



Government of the District of Columbia
Department of Insurance, Securities and Banking

Stephen C. Taylor
Commissioner

February 6, 2019

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, 2019 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 2018 and FY 2019.

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, 2019 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 2018-2019
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, 2019**



Stephen C. Taylor, Commissioner



Council of the District of Columbia Committee on Business and Economic Development FY18 and FY19 Performance Oversight Hearing Responses and Appendices

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Stephen C. Taylor, Commissioner

Council of the District of Columbia
Committee on Business and Economic Development
Councilmember Kenyan McDuffie, Chairperson

Department of Insurance, Securities and Banking
FY 2018 and FY 2019
Reponses to Performance Oversight Questions

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.

[There were no changes made.](#)

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
Wendell Felder	DISB	DMPED	Ongoing Need	9/16/18	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 2018 and Fiscal Year 2019, to date;

The Department of Insurance, Securities and Banking (Department or DISB) has 32 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 32 cell phones are listed below:

Employee	Device
Stephen Taylor	Cell Phone
Bright Ahaiwe	Cell Phone
Brian Williams	Cell Phone
Christian Washington	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
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
Thedford 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 2018 and Fiscal Year 2019, to date:

The Department 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 2018 and Fiscal Year 2019, to date;

Assistant General Counsels Lilah Blackstone, Simone dos Santos, Adam Levi, and Charlotte Parker received bonuses in FY 2018. There have been no bonuses awarded in FY 2019, to date. These bonuses were issued pursuant to the Legal Services Act.

Employees Tanya Bryant, Michelle Hammonds, and Christian Washington received quality step increases in FY 2018. There have been no quality step increases awarded in FY 2019, to date.

For more information, please see the response to Question 30.

- d. A list of travel expenses, arranged by employees for Fiscal Year 2018 and Fiscal Year 2019, to date, including the justification for travel; and

Please see Appendix 4 – FY 2018 and FY 2019, to date, Travel Expenses

- e. A list of the total overtime and workers' compensation payments paid in Fiscal Year 2018 and Fiscal Year 2019, to date, including the number of employees who received overtime and workers' compensation payments.

Overtime Payments

Fiscal Year	Number of Employees	Overtime Amount Paid
2018	14	9,015.58
		7,279.49
		2,628.23
		1,758.79
		1,318.09
		1,191.79
		643.24
		550.36
		506.13
		428.38
		346.54
		157.14
		70.55
		31.77
2018 Total		25,926.08
2019	11	1,875.06
		804.67
		788.65
		650.56
		578.43
		545.42
		380.78
		336.06
		334.01
		237.18
		79.73
2019 Total		6,610.55
Grand Total		32,536.63

Workers' Compensation Payments

There were no workers' compensation payments made in FY 2018 or FY 2019, 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 (ASM). The ASM accounts for inventory of all billable assets (e.g., landlines and cell phones) billed to each account each month. Further, the ASM reviews and certifies all vendor invoices. Additionally, the ASM 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?

The Department 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.

The Department 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 2018 and Fiscal Year 2019, to date, what was the total cost including, but not limited to, equipment and service plans for mobile communications and devices?

For FY 2018, the total cost for equipment and service plans for mobile communications and devices was **\$30,166.76**.

For FY 2019, the total cost, to date, for equipment and service plans for mobile communications and devices is **\$3,226.00**

6. Please provide a chart showing your agency's approved budget and actual spending, by division, for Fiscal Year 2018 and Fiscal Year 2019, to date. In addition, please describe any variance between fiscal year appropriations and actual expenditures.

Please see [Appendix 5 – FY 2018 and FY 2019 Budget and Actual Expenditures](#)

7. For FY 2018 and FY 2019, to date, please list all intra-District transfers to or from the agency. For each transfer, include the following details:
- Buyer agency;
 - Seller agency;
 - The program and activity codes and names in the sending and receiving agencies' budgets;
 - Funding source (i.e. local, federal, SPR);
 - Description of MOU services;
 - Total MOU amount, including any modifications;
 - Whether a letter of intent was executed for FY 2018 or FY 2019 and if so, on what date,
 - The date of the submitted request from or to the other agency for the transfer;
 - The dates of signatures on the relevant MOU; and
 - The date funds were transferred to the receiving agency.

Please see [Appendix 6 – FY 2018 and FY 2019 List of Intra-District Transfers](#)

8. Please list any additional intra-district transfers planned for FY 2019, including the anticipated agency(ies), purposes, and dollar amounts.

FY 2019 Planned Intra-District Transfers from Other Agencies

Program No.	Description	Seller Agency	Buyer Agency	Amount
SYE19N	Summer Youth Employment Program	Department of Insurance, Securities and Banking (DISB)	Department of Employment Services (DOES)	\$52,000.00
IAS19N	Insurers' Assessment Services	Department of Insurance, Securities and Banking (DISB)	Department of Healthcare Finance (DHCF)	\$81,000.00
Total				\$133,000.00

FY 2019 Planned Intra-District Transfers to Other Agencies

None to date.

9. For Fiscal Year 2018 and Fiscal Year 2019, 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 2018 and FY 2019 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 2018 and Fiscal Year 2019, 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 2018 and FY 2019 Contracting and Procurement](#)

11. For Fiscal Year 2018 and Fiscal Year 2019, 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 2018 and FY 2019 Purchase Card Spending](#)

12. Please list all memoranda of understanding (MOU) entered into by your agency during Fiscal Year 2018 and Fiscal Year 2019, to date, as well as any memoranda of understanding currently in force. For each, indicate the date entered and the termination date.

[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 2018 and Fiscal Year 2019, 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 of analysis and examination files, and coordinate their regulatory oversight.

Commissioner Taylor serves on the NAIC Executive Committee and is the Vice Chair for the NAIC's Northeast Zone. He also serves as Chair of the Consumer Participation Board of Trustees, Chair of the Consumer Liaison Committee, and Vice Chair of the Life Insurance and Annuities Committee, the Receivership and Insolvency Task Force and the Risk Retention Group Task Force. In addition, Commissioner Taylor serves as a member of the 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 third consecutive year, the District, along with four other states (California, New York, 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. The Department 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 the Department 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 established the State Engagement Coordinator to facilitate information exchange between the Insurance Bureau and CCIIO.

For the third consecutive year, the Department has worked with the Risk Management Department at Gallaudet University to have a summer interns from the program work at DISB as part of the Department's Financial Services Academy. This year, the students worked on projects investigating the insurance aspects of voice activated systems and cryptocurrency. The Department 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 the Department. The IAC has established an Autonomous Vehicle Subcommittee to review the insurance implications of autonomous vehicles.

Commissioner Taylor and Department staff are active participants in the Mayor's Autonomous Vehicle Interagency Working Group and have established our own internal working group to consider the insurance impacts on the autonomous vehicle market. The Department reviewed proposed Autonomous Vehicle legislation from the Department of Motor Vehicles.

Commissioner Taylor and Department staff regularly serve as subject matter experts on panels for professional education. Commissioner Taylor and staff have participated in panels organized by the American Council of Life Insurers, the American Academy of Actuaries, the Metro Alliance of Independent Insurance Agents, and the Securities and Insurance Licensing Association, among others.

Finally, the Health Care Policy Analyst serves as a member of the District's Interagency Coordinating Council.

Securities Bureau

Federal securities regulators -- The Securities and Exchange Commission (SEC) and Financial Industry Regulatory Authority (FINRA)

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). The Securities Bureau utilizes 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.

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.

The Securities Bureau 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 the Department – 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.

The Securities Bureau, in coordination with the Department's Enforcement and Consumer Protection Division, sends and receives referrals of apparent violations that are best handled by the SEC or by the Department, 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. Through access letters, we collaborate on enforcement matters with other state regulators, the SEC and FINRA.

Each year, Securities Bureau staff attends the mid-Atlantic Conference hosted by the SEC's Philadelphia Region to discuss 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.

NASAA and individual state securities agencies

The North American Securities Administrators Association (NASAA) is the association of securities regulators throughout North America. The Department is a full participating member. Department 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. The Department'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.

The Department's Examination Division participates in a quarterly conference call of the regulators in the Mid-Atlantic region hosted by FINRA. During the call, we discuss upcoming cycle exams, firms identified as high risk, trends, patterns and product concerns. We also discuss significant investigations, enforcement trends, cases, sweeps and multi-jurisdiction initiatives. As an open dialogue, we discuss new priorities or regulatory focus, recently approved FINRA new Membership Applications and state registration actions including upcoming meetings, conferences, and training opportunities. This collaboration helps us to avoid duplication and overlap.

The Department's Corporation Finance Division participates in coordinated reviews of multi-state offerings. The Corporation Finance Division participates in a monthly conference call of the state regulators of securities offerings. During the call, we discuss current issues and trends, various types of securities offerings, multi-state offerings, newly enacted or pending SEC and FINRA developments, and initiatives to facilitate capital formation by small businesses.

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 obtain information from the other state's regulator through the licensing and examinations processes. The state regulators also share how they have handled situations that may arise in other states.

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), Money Transmitter Regulators Association (MTRA) and the MD|DC Credit Union Association. 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 2018, 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, the Federal Reserve Bank of Richmond, Prosperity Now, and Coalition for Non-Profit Housing and Economic Development to produce an Economic Inclusion series during FY 2018. Bank on DC staff also presented on topics including Economic Mobility for Greater Washington and Pathways to Income & Wealth Creation for Women. Additionally, staff developed a Banking Round Table, co-sponsored by the FDIC, the Federal Reserve Bank of Richmond, the Office of the Comptroller of Currency (OCC), and the Department. Bank On is engaging with FDIC to ensure more financial institutions offer affordable financial products.

Bureau staff also worked with DOES and served as the Financial Advisor for the Summer Youth Employment Program; the D.C. LEAP (Learn, Earn, Advance, Prosper) 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 2018, the Department's 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 (NAIC), and the Department played a significant role in drafting the new standards. The Department is currently the co-chair of the NAIC Risk Retention Group (RRG) Task Force, which is charged with addressing current issues confronting the RRG industry. The District is a leading captive domicile

and has 33 active risk retention group captives. The District's work at the NAIC in general and on the RRG Task Force have made the Department a recognized leader in the RRG industry, which in turn has resulted in these companies locating in the District.

Enforcement and Consumer Protection Division

The Department's Enforcement and Consumer Protection Division (ECPD) has interacted with the following agencies:

- 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-SIUINTEL** – 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)

The Department collaborated with the District of Columbia Silver Jackets Team, an interagency group formed to mitigate flood risk in the District of Columbia. In conjunction with the Silver Jackets, the Department 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. Through this engagement, the CAD represented the agency on the “Institutionalizing Climate Action” Working Group and participated in the “Resilient DC Climate Control Summit.” In May 2018, the CAD presented at 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 2018 and FY 2019 to promote the DC BizCAP program, which provides funds to support small businesses in the District of Columbia. In addition, 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 2018 and FY 2019, to date, include alerting residents of potential scams and providing residents with information to better protect their property. The Department also collaborated with the Consumer Financial Protection Bureau (CFPB) in FY 2018 and FY 2019 to address District residents’ concerns related to managing their student loan debt.

14. Please describe any anticipated spending pressures for Fiscal Year 2019. Include a description of the pressure, the estimated amount, and any proposed solutions.

DISB does not anticipate any spending pressures in FY 2019.

15. Please list all currently open capital projects, including an update on all capital projects under the agency's purview in Fiscal Year 2018 and Fiscal Year 2019, to date, including the amount budgeted, actual dollars spent, and any remaining balances. In addition, please provide:
- An update on all capital projects begun, in progress, or concluded in Fiscal Year 2017, Fiscal Year 2018, and Fiscal Year 2019, to date, including the amount budgeted, actual dollars spent, and any remaining balances.
 - An update on all capital projects planned for Fiscal Year 2019 through Fiscal Year 2023.
 - Whether the capital projects began, in progress, or concluded in Fiscal Year 2017, Fiscal Year 2018, or Fiscal Year 2019, 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 2018 and Fiscal Year 2019, to date. For each, include a description of the need and the amount of funding requested.

There were no budget enhancement requests in FY 2018 or FY 2019, to date.

17. Please list, in chronological order, every reprogramming in Fiscal Year 2018 and Fiscal Year 2019, 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 2018 and Fiscal Year 2019. For each reprogramming, list the date, the amount, the rationale, and the reprogramming number.
- 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 2018			
Effective Date	Document No.	Description	Amount
6/13/2018	BJSR0133	This reprogramming was processed to move O-type budget from PS in various Activities to Activity 5070 and 5080 NPS budget. Funds were needed in NPS for Earned Income Tax Credit,	\$1,334,730.25

		Opportunity Accounts and Neighborhood Prosperity Programs.	
9/30/2018	BJSR0151	This reprogramming was processed to move O-type budget from equipment (CSG 0070) to telecommunications (CSG 0031). Originally, funds were budgeted under equipment for telecom infrastructure for the new building. However, the Office of Chief Technology Officer (OCTO) has determined that the appropriate classification should be CSG 0031.	\$150,000.00
Total			\$1,484,730.25
Note: These reprogrammings were made within DISB's O-type fund and did not change the Department's overall budget. Also, they did not impact the Department's ability to carry out directives or Committee recommendations.			
FY 2019			
There are no reprogramming actions for Special Purpose Revenue Funds in FY 2019, as of yet.			

18. Please list each grant or sub-grant received by your agency in Fiscal Year 2018 and Fiscal Year 2019, to date. List the date, amount, and purpose of the grant or sub-grant received.

Please see Appendix 11 – FY 2018 and FY 2019 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?

No FTEs are dependent on grant funding.

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)

In 2016, 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 filed against the District of Columbia, Commissioner Stephen Taylor, Special Deputy Dan Watkins, 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, Defendants used 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 in excess of \$90 million in damages. The Defendants adamantly deny the accusation.

The parties currently are in settlement talks. This litigation does expose the District to liability.

CareFirst

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 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.

A ruling on the constitutional claims may impact the Department's practices in that the claims seek to resolve the legal question of whether the Commissioner can enforce an order when another jurisdiction has issued a conflicting order.

Student Loan Servicing Alliance

In FY 2018, the Student Loan Servicing Alliance, an association of student loan servicers, sued the Department in the United States District Court for the District of Columbia in an effort to block the Department's implementation of the licensing of student loan servicers. Unfortunately, the court ruled that the District's licensing scheme and assessment of servicers who service student loans issued or owned by the federal government are preempted by the United States Department of Education. The Department is planning to make changes to the licensing process to comply with the Court's order. Going forward, the Department believes it continues to have authority to examine the servicers, collect complaint information and to assist student loan borrowers, and we will continue to do so in FY 2019.

21. Please provide the total number of administrative complaints or grievances that the agency received in Fiscal Year 2018 and Fiscal Year 2019, 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 program is designed to address disputes between consumers and financial services providers. The Department ensures that relevant providers licensed by the Department fulfill the terms and provisions of the contracts they issue and comply with District of Columbia law. Complaints received are assigned to a complaint handler who contacts the company to obtain an explanation about the complaint. The assigned investigator reviews the information obtained from the company for compliance with District laws and provisions of the contract. If it is determined that the company's actions violate District law or a provision of the contract, 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 consumer may seek judicial review in the courts. There is no provision for a Department hearing or appeal.

Industry Sector	Complaints received FY18	Complaints Received for FY19 as of 1/24/2019
Insurance	689	178
Securities	3	1
Banking	108	22
Total	770	201

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 2018 and Fiscal Year 2019, to date, along with the agency's compliance or non-compliance with any recommendations.

There were no 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 2018.

23. Please provide a copy of the agency's Fiscal Year 2018 performance plan. Please explain which performance plan objectives were completed in Fiscal Year 2018 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 2018 Performance Plan.

DISB met all key performance indicators (KPIs) in FY 2018.

Please see Appendix 13 – FY 2018 Performance Accountability Report for more detail.

24. Please provide a copy of your agency's Fiscal Year 2019 performance plan as submitted to the Office of the City Administrator.

Please see Appendix 14 – FY 2019 Performance Plan

25. Please provide the number of FOIA requests for Fiscal Year 2018 and Fiscal Year 2019, 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.

