees and Assessments (2/15/2008)
Chapter C11.	Mortgage Lenders, Mortgage Brokers and Mortgage Loan Originators (12/24/2010)
Chapter C18.	Automated Teller Machines (12/5/2003)
Chapter C20.	Predatory Lending (11/29/2002)
Chapter C21.	Opportunity Accounts (5/31/2002)
Chapter C22.	Money Transmitters (12/5/2003)
Chapter C25.	Consumer Retail Credit (1/11/1991)
Chapter C26.	Loaning Money (12/12/1988)
Chapter C27.	Foreclosure Mediation (6/27/2014)
Chapter C28.	Capital Access Program (9/30/2011)
Chapter C29.	State Small Business Credit Initiative (9/5/2014)
Chapter C30.	<i>Student Loan Servicers (12/26/2017) *Emergency Regulations valid through April 25, 2018</i>

36. Please identify all electronic databases maintained by your agency, including the following:
- a. A detailed description of the information tracked within each system;
  - b. The age of the system and any discussion of substantial upgrades that have been made or are planned to the system; and
  - c. Whether the public can be granted access to all or part of each system.

**Insurance Bureau Electronic Databases:**

- **State-Based System (SBS)** – SBS was created in 2000 by the National Association of Insurance Commissioners in collaboration with a few states and the District of Columbia.

DISB was the first District department to take on the service. SBS is a comprehensive system used to license and renew insurance producers and companies. It has expanded to include consumer complaints, enforcement, and online continuing education for resident producers. DISB currently uses nine of the 21 services available. SBS is being used to report information to the U.S. Department of Health and Human Services (HHS), as part of health care reform. Currently, 26 states use the SBS system. NAIC has upgraded the SBS system to the new version called SOLAR and the District went live with the new system on November 9, 2016.

The Insurance Bureau, as well as Compliance Analysis Division staff, accesses SBS on a daily and continuous basis. Consumers can access the status of insurance companies and producers through SBS directly from DISB's website. DISB is currently implementing the ability to provide registered agents with direct access to SBS via DISB's website. All jurisdictions using the SBS system can test enhanced and new services through an integration site.

- **National Insurance Producers Registry (NIPR)** – NIPR provides 24/7 input services for producers desiring licensure in the District, including allowing biographical updates and the ability to upload any required supporting documentation. Initial and renewal licensing processed through NIPR feeds into SBS on a real-time basis. Insurance company appointments and renewals (producers) are processed through NIPR electronically. All fees collected by NIPR are transmitted via EFT daily to the D.C. Treasurer.

Insurance Bureau staff has access to NIPR on an as-needed basis. Consumers can access NIPR information through SBS, as discussed above. Producers directly access NIPR to renew licenses and update information. Enhancements to NIPR are approached on the same basis as described above for SBS. DISB has fully participated in all NIPR initiatives since 2000.

- **System for Electronic Rate and Form Filing (SERFF)** – SERFF provides an interface for insurance companies to submit rate and form filings for review and approval by DISB actuaries and analysts. This paperless process for reviewing and approving filings also provides for electronic communication between submitters and reviewers if necessary.

SERFF is being used to report information to HHS as part of health care reform. DISB has established a search portal application on its website for District residents and other consumers to have direct access to approved rate and policy form filings.

Internet-State Interface Technology Enhancement (I-SITE) – I-SITE stores financial and other information for all insurance companies licensed in the District. I-SITE has one national database used by all participating jurisdictions. I-SITE was redesigned to the new *I-site+* that provides improved search capabilities, easier navigation, enhanced tools, and additional user preferences.

#### **Securities Bureau Electronic Databases:**

- **MicroPact STAR System** – The STAR system has been in use at the Department since 2001. STAR is maintained by the Corporation Finance and Licensing Divisions of the Securities Bureau. The system has modules that track licensing activity pursuant to Title II of the Securities Act of 2000 (DCSA) and registration filings and notice filings that are related to securities offerings subject to the requirements of Titles III and IV of the DCSA. The corporate filings are primarily SEC Uniform Investment Company Notice Filing Form NF for mutual fund

offerings, Securities and Exchange Commission Form D for Regulation D offerings, and similar notices of securities offerings in other categories that are not subject to the registration requirements. The securities firm licensing information is tracked in the database and includes the name and identifying numbers of the licensee or applicant, the licensing category, and the status of the license.

The licensing functionality was enhanced in FY 2013 by enabling the importation of licensing data directly from FINRA. Securities offering information tracked in the database includes: name of issuer; description of securities issued; amount of securities offered; names and ID numbers of broker dealer firms and agents; sales information; and status of DISB's processing of these filings. The Licensing and Corporation Finance Divisions staff have access to this system, in addition to DISB's IT and Office of the Chief Technology Officer (OCTO) staff. A new version of the client application was rolled out in December 2015. The Securities Bureau has a contract with the vendor, MicroPact, to migrate the hosting of the STAR servers to MicroPact.

- **BlueExpress** – BlueExpress is the database system maintained by the Securities Bureau's Corporation Finance Division, DISB IT Administrators and OCTO, that provides electronic filing services for financial institutions. The STAR registration system imports securities filing data from the BlueExpress system. Information tracked within the system includes: name of licensed firm or issuer, names and ID numbers of officers and directors, names and ID numbers of broker dealer firms and agents, and descriptions of securities issued and other sales information. Access to BlueExpress is afforded to investment company filers who have executed a MOU with DISB to use the system. The BlueExpress system has been in use at DISB since 2002. No upgrades are anticipated.
- **Electronic Filing Depository (EFD)** - EFD is used by the Corporation Finance Division (CFD). Developed and operated by the North American Securities Administrators Association (NASAA), EFD is an online system that allows an issuer to submit a Form D for a Regulation D, Rule 506 offering, to state securities regulators and to pay related fees. Rule 506 of Regulation D is a "safe harbor" for the private offering exemption of Section 4(a)(2) of the federal Securities Act and provides an exemption for offerings to verified accredited investors. Issuers relying on the Rule 506 exemption do not have to register their offerings of securities with the SEC or state securities regulators. But they must file a "Form D" with the SEC and state securities regulators where they offer the securities, including the District.

EFD was created to provide an efficient, streamlined system for state Form D filing requirements. Issuers benefit from a uniform process to submit their filings to the states. Additionally, the EFD website enables the public, free of charge, to search and view the Form D's for the offerings in the system. As a result, investor protection is strengthened by the improved transparency the system provides for Form D filings. CFD began receiving Form D filings from the EFD when the system was launched on December 15, 2014. CFD receives filings of Form D

through the EFD system. Those filings are then processed manually into the STAR system. Unlike the BlueExpress system, EFD does not interact electronically with the STAR system at this point.

While EFD and the STAR system are not yet integrated and communicating with each other electronically, NASAA is continuing its work to expand the types of filings for which filers may soon be able to submit through the EFD (i.e., SEC Regulation A/A plus, and the mutual fund Form NF (the Securities Bureau now uses theBlueExpress system to accept Form NF filings electronically)). Also, the STAR vendor (MicroPact) has informed CFD that it is rolling out a new platform (i.e., a complete system update) that most likely will facilitate the integration of these systems with EFD. CFD has set a FY 2018 priority to work with the STAR vendors, NASAA, EFD, and OCTO to update these systems so as to ensure that they are fully integrated and working together.

- **NEMO (NASAA Exam Module)** – NEMO has been developed by NASAA and is maintained by NASAA. NEMO provides Investment Adviser and Broker-Dealer compliance audit (examination) support to the Examinations Division of the Securities Bureau. The modules of the system include the Pre-Exam Checklist, the Interview(s), the Exam Builder, as well as other appropriate sub-modules. These modules are used to assess the level of completion during the course of an examination. Individuals with access are Examinations Division staff members of the Securities Bureau and DISB IT Administrators. Due to sensitive examination and personal information contained in these databases, it is not available to any other DISB employees, or the public. The NEMO system has been in use since 2007. NEMO is continuously updated to reflect changes in the law, products, and examination techniques.
- **FINRA Central Registration Depository (CRD) and Investment Adviser Registration Depository (IARD) Systems** – CRD and IARD are systems administered by the Financial Industry Regulatory Authority (FINRA). The data consists of records of state and federally licensed broker-dealer (BD) firms and their agents and other associated persons, and Investment Adviser (ADV) firms and their representatives. The basic information is filed on BD and ADV forms. Numerous other forms report actions such as withdrawals, terminations, and disciplinary actions. Access consists of FINRA staff and staff members of the participating state securities regulatory agencies to the “state” portions. Members of the public have limited access to the disciplinary history of licensees through “Broker Check” and “IAPD.” The CRD system has been in use for more than 20 years and the IARD system has been in use for about eight years. The systems are continuously upgraded.