Number of FOIA requests received in Fiscal Year 2018 = 58

- a. Number of FOIA requests pending on October 1, 2017: 5
- b. Number of requests granted, in whole: 5
- c. Number of requests granted, in part, and denied, in part: 11
- d. Number of requests denied, in whole: 3
- e. Number of requests withdrawn: 4
- f. Number of requests referred or forwarded to other public bodies: 0

Other dispositions: 35

- a. No Records: 17
- b. Records not reasonably described: 4
- c. No Agency records: 10
- d. Fee-Related Reason: 2
- e. Improper FOIA for Other Reason: 2

Average response times

- a. Median number of days to process FOIA requests: 8.5 days
- b. Number of FTEs required to process: 2 FTEs
- c. Number of hours spent responding to requests: 1,310 hours

As of January 23, 2019

Number of FOIA requests received in Fiscal Year 2019, to date = 16

- a. Number of FOIA requests pending on October 1, 2018: 1
- b. Number of requests granted, in whole: 0
- c. Number of requests granted, in part, and denied, in part: 2
- d. Number of requests denied, in whole: 0
- e. Number of requests withdrawn: 0
- f. Number of requests referred or forwarded to other public bodies: 0

Other dispositions: 15

- a. No Records: 2
- b. Records not reasonably described: 1
- c. No Agency records: 11
- d. Fee-Related Reason: 1
- e. Improper FOIA for Other Reason: 0

Average response times

- a. Median number of days to process FOIA requests: 3.5 days
- b. Number of FTEs required to process: 2 FTEs
- c. Number of hours spent responding to requests: 28 hours

26. Please provide a list of all studies, research papers, reports, and analyses that the agency prepared, or contracted for, during Fiscal Year 2018 and Fiscal Year 2019, 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.

The Department 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.

The Department 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, Department staff, such as the Student Loan Ombudsman, regularly engages the public through large community events and small group or individual meetings. The Department also regularly solicits feedback on programs such as its

Financial Services Clinics, Bank on DC, Foreclosure Mediation, and Coffee & Capital. The Department also invites customer feedback through its web-based “Ask the Commissioner” link.

The Department also continues to utilize the Insurance Advisory Committee (IAC) to obtain feedback on insurance matters. The Committee includes representatives from the insurance industry, insurance producers, and the medical community as well as consumer advocates. The IAC provides suggestions to, and reviews legislation and regulations proposed by, the Department.

With respect to health insurance in the District, the Department held two public hearings: on June 6, 2018 and August 14, 2018. The focus of the hearings was the 2019 rates for policies to be sold on DC Health Link. At the first hearing, the Department heard from health insurance carriers and DC Health Link’s Executive Director. At the second hearing, the Department heard from District residents, producers and small business owners, in addition to the Department’s consulting actuary and the DC Health Link’s Executive Director. The Department will have two public hearings on the 2020 rates for plans sold on DC Health Link during FY 2019. All health insurance rate filings are posted to the Department’s website to allow input from the public prior to resolving the filings.

On January 30, 2018, the Department held its first public hearing on automobile insurance rates and underwriting criteria. The hearing aided the Department in improving its rate review process.

In addition, through the Securities Bureau’s presentations and panel discussions (e.g. SeniorSafe Training), the Department 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 also receives feedback from those events.

Finally, during December 2018, the Department conducted a public survey of its website: disb.dc.gov. The Department is reviewing the responses as part of an effort to make the site more user-friendly.

a. What has the agency learned from this feedback?

The Department uses the feedback received from regulated entities and individuals, the public, and other stakeholders to propose legislation and rulemakings; 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 compromise, consensus conclusions and valuable recommendations to the Department. The health insurance rate hearings gave the Department an opportunity to hear directly

from consumers and understand how the change in insurance rates affects them and their businesses and obtain cost savings for consumers.

- b. How has the agency changed its practices as a result of such feedback?

The Department 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 2018 that helped applicants compare prescription drug coverage and understand health insurance terminology (e.g., premium, deductible, and copayments). The Department also developed a consumer alert on flood insurance, and one on cybersecurity to help District residents protect their financial history and identity.

Receiving ideas from, and presenting proposals to, the IAC has reduced potential objections from stakeholders and allowed the Department to present more thoroughly vetted proposals for legislative and regulatory additions or changes. Additionally, the comments received from the 2018 health insurance rates public hearings helped the Commissioner push for additional rate reductions.

The Department values the feedback it receives from the public and its licensees. The Department will continue to solicit 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 2019, the Department will be implementing new customer satisfaction and “How we can help you?” surveys for several programs.

Personnel

28. Please separately list each employee whose salary was \$100,000 or more in Fiscal Year 2018 and Fiscal Year 2019, 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 2018 and Fiscal Year 2019, 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 2018 and Fiscal Year 2019, 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 2018

Employee Name	Bonus Paid	Reason
Blackstone, Lilah R.	\$2,841.50	Bonus paid pursuant to the Legal Services Act.
dos Santos, Simone M.	\$3,368.06	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.
Total	\$12,655.92	

FY 2019

There have been no bonuses paid in FY 2019, to date.

Special Award Payments

FY 2018

Employee Name	Amount	Reason
Bryant, Tanya	\$2,895.00	Quality Step Increase
Hammonds, Michelle	\$2,895.00	Quality Step Increase
Washington, Christian	\$2,248.00	Quality Step Increase
Total	\$8,038.00	

FY 2019

There have been no special award payments in FY 2019, 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.

- The Department's union 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. The agreements are effective October 1, 2017 through September 30, 2020.

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, the Department conducted annual performance evaluations of all its employees for the fiscal year ending on September 30, 2018. 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 Commissioner and the Acting Deputy Commissioner reviewed all evaluations and provided comments to Department managers. In addition, the Department required managers and supervisors to conduct mid-year reviews to ensure that all Department employees were meeting individual job requirements.

Agency Operations

33. Please list each new program implemented by the agency during Fiscal Year 2018 and Fiscal Year 2019, 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.

Office of the Commissioner

Financial Services Regulatory Sandbox – The Mayor established the District of Columbia Financial Services Regulatory Sandbox and Innovation Council. The Council is charged with studying and reporting on the feasibility of implementing a financial services regulatory sandbox in the District. The Council also is called upon to develop a blockchain and innovation regulatory framework to facilitate financial services innovation in the District. If a sandbox is feasible, the Council will include with its report legislative, programmatic and policy recommendations to implement the program. The Department does not anticipate any significant funding requirements at this time and will be able to absorb any funding requirements into the current budget. There are no documented results for this initiative because it just began.

Banking Bureau

Financial Empowerment Center – The Department received a \$50,000 planning grant from the Cities for Financial Empowerment (CFE) in the first quarter of FY 2019 to

develop a financial empowerment center in the District. The financial empowerment center will be staffed with professional financial counselors who will provide residents with a variety of services, including banking services, budgeting, savings, credit and debt management. The Department is using the funds from the planning grant to pay the costs associated with the planning phase. The planning phase has recently begun and there are no results for this initiative at this time.

34. Please explain the impact on your agency of any legislation passed at the federal level during Fiscal Year 2018 and Fiscal Year 2019, to date, which significantly affected agency operations. If regulations are the shared responsibility of multiple agencies, please note.

In June 2018, the federal government finalized a rule to make it easier for small businesses to band together to buy health insurance without some of the regulatory requirements that individual states and the Affordable Care Act (ACA) impose on smaller employers. The District of Columbia responded with Act 22-595, the Health Insurance Marketplace Improvement Act of 2018, in an effort to sustain a competitive health insurance market for small businesses in the District. The law gives the Department enhanced authority to regulate employer-based insurance and require new multiple employer welfare arrangements set up outside the District to get an insurance license to do business in the District.

The Patient Right to Know Drug Prices Act, which prohibits insurers and pharmacy benefit managers from restricting a pharmacy's ability to provide drug price information to a plan enrollee when there is a difference between the cost of the drug under the plan and the cost of the drug when purchased without insurance. Under current contracts with 'gag clauses,' pharmacists are prohibited from proactively sharing with customers if their prescription would cost less if they paid out-of-pocket, rather than utilizing an insurance plan. While this legislation does not significantly affect agency operations, the Department continues to closely monitor this issue. More than 25 states have enacted their own laws addressing gag provisions.

In November 2018, the federal government finalized regulations on religious and moral exemptions and accommodations for coverage of certain preventive services under the ACA. However, in early 2019, two federal judges blocked the contraception rules, so implementation is uncertain. Nevertheless, the District of Columbia enacted D.C. Law 22-275, the Defending Access to Women's Health Care Services Amendment Act of 2018, to ensure that women in the District continue to have access to these services even in the event of relaxed federal rules.

On December 21, 2018, federal law extended the National Flood Insurance Program's (NFIP) authorization to May 31, 2019. The law includes reforms to the NFIP to improve the financial stability, enhance the development of more accurate estimates of flood risk through new technology and better maps, increase the role of private markets in the management of flood insurance risks and to provide for alternative methods to insure against flood perils. The law also introduced a flood insurance affordability program which

would provide financial assistance through state programs for eligible low-income households to purchase flood insurance coverage.

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.	Student Loan Servicers (8/10/2018)

36. Please identify all electronic databases maintained by your agency, including the following:
- A detailed description of the information tracked within each system;
 - The age of the system and any discussion of substantial upgrades that have been made or are planned to the system; and
 - 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 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 the BlueExpress 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. 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.

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.

- **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).

Currently, there are no statutory or regulatory impediments to the Department's operations.

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 2019.

Priority #1

Health Insurance Rate Review – The Department 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, the Department prepared rules to ensure that all health insurers operating in the District provide an adequate network of health insurance providers, particularly mental health professionals. These efforts will ensure that residents will receive timely access to health care providers and will significantly reduce the need for insureds to incur increased medical costs because of the need to go out of network to receive the care they need. The Department will continue to look for ways to stabilize the individual and small group health insurance markets in the District and attract new carriers to the District's market. The Department is in the early stages of conducting a market analysis statutory review in support of implementing market reforms under the federal Public Health Service Act (PHS Act). The Department intends to explore the feasibility of a waiver of any provisions of the Affordable Care Act (ACA) to improve the District's health insurance market, with an emphasis on guaranteed availability and guaranteed renewability.

Priority #2

Prevention of Financial Exploitation of Seniors – The Department intends to continue to increase its efforts to protect District seniors from financial exploitation and abuse. The Department currently is preparing a survey that will seek to determine why seniors and other vulnerable adults in the District fail to report financial abuse. The results of the survey will help the Department develop initiatives to address this important problem. The Department continues to target 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, the Department has increased its enforcement efforts by conducting surveillance, examinations, and enforcement with an emphasis on going after individuals and firms that offer products and services to seniors, such as reverse mortgages.

Priority #3

Financial Empowerment Center – The Department continues to support District residents in their efforts to reach the middle class by offering a range of financial education programs. The Department received a \$50,000 planning grant from the Cities for Financial Empowerment in the first quarter of FY 2019 to create a financial empowerment center in the District. The financial empowerment center will be staffed with professional financial counselors who will provide residents with a variety of services, including banking services, budgeting, savings, credit and debt management. The financial empowerment center will offer these services using resources from District government, non-profit organizations and corporations. The planning phase will commence in late FY 2019 and the center will open in FY 2020. The Department 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 204 financial literacy-based classes and access to banking events in FY 2018, impacting 6,695 residents; conducted a web-based financial education pilot and campaign; and trained 20 youth to become financial education peer facilitators for the 2018 Summer Youth Employment Program. In FY 2018, Bank on DC opened 827 bank accounts. A total of 11,830 accounts have been opened since 2010, saving individual residents approximately \$800 per year in check cashing fees, or an estimated savings of approximately \$9.4 million over the life of the program. The Department will continue these efforts in FY 2018 by sponsoring and attending events throughout the District.

Priority #4

DC BizCAP - The Department continues to administer the District of Columbia Business Capital program (DC BizCAP), and work to identify ways to improve the efficacy of DC BizCAP, which was established to administer the District's funds provided by the federal State Small Business Credit Initiative. In FY 2018, the Department met with participating lenders and the business community to promote DC BizCAP as a useful tool in providing access to capital to new and emerging small businesses. The Department also plans to create strategic partnerships with business incubators and sister agencies to identify capital needs throughout the District. The Department also is working closely with the District's Department of Small and Local Business Development to coordinate the delivery of technical assistance and capital to eligible businesses.

Priority #5

Modernization of Financial Services Regulation – The Department is evaluating the most efficient and effective methods of embracing new technology and innovation to modernize financial services regulation in the District and improve services for residents and organizations alike. As part of this effort, the Department is going to stand-up and support the District of Columbia Financial Services Regulatory Sandbox and Innovation Council. The Council is charged with studying and reporting on the feasibility of implementing a

financial services regulatory sandbox in the District. The Council also is called upon to develop a blockchain and innovation regulatory framework to facilitate financial services innovation in the District. If a sandbox is feasible, the Council will include with its report legislative, programmatic and policy recommendations to implement the program.

39. Please discuss the 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 viable options have been established, counselors work with the borrower as well as the lender to assist in pursuing the best option. This is done by completing loss mitigation packages, attending mediations, attending court hearings, and participating in conference calls with lenders. The Department 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. Since February 2018, the Department has provided a bi-monthly foreclosure clinic in Ward 7 as an outreach initiative in the greater southeast area.

To engage delinquent homeowners with the Department's services, the Department conducts outreach (through fairs, community meetings, mailings, advertisements on metro, radio, and print). The Department also monitors the District of Columbia Recorder of Deeds online services system to locate delinquent homeowners. Typically, the Department assists delinquent borrowers until a logical solution has been reached or until the homeowner decides he or she no longer wants to receive the Department's services. In some circumstances, 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 2018 and Fiscal Year 2019, to date? Please distinguish between residential and commercial foreclosures?

The Department only has authority to receive, investigate, and process the Notices of Default (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). The Department relies on the Recorder of Deeds to provide data on the number of Trustees Deeds (actual foreclosures) where ownership changes hands. Therefore, the Department only can report on what it has received and what the Recorder of Deeds has listed on its website. The Department 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 2018	29	12
FY 2019, to date	1	0

Total Number of Notices of Trustees Deed (Actual Foreclosures)

	Total – Notice of Trustees Deeds
FY 2018	516
FY 2019, to date	17

Source: D.C. Recorder of Deeds

c. Is the foreclosure rate improving in the District?

The judicial foreclosure process has eliminated a large backlog of foreclosure cases that were delayed as a result of the “foreclosure moratorium” that took place during a two-year period after the emergency mediation legislation was enacted by the Council of the District of Columbia. Viewing the raw statistics, a false picture would appear that there were no foreclosures for the three years immediately following the mortgage meltdown and then a huge spike in foreclosures once the first cases started to wind their way through the judicial early mediation process, which (at that time) took nearly 18 months to complete. Now, with the backlog alleviated, the judicial early mediation process takes approximately eight to nine months, still allowing homeowners opportunities to seek solutions. Unfortunately, because of the length of time to navigate the judicial process, many of these homeowners were so far behind that selling their homes became a more viable solution.

The number of clients serviced continues to be about the same from 2016-2018 with these years trending higher than 2015.

- d. Which Wards and/or neighborhood are being impacted the most by foreclosure?

Below is a breakdown, by ward, which shows the percentage of residents served over the past 3 years through the HCS contract. These figures do not necessarily correspond to overall foreclosure rates across all wards of the District.

<u>Ward</u>	<u>2018</u>	<u>2017</u>	<u>2016</u>
1	7%	6%	8%
2	1%	1%	2%
3	3%	2%	4%
4	18%	19%	21%
5	22%	22%	19%
6	9%	5%	5%
7	26%	27%	25%
8	14%	18%	16%

- e. How has the agency worked to reduce backlog?

Currently, the Department does not have a backlog in serving residents facing foreclosure. The Department and HCS are generally able to schedule residents for consultation within the first week of initial contact.

40. Please provide an update of the agency's foreclosure mediation program.

Through a Department-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. 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. The Department brought this matter to the attention of the courts and the time permitted to complete a package was restored to 30 days. In FY 2018, we have continued to see the benefit of allowing 30 days for the completion of a mediation package. This additional time helps the borrower because they have more time to collect all the information they need for their mediation package. 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>2018</u>	<u>2017</u>	<u>2016</u>	<u>2015</u>
District Residents Served	686	645	707	536
Home Foreclosure Modifications	91	87	111	54
Mortgages Brought Current	57	43	24	27
Outreach Letters Sent	940	1,157	1,684	1,522
Hotline Calls	866	845	873	858
DC Judicial Mediations Hearings	4859	6,722	6,156	2,670
Values of Properties Saved	\$95,800,481	\$50,295,205	\$74,048,290	\$37,260,290

41. In Fiscal Year 2018 and Fiscal Year 2019, to date have the number of judicial foreclosures decreased, increased, or remained the same?

While the Department is unable to provide information on the actual number of judicial foreclosures, in 2018 the Superior Court increased its capacity for handling foreclosure cases and cleared the remaining backlog by adding judges to the relevant docket to eliminate the foreclosure backlog. The Court appears to have maintained this increased capacity in 2019. The judicial early mediation timeline has decreased from 18 months at the inception of the process to approximately eight to nine months at present. Since the backlog has been eliminated, the Department will be monitoring the foreclosure numbers closely so that should an increase occur, the Department can determine why and take action.

42. In Fiscal Year 2018 and Fiscal Year 2019, 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, the Department 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, the Department formulates strategies to assist the court in finding ways to ensure that the rights of District residents are protected. Department staff regularly are in contact with representatives from the Superior Court to determine if any troubling trends can be identified.

43. What agency programs or procedures has the agency used to prevent deceptive mortgage practices?

The Department'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.

Finally, the Banking Bureau continues to prepare and issue consumer guides regarding mortgage scams and deceptive practices within the mortgage industry. Banking Bureau staff also 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 2019.

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 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.

The Department 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. DISB began offering the Financially Fit DC online tool in Spanish in 2018. To date, 4,212 residents (1,481 adults and 2,731 youth, aged 14 to 24) have signed up for the online program. Through the online program, residents can, assess their financial capability, as well as learn about saving, investing, homeownership, credit reports, loans, setting goals, and creating an action plan.

The initiative is an extension of the Department's efforts to bring financial education and empowerment to residents. Plans are being considered to expand the initiative with the development of Opportunity Accounts, which provide a matched savings program for District residents. Additionally, the Department has diligently worked on the development of Financial Empowerment Center for the District, which is set to become operational in FY2020. The District was selected to participate in the 2018-2019 planning cohort with 9 other cities.

The Financially Fit DC initiative also included the second cohort of the DC Home Buyers Club in FY 2018. In partnership with DCHD, University Legal Services Inc. worked with residents to make homeownership a more attainable dream for working individuals, 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.

During the second cohort, there were 25 participants. At the end, two participants became homeowners and while the other participants are still in various phases of the home purchase process, based on their personal financial situation and goals. All received the necessary resources to begin their journey.

In FY 2018, there were 20 Financially Fit DC Financial Education Sessions, with 764 residents served, and since the beginning of FY 2019, thirteen events have been held and 293 residents reached.

45. How many District-wide town hall meetings did the agency hold in Fiscal Year 2018 and Fiscal Year 2019, year to date? For each meeting, please discuss the locations, dates, topics of discussion, and number of attendees.

The Department participated in 355 presentations, panel discussions, expos, summits and other events throughout the District in FY 2018, and 60 thus far in FY 2019. The Department has attended events in each ward of the city. Below are some highlights of the Department's outreach efforts.

In FY 2018, the Department continued its Coffee & Capital series which provides small business owners and lenders detailed information about small business financing offered

through DISB. The events were hosted at locations throughout the District and gave small business owners an opportunity to learn about ways to gain financial support to start or expand businesses. DISB also partnered with the Department of Housing and Community Development, Department of Small and Local Business Development, Department of Consumer and Regulatory Affairs and the Office of Veterans' Affairs to inform more District small business owners about DC BizCAP.

Department staff made a concerted effort to educate the District's veterans community on the Department's consumer services and resources. DISB partnered with the Mayor's Office of Veterans Affairs to promote the Financially Fit DC initiative to help District veterans protect their personal property and build wealth. The Department held its first Financial Services Clinic with District veterans in September 2018.

The Department's Office of Communications, in conjunction with the DC Elder Abuse Prevention Committee, continued to promote programs to reach seniors, disabled persons and other vulnerable populations through targeted outreach at senior wellness centers, AARP neighborhood chapters, parks, recreation centers, senior housing and religious institutions. The promotion resulted in 48 events at senior centers across the city reaching 1,412 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.

The Department also collaborated with the Department of Housing and Community Development (DHCD) 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, the Annual Tenant and Tenant Association Summit, Planning Day and the Moneywise Empowerment Tour.

The Department continued its role as a resource for financial education by co-hosting and offering train-the-trainer sessions on 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, Entrée DC and WeDC Fest to promote DC BizCAP, which provides resources for those looking to start or expand businesses in the District. The Department also provided speakers to discuss business financing options—DISB's DC BizCAP program and District of Columbia-Only Securities Offerings Exemption. DISB staff moderated a panel

discussion on small business financing at the 2018 DC Procurement Technical Assistance Center Small Business Summit.

- Great Streets Conference: DISB participated in the Great Streets Conference and provided small business owners with information on ways to gain access to capital 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 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; Community Clergy for Wealth Preservation; the Federal Deposit Insurance Corporation; 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, Department of Homeland Security and Emergency Management Agency, Department of Consumer and Regulatory Affairs, Mayor's Office on Veterans Affairs 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, National Retirement Week, and the District's Earned Income Tax Credit initiative.
- In FY 2018, DISB collaborated with the Community Clergy for Wealth Preservation, Federal Deposit Insurance Corporation, District Office on Aging and the District Office on Religious Affairs to hold its first forum on elder resources for the faith-based community.

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 2018 and Fiscal Year 2019, to date?

- a. Are additional resources necessary to implement the provisions of the Dodd-Frank Act?

Insurance Bureau

There are two main areas where the Dodd-Frank Act impacts insurance regulation. The first is surplus lines reinsurance and the second is the Federal Insurance Office. The Nonadmitted and Reinsurance Reform Act of 2010 (NRRRA) provides that the taxation

of surplus lines business follows the insured's home state law. District law on surplus lines taxation did not contradict the NRRRA, so we have been able to continue processing surplus lines tax with no material change in premium volume subject to D.C. surplus lines tax.

The second impact is the creation of the Federal Insurance Office (FIO) which is tasked with monitoring several aspects of the U.S. insurance industry. The FIO produces an annual report on the insurance industry as well as periodic specialized reports. The FIO has been less active under the current administration and has not had any impact on the work of the Department.

Securities Bureau

The Securities Bureau continues to regulate 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 Examinations Division of 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.

Banking Bureau

Overall in the Banking Bureau, current resources are satisfactory.

The District has seen an increasing trend, which also has been noticed by other state regulators, of complex products using new technologies (e.g., bitcoin, blockchain, and smartphone payments). There also has 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, the Department 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. The Department 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. Thus far in FY 2019, there are two new deals that the Department could potentially execute.

48. What outreach has been done to make District-based businesses, especially Certified Business Enterprises, aware of this program?

The Department has continued its “Coffee & Capital” series, which provides small business owners and lenders with detailed information about financing offered through the Department. 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, the Department 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.

The Department also continues to foster a strong partnership with the Department of Small and Local Business Development (DSLBD) to ensure that current and prospective small business owners have seamless access to relevant resources.

49. In Fiscal Year 2018 and Fiscal Year 2019, 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?

The Department has collaborated with the Department of Small and Local Business Development (DSLBD) in cases in which borrowers may approach the Department 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, Department staff have had regular discussions with DSLBD and the Department of Consumer and Regulatory Affairs (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 2018 and Fiscal Year 2019, to date and please provide the Ward where each business is located.

In FY 2018, the DC BizCAP Collateral Support Program helped restructure a loan for a Ward 3 business to modify financing to improve cash flow to allow the business to expand its operations. In FY 2019, there are two potential deals that the Department currently has under consideration. At present, the Department is working on finalizing a loan with an independent clothing store and exploring a loan opportunity for a small construction company.

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 2018 and Fiscal Year 2019, 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.

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 Department of the Treasury (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 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 2018 and Fiscal Year 2019, to date, how has the agency engaged Ward 7 and 8 businesses to participate in the State Small Business Credit Initiative?

DC BizCAP staff have participated in DISB "Coffee & Capital" events in Wards 7 and 8. In addition, DC BizCAP 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, the District's investment crowdfunding program, became effective in FY 2015, on October 24, 2014. Since inception, DISB approved three applications under the rules. No applications were submitted during FY 2017 and FY 2018, and there are currently no applications pending. In terms of the number of applications filed under rules in FY 2017 and FY 2018, the District's experience is similar to that of other states with crowdfunding programs. The SEC adopted its own Crowdfunding Program pursuant to the Jobs Act that has attracted interest amongst some small businesses around the country. During FY 2019, the Department intends to review its rules and consult with small business leaders in the District to obtain recommendations to modify the program to attract more entrepreneurs and small businesses.

53. Please explain why the agency has not proposed or advocated for District or federal government resources to streamline capital flow to local businesses?

The District applied for and received \$13.2 million from the United States Department of the Treasury to fund the DC BizCAP 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.

Institution Name	Charter Type
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

As of December 31, 2018, there are 30 banks with 215 branches in the District.

There are also five international representative offices of foreign banks in the District of Columbia, which are licensed and regulated by DISB and the Federal Reserve.

Institution Name	Country of Domicile
Banque Transatlantique	France
Banque Centrale Populaire	Morocco
Barclays Bank	United Kingdom
Japan Bank for International Cooperation	Japan
Standard Chartered Bank	United Kingdom

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.

The Department completed the focus groups and public engagement activities associated with the study in the first quarter of FY 2019. The Department is currently reviewing a report based on the study.

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 2018 and Fiscal Year 2019 to date, expressing interest in operating bank branches in Wards 5, 7, and 8?

The Department met with multiple prospective banking partners in FY 2018 and FY 2019. In FY 2018, JP Morgan Chase announced that it would be opening branches in Ward 7 and Ward 8. Also, the Department is currently working with a new prospective community bank that would be located just across the river in Ward 6. Although this bank will not be located in Ward 5, 7, or 8, the prospective bank wants to focus on providing bank services to the residents of Ward 7 and Ward 8 and it wants to be an active member of the community in those wards. A hearing on the prospective new bank is scheduled for February 19, 2019.

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 began to prepare for accreditation in FY 2018 and we are anticipating completing the accreditation process in late FY 2019.

58. Please provide the data accumulated by the agency's banking division for the biennial report for Fiscal Year 2017, Fiscal Year 2018 and Fiscal Year 2019, year to date.

DISB - Banking Bureau Licensing Statistics			
Category:	FY 2017	FY 2018	FY 2019, Year to Date
Mortgage Lenders/Brokers	1,402	1,397	1,296
Mortgage Loan Originators	5,353	5,512	5,723
Check Cashers	76	74	68
Money Transmitters	103	111	114
Retail Seller and Consumer Sales Finance Companies	82	88	92
Money Lenders	44	48	48
Student Loan Servicers	N/A	16	28
Total	7,060	7,246	7,370

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

FY 2018	FY 2019, to date
11	8

Growth of District Captives (numbers in \$millions)

	CY 2015	CY 2016	CY 2017
Gross Premiums Written	742	787	2,144
Net Premiums Written	396	428	5,021
Net Premiums Earned	391	414	4,982
Underwriting Profit	105	79	46

Asset and Capital and Surplus Growth of District Captives (numbers in \$millions)

	CY 2015	CY 2016	CY 2017
Cash and Invested Assets	2,740	2,560	5,555
Total Assets	3,204	3,358	7,040
Total Capital and Surplus	975	1,012	1,295

Premium Tax and Fee Revenue by Calendar Year

	CY 2015	CY 2016	CY 2017
Premium Taxes	\$2,024,403	\$2,174,102	\$2,545,343
Fines and Fees	\$57,190	\$41,460	\$52,640

CAPCO Fee Revenue by Calendar Year

	CY 2016	CY 2017	CY 2018	CY 2019 to date
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.

Securities Offerings for 2017 and 2018				
	FY17		FY18	
	Filings	Fees Collected	Filings	Fees Collected
Mutual Funds Notice Filings (Paper)	4,072	\$1,816,023	3,999	\$1,891,323
Mutual Funds Notice Filings (Electronic)	23,298	\$10,898,451	21,256	\$10,789,671
Registrations	77	\$100,080	54	\$70,000
Exemption Filings	1,174	\$277,540	1,397	\$308,350
Totals	28,621	\$13,092,094	26,706	\$13,059,344

Securities Offerings for 2015 and 2016				
	FY15		FY16	
	Filings	Fees Collected	Filings	Fees Collected
Mutual Funds Notice Filings (Paper)	7,905	\$3,743,681	4,636	\$2,553,190

Mutual Funds Notice Filings (Electronic)	20,016	\$9,294,428	22,579	\$10,375,528
Registrations	45	\$56,900	49	\$57,500
Exemption Filings	1,197	\$270,890	997	\$227,175
Totals	29,163	\$13,365,899	28,261	\$13,365,899

Examinations

Category	FY16	FY17	FY18	FY 19 to date
Carried over exams	8	8	5	6
Opened exams	18	22	20	6
Closed Exams	18	25	19	4
Pending exams	8	5	6	8

Enforcement Recommendations

Category	FY16	FY17	FY18	FY19 to date
Carried over cases	9	5	4	3
Opened open cases	9	1	1	0
Closed cases	13	2	2	0
Pending cases	5	4	3	3

Licensing

Category	FY15 UNITS	FY15 FEES	FY16 UNITS	FY16 FEES	FY17 UNITS	FY17 FEES	FY18 UNITS	FY18 FEES
Agents	141,730	\$6,377,850	148,891	\$6,700,095	149,848	\$6,743,180	155,600	\$7,002,000
IA REPS	4,302	\$193,590	4,387	\$197,415	4,291	\$193,095	4,440	\$198,000
BD FIRMS	1,681	\$420,250	1,680	\$422,590	1,657	\$414,250	1,640	\$410,000
FEDERAL ADVISERS	1,224	\$306,000	1,244	\$311,000	1,289	\$322,250	1,216	\$304,000
STATE IA'S	162	\$40,500	169	\$42,250	171	\$42,750	281	\$70,250
TOTAL	149,099	\$7,338,190	156,371	\$7,673,350	157,256	\$7,715,525	163,137	\$7,984,250

61. Please provide the data accumulated by the Insurance Bureau for the two most recent biennial reports.

Below is the insurance premium volume through 2017. The annual 2018 statements from the insurers operating in the District are not due until March 1, 2019, so DISB does not have 2018 financial information.

Volume of District Insurance Premiums (in thousands)*

Category	CY16	CY17
Health	\$5,825,959	\$5,051,152
Life/Annuities	\$2,473,782	\$2,939,568
Property/Casualty	\$1,649,488	\$1,687,395
Surplus Lines	\$277,746	\$259,500
Title	\$71,797	\$75,596
RRG	\$49,068	\$56,358
Total	\$10,347,840	\$10,069,569

*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 2.0%, so the growth in tax revenue was less than usual. See the table below.

District Insurance Sector Taxes and Fees (in thousands)*

Revenue Source	CY16	CY17
Taxes	\$106,887	\$110,392
Fees	\$20,036	\$22,580
Total	\$126,923	\$132,972

*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

	CY17	CY18	CY19 to date
Individual			
Resident	1,296	1,290	1,307
Nonresident	82,782	90,280	91,014
Total	84,078	91,570	92,321
Business Entity			
Resident	118	119	120
Nonresident	6,065	6,384	6,432
Total	6,183	6,503	6,552
Grand Total	90,261	98,073	98,873

62. Please discuss the status of the DC Chartered Health Plan, Inc. rehabilitation.

DC Chartered Health Plan, Inc. was placed in rehabilitation on October 19, 2012 by consent. The Commissioner, acting as Rehabilitator through the 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 is continuing efforts to marshal the assets of the Chartered, including pursuing legal actions, to pay creditor claims. The claims of Chartered's former providers and tax claims of the federal and District of Columbia governments are the most significant claims remaining. Chartered currently has a pending lawsuit against DCHSI and its sole shareholder for \$17 million, which includes a \$12 million claim for payment to Chartered under an indemnification agreement guaranteed personally by DCHSI's sole shareholder.

In addition, DCHSI, the parent and sole shareholder of Chartered, has filed a lawsuit against the District of Columbia, the Commissioner, the Special Deputy Rehabilitator, other current and former District officials, Mercer and AmeriHealth seeking \$90 million in damages. The parties currently are in settlement talks. See summary of the case in response to Question #20.

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, ex-officio member of the Health Benefit Exchange Authority ("HBX") Executive Board. Further, the 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 with regard to plan offerings on DC Health Link, the District's online marketplace for individual and small group health plans. Further, the DISB, through a separate memorandum of understanding with the HBX, carries out the assessment of insurers to fund DC Health Link. As the District of Columbia's insurance regulator, the DISB reviews and approves all health insurance policy form and rate filings, including those plans sold on DC Health Link.

Additionally, the 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, the 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.

Through these efforts, the 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 to undermine it. Recent such efforts to weaken the ACA includes the Tax Cuts and Jobs Act (Pub. Law No: 115-97) ("TCJA") which zeroed out the ACA's individual mandate and will lead to an increase in premiums and loss of coverage for millions of Americans and could have also adversely impacted District residents. The District, however, was one of a handful of jurisdictions that implemented a state-level mandate to address the removal of the federal mandate.

Market Compliance

64. How many complaints did the agency receive during Fiscal Year 2018 and Fiscal Year 2019, to date? Please distinguish the complaints by the following types:
- Insurance;
 - Securities; and
 - Banking.

Industry Sector	Complaints received FY 2018	Complaints Received for FY 2019, as of 1/24/2018
Insurance	689	178
Securities	3	1
Banking	108	22
Totals	770	201

65. Please identify any trends in the complaints received in Fiscal Year 2018 and Fiscal Year 2019, year to date.

The Compliance Analysis Division (CAD) observed a year-over-year rise in nonrenewal of homeowners' insurance policies for FY 2018 and FY 2019, 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 2018 and FY 2019 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 2018, health insurance complaints accounted for 36 percent of insurance complaints and, as of January 22, 2018, the trend holds up with 32 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 2018, 23 percent of insurance complaints related to auto insurance, which involved claim handling, pricing, and termination of coverage. In FY 2019, to date, 23 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 2018, 12 percent of insurance complaints were attributed to homeowners with 11 percent attributed to homeowners so far in FY 2019.