#### **Banking Bureau Electronic Databases:**

- **Nationwide Mortgage Lending System (NMLS)** – Pursuant to an agreement with the Nationwide Mortgage Lending System and Registry (NMLS&R), the Banking



Bureau uses the NMLS System to process and store mortgage license information. On September 1, 2014, DISB transitioned to NMLS to process and store all other non-depository licensing and activity information. The system was launched in 2007 and continues to undergo upgrades. Banking Bureau staff and the mortgage industry have access to the system as it is also used to file license applications and engage in other license-related activity. The public has limited access for license verification purposes. The system is maintained by the NMLS&R, a subsidiary of CSBS.

- **IronData STAR System** – Prior to transitioning to NMLS in FY 2014, the Banking Bureau used the STAR Consumer Services (STAR CS) systems for all non-depository licensing activity. Currently, this system is used only to retrieve prior years licensing activity. Staff in the Banking Bureau have access to the STAR CS module.
- **CaseAware** – CaseAware is case management software designed for mortgage attorneys. The Banking Bureau uses this software for scheduling and tracking foreclosure mediation sessions, as well as generating reports about DISB’s Foreclosure Mediation program.

#### **Risk Finance Bureau Electronic Databases:**

- **Internet-State Interface Technology Enhancement (I-SITE)** – I-SITE stores financial and other information for all risk retention groups licensed in the District. Unlike the other databases described above, I-SITE has one national database used by all participating jurisdictions. I-site was redesigned to the new *I-site+* that provides improved search capabilities, easier navigation, enhanced tools, and additional user preferences. RFB staff has access to I-SITE on an as-needed basis. Consumers can access risk retention group financial information and complaint information that is stored in I-SITE through the NAIC’s Consumer Information Source, which is accessible from DISB’s website.
- **Teammate Software (Teammate)** – The Insurance and Risk Finance Bureau’s Financial Analysis and Examination Division use Teammate Software to perform and maintain its financial analyses and examination files of insurance and captive companies. Teammate software was updated to the latest version (v11) for all analysts and examiners.
- **Risk Finance Bureau Licensing Database** - The Risk Finance Bureau maintains its licensing database in Excel files. Every member of the Risk Finance Bureau has access to the licensing files.

#### **Enforcement and Consumer Protection Division Electronic Databases:**

- **MAGNUM Case Management System** – The Enforcement and Consumer Protection Division (ECPD) has a Lotus Notes-based electronic investigation case

tracking system that contains sensitive case management information including investigative plans, written evidence, and other investigative information. This information is restricted from public disclosure by law. The system includes allegations, suspect's names, and protected criminal investigative information and is firewalled from other DISB Bureaus. Only ECPD investigation personnel have access to the system. This system was acquired in 2002 and is currently not supported by the vendor.

- **WingSwept Case Management System** - ECPD is transitioning from a Lotus Notes-based electronic investigation case tracking system (Magnum) purchased in 2002, to a new WingSwept Case Management System (CMS) that went live in early December 2017. Both systems contain sensitive case management information including investigative plans, written evidence, and other investigative information. This information is restricted from public disclosure by law.

The system includes allegations, suspect's names, and protected criminal investigative information and is firewalled from other DISB Bureaus. Only ECPD investigation personnel have access to the system. The new system takes things one step further in allowing for an option to preclude all access to certain cases but for the case investigator(s) and supervisor(s).

#### **Office of the General Counsel (OGC) Electronic Databases:**

- **Freedom of Information Tracking System Database** – The OGC migrated to the new enterprise FOIA request management tool called “FOIAXpress” in July 2014. The database is maintained by the FOIA Officer and contains detailed information about the requestor, the request, timeframes for tracking and the timeliness of the response, any denials, and fees generated by the requests. The database contains fields for the name, address, and telephone numbers of requestors, a description of the request, where it was sent, when it was received from the program staff, whether the request was denied or granted, what exemptions were claimed, whether extensions for time to respond were requested, the fees that were generated, when the fees were paid, the processing time, and processing cost. Information in the database is used to produce the statutorily mandated annual FOIA report. DISB's FOIA Officer and her backup are the only two personnel in DISB with access to the database.
- **Agents for Service of Process Database** – The Insurer's Service of Process Act of 1994 requires that an insurer licensed to engage in business in the District of Columbia appoint a suitable person in the District or not more than 10 miles beyond the territorial limits of the District, as agent for service of legal process. Currently, over 1,800 registered agents are designated by licensed insurers to receive services of process. The SBS system contains the name of the company, the address of the company, and the name of the registered agent. The public can contact DISB's OGC to obtain the necessary information to serve process on the appropriate agent of the licensee. All information is updated by the OGC. This information can be

accessed by the public via a link on DISB’s website. Insurers also send updated information to the OGC to update contact information as it changes.

- **Memoranda of Understanding / Agreements Database** – The OGC maintains memoranda of understanding and agreements database between DISB and other entities. Information includes involved parties, purpose, date fully-executed, expiration dates, supporting documents and comments.

#### **Department-wide Electronic Databases:**

- **IBM FileNet Document Management System (FileNet)** – FileNet is used as a file repository to store all scanned paper documents associated with a document class type. DISB has approximately 10 document classes in the system used to import documents for insurance and securities filings, premium tax documents, licensing, financials, legal cases, etc. All DISB staff have logins that allow them to view scanned documents in their respective division/document class. The department has had this system since year 2000 and has upgraded it to version P8 ver. 5.2.

37. Please identify any statutory or regulatory impediments to your agency’s operations, including any outstanding legislative requirements of the agency (e.g. implementation of rulemakings).

At present, the Department has the following legislation before the Council:

- Bill 22-294, the “Credit Union Act of 2017;”
- Bill 22-418, the “Restrictions of the Use of Credit Information Amendment Act of 2017;”
- Bill 22-422, the “Protection of Seniors and Vulnerable Adults from Financial Exploitation Act of 2017;”
- Bill 22-432, the “Financial Services Consumer Protection Act of 2017;” and
- Bill 22-610, the “Service Contract Regulation and Enforcement Act of 2017.”

Commissioner Taylor testified before the Committee on Business and Economic Development on January 31, 2018 regarding Bills 22-418 and 22-610, and shared the important role that those pieces of legislation play in the Department fulfilling its two-fold mission of protecting consumers, and developing and improving market conditions to attract and retain financial services firms to the District. The Department believes that each of these legislative proposals is vital to the interests of District residents, and looks forward to seeing each of these bills enacted.

38. What are your top five priorities for the agency? Please provide a detailed explanation for how the agency expects to achieve or work toward these priorities in Fiscal Year 2018.

*Priority #1*

DISB is fully engaged in efforts to ensure that District residents have access to a variety of health insurance plans that provide comprehensive coverage and affordable rates. As part of that endeavor, DISB is looking for ways to stabilize the individual and small group health insurance markets in the District, and attract new carriers to the District's market. Since last year, DISB has engaged a contractor to look at the benefits of merging the individual and small group markets and whether to expand the small group size to 100. If successfully implemented, the Department expects to see smaller increases in the individual health insurance marketplace. DISB is focused on actions that can be taken to address the 2019 plan year rates that will be filed in May 2018. This project also includes addressing the impact of the federal government's recent decision to reduce the health insurance mandate penalty to \$0, and the potential expansion of association group health plans through federal action.

*Priority #2*

DISB intends to continue to increase its efforts to protect District seniors from financial exploitation and abuse. DISB has increased its public outreach and education programs to reach this vulnerable population in an effort to educate them about financial scams, which the Department believes will prevent seniors from becoming victims in the first place. However, for those seniors who are victimized by fraudsters, DISB has increased its enforcement efforts by conducting surveillance, examinations, and enforcement efforts with an emphasis on going after individuals and firms that offer products and services to seniors, such as reverse mortgages. Finally, DISB has proposed legislation ("Protection of Seniors and Vulnerable Adults from Financial Exploitation Act of 2017") that will, among other things, offer enhanced criminal penalties for those who victimize seniors in the District.

*Priority #3*

DISB continues to support District residents in their efforts to reach the middle class by offering a range of financial education programs. DISB developed Financially Fit DC in FY 2016, and the program was formally launched in January of 2017. DISB updated the online education program by translating it into Spanish. This initiative will be complete before the end of the current quarter. In addition, DISB continues to promote its Bank on DC program, a part of the Financially Fit DC program, which encourages residents who are unbanked or under-banked to open bank accounts rather than using high-cost alternatives, such as check cashing establishments. DISB taught more than 142 financial literacy-based classes and access to banking events in FY 2017, impacting 4,474 residents; conducted a web-based financial education pilot and campaign; and trained 25 youth to become financial education peer facilitators for the 2017 Summer Youth Employment

Program. In FY 2017, Bank on DC opened 787 bank accounts. A total of 11,003 accounts have been opened since 2010, saving individual residents approximately \$800 per year in check cashing fees, or an estimated savings of approximately \$8.8 million over the life of the program. DISB will continue these efforts in FY 2018 by sponsoring and attending events throughout the District.

*Priority #4*

DISB continues to ramp up its Office of the Student Loan Ombudsman and student loan servicing regulations. The Ombudsman will be attending several events this year where he will have the opportunity to interact with parents and students preparing for college, as well as graduates who are currently repaying student loans. The Ombudsman will be holding regular office hours where he will be available to meet one-on-one with borrowers, students and parents to answer questions about student loan borrowing and repayment. He will also be available to take complaints, which will be thoroughly investigated. In addition, the Banking Bureau will begin examination activities this year to ensure that student loan servicers are complying with District law.

*Priority #5*

The Department will continue to administer and work to identify ways to accelerate the efficacy of the District of Columbia Business Capital program (DC BizCAP), which was established to administer the District's funds provided by the federal State Small Business Credit Initiative. The Department will be increasing its outreach to lenders and the business community to promote DC BizCAP as a useful tool in providing access to capital to new and emerging small businesses. DISB also plans to create strategic partnerships with business incubators and sister agencies to identify capital needs throughout the District. The Department also is conducting a review of DC BizCAP and national best practices to increase the leverage of the federal funds, as well as utilize the program to better support the Mayor's Economic Strategy.

39. Please discuss how the agency tracks, analyzes, and intervenes to prevent foreclosures. Please provide the following information relating to foreclosures:
- a. What resources does the agency currently make available to residents who are facing foreclosure?

Through the Department's Housing Counseling Services contract, DISB provides a foreclosure prevention hotline to answer broad questions concerning the foreclosure process. The hotline is used as an entry point to engage District residents in the foreclosure prevention process. The foreclosure mitigation process consists of presenting residents with all viable options to prevent foreclosure. Counselors provide an in-depth budget analysis to fully understand the resident's financial situation.

Once a viable option has been established, counselors work with the borrower as well as the lender to assist in pursuing the best viable options. This is done by completing loss mitigation packages, attending mediations, attending court hearings, and participating in conference calls with lenders. DISB has an allowable line item to provide up to 5 hours of legal assistance to residents who may be facing predatory lending matters or who are currently facing an immediate foreclosure (sale date). Additionally, the Department hosts a weekly foreclosure prevention clinic to provide an overview of loss mitigation options and to explain the foreclosure process. Starting in February 2018, DISB began providing a bi-monthly foreclosure clinic in Ward 7 as an outreach initiative in the greater southeast area.

To engage delinquent homeowners in DISB’s services, the Department conducts outreach (attending fairs, community meetings, mailings, advertisements on metro, radio, and print). DISB also monitors the District of Columbia Recorder of Deeds online services system to locate delinquent homeowners. Typically, DISB assists delinquent borrowers until a logical solution has been reached or until the homeowner decides they no longer want to receive the Department’s services. Sometimes retaining the home is not a viable option, so the Department continues to work with these individuals to help them release their homes in the most advantageous way.

- b. How many foreclosures were reported in Fiscal Year 2017 and Fiscal Year 2018, to date? Please distinguish between residential and commercial foreclosures?

DISB only has authority to receive, investigate, and process the Notice of Defaults (initial foreclosure filings for residential mortgages) from the lenders who are pursuing foreclosure through the non-judicial track on residential mortgages, pursuant to the “Saving D.C. Homes from Foreclosure Amendment Act of 2010.” In order for a lender to actually foreclose on a residential mortgage, the lender is required by law to record a final mediation certificate prior to filing a Notice of Foreclosure Sale (notice that sets the auction date). DISB relies on the Recorder of Deeds to provide data on the number of Trustees Deeds (actual foreclosures) where the ownership changes hands. Therefore, the Department can only report on what it has received and what the Recorder of Deeds has listed on its website. DISB does not have data on commercial foreclosures.

*Number of Notices of Default and Mediation Certificates Issued by DISB*

	Notices of Default	Mediation Certificates Issued
FY 2017	26	7
FY 2018, to date	4	1

*Total Number of Notices of Trustees Deed (Actual Foreclosures)*

	Total – Notice of Trustees Deeds
FY 2017	516
FY 2018, to date	28

*Source: D.C. Recorder of Deeds*

- c. Is the foreclosure rate improving in the District?

DISB staff are scheduled to meet with representatives from the Superior Court of the District of Columbia to obtain a more complete picture of the foreclosure trend for the District.

- d. Which Wards and/or neighborhood are being impacted the most by foreclosure?

Below is a breakdown of the Wards in which the residents served over the past 3 years through the HCS contract reside. These figures do not necessarily correspond to overall foreclosure rates across all Wards of the District.

<u>Ward</u>	<u>2017</u>	<u>2016</u>	<u>2015</u>
1	6%	8%	9%
2	1%	2%	3%
3	2%	4%	3%
4	19%	21%	18%
5	22%	19%	18%
6	5%	5%	5%
7	27%	25%	28%
8	18%	16%	16%

- e. How has the agency worked to reduce backlog?

Currently, DISB does not have a backlog in serving residents facing foreclosure. DISB and HCS are generally able to schedule residents for consultation within the first week of initial contact. Information on the number of cases backlogged in the judicial foreclosure system is not generally made available to DISB and is not within the jurisdiction of DISB.

40. Please provide an update of the agency's foreclosure mediation program.

Through a DISB-supervised contract, Housing Counseling Services, a local non-profit, provides free comprehensive housing counseling, training, and advocacy to tenants, homebuyers, and homeowners facing home foreclosure. Funds are allocated for legal aid and for supporting a hotline for distressed homeowners. Since the passage of the “Saving D.C. Homes from Foreclosure Amendment Act of 2010,” the District of Columbia has seen a

decrease in non-judicial foreclosure filings. Most recently, in 2017, the Department found that the courts were not providing borrowers with adequate time to sufficiently complete a proper loss mediation package. The time to complete a package was reduced from 30 days to 15 days. DISB brought this matter to the attention of the courts and the time permitted to complete a package was restored to 30 days. The judiciary has been very responsive to every issue the Department has raised and appears to give homeowners every opportunity to retain their home, within the law. Over the past three years, the mediation program has prevented foreclosures with lenders and homeowners agreeing to loan modifications, repayment plans, reinstatements, short sales, and other alternatives.

<u>Demographics</u>	<u>2017</u>	<u>2016</u>	<u>2015</u>
District Residents Served	645	707	536
Home Foreclosure Modifications	87	111	54
Mortgages Brought Current	43	24	27
Outreach Letters Sent	1,157	1,684	1,522
Hotline Calls	845	873	858
DC Judicial Mediations Hearings	6,722	6,156	2,670
<b>Values of Properties Saved</b>	<b>\$50,295,205</b>	<b>\$74,048,290</b>	<b>\$37,260,290</b>

41. In Fiscal Year 2017 and Fiscal Year 2018, to date have the number of judicial foreclosures decreased, increased, or remained the same?

Last year, DISB reported that since the implementation of the “Saving D.C. Homes from Foreclosure Amendment Act of 2010” there has been a marked increase in the total number of foreclosure filings in the judicial system. The foreclosure mediation law effectively caused lenders to reevaluate and adapt their existing foreclosure processes or lack thereof. Some of the lenders opted to go to court to pursue foreclosure based on the advice of legal counsel. In addition, several federal lawsuits took place during the early part of 2012 and have since been settled (i.e., National Mortgage Settlement and Office of the Comptroller of Currency (OCC) Independent Foreclosure Review). Now that these settlements have been reached, many lenders have fully shifted focus to foreclosing on properties or otherwise mitigating their losses.