66. Please provide the data accumulated by the enforcement and consumer protections bureau for the biennial report for Fiscal Year 2018 and Fiscal Year 2019, to date.

The Department's complaint resolution process recovered more than \$1 million for District residents in FY 2018. During FY 2018, DISB received 689 insurance complaints, 108 banking complaints, and 3 securities complaints. To date in FY 2019, the Department closed 178 insurance complaints, 22 banking complaints, and 1 securities complaint within 45 days.

Enforcement and Consumer Protection Division (ECPD) DATA

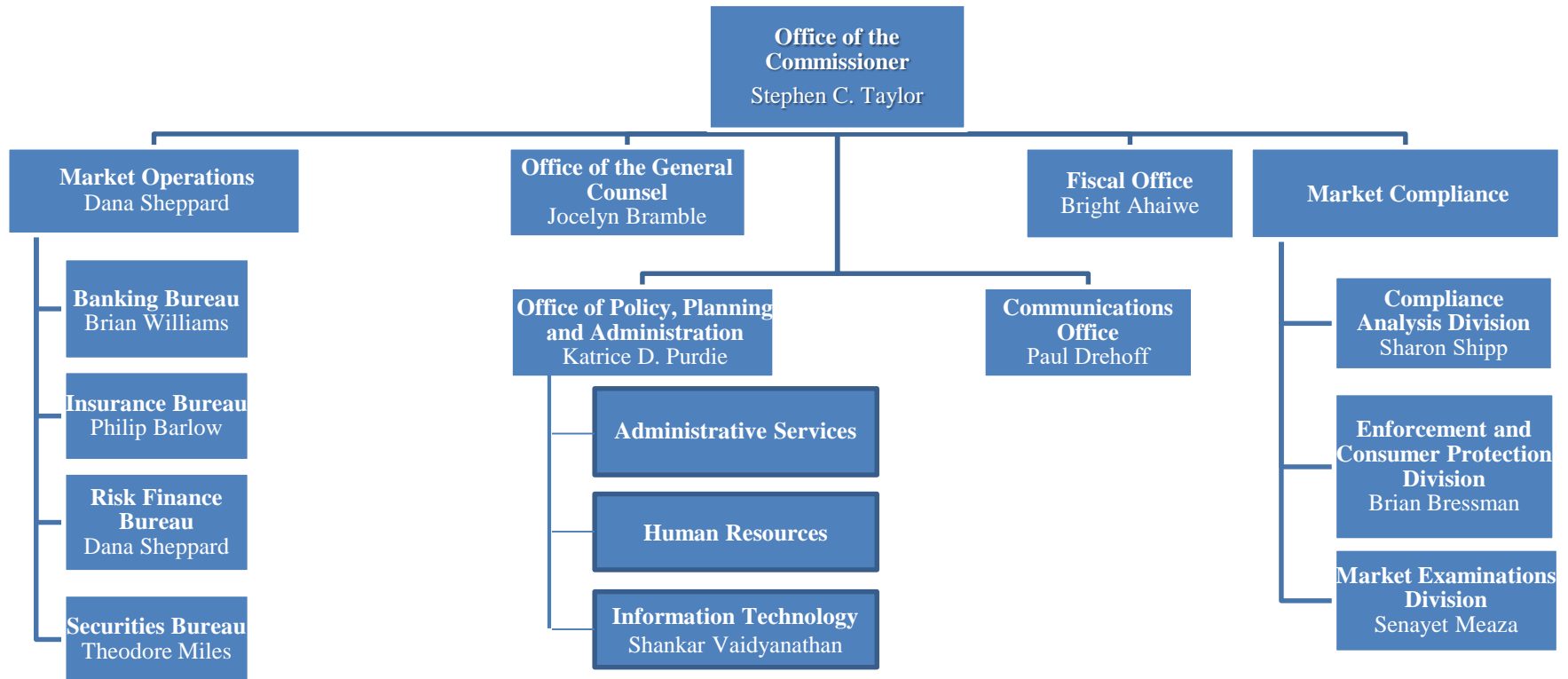
Insurance Type (Referrals from insurance companies, the general public, and law enforcement agencies to DISB)	FY 2018 Total	FY 2019 As of 1/20/19
Auto/Property Insurance	286	171
Health Insurance	17	2
Life Insurance	7	3
Insurance Regulatory	20	16
Insurance – Other	12	2
Insurance Agent or Adjuster	5	2
Banking Regulatory and/or Fraud	21	5
Securities	13	3
Workers' Compensation/Disability	20	14
Other	5	13
Totals	406	231

Results of Investigations	FY 2018 Total	FY 2019 As of 1/20/19
Cases Opened	106	49
Cases Closed*	122	51
DISB Cases Referred to U.S. Attorney's Office	3	1
DISB Cases Accepted by U.S. Attorney's Office	3	1
U.S. Attorney's Office-DISB criminal case convictions	3	0
DISB Office of General Counsel Administrative Actions	5	2

Results of Investigations	FY 2018 Total	FY 2019 As of 1/20/19
Total Restitution/Forfeitures	\$74,997.68	0
Total Incarceration Periods	5 Years	0
Recoveries	0	0
Fines	\$25,200.00	0

Appendix 1

Government of the District of Columbia
Department of Insurance, Securities and Banking
Organizational Chart (as of January 23, 2019)



Appendix 2

Department of Insurance, Securities and Banking (SRO) Schedule A - As of January 23, 2019

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	Human Resources Specialist	Simmons,Marlene O	7/11/2005	13.5	F	Reg	DS0087	12	4	1	80,785.00	17,045.64	
			00022252	Management Liaison Specialist	Pettigrew,Alice VonEva	5/26/2009	9.7	F	Reg	DS0087	11	6	1	69,327.00	14,628.00	
		1010 Total											2	150,112.00	31,673.63	
		1017	00045891	Management Liaison Specialist	Vacant	Vacant		V	Reg	DS0087	11	0	1	59,727.00	12,602.40	In recruitment. Posting pending.
		1017 Total											1	59,727.00	12,602.40	
		1040	00015485	Information Technology Special	Guishard,Michael	11/2/2015	3.2	F	Reg	DS0077	13	5	1	103,905.00	21,923.96	
			00024853	SUPPORT SERVICES SPECIALIST	Tolson,Gerald J	3/4/1985	33.9	F	Reg	DS0077	11	9	1	81,211.00	17,135.52	
			00025123	Administrative Services Progra	Vacant	Vacant		V	Reg	DS0086	14	1	1	125,642.00	26,510.46	Filled. Start Date 2/17/19
			00025163	Staff Assistant	Vacant	Vacant		V	Reg	DS0077	9	1	1	53,620.00	11,313.82	In recruitment. Position posted.
			00025507	CLERICAL ASSISTANT	Murphy,Marcus	8/21/2017	1.4	F	Reg	DS0079	7	2	1	45,931.00	9,691.44	
			00027840	Chief Information Officer	Vaidyanathan,Shankar	5/7/2001	17.7	F	Reg	DS0086	15	0	1	150,423.05	31,739.26	
			00034872	Chief of Policy and Administra	Purdie,Katrice Diana	2/22/2005	13.9	F	Reg	DS0086	16	0	1	128,961.56	27,210.89	
			00035768	INFO TECH SPEC	Anderson II,Lloyd J	3/22/2005	13.8	F	Reg	DS0077	13	8	1	112,764.00	23,793.20	
			00035827	Imaging Specialist	Patterson,Deserie	10/13/1998	20.3	F	Reg	DS0077	9	10	1	69,037.00	14,566.81	
			00035828	ADMIN SPEC	Glass,Kendra	5/26/2015	3.7	F	Reg	DS0077	11	5	1	72,907.00	15,383.38	
			00075356	CLERICAL ASSISTANT	Polk,Jasmine	3/19/2018	0.8	F	Reg	DS0079	7	1	1	44,389.00	9,366.08	
		1040 Total											11	988,790.61	208,634.82	
		1060	00041785	SUPERVISOR TRIAL ATTORNEY	bramble,jocelyn	4/18/2017	1.8	F	Reg	LX0001	2	0	1	179,652.60	37,906.70	
			00041786	ATTORNEY ADVISOR	Parker,Charlotte W	1/16/1979	40.0	F	Reg	LA0002	15	10	1	174,520.00	36,823.72	
			00041787	ATTORNEY ADVISOR	Blackstone,Liliah R	9/28/1998	20.3	F	Reg	LA0002	14	10	1	151,112.00	31,884.63	
			00041788	ATTORNEY ADVISOR	Vacant	Vacant		V	Reg	LA0002	13	0	1	98,362.00	20,754.38	In recruitment. Selection pending.
			00041789	Deputy General Counsel	Vacant	Vacant		V	Reg	LX0001	1	0	1	144,123.00	30,409.95	In recruitment. Selection pending.
			00042200	ATTORNEY ADVISOR	Levi,Adam	11/8/1999	19.2	F	Reg	LA0002	15	7	1	164,061.00	34,616.87	
			00075376	Paralegal Specialist	Alula,Makondi Claudine	3/31/2008	10.8	F	Reg	DS0077	12	4	1	87,376.00	18,436.34	
			00075544	Operations Manager	Mathis,Michelle D.	11/9/1992	26.2	F	Reg	DS0077	13	6	1	106,858.00	22,547.04	
			00075599	Special Assistant	Felder,Wendell E	2/23/2015	3.9	F	Reg	XS0001	7	0	1	98,795.16	20,845.78	
			00076896	LEGAL ASST	McBride,Keenan R.	9/10/2012	6.4	F	Reg	DS0079	7	4	1	49,015.00	10,342.17	
			00077717	ATTORNEY ADVISOR	Vacant	Vacant		V	Reg	LA0002	12	0	1	82,708.00	17,451.39	In recruitment. Selection pending.
			00085506	Legislative Analyst	Vacant	Vacant		V	Reg	DS0087	12	0	1	73,906.00	15,594.17	In recruitment.
		1060 Total											12	1,410,488.76	297,613.13	
		1080	00003290	Public Affairs Specialist	Bryant,Tanya D	5/22/2000	18.7	F	Reg	DS0077	13	8	1	112,764.00	23,793.20	
			00034860	Public Affairs Specialist	Drafton-Lowery,Lucille	9/14/1977	41.4	F	Reg	DS0077	12	10	1	102,268.00	21,578.55	
			00036294	Public Information Officer	Drehoff,Paul	8/6/2018	0.5	F	Reg	DS0086	14	0	1	112,200.00	23,674.20	
			00041791	Public Affairs Specialist	CLEVELAND,VAUN B	2/22/2016	2.9	F	Reg	DS0077	12	2	1	82,412.00	17,388.93	
			00043792	CONSUMER PROTECTION ADVOCATE	Abdullah,Iidriys J	9/4/2007	11.4	F	Reg	DS0087	13	10	1	109,710.00	23,148.81	
		1080 Total											5	519,354.00	109,583.69	
		1090	00012977	Dep Comm for Market Operations	Vacant	Vacant		V	Reg	XS0001	10	0	1	152,242.00	32,123.06	In recruitment. MOTA accepting applications.
			00017095	Special Assistant	Collins,Thedford L	6/8/2015	3.6	F	Reg	DS0087	13	7	1	101,521.58	21,421.05	
			00018144	Staff Assistant	Pedroso,Tamisha S.	12/3/2012	6.1	F	Reg	DS0087	9	5	1	55,910.00	11,797.01	
			00034803	EXECUTIVE ASST	Wade,Alicia M	5/16/2011	7.7	F	Reg	DS0087	13	6	1	98,794.00	20,845.53	
			00039088	Commissioner Ins Sec&Banking	Taylor,Stephen C.	12/1/2014	4.1	F	Reg	DX0000	ES	0	1	172,760.14	36,452.39	
			00041792	Chief of Staff	Washington,Christian A	8/22/2016	2.4	F	Reg	XS0001	9	0	1	130,936.28	27,627.56	
			00082338	HEARING EXAMINER	Butler,Lisa D.	9/23/2013	5.3	F	Reg	DS0087	13	5	1	96,065.00	20,269.72	
		1090 Total											7	808,229.00	170,536.32	
1000 Total													38	3,936,701.37	830,643.99	
2000	Insurance Bureau	2010	00004205	SUPV INSURANCE EXAM GEN	Vacant	Vacant		V	Reg	DS0086	14	0	1	125,642.00	26,510.46	In recruitment. Selection pending.
			00009105	Insurance Licensing Spec Mgr	Johnson-Parker,Sheila A	10/31/2005	13.2	F	Reg	DS0086	14	0	1	104,702.00	22,092.12	
			00016131	INSURANCE LICENSE SPEC	Parker,Denise M	10/4/1981	37.3	F	Reg	DS0077	12	10	1	102,268.00	21,578.55	
			00022192	INSURANCE LICENSE SPEC	Jordan-Robinson,Lucynthia D	8/25/1981	37.4	F	Reg	DS0077	12	8	1	97,304.00	20,531.14	
			00026346	INSURANCE EXAMINER	Belen,Carmen	2/6/2017	2.0	F	Reg	DS0077	13	9	1	115,717.00	24,416.29	
			00035565	INSURANCE EXAMINER	Rielley,John M	9/19/1994	24.4	F	Reg	DS0077	13	10	1	118,670.00	25,039.37	
			00036295	Associate Commissioner For Ins	Barlow,Philip A	4/10/2000	18.8	F	Reg	DS0086	16	0	0.67	117,262.98	24,742.49	
			00037940	INSURANCE LICENSE SPEC	Vacant	Vacant		V	Reg	DS0077	12	1	1	79,930.00	16,865.23	
			00078131	Health Insurance Analyst.	Benson,RaShaunda	10/31/2016	2.2	F	Reg	DS0077	11	3	1	68,755.00	14,507.31	