Therefore, as anticipated, the number of judicial foreclosures has increased; however, this does not appear to be the result of new delinquencies. The increase is derived from filings based on the existing backlog of foreclosure matters. Beyond that, two additional judges are now assigned to the foreclosure docket (making three judges total), and an additional weekly foreclosure hearing date has been added (currently two days per week). In addition, the court has added more mediators to the mandatory mediation sessions allowing for matters to move through the process more efficiently. In FY 2018, the Department expects the number of



judicial foreclosures to decrease; however, at this time it is hard to determine how much of a decrease will occur. DISB will be monitoring the foreclosure numbers closely so that if an increase should occur, the Department can determine why and take action.

42. In Fiscal Year 2017 and Fiscal Year 2018, to date has the agency engaged the Superior Court of the District of Columbia to improve the judicial foreclosure process? Please provide data or specific examples of how the agency and the Superior Court of the District of Columbia have improved the process.

Currently, DISB closely monitors activities in the Superior Court both through direct interaction, and through its vendor, which has counselors and attorneys on-site on the scheduled hearing days to assist residents with foreclosure matters. Working with the vendor, DISB formulates strategies to assist the court in finding ways to ensure that the rights of District residents are protected. DISB staff are scheduled to meet with representatives from the Superior Court of the District of Columbia to obtain a more complete picture of the foreclosure trend for the District.

43. What agency programs or procedures has the agency used to prevent deceptive mortgage practices?

DISB's Banking Bureau addresses deceptive mortgage practices through three processes. First, the Banking Bureau conducts regular examinations of mortgage companies. As part of the examination process, the Banking Bureau reviews statements and claims made by mortgage licensees in advertising that may be misleading to District residents. Licensees found to be in violation of the law are subject to fines and penalties from the Commissioner. Second, the Banking Bureau tracks complaints from consumers, which allows the Banking Bureau to conduct more targeted examinations or take enforcement action when necessary. If the Banking Bureau finds a trend in complaint information this can also lead to an examination conducted outside of the regular exam cycle. Finally, the Banking Bureau continues to engage in financial literacy education at community events hosted by DISB, the Department of Housing and Community Development, and the District of Columbia's Housing Finance Agency.

In addition, steps have been taken at the federal level to give the District a greater ability to address deceptive mortgage practices. Under the federal Safe and Fair Enforcement for Mortgage Licensing Act (SAFE Act), mortgage loan originators are required to be licensed or registered through the Nationwide Mortgage Licensing System (NMLS). Prior to the passage of the SAFE Act, each state had its own separate system of licensing. Individuals who had engaged in bad acts in one state could continue originating loans in another state. The NMLS system now allows state regulators to share complaint information that often leads to multi-state examinations and enforcement actions that quickly address bad actors in multiple states.

In addition, the Banking Bureau continues to prepare and issue consumer guides regarding mortgage scams and deceptive practices within the mortgage industry. In addition, the banking staff has attended multiple trainings and seminars offered by the CFPB addressing

the changes in the mortgage industry, including servicing standards, qualified mortgage guidelines, and protections against steering.

44. Please provide an update on the “Financially Fit DC” initiative and any innovative approaches to expanding outreach efforts in Fiscal Year 2018.

Financially Fit DC is an initiative of Mayor Bowser that launched January 2017 with the goal to make the District the most financially fit city in the nation. It is a comprehensive program designed to empower all District of Columbia residents to take control of their financial health. There are five core components:

1. Making a Budget;
2. Managing Credit;
3. Buying a Home;
4. Planning for Retirement; and
5. Building Wealth.

Financially Fit DC partners include the Deputy Mayor for Planning and Economic Development (DMPED), the Deputy Mayor for Great Economic Opportunity (DMGEO), the Mayor’s Office on African American Affairs (MOAAA), the Department of Housing and Community Development (DHCD), and DISB, along with its Bank on DC program.

DISB is the lead agency for the initiative, in terms of online registration, marketing, and promotion of the program. Residents may access the program via the Internet at [welcome.financiallyfit.com](http://welcome.financiallyfit.com). DISB plans to offer the Financially Fit DC online tool in Spanish in 2018. To date, 3,783 residents (1,175 adults and 2,608 youth, aged 14 to 24) have signed up for the online program. Through the online program, residents can learn about saving, investing, homeownership, credit reports, loans, setting goals, and creating an action plan. The initiative is an extension of DISB’s efforts to bring financial education and empowerment to residents. Plans are being considered to expand the initiative with the development of child savings accounts for youth and other innovative ways to help residents grow, protect, and invest their money for a bright financial future.

The Financially Fit DC initiative also includes the Pilot Ward 7 DC Home Buyers Club. With funding from DCHD, University Legal Services Inc. worked with residents to make homeownership a more attainable dream for Ward 7’s working families and beyond. There were five sessions covering the following topics:

- Financial Literacy;
- Financing a Home;
- Selecting a Realtor, Home Inspections, and Homeowners Insurance;
- Settlement; and
- Post Purchase.

In FY 2017, there were 23 Financially Fit DC Financial Education Sessions, with 749 residents served, and since the beginning of FY 2018, three events have been held and 59 residents reached.

In FY 2018, Financially Fit DC will expand its partnership with DCHD and MOAAA. This partnership will include:

- Expansion of the Homebuyers Club series by adding new cohorts; and
- Financially Fit DC Education Series.

45. How many District-wide town hall meetings did the agency hold in Fiscal Year 2017 and Fiscal Year 2018, year to date? For each meeting, please discuss the locations, dates, topics of discussion, and number of attendees.

DISB participated in 274 presentations, panel discussions, expos, summits, and other events throughout the District in FY 2017 and 46 thus far in FY 2018. The Department has attended events in each Ward of the city. Below are some highlights of the Department's outreach efforts.

In FY 2017, DISB continued its "Coffee & Capital" series, which provides small business owners and lenders detailed information about small business financing offered through DISB; and expanded the series to incorporate Coffee & Capital: After Hours. The events were hosted at various locations in the District and gave small business owners an opportunity to learn more about how to gain financial support in order to start or expand businesses.

DISB staff also made a concerted effort to educate the District's Latino community on the Department's consumer services and resources. DISB partnered with the Mayor's Office on Latino Affairs (MOLA) to promote the importance of renter's insurance to help District tenants protect and replace their personal property in the cases of theft, natural disasters, and other calamities. Also, DISB and Bank on DC worked with MOLA to reduce incidences of financial fraud, thefts, and scams by meeting with Spanish-speaking residents at two of MOLA's food distribution centers. The Department collaborated with the Greater Washington Hispanic Chamber of Commerce and other Latino small business associations to provide information about alternatives to financing via DC BizCAP. These events attracted 768 attendees. The Department also produced and disseminated a Spanish-language version of its consumer complaint form.

The DISB Communications Office, in conjunction with the DC Elder Abuse Prevention Committee, continued its programs on reaching seniors, disabled persons and other vulnerable populations through targeted outreach to senior gatherings at senior wellness centers, AARP neighborhood chapters, parks, recreation centers, senior housing, and religious institutions, resulting in 41 events at senior centers across the city reaching 1,265 seniors with financial education and consumer protection information. DISB held financial services clinics for seniors to address their concerns regarding financial fraud and prevention, life and health insurance, investor protection, reverse mortgages, estate planning, aging in place, and living wills.

DISB also collaborated with the Department of Housing and Community Development to host the Annual DC Housing Expo, which offered a range of housing workshops, one-on-one sessions with lenders and certified housing counselors to discuss options available when facing foreclosure. Through Bank on DC, DISB held a financial literacy reality fair for youth. Other DISB events included DMPED's Open House, Attorney General Karl Racine's Financial Literacy panel discussion, the Annual Tenant and Tenant Association Summit, Planning Day, and the Moneywise Empowerment Tour.

DISB continued its role as a co-host for a year-long economic inclusion discussion series about economic issues affecting individuals, families, and communities. The sessions were co-produced by DISB, federal financial regulatory agencies, and local nonprofits. Participants discussed cross-sector strategies and recommendations to contribute significantly to a more inclusive, equitable District economy.