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
			00078145	Insurance Examiner (General)	Vacant	Vacant		V	Reg	DS0077	12	0	1	79,930.00	16,865.23	Recruitment planned. PD under review.
			00082353	Insurance Licensing Specialist	Vacant	Vacant		V	Temp	DS0077	12	0	1	79,930.00	16,865.23	Recruitment planned. PD under review.
			00085212	Insurance Examiner (General)	Beard,Andre	5/21/2012	6.7	F	Reg	DS0077	13	5	1	103,905.00	21,923.96	
		2010 Total											11.67	1,194,015.98	251,937.37	
		2015	00003501	ACTUARY	Dyson, Monica L	3/24/2003	15.8	F	Reg	DS0077	13	10	1	118,670.00	25,039.37	
			00008351	ACTUARY MGR	Nkojo, Robert I	4/21/2003	15.8	F	Reg	DS0086	14	0	1	120,286.87	25,380.53	
			00011195	FINANCIAL EXAMINER INS	Merlo, Samuel A	4/3/2006	12.8	F	Reg	DS0077	13	8	1	112,764.00	23,793.20	
			00012196	FINANCIAL EXAMINER INS	Negash, Yohannes	10/17/2016	2.3	F	Reg	DS0077	13	9	1	115,717.00	24,416.29	
			00036494	Insurance Examiner (Property a	King, Angela Jenice	5/25/1994	24.7	F	Reg	DS0077	13	9	1	115,717.00	24,416.29	
			00085202	ACTUARY	Christhlf, David	12/28/2015	3.1	F	Reg	DS0077	14	8	1	133,256.00	28,117.02	
		2015 Total											6	716,410.87	151,162.69	
		2050	00015197	INSURANCE EXAMINER	Johnson, Colin B	2/25/1994	24.9	F	Reg	DS0077	13	8	1	112,764.00	23,793.20	
			00017344	INSURANCE LICENSE SPEC	Hicks, Willie C	6/28/1983	35.6	F	Reg	DS0077	12	6	1	92,340.00	19,483.74	
			00031831	Financial Examiner	Ryan Jr., Francis J	2/2/2009	10.0	F	Reg	DS0077	13	6	1	106,858.00	22,547.04	
			00036236	Health Care Policy Analyst	Liebers, Howard M	2/11/2013	6.0	F	Reg	DS0077	14	5	1	122,795.00	25,909.75	
			00036295	Associate Commissioner For Ins	Barlow, Philip A	4/10/2000	18.8	F	Reg	DS0086	16	0	0.33	57,756.40	12,186.60	
		2050 Total											4.33	492,513.40	103,920.33	
		2090	00005439	ACTUARY	Morgan, John	4/21/2014	4.8	F	Reg	DS0077	13	8	1	112,764.00	23,793.20	
			00073445	Supervisory Health Actuary	Tanhehco, Efren L	11/7/2011	7.2	F	Reg	DS0086	14	0	1	141,895.15	29,939.88	
			00073451	ACTUARY	Shirley, Darniece L	1/3/2011	8.1	F	Reg	DS0077	13	7	1	109,811.00	23,170.12	
			00073453	Health Insur. Financial Analy.	Siler, Damon	12/29/2014	4.1	F	Reg	DS0077	11	6	1	74,983.00	15,821.41	
			00082359	Insurance Examiner (General)	Vacant	Vacant		V	Reg	DS0077	12	0	1	79,930.00	16,865.23	Recruitment pending. PD under review.
		2090 Total											5	519,383.15	109,589.84	
2000 Total													27	2,922,323.40	616,610.24	
3000	Securities Bureau	3010	00000198	Securities Registration Spec	Sanyang, Sainey	10/17/2016	2.3	F	Reg	DS0077	9	3	1	57,046.00	12,036.71	
			00008873	ASST DIR	Mcmanus, James M.	10/22/2001	17.3	F	Reg	DS0086	15	0	1	140,271.63	29,597.31	
			00015183	DIR OF SECURITIES	Miles, Theodore A	7/3/2000	18.6	F	Reg	DS0086	16	0	1	180,545.02	38,095.00	
			00021355	Securities Registration Spec	Butler, Sabrina Renee	2/27/2012	6.9	F	Reg	DS0077	11	1	1	64,603.00	13,631.23	
			00039602	Secur Finan Exam (Rpt & Discl)	Vacant	Vacant		V	Reg	DS0077	13	1	1	92,093.00	19,431.62	In recruitment. Interviews conducted. Offer pending.
			00039603	Secur Finan Exam (Rpt & Discl)	Adu, George	8/8/2006	12.5	F	Reg	DS0077	13	8	1	112,764.00	23,793.20	
			00085201	Securities Registration Spec	Vacant	Vacant		V	Reg	DS0077	9	0	1	53,620.00	11,313.82	In recruitment. Posting pending.
		3010 Total											7	700,942.65	147,898.90	
		3030	00000483	ASST DIR SEC LICENSING	Goff, Maurice V	10/13/1987	31.3	F	Reg	DS0086	14	0	1	128,438.76	27,100.58	
			00037776	Securities Licensing Spec.	Ballard, Laytonya	7/25/2016	2.5	F	Reg	DS0077	12	4	1	87,376.00	18,436.34	
			00037779	Securities Licensing Spec.	Martin, Lucinda D	12/5/2011	7.1	F	Reg	DS0077	12	6	1	92,340.00	19,483.74	
			00037780	Securities Licensing Spec.	Vacant	Vacant		V	Reg	DS0077	12	1	1	79,930.00	16,865.23	In recruitment. Posting pending.
		3030 Total											4	388,084.76	81,885.88	
		3080	00075391	Director of Market Examination	Meaza, Senayet	2/7/1994	25.0	F	Reg	DS0086	15	0	1	141,363.05	29,827.60	
		3080 Total											1	141,363.05	29,827.60	
3000 Total													12	1,230,390.46	259,612.39	
4000	Enforcement Program	4050	00003370	FRAUD INVEST	Pendleton, Mark A	5/16/2016	2.7	F	Reg	DS0077	12	3	1	84,894.00	17,912.63	
			00008031	FRAUD COMPLIANCE MGR	Ross, Michael	11/21/2016	2.2	F	Reg	DS0086	14	0	1	104,701.75	22,092.07	
		4050 Total											2	189,595.75	40,004.70	
		4060	00001990	INVEST FRAUD	Coles, Karen	11/19/2012	6.2	F	Reg	DS0077	12	10	1	102,268.00	21,578.55	
			00013699	Assistant Dir for Enforcement	Vacant	Vacant		V	Reg	DS0086	15	0	1	139,462.00	29,426.48	In recruitment. Position posted.
			00020539	FRAUD INVEST	Loproto, Robert B	9/5/2006	12.4	F	Reg	DS0077	12	8	1	97,304.00	20,531.14	
			00031812	FRAUD INVEST	Suggs, Shanta	5/18/2015	3.7	F	Reg	DS0077	12	1	1	79,930.00	16,865.23	
			00034870	Investigator Fraud	Tengen, Juliana N	10/19/1992	26.3	F	Reg	DS0077	13	7	1	109,811.00	23,170.12	
			00075430	DIR OF FRAUD	Bressman, Brian	2/21/2017	1.9	F	Reg	DS0086	16	0	1	162,843.00	34,359.87	
			00085206	INVEST FRAUD	Gaskin, Mary	5/31/2016	2.6	F	Reg	DS0077	12	3	1	84,894.00	17,912.63	
		4060 Total											7	776,512.00	163,844.03	
4000 Total													9	966,107.75	203,848.74	
5000	Banking Bureau	5060	00034846	Associate Commiss. for Banking	Williams, Brian	1/9/2017	2.0	F	Reg	DS0086	16	0	1	128,961.15	27,210.80	
			00034862	Sr. Banking Licensing Speciali	Vacant	Vacant		V	Reg	DS0077	13	0	1	92,093.00	19,431.62	Recruitment pending. PD under review.
			00034868	Supervisory Banking Examiner	Jones, Robbin	2/8/2016	3.0	F	Reg	DS0086	14	0	1	104,701.75	22,092.07	
			00034869	Banking Licensing Specialist	Cole, Jacqueline D	12/1/2003	15.2	F	Reg	DS0077	11	6	1	74,983.00	15,821.41	
			00035837	Banking Licensing Specialist	Goines, Robsine M	6/22/1998	20.6	F	Reg	DS0077	9	9	1	67,324.00	14,205.36	

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
			00037714	Licensing Manager	Kerr,Monique Melissa	9/10/2012	6.4	F	Reg	DS0086	14	0	1	104,701.98	22,092.12	
			00075304	Student Intern	Gibbs,Ebony I	10/29/2018	0.2	F	Term	DS0087	7	1	1	41,039.00	8,659.23	
			00075387	Sr. Banking Licensing Speciali	Rouse,Brian A	3/7/2005	13.9	F	Reg	DS0077	13	10	1	118,670.00	25,039.37	
		5060 Total											8	732,473.88	154,551.99	
		5070	00001945	Student Loan Ombudsman	Burt,Charles	6/19/2017	1.6	F	Reg	DS0086	14	0	1	115,566.00	24,384.43	
			00034863	Program Analyst	Hammonds,Michelle	2/8/2016	3.0	F	Reg	DS0077	13	4	1	100,952.00	21,300.87	
			00073628	CLERICAL ASSISTANT	Payton,Sirita Y	10/24/2011	7.3	F	Reg	DS0079	7	8	1	55,183.00	11,643.61	
			00074667	PROGRAM SUPPORT ASSISTANT	Baker,Alexander E.	3/5/2018	0.9	F	Reg	DS0079	7	1	1	44,388.36	9,365.94	
			00075089	Student Intern	Vacant	5/29/2018	0.7	V	Temp	DS0087	7	2	1	41,632.00	8,784.35	Recruitment pending. Summer programming support.
			00075396	Program Manager (SSBCI)	Caesar,Camille	4/18/2017	1.8	F	Reg	DS0086	14	0	1	126,072.00	26,601.19	
			00082354	Student Intern	Williams,Shahidah	5/29/2018	0.7	F	Temp	DS0087	7	10	1	53,873.00	11,367.20	
			00085528	PROGRAM SUPPORT ASSISTANT	Benitez,Carla M	1/9/2017	2.0	F	Reg	DS0079	7	2	1	45,931.00	9,691.44	
		5070 Total											8	583,597.36	123,139.04	
5000 Total													16	1,316,071.24	277,691.03	
6000	Risk Finance Bureau	6010	00036363	FINANCIAL EXAMINER OFFICER	Schleit,David	3/25/2013	5.8	F	Reg	DS0077	14	7	1	129,769.00	27,381.26	
		6010 Total											1	129,769.00	27,381.26	
		6020	00036539	Director of Risk Finance	Sheppard,Dana G	9/13/1993	25.4	F	Reg	DS0086	16	0	1	180,549.95	38,096.04	
		6020 Total											1	180,549.95	38,096.04	
		6030	00036633	Insurance Licensing Specialist	Andrew,Anu	9/19/2016	2.3	F	Reg	DS0077	12	3	1	84,894.00	17,912.63	
		6030 Total											1	84,894.00	17,912.63	
6000 Total													3	395,212.95	83,389.93	
8000	Market Examinations Division	8010	00009191	Supvy Ins Oper Exam (Auditing)	Brown,Nathaniel Kevin	4/10/2000	18.8	F	Reg	DS0086	14	0	1	138,204.70	29,161.19	
			00012661	INSURANCE OPR EXAM AUDIT	Ukairo,Chidinma	7/27/1987	31.5	F	Reg	DS0077	11	10	1	83,287.00	17,573.56	
			00037577	INSURANCE OPR EXAMINER AUDIT	Vacant	Vacant		V	Reg	DS0077	12	1	1	79,930.00	16,865.23	Recruitment pending. PD under review.
		8010 Total											3	301,421.70	63,599.98	
		8020	00021395	Securities Financial Examiner	Doster,Malcolm	8/22/2016	2.4	F	Reg	DS0077	12	3	1	84,894.00	17,912.63	
			00035980	SECURITIES FINANCIAL EXAM	Kunzweiler,Brad L	3/5/2007	11.9	F	Reg	DS0077	13	8	1	112,764.00	23,793.20	
			00046077	Securities Financial Examiner	Vacant	Vacant		V	Reg	DS0077	12	3	1	84,894.00	17,912.63	In recruitment. Pending offer.
			00085203	Securities Financial Examiner	Cooper,Lakishia	2/8/2016	3.0	F	Reg	DS0077	12	3	1	84,894.00	17,912.63	
		8020 Total											4	367,446.00	77,531.11	
		8030	00005191	BANK EXAMINER	Tippett,Eleanor	1/7/2019	0.0	F	Reg	DS0077	12	1	1	79,930.00	16,865.23	
			00034865	Banking Examiner	Wagner,Peggy A.	7/14/2014	4.5	F	Reg	DS0077	12	6	1	92,340.00	19,483.74	
			00046080	BANK EXAMINER	Vacant	Vacant		V	Reg	DS0077	12	0	1	79,930.00	16,865.23	Filled. Start Date 2/17/19
			00046081	Banking Examiner	Smith,Leonard	4/21/2014	4.8	F	Reg	DS0077	12	5	1	89,858.00	18,960.04	
			00075373	BANK EXAMINER	Farquharson-Reid,Angela	9/10/2012	6.4	F	Reg	DS0077	12	7	1	94,822.00	20,007.44	
			00075374	BANK EXAMINER	Cole,Miriam A	4/17/2018	0.8	F	Reg	DS0077	12	6	1	92,340.00	19,483.74	
			00075386	Senior Bank Examiner	Bright,Eva M	9/29/2008	10.3	F	Reg	DS0077	13	5	1	103,905.00	21,923.96	
			00075388	Lead Bank Examiner	Fuller,Samuel V	1/9/2006	13.0	F	Reg	DS0077	14	6	1	126,282.00	26,645.50	
			00075389	BANK EXAMINER	Vacant	Vacant		V	Reg	DS0077	12	0	1	79,930.00	16,865.23	In recruitment. PD under review.
			00075551	Supervisory Bank Examiner	Irwin,Trey	5/30/2017	1.7	F	Reg	DS0086	15	0	1	116,218.42	24,522.09	
			00085204	BANK EXAMINER	Davis,Dionne	3/7/2016	2.9	F	Reg	DS0077	12	5	1	89,858.00	18,960.04	
			00085205	BANK EXAMINER	Clifton,Aaron	3/19/2018	0.8	F	Reg	DS0077	12	1	1	79,930.00	16,865.23	
		8030 Total											12	1,125,343.42	237,447.46	
		8040	00035765	Supervisory Financial Examiner	O'Donnell,Patrick S.	6/6/2005	13.6	F	Reg	DS0086	15	0	1	162,705.24	34,330.81	
			00038470	FINANCIAL EXAMINER (CAPTIVE)	Davis,Rebecca	12/1/2014	4.1	F	Reg	DS0077	13	5	1	103,905.00	21,923.96	
			00038485	FINANCIAL EXAMINER INS	Bunyasrie,Surayuth	5/18/2015	3.7	F	Reg	DS0077	13	6	1	106,858.00	22,547.04	
			00046076	Insurance Operations Examiner	Afolabi,Christine	4/21/2014	4.8	F	Reg	DS0077	13	5	1	103,905.00	21,923.96	
			00075076	Financial Examiner & Analyst	Li,Xiangchun	3/6/2006	12.9	F	Reg	DS0077	14	9	1	136,743.00	28,852.77	
		8040 Total											5	614,116.24	129,578.53	
8000 Total													24	2,408,327.36	508,157.07	
9000	Compliance Division	9010	00010013	INSURANCE OPERATIONS SPEC	Dickens,Marionnetta	4/28/1986	32.8	F	Reg	DS0077	12	10	1	102,268.00	21,578.55	
			00013044	INSURANCE OPERATIONS SPEC	Stinson,Douglas	10/14/2008	10.3	F	Reg	DS0077	12	6	1	92,340.00	19,483.74	
			00015980	INS OPERATIONS SPEC	Matthews,Sylvia D	2/16/1995	24.0	F	Reg	DS0077	12	9	1	99,786.00	21,054.85	
			00022086	INSURANCE OPERATIONS SPEC	Slade,Arthur F	10/14/2008	10.3	F	Reg	DS0077	12	6	1	92,340.00	19,483.74	
			00075087	Consumer Services Specialist	Moore,David	12/3/2012	6.1	F	Reg	DS0077	12	10	1	102,268.00	21,578.55	
			00075393	Director, Compliance Analysis	Shipp,Sharon	9/10/2012	6.4	F	Reg	DS0086	15	0	1	117,300.00	24,750.30	
			00075435	Consumer Services Specialist	Vacant	Vacant		V	Reg	DS0077	12	0	1	79,930.00	16,865.23	In recruitment. Interviews pending.
		9010 Total											7	686,232.00	144,794.95	
		9020	00038798	Manager, Consumer Services	Wadley,Debbra	3/6/2017	1.9	F	Reg	DS0086	14	0	1	104,701.98	22,092.12	

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
			00075077	Compliance Analyst	Wade,Cheryl R	1/30/2012	7.0	F	Reg	DS0077	12	8	1	97,304.00	20,531.14	
			00075086	Student Intern	Vacant	Vacant		V	Reg	DS0087	7	0	1	41,039.00	8,659.23	Recruitment pending. Summer programming support.
			00075431	Manager, Market Research and A	Vacant	Vacant		V	Reg	DS0086	14	0	1	125,642.00	26,510.46	In recruitment. Interviews pending.
			00078117	FINANCIAL EXAMINER INS	Davis,LaTasha	4/3/2017	1.8	F	Reg	DS0077	13	2	1	95,046.00	20,054.71	
		9020 Total											5	463,732.98	97,847.66	
		9080	00046078	Dep Commiss. for Market Compl.	Vacant	Vacant		V	Reg	DS0086	16	0	1	154,753.00	32,652.88	In recruitment. MOTA accepting applications.
		9080 Total											1	154,753.00	32,652.88	
9000 Total													13	1,304,717.98	275,295.49	
100F	Agency Fiscal Operations	110F	00001761	BUDGET OFFICER	Godie,Enyew	12/22/2008	10.1	F	Reg	DS0007	14	4	1	119,308.00	25,173.99	
			00012917	BUDGET ANALYST	Ware,Jovan Louise	11/30/2015	3.2	F	Reg	DS0007	11	4	1	70,830.00	14,945.13	
		110F Total											2	190,138.00	40,119.12	
		120F	00004196	ACCOUNTANT	May,Julia C	7/25/1990	28.5	F	Reg	DS0007	11	8	1	79,138.00	16,698.12	
			00022530	Accounts Payable Specialis	Branham,Valencia M	12/10/1990	28.1	F	Reg	DS0007	12	8	1	97,300.00	20,530.30	
			00043252	ACCOUNTS PAYABLE SUPV	Vanhorne,Lashawn M	12/3/1990	28.2	F	Reg	DS0007	13	8	1	112,763.00	23,792.99	
			00075090	ACCOUNTANT	Armstrong Jr.,Sherwood	12/5/2011	7.1	F	Reg	DS0007	11	5	1	72,907.00	15,383.38	
			00085225	SENIOR ACCOUNTANT	Ibrahim,Yesuf	2/27/2012	6.9	F	Reg	DS0007	13	4	1	100,952.00	21,300.87	
		120F Total											5	463,060.00	97,705.66	
		130F	00012491	CONTROLLER	Ahaiwe,Bright A	8/12/1985	33.5	F	Reg	DS0007	16	10	1	185,217.00	39,080.79	
		130F Total											1	185,217.00	39,080.79	
100F Total													8	838,415.00	176,905.57	
Grand Total													150	15,318,267.51	3,232,154.44	

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;

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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.

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

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 Departments 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

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.