Below are some additional highlights from DISB's outreach efforts:

- In partnership with the Washington, DC Economic Partnership (WDCEP), DISB attended WDCEP events Build It in DC and Entrée DC to promote DC BizCAP, which provides resources for those looking to start businesses in the District. The Department also provided speakers to discuss business financing options: DISB's three State Small Business Credit Initiative Programs and District of Columbia-Only Securities Offerings Exemption. In addition, DISB staff moderated a panel discussion on small business financing at the 2017 DC Procurement Technical Assistance Center Small Business Summit which was held at the University of the District of Columbia.
- Great Streets Conference: DISB participated in the Great Streets Conference, in which it provided small business owners information on how to gain access to capital in order to grow and expand their businesses. The Great Streets program, led by DMPED, is a commercial revitalization initiative designed to support existing small businesses, attract new businesses, increase the District's tax base, create new job opportunities for the District residents, and transform emerging corridors into thriving and inviting neighborhood centers that are magnets for private investment.
- DISB conducted several small group presentations and meetings in collaboration with the DC Elder Abuse Prevention Committee; the Federal Emergency Management Agency's National Flood Insurance Program and the District's Department of Energy & Environment; the Investor Protection Trust; the North American Securities Administrators Association's Investor Education Working Group; AARP community chapters; senior wellness centers; nonprofit organizations; and District agencies including the Department of Housing and Community Development, Office on Aging, Office on Latino Affairs, Department of Small and Local Business Development, and the District's Mayor Marion S. Barry Summer Youth Employee Program in conjunction with the Department of Employment Services.
- DISB also participated in several financial education campaigns, including America and Military Saves Week, DASH for the STASH investor education program and

contest, national retirement week, and promoting the District's Earned Income Tax Credit.

- In FY 2017, the Financial Literacy Council started data collection activities for development of a searchable database of local financial literacy service providers and a bi-monthly calendar of events, initiatives, and resources.

For more information on the Department's community outreach events including event dates, locations and attendees, please see Appendix 19.

46. Please discuss the implementation of the Dodd-Frank Act in Fiscal Year 2017 and Fiscal Year 2018, to date?

- a. Are additional resources necessary to implement the provisions of the Dodd-Frank Act?

In 2012, more investment adviser firms came under the Department's purview because of the Dodd-Frank Act. The law authorized the District to license and regulate investment advisers managing assets of \$100 million or less, up from \$25 million or less. Because of that change, there has been an increase in the number, size, and complexity of the investment adviser firms the Department licenses and examines.

The Securities Bureau continues to work with the District-based investment adviser firms that switched to DISB licenses because of the Dodd-Frank Act as well as with the previously District-licensed and District-based investment advisers. The Securities Bureau has conducted more examinations in the two most recent fiscal years than in previous fiscal years. The Securities Bureau will continue to assess the effectiveness of current staffing levels for meeting its increased regulatory responsibilities.

Overall in the Banking Bureau, current resources are satisfactory. The management positions for both the Non-depository and Depository units have been filled with highly experienced individuals. The current examination staff has the knowledge and professional background to ensure that DISB can keep up with the requirements under the banking code.

The District has seen an increasing trend, which has also been noticed by other state regulators, of complex products using new technologies (e.g., bitcoin, blockchain, and smartphone payments). There has also been an increasing concern among regulators, as well as an increase in enforcement actions, regarding anti-money laundering and non-depository financial institutions. The Banking Bureau continues to train its examiners in emerging issues and specialty areas like Information Technology, the Bank Secrecy Act, and Anti-Money Laundering regulations, and will continue to analyze staffing needs.

47. Please provide a detailed update on the District's Collateral Support Program?

To date, through the DC BizCAP program, DISB has disbursed approximately \$7.2 million in cash collateral funds to support commercial loans – an activity which has leveraged \$17.8 million in private sector capital to support District small businesses. The program has been extremely successful thus far, and remains a viable option for District entrepreneurs seeking support for their small businesses.

In addition to providing opportunities to new applicants, the Department also focuses on effectively and efficiently managing the existing portfolio of collateral support commitments. DISB works closely with banks to facilitate loan modifications and workouts (debt restructuring) to ensure that small businesses can remain on track with loan repayment. The Department regularly discusses possible recapitalization and financial statement rationalization measures with small businesses. To date, DISB has not had a single loan default despite two workouts in FY 2018.

48. What outreach has been done to make District-based businesses, especially Certified Business Enterprises, aware of this program?

DISB has continued its “Coffee & Capital” series, which provides small business owners and lenders with detailed information about financing offered through DISB. The “Coffee & Capital” presentations are free events, hosted at various locations in the District to give small business owners an opportunity to learn more about how to obtain funding to start or expand operations.

Moreover, in partnership with the Washington, D.C. Economic Partnership and the Office of the Deputy Mayor for Planning and Economic Development, DISB has provided on-site program information to entrepreneurs and to those District government agencies which also serve small businesses, in “trade show” and “open house” formats.

49. In Fiscal Year 2017 and Fiscal Year 2018, to date, how has the agency collaborated with the Department of Small and Local Business Development and the Department of Consumer and Regulatory Affairs on the District's Collateral Support Program?

DISB has collaborated with the Department of Small and Local Business Development (DSLBD) in cases in which borrowers may approach DISB directly for help with commercial funding but need technical assistance before approaching a lender. The technical assistance provided by DSLBD has contributed to the success of the program. DSLBD has the requisite mission and staff dedicated to providing assistance directly to small businesses to prepare them at every stage of capital formation. Commissioner Taylor has met with the DSLBD Director to discuss ways in which the agencies can continue to strengthen and improve this collaboration.

In addition, DISB staff have had regular discussions with DSLBD and DCRA staff about the Collateral Support Program and the other DC BizCAP funding options for entrepreneurs. DC BizCAP has regular interactions with these sister agencies in the ordinary course of attending

District of Columbia economic development events and in referring small businesses to District government offices for assistance.

50. Please detail how many loans have been provided to businesses in Fiscal Year 2017 and Fiscal Year 2018, to date and please provide the Ward where each business is located.

In FY 2017, the DC BizCAP Collateral Support Program enabled an entrepreneur from Ward 5 to open a transportation services business. This business is minority-owned and operated by a returning citizen who received a loan from one of DC BizCAP's community development financial institution partners. In FY 2017, DC BizCAP also provided funding to a Ward 8 nonprofit organization dedicated to family and community development through social services, emotional support, and educational resources. In FY 2018, the Department agreed to modify financing to improve cash flow to allow the business to expand its operations.

51. Please outline any "access to capital programs" the agency provides businesses under the Jumpstart Our Business Startups Act of 2012 ("JOBS Act"). When providing data for each program, please include dates relative to agency action under the program or funding disbursement.

### Securities Bureau

#### *District of Columbia-Only Securities Offerings Exemption*

The District of Columbia-Only Securities Offerings Exemption (i.e., the District's state crowdfunding rules) became effective in FY 2015 on October 24, 2014. The District's state crowdfunding securities offering continues to be available to the District's small businesses.

There have been no applications for this program during Fiscal Year 2017 and Fiscal Year 2018, to date.

#### *NASAA Coordinated Review Program*

The District is among 43 U.S. jurisdictions participating in North American Securities Administrators Association's (NASAA) Coordinated Review Program for Regulation A Offerings. Regulation A is an exemption from registration for public offerings. Regulation A has two offering tiers: Tier 1, for offerings of up to \$20 million; and Tier 2, for offerings of up to \$50 million in a 12-month period.

NASAA's Coordinated Review Program for Regulation A offering is designed to streamline the process for issuers seeking multi-state registrations of Regulation A, Tier 1 offerings (states are preempted from requiring registration of Regulation A, Tier 2, also known as Regulation A+, offerings). DISB's participation in the NASAA's Coordinated Review Program for Regulation A offerings is administered by the Securities Bureau's Corporation Finance Division (CFD). During Fiscal Year 2017, DISB reviewed the following three offerings under this program:

ISSUER	DATE FILED
NEW MEDIA TRADER, INC.	October 6, 2016
RABBLE ONE, LLC	December 12, 2016
GROUND FLOOR REAL ESTATE I, LLC	March 15, 2017

For Fiscal Year 2018, to date, DISB has received the following offering:

Solera National Bancorp, Inc.	November 8, 2017
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## **Banking Bureau**

### *Overview of DISB DC BizCAP Programs*

Through the State Small Business Credit Initiative (SSBCI), created by the federal Small Business Jobs Act of 2010, the United States Treasury Department (Treasury) deployed \$1.5 billion nationally to create and expand small businesses. Of this amount, the District of Columbia was allocated \$13.2 million. The Department manages these funds under its DC BizCAP Program, which has three small business finance operations described in detail below:

### *District of Columbia Collateral Support Program*

The most popular DC BizCAP Program is the Collateral Support Program (CSP). Through CSP, DISB helps to provide capital to small businesses with insufficient collateral for a loan, by depositing cash collateral with DISB's partner lending institutions (banks, credit unions, or community development financial institutions). These institutions make the loans to local businesses. Eligible small businesses can use these loans to purchase equipment or inventory for expansions or renovations, for working capital, to cover start-up costs, and/or to refinance existing debt. The collateral that DISB places on deposit with a financial institution cannot exceed either 50 percent of the initial principal loan amount or \$1 million.