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.

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 2018 Employee Travel Expenses

Employee/Vendor Name	Position/Title	Invoice Description /Conference Attended	Travel/Effective Date	Trans Amt	Justification
AARON CLIFTON	Bank Examiner	2018 SPSE Training at Salk Lake City, UT	7/19/18	1,692.59	Required conference/training related to positions of the staff
		Nation Star Mortgage Dallas, TX	5/14/18	1,766.15	
		Pennymac Examination Westlake, CA	7/31/18	1,978.80	
AARON CLIFTON				5,437.54	
ABUKAR ABDIRAHMAN	Budget Director	2018 GFOA Conference	4/25/18	1,842.81	
ABUKAR ABDIRAHMAN				1,842.81	
ANDRE BEARD	Insurance Examiner (General)	NAIC Conference Kansas MO	5/3/18	224.00	
ANDRE BEARD				224.00	
ANGELA FARQUHARSON-REID	Bank Examiner	Pennymac Examination Westlake, CA	7/31/18	2,022.80	
ANGELA FARQUHARSON-REID				2,022.80	
ANU ANDREW	Insurance Licensing Specialist	NAIC Conference RECON	5/3/18	1,068.00	
ANU ANDREW				1,068.00	
BRAD KUNZWEILER	Financial Examiner Securites	TRAVEL RECON NASAA Conference	3/26/18	1,498.79	
BRAD KUNZWEILER				1,498.79	
BRIAN BRESSMAN	Director of Fraud	National Fraud Directors Conference	12/21/17	817.34	
BRIAN BRESSMAN				817.34	
BRIAN ROUSE	Sr. Banking Licensing Specialist	NMLS Annual Conference	1/30/18	314.48	
BRIAN ROUSE				314.48	
BRIAN WILLIAMS	Associate Commissioner-Banking	CSBS Cyber Security Chicago IL	9/14/18	333.00	
		FINTECH Forum and Meeting NY	4/27/18	1,427.37	
BRIAN WILLIAMS				1,760.37	
BRIGHT A. AHAIWE	Agency Fiscal Officer	2018 AGA Conference FL	9/20/18	1,244.60	
BRIGHT AHAIWE				1,244.60	
CARTER BROCKMAN	Budget Analyst	2018 GFOA Conference	4/25/18	1,021.13	
CARTER BROCKMAN				1,021.13	
CHERYL OWENS	Compliance Analyst	NAIC Conference	5/17/18	1,371.36	
		IRES-04/08-13/	4/2/18	2,132.33	
CHERYL OWENS				3,503.69	
CHRISTINE AFOLABI	Insurance Operations Examiner	Teammate User Forum (TMU)	1/19/18	279.65	
		CICA-03/11-14/	3/1/18	359.04	
		SOFE CDS Indian Wells, CA	6/6/18	2,366.46	
CHRISTINE AFOLABI				3,005.15	

Employee/Vendor Name	Position/Title	Invoice Description /Conference Attended	Travel/Effective Date	Trans Amt	Justification
COLIN JOHNSON	Insurance Examiner	2018 NE Zone Conference Burlington, VT	9/30/18	581.63	Required conference/training related to positions of the staff
COLIN JOHNSON				581.63	
CYRIL BYRON JR.	Associate CFO	2018 GFOA Conference	4/24/18	431.40	
CYRIL BYRON JR.				431.40	
DANA SHEPPARD	Acting Deputy Commissioner	WCFC-01/31-02/ CAPTIVE FORUM	2/23/18	1,495.12	
		CICA-03/11-14/	3/1/18	1,207.06	
		Captive Conference at Burlington, VT	6/22/18	2,111.92	
DANA SHEPPARD				4,814.10	
DAVID A. CHRISTHILF	Actuary	NAIC Spring Conference	3/13/18	1,127.26	
		NAIC Summer Conference	7/18/18	753.09	
DAVID A. CHRISTHILF				1,880.35	
DAVID C. SCHLEIT	Financial Examiner Officer	CICA-03/11-14/	3/1/18	1,384.27	
		SOFE Career Development Seminar, CA	6/6/18	1,698.25	
DAVID SCHLEIT				3,082.52	
DENNIS RAMPRASHAD	Controller	2018 GFOA Conference	4/4/18	1,736.96	
DENNIS RAMPRASHAD				1,736.96	
DEREJE BELAY	Financial Manager	2018 GFOA Conference	4/25/18	1,362.96	
DEREJE BELAY				1,362.96	
EFREN TANHEHCO	Supervisory Health Actuary	NAIC 2018 Summer Conference	8/23/18	313.24	
		NAIC Spring Conference	4/3/18	1,488.17	
		NAIC 2018 Summer Conference	7/18/18	1,995.24	
EFREN TANHEHCO				3,796.65	
EVA BRIGHT	Senior Bank Examiner	2018 MTR Conf Denver, Co RECON	6/20/18	2,026.73	
		Full Scope Examination US Forex	7/23/18	2,872.00	
EVA BRIGHT				4,898.73	
FRANK RYAN	Financial Examiner	NAIC Conference TRAVEL	5/3/18	838.35	
		SOFE Career Development Seminar, CA	7/10/18	2,731.96	
FRANK RYAN				3,570.31	
GEORGE ADU	Financial Examiner (Reporting & Disclosure)	Corporate Finance Exam OH	1/5/18	195.65	
		NASAA Conference	7/9/18	2,418.83	
GEORGE ADU				2,614.48	
HOWARD LIEBERS	Health Care Policy Analyst	NAIC Spring Conference	3/13/18	1,816.97	
		NAIC 2018 Summer Conference	7/18/18	1,187.44	
		NAIC Fall Conference	11/8/17	2,842.99	
HOWARD LIEBERS				5,847.40	
JAMES MCMANUS	Assistant Director- Securities	NASAA Corporate Finance Exam OH	10/30/17	893.69	
		NASAA Conference TRAVEL RECON	7/23/18	2,058.13	
JAMES MCMANUS				2,951.82	
JEANETTE GORDON	Accountant	2018 GFOA Conference	4/12/18	1,643.61	
JEANETTE GORDON				1,643.61	

Employee/Vendor Name	Position/Title	Invoice Description /Conference Attended	Travel/Effective Date	Trans Amt	Justification
JOCELYN BRAMBLE	SUPERVISOR-TRIAL ATTORNEY	UNC- The ABCs of Banking Law	3/12/18	1,070.15	Required conference/training related to positions of the staff
		Boston Univ Fund of Banking Law Training	5/14/18	981.94	
		MTRA Conference TRAVEL RECON	2/27/18	1,272.39	
		Boston Univ Fund of Banking Law Training	5/14/18	1,454.49	
JOCELYN BRAMBLE				4,778.97	
JOVAN WARE	Budget Analyst	2018 GFOA Conference	4/24/18	1,455.75	
JOVAN WARE				1,455.75	
JULIANA TENGEN	Investigator Fraud	ACFE 04/30 TRAVEL RECON	5/31/18	82.40	
JULIANA TENGEN				82.40	
LAKISHIA COOPER	Securities Financial Examiner	NASAA Broker Dealer Conf TRAVEL	5/17/18	1,100.62	
LAKISHIA COOPER				1,100.62	
LATASHA DAVIS	FINANCIAL EXAMINER INSURANCE	SOFE Seminar CA TRAVEL	6/6/18	1,776.00	
LATASHA DAVIS				1,776.00	
LILAH BLACKSTONE	Attorney RECONsior	SEC Conf-10/19/17	10/6/17	306.00	
		NASAA TRAVEL RECON	1/9/18	192.67	
LILAH BLACKSTONE				498.67	
LUCYNTHIA JORDAN-ROBINSON	Insurance License Specialist	NAIC Insurance Summit TRAVEL	5/3/18	297.23	
LUCYNTHIA JORDAN-ROBINSON				297.23	
MABEL OSEI	Accountant	2018 GFOA Conference RECON	6/29/18	2,067.43	
MABEL OSEI				2,067.43	
MALCOLM DOSTER	Securities Financial Examiner	NASAA TRAVEL RECON	3/26/18	1,323.80	
MALCOLM DOSTER				1,323.80	
MARY GASKIN	Investigator Fraud	ACR-FE 04/30 RECONCILIATION	5/31/18	432.40	
		NASAA TRAVEL RECON	1/9/18	1,340.20	
MARY GASKINS				1,772.60	
MICHAEL ROSS	Manager- Fraud Compliance	Coalition Against Insurance Fraud Conf FL	5/25/18	1,311.38	
		NAIC Conference TRAVEL RECON	3/15/18	1,491.10	
MICHAEL ROSS				2,802.48	
MICHELLE HAMMONDS	Program Analyst	CFE 04/11 TRAVEL RECON	4/5/18	665.91	
MICHELLE HAMMONDS				665.91	
MILDRED GARCIA	Bank Examiner	CSBS Cyber Security Training PER-DIEM	9/14/18	333.00	
		Full Scope Exam of Intuit Payments Week1	6/6/18	2,888.61	
		Full Scope Exam of Intuit Payments Week2	6/6/18	2,454.85	
MILDRED GARCIA				5,676.46	
MIRIAM COLE	Bank Examiner	CSBS Cyber Security Training PER-DIEM	9/30/18	367.44	
		AMEX Full Scope Exam RECONCILIATION	5/31/18	4,923.98	
MIRIAM COLE				5,291.42	
MONICA DYSON	Actuary	NAIC Conference TRAVEL RECON	7/18/18	124.00	
MONICA DYSON				124.00	

Employee/Vendor Name	Position/Title	Invoice Description /Conference Attended	Travel/Effective Date	Trans Amt	Justification
NATHANIEL BROWN	Supvy Ins Oper Exam (Auditing)	NAIC Fall TRAVEL RECONCILIATION	1/5/18	635.35	Required conference/training related to positions of the staff
		NAIC Summer RECONCILIATION	8/9/18	200.22	
		NAIC Spring TRAVEL RECON	3/13/18	1,420.30	
		NAIC Summer TRAVEL RECON	7/19/18	1,766.21	
		SOFE TRAVEL RECON	7/10/18	1,930.71	
NATHANIEL BROWN				5,952.79	
NNEKA AZIKIWE	Program Support Assistant	Train the Trainer Banking Bureau	1/5/18	93.58	
NNEKA AZIKIWE				93.58	
PHILIP BARLOW	Associate Commissioner-Insurance	NAIC Summer RECONCILIATION	8/9/18	50.09	
		NAIC North East Zone Conf TRAVEL RECON	9/14/18	584.49	
		NAIC Summer Conf TRAVEL RECON	7/18/18	1,547.08	
		NAIC Spring Conf TRAVEL RECON	3/13/18	569.60	
PHILIP BARLOW				2,751.26	
REBECCA DAVIS	Financial Examiner	Risk Retention Association TRAVEL RECON	8/31/18	1,008.26	
		NAIC Conference TRAVEL RECON	5/3/18	1,070.01	
		SOFE Conf TRAVEL RECON	6/6/18	1,519.32	
REBECCA DAVIS				3,597.59	
ROBBIN JONES	Supervisory Banking Examiner	NMLS TRAVEL RECON	1/30/18	329.52	
		SPS Examination TRAVEL RECON	7/19/18	1,692.38	
		Nation Stars TRAVEL RECON	5/14/18	1,935.72	
		Penymac Exam TRAVEL RECON	7/31/18	2,934.65	
ROBBIN JONES				6,892.27	
ROBERT NKOJO	Actuary Manager	NCCI 05/15 TRAVEL RECON	5/10/18	1,278.45	
		NAIC Summer Conf TRAVEL	7/18/18	527.48	
ROBERT NKOJO				1,805.93	
ROLAND MCALLISTER, JR.	Revenue Manager	2018 GFOA TRAVELRECON	6/15/18	1,617.66	
ROLAND MCALLISTER, JR.				1,617.66	
SAMUEL FULLER	Lead Bank Examiner	Full scope exam of Tipaitl Inc RECON	6/20/18	5,559.19	
SAMUEL FULLER				5,559.19	
SAMUEL MERLO	Financial Examiner Insurance	NAIC Fall Conf TRAVEL RECON	1/5/18	616.60	
		NAIC Insurance Summit TRAVEL RECON	5/3/18	255.00	
		SOFE TRAVEL RECON	7/10/18	2,691.51	
SAMUEL MERLO				3,563.11	
SEAN O'DONNELL	Supervisory Financial Examiner	Captive Forum TRAVEL RECONCILIATION	2/9/18	35.10	
		NAIC Spring Conf 03/23-03/26 TRAVEL RECON	3/13/18	863.90	
		Risk Retention Association TRAVEL RECON	9/6/18	946.26	
		NAIC Insurance Summit Kansas RECON	5/3/18	935.99	
		WCFC-01/31-02/	1/9/18	1,040.12	
		CICA-03/11-14/ TRAVEL RECON	3/1/18	1,338.31	
		NAIC Fall TRAVEL RECON	11/8/17	2,770.70	
SEAN O'DONNELL				7,930.38	

Employee/Vendor Name	Position/Title	Invoice Description /Conference Attended	Travel/Effective Date	Trans Amt	Justification
SENAYET MEAZA	Director of Market Examination	MID ATLANTIC Conference 10/18-19 RECON	10/24/17	536.84	Required conference/training related to positions of the staff
		NASAA Conference TRVAEL RECON	9/30/18	360.80	
		NASAA IA Training Working Gr-12/13-15	11/29/17	496.44	
		NASAA Annual Meeting RECON	7/23/18	1,127.93	
SENAYET MEAZA				2,522.01	
SHARON SHIPP	Director, Compliance Analysis	NFIP-PHILADELP	11/27/17	382.89	
		NAIC summer Conf TRAVEL RECON	7/19/18	1,863.20	
		NAIC Spring Conference TRAVEL	4/5/18	1,127.01	
SHARON SHIPP				3,373.10	
STEPHEN TAYLOR	Commissioner	Panel Discussion Autonomous Vehcles and Ins market Dover, DE	3/13/18	102.24	
		NAIC Burlington, VT NE Zone RECON	9/25/18	168.75	
		NAIC Committee Assigment Meeting, Nashville, TN 01/11-13	1/5/18	147.50	
		NAIC Park city UT 07/16-07/19	6/22/18	259.00	
		ACI Insurance Forum RECON New York	5/10/18	106.38	
		NAIC conference Spring 2018	2/26/18	288.00	
		NAIC conference Summer 2018	7/19/18	310.50	
		NAIC conference Fall 2018	11/7/17	721.50	
STEPHEN TAYLOR				2,103.87	
SURAYUTH JOP BUNYASRIE	Financial Examiner Insurance	Risk Retention Association TRAVEL RECON	8/31/18	398.26	
SURAYUTH JOP BUNYASRIE				398.26	
TANYA JOHNSON	Senior Accountant	2018 GFOA TRAVEL RECON	5/17/18	1,654.00	
TANYA JOHNSON				1,654.00	
THEODORE MILES	Director of Securities	Investor protection Conf TRAVEL REC	11/21/17	838.22	
		NASAA Annual Meeting TRAVEL RECON	7/23/18	1,928.72	
THEODORE MILES				2,766.94	
TITA ADOLF TENGEN	Manager-Financial Reporting	2018 GFOA TRAVEL RECON	5/18/18	1,393.23	
TITA ADOLF TENGEN				1,393.23	
TREY IRWIN	Supervisory Bank Examiner	MTRA Conf TRAVEL RECON	11/8/17	89.71	
		US Forex Exam San Fransisco, CA	8/23/18	119.52	
		Servicio Unleller On site Examination	2/15/18	1,246.84	
		ADP Payroll services Exam CA 03/18-03/30	4/18/18	8,296.94	
		Exam of Trasnferwise TRAVEL REIMB	5/21/18	3,233.87	
		AMEX Examination TRAVEL	6/6/18	11,631.55	
TREY IRWIN				24,618.43	
XIANGCHUN J LI	Financial Examiner and Analyst	NAIC Conference TRAVEL RECON	6/29/18	1,122.73	
		SOFE TRAVEL RECON	6/7/18	1,571.30	
XIANGCHUN J LI				2,694.03	
YESUF IBRAHIM	Senior Accountant	2018 GFOA Conference RECON	4/25/18	1,153.26	
YESUF IBRAHIM				1,153.26	
YOHANESS NEGASH	Financial Examiner Insurance	2018 NAIC Insurance Summit Kansas MO	5/8/18	224.00	
		NAIC Confrence ORSA TRAVEL RECON Raleigh, NC	10/31/17	614.35	
		EXAM DCHEALTH Travel RECON	6/29/18	1,752.20	
		SOFE Travel TRAVEL RECON	7/10/18	2,196.61	
YOHANESS NEGASH				4,787.16	
Total				179,915.41	

Department of Insurance, Securities and Banking (SR0)
Fiscal Year 2019 YTD Employee Travel Expenses