This program is open to local small businesses that:

- (1) Are non-public companies registered and taxed in the District;
- (2) Have leased or deeded principal offices in the District;
- (3) Have 75 percent of their employees working in the District;
- (4) Have fewer than 750 employees, including in subsidiaries and affiliates; and
- (5) Have 25 percent of their total workforce consisting of District residents.

By leveraging the capital of private lenders, CSP is able to realize a fiscal multiplier on the dollars that DISB deploys. The Department does not make loans directly. DISB reviews loans enrolled in CSP for compliance with SSBCI guidelines. The participating lenders service the loans according to their underwriting guidelines.



Within DISB's \$13.2 million allocation from Treasury, approximately \$8.1 million was effectively earmarked for CSP. Funds returned to DISB upon loan maturity are recycled and can be used to fund additional loans. The timing and amount of the recycled funds returned to DISB depends upon the term of the underlying collateral support loans, and usually range from one to five years. To date, the Department has recycled approximately \$1 million of CSP funds and anticipates recycling additional amounts as outstanding loans mature.

#### *District of Columbia Loan Participation Program*

The second DC BizCAP Program is the Loan Participation Program (LPP). Through LPP, the Department buys a portion of a commercial loan originated by a lender, thus enabling a small business to borrow more money than would otherwise be possible. Eligible small businesses can use these loans to purchase equipment or inventory for expansions or renovations, for working capital, to cover start-up costs, and/or to refinance existing debt. The participation interest that DISB buys cannot exceed either 50 percent of the initial principal loan amount or \$1 million.

This program is open to local small businesses that:

- (1) Are non-public companies registered and taxed in the District;
- (2) Have leased or deeded principal offices in the District;
- (3) Have 75 percent of their employees working in the District;
- (4) Have fewer than 750 employees, including in subsidiaries and affiliates; and
- (5) Have 25 percent of their total workforce consisting of District residents.

By leveraging the capital of private lenders, LPP increases the aggregate capital available to District of Columbia small businesses. Within DISB's \$13.2 million allocation from Treasury, \$2 million was effectively earmarked for LPP.

#### *District of Columbia Innovation Finance Program*

The District's Innovation Finance Program (IFP) is DISB's third DC BizCAP program. IFP provides capital to investors that co-invest with the District in start-ups and emerging companies seeking financing alternatives to traditional commercial financing. In each transaction, the District is entitled to receive the proportional benefit of any and all amounts received from the investment. In addition to its own pro rata share in the investment, the private investor can receive between 25 percent and 40 percent of the District's pro rata share of the total profits. However, in the event of a loss, the investor and the District share the loss on a *pari-passu* basis.

The District's investment cannot exceed 50 percent of the total investment and is capped at \$500,000. Under the program, DISB collaborates with private sector partners for underwriting, due diligence evaluations, and shared risk on all loans and investments. This program is open to local small businesses that:

- (1) Are non-public companies registered and taxed in the District;
  - (2) Have leased or deeded principal offices in the District;
  - (3) Have at least 75 percent of their respective employees working in the District;
  - (4) Have fewer than 750 employees, including subsidiaries and affiliates; and
  - (5) Have at least 25 percent of the company's workforce comprised of District residents. Pursuant to DISB's \$13.2 million allocation from Treasury, the IFP was allocated approximately \$3 million.
- a. In Fiscal Year 2017 and Fiscal Year 2018, to date, how has the agency engaged Ward 7 and 8 businesses to participate in the State Small Business Credit Initiative?

DC BizCAP (SSBCI) staff have participated in DISB "Coffee & Capital" events in Wards 7 and 8. In addition, DC BizCAP (SSBCI) staff have instituted daily "office hours," during which small business owners can receive comments on their business plans and financial statements in preparation for submitting a loan application to a financial institution. Ward 7 and Ward 8 businesses in the solar technology, agricultural technology, construction, and restaurant sectors have taken advantage of this service and are, in fact, over-represented among those attending office hours and receiving business document assistance.

52. What is the status of the Crowdfunding program?

The District of Columbia-Only Securities Offerings Exemption (i.e., the District's state crowdfunding program), became effective in FY 2015, on October 24, 2014. During FY 2015, DISB approved three applications under the rules. No applications were submitted during FY 2016 and FY 2017, and there are currently no applications pending. During FY 2018, the Department intends to consult with small business leaders in the District to get their suggestions on how the program might be modified to attract more potential issuers.

53. Please explain why the agency has not proposed or advocated for District or federal government resources to streamline capital flow to local businesses?

In 2013, the District applied for and received \$13.2 million from the United States Treasury to fund the DC BizCAP (SSBCI) program. As part of program administration, the Department is constantly seeking opportunities for monetary and non-monetary assistance to further support small businesses in the District.

54. How many banks are domiciled in the District? Please identify the Ward where each bank is located. Please provide the names of the banks and whether they are the following:

- a. A bank chartered in the District;
- b. A national bank; or
- c. A federal savings bank.

*Banks Domiciled in the District of Columbia*

There are three banks domiciled in the District of Columbia. Of the three, one is District-chartered and two are national banks.

<b>Institution Name</b>	<b>Charter Type</b>
Industrial Bank	District
City First Bank of D.C., National Association	National
The National Capital Bank of Washington	National

*All Banks with Branches in the District*

There are currently 31 banks with 233 branches in the District.

There are also six international representative offices of foreign banks in the District of Columbia, which are licensed and regulated by DISB and the Federal Reserve.

<b>Institution Name</b>	<b>Country of Domicile</b>
Banque Transatlantique	France
Banque Centrale Populaire	Morocco
Barclays Bank	United Kingdom
Japan Bank for International Cooperation	Japan
Standard Chartered Bank	United Kingdom
State Bank of India	India

*For ward location of all banks and additional information, please see Appendix 20.*

55. Please provide an update on the public bank study that was funded in the Fiscal Year 2018 budget.

A Request for Proposals is being formalized and will be issued in the third quarter of FY 2018.

56. How has the agency actively tried to attract additional bank branch locations in the District, specifically in Wards 5, 7, and 8?

- a. How many banks did the agency meet with in Fiscal Year 2017 and Fiscal Year 2018 to date, expressing interest in operating bank branches in Wards 5, 7, and 8?

DISB staff met with District Government Employees Federal Credit Union, which is exploring opening a *de novo* branch in Ward 7 or Ward 8. This credit union has been a longtime supporter

of the Bank on DC program by providing affordable bank accounts to residents of the District of Columbia, specifically with a number of workforce development programs of District government, such as Marion S. Barry Summer Youth Employment Program, Project Empowerment, and the LEAP Academy, which are housed at the Department of Employment Services (located in Ward 7). Having a branch in Ward 7 or 8 would provide residents more access to a financial institution where they live and work.

57. Is the agency accredited with the Conference of State Bank Supervisors (“CSBS”)? If so, please discuss how the agency will maintain accreditation.

No, currently DISB is not accredited with the Conference of State Bank Supervisors; however, the Department plans to begin the accreditation process in FY 2018.

58. Please provide the data accumulated by the agency’s banking division for the biennial report for Fiscal Year 2016, Fiscal Year 2017 and Fiscal Year 2018, year to date.

<b>DISB - Banking Bureau Licensing Statistics</b>			
<b>Category:</b>	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018, Year to Date</b>
Mortgage Lenders/Brokers	1,266	1,402	1,380
Mortgage Loan Originators	4,747	5,353	4,636
Check Cashers	71	76	72
Money Transmitters	93	103	110
Retail Seller and Consumer Sales Finance Companies	77	82	80
Money Lenders	37	44	45
Student Loan Servicers	N/A	N/A	12
<b>Total</b>	<b>6,291</b>	<b>7,060</b>	<b>6,335</b>

59. Please provide the data accumulated by the agency’s risk finance bureau for the two most recent biennial reports.

**New Captive Insurance Companies Licensed in the District**

<b>FY 2017</b>	<b>FY 2018, to date</b>
<b>11</b>	<b>2</b>

**Growth of District Captives (numbers in \$millions)**

	<b>CY 2014</b>	<b>CY 2015</b>	<b>CY 2016</b>
Gross Premiums Written	390	742	787
Net Premiums Written	379	396	428
Net Premiums Earned	365	391	414
Underwriting Profit	73	105	79

**Asset and Capital and Surplus Growth of District Captives (numbers in \$millions)**

	<b>CY 2014</b>	<b>CY 2015</b>	<b>CY 2016</b>
Cash and Invested Assets	2,504	2,740	2,560
Total Assets	3,100	3,204	3,358
Total Capital and Surplus	778	975	1,012

**Premium Tax and Fee Revenue by Calendar Year**

	<b>CY 2014</b>	<b>CY 2015</b>	<b>CY 2016</b>
Premium Taxes	\$1,979,241	\$2,024,403	\$2,174,102
Fines and Fees	\$50,840	\$57,190	\$41,460

**CAPCO Fee Revenue by Calendar Year**

	<b>CY 2015</b>	<b>CY 2016</b>	<b>CY 2017</b>	<b>CY 2018 to date</b>
Annual Fees	\$20,000	\$20,000	\$20,000	\$10,000

60. Please provide the data accumulated by the agency's securities division for the two most recent biennial reports.

<b>Securities Offerings for 2016 and 2017</b>				
	<b>FY16</b>		<b>FY17</b>	
	<b>Filings</b>	<b>Fees Collected</b>	<b>Filings</b>	<b>Fees Collected</b>
Mutual Funds Notice Filings (Paper)	4,636	\$2,553,190	4,072	\$1,816,023
Mutual Funds Notice Filings (Electronic)	22,579	\$10,375,528	23,298	\$10,898,451
Registrations	49	\$57,500	77	\$100,080

Exemption Filings	997	\$227,175	1,174	\$277,540
<b>Totals</b>	<b>25,672</b>	<b>\$13,213,393</b>	<b>28,621</b>	<b>\$13,092,094</b>

<b>Securities Offerings for 2014 and 2015</b>				
	<b>FY14</b>		<b>FY15</b>	
	<b>Filings</b>	<b>Fees Collected</b>	<b>Filings</b>	<b>Fees Collected</b>
Mutual Funds Notice Filings (Paper)	6,487	\$3,725,754	7,905	\$3,743,681
Mutual Funds Notice Filings (Electronic)	18,207	\$8,474,607	20,016	\$9,294,428
Registrations	50	\$57,650	45	\$56,900
Exemption Filings	928	\$217,300	1,197	\$270,890
<b>Totals</b>	<b>25,672</b>	<b>\$12,475,311</b>	<b>29,163</b>	<b>\$13,365,899</b>

#### Examinations

<b>Category</b>	<b>FY14</b>	<b>FY15</b>	<b>FY16</b>	<b>FY17</b>	<b>FY18, to date</b>
Carried over exams	7	6	8	8	5
Opened exams	12	16	18	22	6
Closed Exams	13	14	18	25	6
Pending exams	6	8	8	5	5

#### Enforcement Recommendations

<b>Category</b>	<b>FY14</b>	<b>FY15</b>	<b>FY16</b>	<b>FY17</b>	<b>FY18, to date</b>
Carried over cases	12	9	9	5	9
Opened open cases	5	7	9	6	2
Closed cases	8	7	13	2	4
Pending cases	9	9	5	9	7

Licensing

Category	FY14 UNITS	FY14 FEES	FY15 UNITS	FY15 FEES	FY16 UNITS	FY16 FEES	FY17 UNITS	FY17 FEES
Agents	128,615	\$5,787,675	141,730	\$6,377,850	148,891	\$6,700,095	149,848	\$6,743,180
IA REPS	3,898	\$175,410	4,302	\$193,590	4,387	\$197,415	4,291	\$193,095
BD FIRMS	1,566	\$391,500	1,681	\$420,250	1,680	\$422,590	1,657	\$414,250
FEDERAL ADVISER S	1,166	\$291,500	1,224	\$306,000	1,244	\$311,000	1,289	\$322,250
STATE IA'S	135	\$33,750	162	\$40,500	169	\$42,250	171	\$42,750
<b>TOTAL</b>	<b>135,380</b>	<b>6,679,835</b>	<b>149,099</b>	<b>\$7,338,190</b>	<b>156,371</b>	<b>\$7,673,350</b>	<b>157,256</b>	<b>\$7,715,525</b>

61. Please provide the data accumulated by the Insurance Bureau for the two most recent biennial reports.

Below is the insurance premium volume through 2016. The annual 2017 statements from the insurers operating in the District are not due until March 1, 2018, so DISB does not have 2017 financial information.

Volume of District Insurance Premiums (in thousands)\*

Category	CY15	CY16
Health	\$5,496,145	\$5,825,959
Life/Annuities	\$2,498,490	\$2,473,782
Property/Casualty	\$1,678,402	\$1,649,488
Surplus Lines	\$267,306	\$277,746
Title	\$66,127	\$71,797
RRG	\$50,630	\$49,068
<b>Total</b>	<b>\$10,057,100</b>	<b>\$10,347,840</b>

\*Data based on calendar year financial information

Approximately 1,300 insurance companies are licensed to operate in the District. There are 12 domestic companies that are incorporated in the District and 1,282 licensed companies that are incorporated in other states (“foreign companies”). They provide almost \$127 million in taxes and fees to the District’s General Fund. Note that the premium tax rate for life and property and casualty insurers recently reached its 5-year sunset and reverted to 1.7% instead of 2%, so the growth in tax revenue was less than usual. See the table on the next page.

**District Insurance Sector Taxes and Fees (in thousands)\***

<b>Revenue Source</b>	<b>CY15</b>	<b>CY16</b>
Taxes	\$106,104	\$106,887
Fees	\$21,481	\$20,036
<b>Total</b>	<b>\$127,585</b>	<b>\$126,923</b>

\*Data based on calendar year financial information

Through the National Association of Insurance Commissioners/State Based System services, DISB continues to improve and increase licensing and related processes by converting the previous paper and manual process to an electronic format. For the convenience of producers, birth-month renewals have been implemented and notices are transmitted electronically via e-mail. Insurance producers are now able to print their license as soon as they are approved, rather than waiting to receive it in the mail. This will speed up the process of issuing licenses and reduce the cost and workload on licensing staff to prepare and mail the approximately 90,000 licenses every two years. See the table below.

**District Insurance Licenses**

	<b>CY16</b>	<b>CY17</b>	<b>CY18 to date</b>
<b>Individual</b>			
Resident	1,327	1,296	1,312
Nonresident	79,836	82,782	84,008
<b>Total</b>	<b>81,163</b>	<b>84,078</b>	<b>85,320</b>
<b>Business Entity</b>			
Resident	124	118	118
Nonresident	5,831	6,065	6,094
<b>Total</b>	<b>5,955</b>	<b>6,183</b>	<b>62,12</b>
<b>Grand Total</b>	<b>87,118</b>	<b>90,261</b>	<b>93,322</b>

62. Please discuss the status of the DC Chartered Health Plan, Inc. rehabilitation.

DISB (with consent) placed DC Chartered Health Plan, Inc. in rehabilitation on October 19, 2012. The Commissioner, acting as Rehabilitator through its appointed Special Deputy Rehabilitator (SDR), among other things, auctioned and sold Chartered’s operating assets to AmeriHealth to ensure an orderly transfer of Chartered’s enrollees and minimize any disruption of medical services.



The Rehabilitator continues efforts to marshal the assets of Chartered, including pursuing legal claims, to pay creditors. As part of these efforts, Chartered is also suing DCHI, its corporate parent and sole shareholder. It is seeking reimbursement of \$17 million.