Employee/Vendor Name	Position/Title	Invoice Description /Conference Attended	Travel/Effective Date	Trans Amt	Justification
BRIAN BRESSMAN	Director of Fraud	NFD Conference TRAVEL RECON	10/11/18	1,430.86	Required conference/training related to positions of the staff
BRIAN BRESSMAN				1,430.86	
BRIAN WILLIAMS	Associate Commissioner-Banking	CSBS District 1 Fall Meeting	10/26/18	668.94	
BRIAN WILLIAMS				668.94	
DANA SHEPPARD	Acting Deputy Commissioner	World Captive Forum Conference	1/10/19	1,030.88	
DANA SHEPPARD				1,030.88	
DAVID A. CHRISTHILF	Actuary	NAIC Conference Travel RECONCILIATION	11/8/18	1,677.69	
DAVID A. CHRISTHILF				1,677.69	
EFREN TANHEHCO	Supervisory Health Actuary	NAIC Fall Conference TRAVEL RECON	11/8/18	2,703.68	
EFREN TANHEHCO				2,703.68	
HOWARD LIEBERS	Health Care Policy Analyst	NAIC Conference Travel RECONCILIATION	11/28/18	146.21	
		NAIC Fall Conference TRAVEL RECON	11/8/18	1,577.06	
HOWARD LIEBERS				1,723.27	
MICHELLE HAMMONDS	Program Analyst	Summer Jobs conference Newark, NJ	10/24/18	152.50	
		Bank on Pilot Result Conf at St Louis MO	10/30/18	252.46	
		Bank on Leadership Conference NY	10/23/18	693.82	
MICHELLE HAMMONDS				1,098.78	
NATHANIEL BROWN	Supervisory Insurance Oper Examiner	NAIC Fall Conference TRAVEL RECON	11/2/18	1,464.23	
NATHANIEL BROWN				1,464.23	
PHILIP BARLOW	Associate Commissioner-Insurance	NAIC Fall Conference TRAVEL RECON	11/8/18	3,109.96	
PHILIP BARLOW				3,109.96	
REBECCA DAVIS	Financial Examiner	NRRA Conference IL	10/16/18	65.94	
REBECCA DAVIS				65.94	
SEAN O'DONNELL	Supervisory Financial Examiner	Risk Retention Association Travel Reimb Chicago, IL	10/16/18	118.97	
		World Captive Forum Conf 01/30-02/01/19	1/10/19	846.72	
		11/13-17/18-NAIC Fall Conference Recon	11/2/18	2,017.12	
SEAN O'DONNELL				2,982.81	

Department of Insurance, Securities and Banking (SR0)
Fiscal Year 2019 YTD Employee Travel Expenses

Employee/Vendor Name	Position/Title	Invoice Description / Conference Attended	Travel/Effective Date	Trans Amt	Justification
SENAYET MEAZA	Director of Market Examination	NASAA Investment advisor reimb Addison, TX	11/28/18	16.00	Required conference/training related to positions of the staff
		2019 NASAA Enforcement Training, Dallas, TX	1/9/19	964.19	
SENAYET MEAZA				980.19	
SHARON SHIPP	Director, Compliance Analysis	NASAA IA Project Conf TRAVEL RECON	11/2/18	2,031.74	
SHARON SHIPP				2,031.74	
STEPHEN TAYLOR	Commissioner	NAIC Autonomous Vehicle forum & Cybersecurity	10/2/18	224.00	
		NAIC Fall National Conference 11/14-11/18	11/8/18	342.00	
STEPHEN TAYLOR				566.00	
SURAYUTH JOP BUNYASRIE	Financial Examiner Insurance	2018 NRRRA Conference IL	10/16/18	110.24	
SURAYUTH JOP BUNYASRIE				110.24	
TREY IRWIN	Supervisory Bank Examiner	Examination of Yapstone in Walnut Creek	10/25/18	2,638.99	
TREY IRWIN				2,638.99	
Total				24,284.20	

Appendix 5

Department of Insurance, Securities and Banking (SR0)
Fiscal Year 2018 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	23,072.02	23,072.02	0.00
			NON-PERSONNEL SERVICES	23,576.01	23,576.01	(0.00)
		SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	4,302,944.43	3,765,703.64	537,240.79
			NON-PERSONNEL SERVICES	4,548,395.64	2,891,487.08	1,656,908.56
1000 Total				8,897,988.10	6,703,838.75	2,194,149.35
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	948,730.24	1,012,055.50	(63,325.26)
			NON-PERSONNEL SERVICES	22,800.00	0.00	22,800.00
100F Total				1,052,530.24	1,093,055.50	(40,525.26)
2000	INSURANCE	FEDERAL GRANT FUND	NON-PERSONNEL SERVICES	566,515.22	566,515.22	(0.00)
		SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	3,139,239.24	3,100,097.29	39,141.95
			NON-PERSONNEL SERVICES	577,700.00	391,869.58	185,830.42
2000 Total				4,283,454.46	4,058,482.09	224,972.37
3000	SECURITIES	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,384,205.17	1,349,346.79	34,858.38
			NON-PERSONNEL SERVICES	497,572.00	158,337.93	339,234.07
3000 Total				1,881,777.17	1,507,684.72	374,092.45
4000	ENFORCEMENT	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	973,615.26	820,199.25	153,416.01
			NON-PERSONNEL SERVICES	60,565.00	26,257.05	34,307.95
4000 Total				1,034,180.26	846,456.30	187,723.96
5000	BANKING	LOCAL FUND	NON-PERSONNEL SERVICES	200,000.00	149,540.00	50,460.00
		SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,333,195.94	1,301,577.44	31,618.50
			NON-PERSONNEL SERVICES	5,217,145.25	2,871,333.65	2,345,811.60
5000 Total				6,750,341.19	4,322,451.09	2,427,890.10
6000	RISK FINANCE	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	446,903.32	449,421.87	(2,518.55)
			NON-PERSONNEL SERVICES	118,900.00	49,793.18	69,106.82
6000 Total				565,803.32	499,215.05	66,588.27
8000	MARKET EXAMINATIONS	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	2,686,512.44	2,498,629.10	187,883.34
8000 Total				2,686,512.44	2,498,629.10	187,883.34
9000	COMPLIANCE ANALYSIS	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,678,160.44	1,120,447.75	557,712.69
			NON-PERSONNEL SERVICES	29,041.00	7,001.64	22,039.36
9000 Total				1,707,201.44	1,127,449.39	579,752.05
Grand Total				28,859,788.62	22,657,261.99	6,202,526.63

Department of Insurance, Securities and Banking (SR0)
Fiscal Year 2019 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	4,636,090.75	1,012,588.18	3,623,502.57
			NON-PERSONNEL SERVICES	3,833,805.00	397,598.63	929,791.53
1000 Total				8,513,895.75	1,410,186.81	4,597,294.10
100F	AGENCY FINANCIAL OPERATIONS	OPERATING INTRA-DISTRICT FUNDS	NON-PERSONNEL SERVICES	81,000.00	800.00	80,200.00
		SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	995,058.07	271,772.83	723,285.24
			NON-PERSONNEL SERVICES	22,800.00	0.00	22,800.00
100F Total				1,098,858.07	272,572.83	826,285.24
2000	INSURANCE	FEDERAL GRANT FUND	NON-PERSONNEL SERVICES	277,958.59	0.00	0.00
		SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	3,649,089.00	796,502.54	2,852,586.46
			NON-PERSONNEL SERVICES	568,400.00	15,661.33	535,738.67
2000 Total				4,495,447.59	812,163.87	3,388,325.13
3000	SECURITIES	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,553,091.57	354,486.08	1,198,605.49
			NON-PERSONNEL SERVICES	439,369.00	88,357.33	351,011.67
				1,992,460.57	442,843.41	1,549,617.16
3000 Total						
4000	ENFORCEMENT	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,251,378.36	251,190.05	1,000,188.31
			NON-PERSONNEL SERVICES	75,102.00	1,430.86	73,671.14
				1,326,480.36	252,620.91	1,073,859.45
4000 Total						
5000	BANKING	PRIVATE DONATIONS	NON-PERSONNEL SERVICES	2,500.00	0.00	2,500.00
		SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,665,232.60	349,653.15	1,315,579.45
			NON-PERSONNEL SERVICES	4,436,703.00	170,591.55	3,183,514.79
5000 Total				6,104,435.60	520,244.70	4,501,594.24
6000	RISK FINANCE	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	474,837.36	120,386.13	354,451.23
			NON-PERSONNEL SERVICES	183,850.00	4,189.87	179,660.13
				658,687.36	124,576.00	534,111.36
6000 Total						
8000	MARKET EXAMINATIONS	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	3,120,587.71	661,580.41	2,459,007.30
8000 Total				3,120,587.71	661,580.41	2,459,007.30
9000	COMPLIANCE ANALYSIS	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,631,041.15	296,390.19	1,334,650.96
			NON-PERSONNEL SERVICES	29,041.00	2,031.74	27,009.26
				1,660,082.15	298,421.93	1,361,660.22
9000 Total						
Grand Total				28,970,935.16	4,795,210.87	20,291,754.20

FY 2019 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 2018 Intra-District Transfers from Other Agencies

[illegible]

2) FY 2018 Intra-District Transfers to Other Agencies

[illegible]

3) FY 2019 Intra-District Transfers from Other Agencies

Project No.	Description	Seller Agency	Buyer Agency							Amount
N/A										
Total										-

4) FY 2019 Intra-District Transfers to Other Agencies

[illegible]

Appendix 7

Department of Insurance, Securities and Banking (SR0) **Special Purpose Revenue Funds** **FY2018 and FY2019 Revenue and Expenditures**

Fund Code	Fund Title	Source of Funding	Description	Propose of Expenditures	FY2018 Revenue	FY2018 Actual Expenditure	FY2019 Revenue 01/22/2018	FY2019 Actual Expenditure 01/22/2018
2100	HMO Assessment	Health Insurance Companies	An assessment on health care organizations	Expenditures are for the Agency's day-to-day operations	1,002,594	1,003,146	1,000	265,887
2200	Insurance Assessment	Insurance Companies	An assessment on Insurance Companies	Expenditures are for the Agency's day-to-day operations	6,893,265	6,751,035	1,102	1,462,784
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	2,210,806	0	292,137	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	11,242,195	11,242,195	0	2,577,849
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	572,505	0	14,835	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	13,640,180	0	5,273,073	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	2,624,113	2,167,453	65,143	487,891
2900	Banking Trust Fund	Banking Institutions , Mortgage Companies	These are fees collected from banks for applications, licensing, titles and penalties	N/A	0	0	4,569,643	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	15,500	0	1,900	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	649,730	0	0
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	4,614	0	1,029	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	555,363	0	1,043	0
					38,761,135	21,813,559	10,220,906	4,794,411

Appendix 8

DEPARTMENT OF INSURANCE, SECURITIES AND BANKING Contracting and Procurement FY18 and FY19												
Contracting Party	Product/Service	Budgeted Amount FY18	Actual Spending FY18	Budgeted Amount FY19	Actual Spending FY19*	Status	Term	Negotiated/Competitive Bid	Contract Monitor	Monitoring Activity	Funding Source	CBE
ABC Technical Solutions	Rolocarion IT Server & Equipment	\$3,986.00	\$3,986.00			Services Rendered	FY18	Competitive	Shankar Vaidyanathan	Monitored & Service Rendered	O-Type	Yes
				\$0.00	\$0.00							
American Construct LLC	Spot Cooling Equipment for IT Server Rooms	\$16,100	\$16,100	\$0.00	\$0.00	Services Rendered and Paid	FY18	Competitive	Shankar Vaidyanathan	Product Received	O-Type	Yes
Arkansas Foundation For Medical Care	Renew iRate Software	\$14,900	\$14,900	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Philip Barlow	Services Monitored & Received	Grant Funds	No
Bbrilliant LLC	Website Enhancements	\$50,468	\$50,468	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Philip Barlow/Tanya Bryant	Services Monitored	Grant Funds	Yes
BizTech Fusion, LLC	Renewal of Backup Exec Maintenance	\$3,850	\$3,850	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Shankar Vaidyanathan	Services Monitored & Paid in full	O-Type	Yes
BizTech Fusion, LLC	Network Firewall Appliance Configuration	\$5,000	\$5,000	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Shankar Vaidyanathan	Services Monitored & Paid in full	O-Type	Yes
BizTech Fusion, LLC	Renew Service License & Network Cable Relocation	\$11,250	\$11,250	\$0.00	\$0.00	Service Rendered	FY18	Competitive	Shankar Vaidyanathan	Services Monitored & Paid in full	O-Type	Yes
Briar Patch, Shredding and Recycling	Shredding Services	\$4,275	\$1,710	\$3,420.00	\$570.00	Services Currently Being Rendered	FY18 & FY19	Competitive	Edwin Woodley/Kendra Glass	Ongoing Services/Monitored Regularly	O-Type	Yes
Briar Patch, Shredding and Recycling	Shredding Services during relocation of building	\$5,000	\$5,000	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Edwin Woodley	Services Monitored	O-Type	Yes
Capital Area Asset Building	Outreach and Education Campaign	\$250,000	\$250,000	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Michelle Hammonds	Services Monitored & Paid in full	O-Type	No
Capital Community News, Inc	Printing and Digital Advertisement	\$13,416.00	\$8,601.60	\$0.00	\$0.00	Services Rendered and Paid	FY18	Competitive	Tanya Bryant	Services Rendered	O-Type	Yes
Capital Services & Supplies	Moving Services/Relocate Location	\$9,995.00	\$9,859.50	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Edwin Woodley	Services Rendered	O-Type	Yes
Conference of State Bank Super	Renew Annual CSBS Non-Depository & Supervisory Dues	\$18,585.00	\$18,585.00	\$0.00	\$0.00	Services Rendered and Paid	FY18	Competitive	Brian Williams	Services Rendered	O-Type	No
CX International Inc.	Host Site for Summer Youth Employment	\$18,982.25	\$18,982.25	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Michelle Hammonds	Services Rendered	O-Type	No
DC Chamber of Commerce	Sponsor at Chamber's Choice Awards Gala	n/a	n/a	\$5,000	\$0.00	Services Rendered and Awaiting Invoice	FY19	Competitive	Tanya Bryant	Services Rendered	O-Type	No
DC Chamber of Commerce	Sponsor at Small Business & Economic Development Summit	\$7,500	\$7,500	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Tanya Bryant	Services Rendered	O-Type	No
Document Systems, Inc.	Network Maintenance-IBM FileNet	\$29,766.84	\$29,766.84	\$30,511.32	\$30,511.32	Services Rendered and Paid	FY19	Competitive	Shankar Vaidyanathan	Maintenance Paid in Full	O-Type	Yes
Document Systems, Inc.	Maintenance Agreement/Kodak Scanner	\$7,158.18	\$7,158.18	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Shankar Vaidyanathan	Maintenance Paid in Full	O-Type	Yes
Dupont Computers	Promotional Items for Public Engagements	\$43,322.29	\$43,322.29	\$0.00	\$0.00	Products Received and Paid	FY18	Competitive	Tanya Bryant	Product Received	O-Type	Yes
Dupont Computers	Printing and Embroidery Services	\$14,756.98	\$5,723.40	\$0.00	\$0.00	Products Received and Paid	FY18	Competitive	Tanya Bryant	Product Received	O-Type	Yes
Excalibur Legal Staffing	Temporary Staffing	\$25,000	\$10,223.10	\$0.00	\$0.00	Service Rendered	FY18	Competitive	Katrice Purdie	Services Monitored	O-Type	Yes