DCHI filed a lawsuit in U.S. District Court against the District of Columbia, the Commissioner, the Special Deputy Rehabilitator, and other current and former District officials, Mercer and AmeriHealth seeking \$90 million in damages. The lawsuit alleged that the Defendants conspired to unlawfully seize Chartered, a former Medicaid health insurance provider in the District, by using unsound actuarial rates, which caused the company to become insolvent. On September 17, 2017, Judge Leon granted Defendants' motion to dismiss on the grounds of lack of subject-matter jurisdiction. DCHSI has appealed the Order to dismiss. *See also response to Question 20 (Pending litigation).*

63. Please discuss the agency's collaboration with the Health Benefit Exchange Authority and whether the agency will play a role if the Patient Protection and Affordable Care Act (42 U.S.C. § 18001 et seq. (2010)) is affected by the Tax Cuts and Jobs Act, Pub. Law No: 115-97?

The Commissioner serves as a non-voting member of the Health Benefit Exchange Authority (HBX) Executive Board. Further, DISB, through a memorandum of understanding with the HBX, performs functions related to plan management for the HBX insurance marketplace. This includes review and certification of qualified health plans (QHPs), ongoing monitoring for market compliance, and resolution of complaints from both insurers and residents regarding plan offerings on DC Health Link, the District's online marketplace for individual and small group health plans. Through a separate memorandum of understanding with the HBX, DISB performs an assessment of insurers to fund DC Health Link. As the District of Columbia's insurance regulator, DISB reviews and approves all health insurance policy form and rate filings, including those plans sold on DC Health Link. Additionally, DISB has, through funds from the Center for Consumer Information and Insurance Oversight (CCIIO), undertaken complex studies of the health insurance market and begun to develop an online health insurance resource library. With these funds, DISB has also initiated efforts to enhance implementation of the market reforms in Part A of title XXVII of the Public Health Service Act; specifically, Section 2707, non-discrimination; Section 2713, coverage of preventive health services; Section 2719, appeals processes; and Section 2726, parity in mental health and substance use disorder benefits.

Section 2726 is particularly important, as the opioid crisis has been declared a public health emergency. To that end, Council has introduced Bill 22-0597, the "Behavioral Health Parity Act of 2017", which will codify in District law that health benefit plans meet the requirements of the federal Paul Wellstone and Pete Domenici Mental Health Parity and Addiction Equity Act of 2008. While the Bill was introduced with the Department of Health Care Finance (DHCF) being given the enforcement authority, both DHCF and DISB have suggested that DISB be given that authority, consistent with its current regulatory purview, and with input from DHCF and HBX. One goal of MHPAEA and other parity laws was to address cost-shifting from the commercial sector to the public sector for the financing of substance use disorder and mental health treatment. Expanding the private sector share of expenditures could

increase access to treatment for opioid and other drug use disorders. Nationally, as of 2014, private cost-sharing had not yet increased in proportion to the private sector share of the insurance market. It financed only 18% of substance abuse disorder treatment in 2014.

Through these efforts, DISB actively collaborates with the HBX on implementation of the Patient Protection and Affordable Care Act (42 U.S.C. § 18001 et seq. (2010)) (ACA), as well as on analysis and policy development in response to federal proposals that would undermine it. Recently such efforts to weaken the ACA include both the Tax Cuts and Jobs Act (Pub. Law No: 115-97) (TCJA) and the proposed rule on Association Health Plans (AHPs), unveiled on January 5, 2018, 83 FR 614, RIN:1210-AB85. The TCJA repeal of the ACA’s individual mandate will lead to an increase in premiums and loss of coverage for millions of Americans, and thousands of District residents. DISB anticipates the repeal of the individual mandate could increase premiums by about 10%, as also referenced by the American Academy of Actuaries and the Congressional Budget Office. On December 20, 2017, the Mayor issued a statement on the passage of tax reform legislation, in which she asked the HBX to reconvene the Affordable Care Act Working Group, made up of District stakeholders and health policy experts, to formulate recommendations to ensure that Washingtonians continue to have access to affordable, high-quality health care. DISB will have staff providing support to that working group as the District of Columbia considers options for market stability. Moreover, the proposed rule on AHPs could make it easier for small businesses, and some self-employed individuals, to band together and buy health insurance as one larger employer. While this could help those small businesses in the short term, it could cause a collapse of the market if the associations could attract younger and healthier consumers, leaving behind an older and sicker risk pool in the District of Columbia. Again, DISB is engaged in active discussions with the HBX about the potential impact of the AHP proposed rule, and efforts the District could take to mitigate market disruption.

Market Compliance

64. How many complaints did the agency receive during Fiscal Year 2017 and Fiscal Year 2018, to date? Please distinguish the complaints by the following types:
- a. Insurance;
  - b. Securities; and
  - c. Banking.

Industry Sector	Complaints received FY 2017	Complaints Received for FY 2018, as of 1/30/2018
Insurance	681	197
Securities	0	1
Banking	120	26
<b>Totals</b>	<b>801</b>	<b>224</b>

65. Please identify any trends in the complaints received in Fiscal Year 2017 and Fiscal Year 2018, year to date.

The Compliance Analysis Division (CAD) observed a year-over-year rise in nonrenewal of homeowners' insurance policies for FY 2017 and FY 2018, to date. The CAD will continue to monitor the trend to determine the drivers of the increase and provide regulatory action if appropriate. Regardless of the type of insurance coverage, claim handling represents the single greatest category and FY 2017 and FY 2018 continue to follow this pattern.

#### *Health Insurance Complaints*

Complaints about enrollment, claim denials, and use by consumers of out-of-network medical providers represent the single greatest area of complaint activity and range in any given year, from 35 percent to 50 percent. In FY 2017, health insurance complaints accounted for 35 percent of insurance complaints and, as of January 31, 2018, the trend holds up with 35 percent of insurance complaints attributed to health insurance.

#### *Auto Insurance Complaints*

Auto insurance complaints continue to follow the trend of being the Department's second greatest category of complaints. In FY 2017, 31 percent of insurance complaints related to auto insurance which involved claim handling, pricing, and termination of coverage. In FY 2018, to date, 26 percent of insurance complaints are auto-related.

#### *Homeowners Insurance Complaints*

Complaints about homeowner's insurance typically represent approximately 10 percent – 15 percent of insurance complaints. In FY 2017, 10 percent of insurance complaints were attributed to homeowners with 11 percent attributed to homeowners so far in FY 2018.

66. Please provide the data accumulated by the enforcement and consumer protections bureau for the biennial report for Fiscal Year 2017 and Fiscal Year 2018, to date.

DISB's complaint resolution process recovered more than \$800,000 that was returned to District residents in FY 2017. During FY 2017, DISB received 681 insurance complaints, 120 banking complaints, and zero securities complaints. To date in FY 2018, the Department closed 197 insurance complaints, 26 banking complaints, and 1 securities complaint within 45 days. Over \$113,000 has been recovered for District residents in FY 2018, to date.

The CAD referred 17 consumer complaints to internal, state, and federal partners including: DISB Enforcement, Housing Counseling Services, FINRA, the National Credit Union Association (NCUA), and the Consumer Finance Protection Bureau (CFPB).

**Enforcement and Consumer Protection Division (ECPD) DATA**

Insurance Type (Referrals from insurance companies, the general public, and law enforcement agencies to DISB)	FY 2017 Total	FY 2018 As of 1/31/18
Auto Insurance	408	92
Property Insurance	61	18
Casualty Insurance	4	0
Health Insurance	32	7
Life Insurance	14	3
Insurance – Other	12	3
Insurance Agent	9	0
Banking (Lending-Mortgage-related Fraud)	14	5
Securities	6	3
Workers’ Compensation	36	8
Other	49	13
<b>Totals</b>	<b>645</b>	<b>152</b>

Results of Investigations	FY 2017 Total	FY 2018 As of 1/31/18
Cases Opened	160	32
Cases Closed	121	24
DISB Cases Referred to U.S. Attorney’s Office	15	1
DISB Cases Accepted by U.S. Attorney’s Office	1	1
U.S. Attorney’s Office-DISB criminal case convictions	3	1
DISB Office of General Counsel Civil Actions	8	6
DISB Cases Referred to D.C. OAG for Criminal-Civil Action	1	0
DISB Cases Accepted by DC OAG	0	0

DC OAG-DISB case convictions	0	0
Referrals for false insurance registration of Out-of-State Automobiles(Maryland)	0	0
Total Restitution/Forfeitures	\$755,110.75	\$4,800
Total Incarceration Periods	8 years	0
Recoveries	0	0
Fines	\$100.00	\$25,100.00