Georgetown Technologies, LLC	Consultant	\$56,386.12	\$56,386.12	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Dana Sheppard	Services Monitored	O-Type	Yes
Hi-Tech Solution Inc.	Laptop Purchase for Agency Staff	\$70,650.00	\$70,650.00	\$0.00	\$0.00	Products Received and Paid	FY18	Competitive	Shankar Vaidyanathan	Product Received	O-Type	Yes
Housing Counseling Services	Mortgage Servicer Settlement Agreement	\$983,500	\$97,334.63	\$990,800.00	\$166,203.34	Services Ongoing	FY18 & FY19	Negotiated	Brian Williams	Ongoing Services/Monitored Regularly	O-Type	No
Iron Mountain Info Mgmt. LLC	Renewal Data Services	\$5,268	\$4,405.08	\$0.00	\$0.00	Services Rendered	FY18	Negotiated	Shankar Vaidyanathan	Services Monitored	O-Type	No
Lexis & Ellis Inc.	Rate Review Enhancement	\$148,375	\$133,276.69	\$0.00	\$0.00	Services Rendered and Paid	FY18	Competitive	Philip Barlow	Services Monitored & Satisfactorily Received	Grant Funds	No
Lexis Nexis Risk Solutions	Renewal Website Services	\$36,288	\$35,380.50	\$0.00	\$0.00		FY18	Negotiated	Brian Bressman	Monitored Regularly	O-Type	No
MDM Office Systems	Automated External Defibrillators(AED)	n/a	n/a	\$3,399	\$3,399	Services Rendered and Paid	FY19	Competitive	Kendra Glass	Services Rendered	O-Type	Yes
Merlinos & Associates, Inc.	Predictive Modeling Support/Actuary Training	\$15,870	\$15,870	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Robert Nkojo	Services Rendered	O-Type	No
Meltwater	Media Intelligence Services	n/a	n/a	\$5,333.00	\$0.00	Services to be rendered	FY19	Competitive	Paul Drehoff	Will be monitored	O-Type	No
MicroPact Global, Inc.	Support Maintenance- STAR System	\$53,875	\$53,875	\$89,875.00	\$89,875.00	Services Rendered and Paid	FY19	Competitive	Shankar Vaidyanathan	Maintenance Paid in Full	O-Type	No
MicroPact Global, Inc.	Relocation of Blue Express & STAR Database to newbuilding location	\$51,400	\$51,400	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Shankar Vaidyanathan	Services Monitored & Paid in full	O-Type	No
MVS Inc	IT Equipment Hardware Support	\$4,741	\$4,741	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Shankar Vaidyanathan	Services Rendered	O-Type	Yes
MW Consulting, LLC	Comprehensive Review & Analysis	\$24,940.50	\$24,970	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Tanya Bryant	Services Monitored	O-Type	Yes
MW Consulting, LLC	Develop Engagement Items	\$9,976.50	\$9,977	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Tanya Bryant	Product Received	O-Type	Yes
National Association of Insurance	Renewal NAIC/Teammate Website Services	\$5,040.00	\$5,040	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Philip Barlow	Services Rendered	Grant Funds	No
Neal R. Gross	Transcription Services for OGC	\$10,250.00	\$6,072	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Lilah Blackstone	Services Monitored & Satisfactorily	O-Type	Yes
Networking for Future Inc.	Maintenance Agreement/Cisco Smartboards	\$4,796.00	\$4,796	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Shankar Vaidyanathan	Services Monitored	O-Type	Yes
Networking for Future Inc.	IT Training for DISB Staff	\$7,983.33	\$7,983	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Shankar Vaidyanathan	Services Monitored & Paid in full	O-Type	Yes
New Beginnings, LLC	Temporary Staffing	\$7,229.00	\$5,977.86	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Katrice Purdie	Services Rendered	O-Type	Yes
New Beginnings, LLC	Temporary Staffing	\$15,009.68	\$15,009.68	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Katrice Purdie	Services Rendered	O-Type	Yes
NCRC-National Community	Sponsorship/DC Women's Business Center	\$4,975.00	\$4,975.00	\$5,000.00	\$5,000.00	Services Rendered FY18 & services to be rendered FY19	FY18 & FY19	Negotiated	Tanya Bryant	Services Rendered & Paid in Full	O-Type	No
Nymbus Corporation	Feasibility Study for the Establishment of Public Banks	\$199,540.00	\$149,540.00	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Dana Sheppard	Services Rendered	O-Type	No
Peter A. Lichtenberg	Expert Witness	\$15,600.00	\$4,254.61	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Stephen Taylor	Services Rendered	O-Type	No

Pitney Bowes	Postage Meter Machine	\$30,000.00	\$7,501.79	\$0.00	\$0.00	Services Rendered	FY18 & FY19	Negotiated	Edwin Woodley/Kendra Glass	Ongoing Services/Monitored Regularly	O-Type	No
Public Consulting Group, Inc	Market Reforms Appeals & Preventive	\$547,276.25	\$547,276.25	\$0.00	\$0.00		FY18	Competitive	Philip Barlow	n/a	Grant Funds	No
Public Consulting Group, Inc	Analysis Services/Insurance Market Reform	\$472,800	\$373,477.84	\$0.00	\$0.00		FY18	Competitive	Philip Barlow	n/a	Grant Funds	No
Public Performance Management	IBM Lotus Domino/Notes & WebSphere Maintenance Agreement Renewal	\$ 3,814.80	\$3,814.80	\$0.00	\$0.00	Services rendered	FY18	Competitive	Shankar Vaidyanathan	Services Monitored & Satisfactorily	O-Type	No
RizeUp Technology Training	Temporary Staffing	n/a	n/a	19,241.84	\$0.00	Services to be rendered	FY19	Negotiated	Katrice Purdie	Monitoring to be performed	O-Type	Yes
Simplify Compliance, LLC	Renew Subscription	\$2,795	\$2,795	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Theodore Miles	Services Rendered	O-Type	No
The Aquiline Group	Pocket Folders	\$5,000	\$5,000	\$0.00	\$0.00	Products Received and Paid	FY18	Competitive	Tanya Bryant	Services Monitored & Product Received	O-Type	Yes
The Aquiline Group	Event Planning Services & Training	\$9,900	\$9,900	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Tanya Bryant	Services Monitored & Satisfactorily	O-Type	Yes
The Aquiline Group	Printing Promotional Items	\$10,000	\$10,00	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Tanya Bryant	Product Received	O-Type	Yes
The Bureau of National Affairs	Renew Subscription	\$4,070	\$4,070	\$0.00	\$0.00	Services Rendered	FY18	Competitive	James McManus	Service Rendered	O-Type	No
The Hamilton Group	Promotional Items for Public Engagements	\$56,919.34	\$56,919.34	\$0.00	\$0.00	Products Received and Paid	FY18	Competitive	Tanya Bryant	Product Received	O-Type	Yes
The Washington Informer	Advertisement	\$13,500.00	\$13,500.00	\$0.00	\$0.00	Products Received and Paid	FY18	Negotiated	Tanya Bryant	Services Rendered	O-Type	Yes
Think Local First SC	Localist Sponser at Local First Awards	n/a	n/a	\$3,000	\$3,000	Services Rendered and Paid	FY19	Competitive	Tanya Bryant	Services Rendered	O-Type	No
Wakely Consulting Group, Inc.	Analysis Health Insurance Rate Review	\$239,636	\$164,636	\$0.00	\$0.00	Services Rendered	FY18	Competitive	Philip Barlow	Services Rendered	Grant Funds	No
Washington DC Economic Partner	Annual Sponsorship Event	n/a	n/a	\$5,000	\$0	Services Rendered and Awaiting Invoice	FY19	Competitive	Tanya Bryant	Services Rendered	O-Type	Yes
Washington DC Economic Partner	Sponsorship at WeDC conference	\$10,000	\$10,000	\$0.00	\$0.00	Services Rendered and Paid	FY18	Competitive	Paul Drehoff	Services Rendered	O-Type	No
Washington DC Economic Partner	Annual Meeting & Econ Showcase	\$5,000	\$5,000	\$0.00	\$0.00	Services and Paid	FY18	Competitive	Tanya Bryant	Services Rendered	O-Type	No
West Publishing Corp/ Thomson Reuters	Westlaw/Legal Research Database	\$15,178	\$14,236	\$0.00	\$0.00	Services Rendered	FY18	Negotiated	Edwin Woodley	Monitored Regularly	O-Type	No
WingSwept LLC	CMTS Annual Maintenance Support	\$22,683.96	\$13,860.00	\$0.00	\$0.00	Services Rendered and Paid	FY18	Negotiated	Brian Bressman	Services Monitored & Satisfactorily	O-Type	No
Wolters Kluwer Financial	Renew Website Services/Federal Securities Regulation Integrated Library	\$14,393.60	\$14,393.60	n/a	n/a	Services Rendered	FY18	Negotiated	Theodore Miles	Services Monitored & Paid in full	O-Type	No
Xerox Corporation	Lease Agreement Xerox Copiers	\$129,288.40	\$99,062.55	\$30,225.85	\$0.00		FY18 & FY19	Negotiated	Shankar Vaidyanathan	Ongoing Services/Monitored Regularly	O-Type	No
Xerox Corporation	Relocation of Xerox Copiers to new building	\$4,224.00	\$18,126.49	\$0.00	\$0.00	Services Rendered	FY18	Negotiated	Shankar Vaidyanathan	Services Rendered	O-Type	No

Total	\$3,881,484.51	\$2,647,470.20	\$1,190,806.01	\$298,558.66
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Appendix 9

DEPARTMENT OF INSURANCE, SECURITIES AND BANKING
PCard Report
FY18

Transaction Date	Transaction Amount	Account Number	Cardholder Last Name	Cardholder First Name	Merchant Name	MCC Description	Merchant Type	Transaction Notes	CBE
10/04/2017	\$2.00	*****0021	WOODLEY	EDWIN	CAPITAL SERVICES AND S	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Event Set up - Communications. Total charge 2463.81. First	Yes
10/04/2017	\$700	*****0021	WOODLEY	EDWIN	FINRA Educ & Trang	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	FINRA - Adu, George	No
10/04/2017	\$700	*****0021	WOODLEY	EDWIN	FINRA Educ & Trang	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	FINRA-McManus, James	No
10/4/2017	\$2,461.85	*****0021	WOODLEY	EDWIN	CAPITAL SERVICES AND S	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Event Set-Up - Communications	Yes
10/6/2017	\$2,450	*****3567	Wade	Alicia	Pageant Media LTD.	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Risk Finance Captive Reports Leaders Report article.	No
10/12/2017	\$70.00	*****3567	Woodley	Edwin	Metro 025-Union STN	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Reloading of MetroCard for use by Agency Staff	No
10/17/2017	\$79.50	*****0021	WOODLEY	EDWIN	INT*IN Precision	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED		Toner Purchase	No
10/18/2017	\$45.00	*****0021	WOODLEY	EDWIN	Metro 025-Union STN. N	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Reloading of Metrofare Card for use by Agency Staff	No
10/18/2017	\$50.00	*****0021	WOODLEY	EDWIN	Metro 025-Union STN. N	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Reloading of Metrofare Card for use by Agency Staff	No
10/19/2017	\$1,560.00	*****0021	WOODLEY	EDWIN	CAPITAL SERVICES AND S	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Purchase copier paper	Yes
10/24/2017	\$1,892.65	*****0021	WOODLEY	EDWIN	INT*IN Precision	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Toner Cartridges	Yes
10/25/2017	\$995.00	*****0021	WOODLEY	EDWIN	Business Insurance	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	2018 World Captive Forum-Risk Finance	No
10/27/2017	\$98.39	*****0021	WOODLEY	EDWIN	Comcast	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Other	Comcast-October	No
10/31/2017	\$144.00	*****3567	Wade	Alicia	Medicare Rights Center	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Medicare online training. RaShaunda Benson, Health Insurance Analyst	No
10/31/2017	\$2,498.80	*****0021	WOODLEY	EDWIN	MVS INC	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	MAINTENANCE/REPAIRS - OTHER	Yes
10/31/2017	\$2,499.48	*****0021	WOODLEY	EDWIN	ABC Technical Solution	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Diskeeper Maintenance	Yes
10/30/2017	\$2,500	*****3567	Wade	Alicia	Captive Insurance Comp	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Conference fees. Risk Finance for exhibit space fee 2018.	No
11/1/2017	\$485.00	*****0021	WOODLEY	EDWIN	Amazon MKTPLACE PMTS	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Other	Book (SSBCI) Structuring Venture Capital, Private Equity and Entrepreneurial Transactions, 2017	No
11/3/2017	\$411.25	*****0021	WOODLEY	EDWIN	SQ*SQ*The Aquilne G	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Business Cards (Taylor, Burt)	Yes
11/3/2017	\$1,095.00	*****3567	Wade	Alicia	Paypal *Kimberly YBRA	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Training from the Back of the Room for Nneka Azikiwe, Bank on DC.	No
11/8/2017	\$110.00	*****0021	WOODLEY	EDWIN	BB *CFA	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Consumer Federation of America, Financial Services Conference (M.	No
11/9/2017	\$2,500	*****0021	WOODLEY	EDWIN	INT*IN *THINK LOCAL FI	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Think Local DC Event - Booth Rental (Communications)	Yes
11/13/2017	\$81.00	*****0021	WOODLEY	EDWIN	SUPERIOR COURIERS LLC	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Courier Services (Communications)	Yes
11/16/2017	\$750.00	*****0021	WOODLEY	EDWIN	CENTER FOR DISPUTE SET	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Mediation Services (Banking)	Yes
11/16/2017	\$221.72	*****0021	WOODLEY	EDWIN	PREMIER SUPPLIERS	DENTAL-LAB-MED-OPHTHALMIC HOSP EQUIP +	Healthcare	Move Boxes - Admin Services	Yes
11/16/2017	\$51.50	*****0021	WOODLEY	EDWIN	PREMIER SUPPLIERS	DENTAL-LAB-MED-OPHTHALMIC HOSP EQUIP +	Healthcare	File Folders (Banking)	Yes
11/16/2017	\$279.48	*****0021	WOODLEY	EDWIN	PREMIER SUPPLIERS	DENTAL-LAB-MED-OPHTHALMIC HOSP EQUIP +	Healthcare	Storage/Move Boxes (OGC)	Yes

11/17/2017	\$690.60	*****0021	WOODLEY	EDWIN	FedEx 96235226	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Other	Express mailings.	No
Transaction Date	Transaction Amount	Account Number	Cardholder Last Name	Cardholder First Name	Merchant Name	MCC Description	Merchant Type	Transaction Notes	CBE
11/30/2017	\$48.30	*****0021	WOODLEY	EDWIN	ACTEX Mad River Books	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Other	n/a	No
12/1/2017	\$1,729.00	*****0021	WOODLEY	EDWIN	SPPLUS/Central Parking	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Other	Parking Subsidy	No
12/1/2017	\$60.00	*****0021	WOODLEY	EDWIN	Metro 025-Union STN N	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metro Refill	No
12/1/2017	\$2,420.34	*****0021	WOODLEY	EDWIN	Metropolitan Office PR	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Supplies OCFO	No
12/7/2017	\$200.00	*****0021	WOODLEY	EDWIN	USPS PO 1049780113	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	PO Box Rental Enforcement	No
12/7/2017	\$231.00	*****0021	WOODLEY	EDWIN	SUPERIOR COURIERS LLC	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Courier Services	Yes
12/14/2017	\$824.00	*****0021	WOODLEY	EDWIN	U.S. OFFICE SOLUTIONS	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Waste Baskets	Yes
12/21/2017	\$450.00	*****0021	WOODLEY	EDWIN	NEAL R. GROSS & CO., I	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Translation of Consumer Guide to Spanish	Yes
12/28/2017	\$813.50	*****0021	WOODLEY	EDWIN	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Purchase of Office Calendars	Yes
1/3/2018	\$2,990	*****0021	WOODLEY	EDWIN	INT*IN *PRECISION CAPI	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Purchase - GSA Secured Cabinet (Enforcement)	No
01/04/208	\$395	*****0021	WOODLEY	EDWIN	BUSINESS INSURANCE	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	World Captive Forum 2018 Conference Fees. (O'Donnell)	No
1/10/2017	\$91	*****0021	WOODLEY	EDWIN	SUPERIOR COURIERS LLC	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Transport of 24 Boxes to DC Armory (Communications).	Yes
1/16/2017	\$2,500	*****0021	WOODLEY	EDWIN	SQ *SQ *THE AQUILINE G	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Consumer Guides . (Communications)	Yes
1/18/2018	\$30	*****0021	WOODLEY	EDWIN	METRO 108-NEW YORK AV	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	MetroCard Refill	No
1/18/2018	\$30.00	*****0021	WOODLEY	EDWIN	METRO 108-NEW YORK AV	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	MetroCard Refill	No
1/18/2018	\$30.00	*****0021	WOODLEY	EDWIN	METRO 108-NEW YORK AV	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	MetroCard Refill	No
1/19/2018	\$722.55	*****0021	WOODLEY	EDWIN	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Purchase - Office Calendars	Yes
1/24/2018	\$105.14	*****0021	WOODLEY	EDWIN	CAPITAL SERVICES AND S	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Laminating Machine (Enforcement)	Yes
1/25/2018	\$1,440.00	*****0021	WOODLEY	EDWIN	SQ *SQ *THE AQUILINE G	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Business Cards - Executive Staff	Yes
1/27/2018	\$753.93	*****0021	WOODLEY	EDWIN	DTV*DIRECTV HARDWARE	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Other	DirecTv Subscription	No
1/30/2018	\$1,359.60	*****0021	WOODLEY	EDWIN	U.S. OFFICE SOLUTIONS	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Copier Paper	Yes
2/6/2018	\$827.67	*****0021	WOODLEY	EDWIN	DATAWATCH SYSTEMS INC	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Security	No
2/6/2018	827.67	*****0021	WOODLEY	EDWIN	DATAWATCH SYSTEMS INC	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Security	No
2/6/2018	827.67	*****0021	WOODLEY	EDWIN	DATAWATCH SYSTEMS INC	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Security	No
2/7/2018	\$175.00	*****0021	WOODLEY	EDWIN	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Conference Fees 2018 Spring Seminar & Networking Forum.	No
2/7/2018	\$175.00	*****0021	WOODLEY	EDWIN	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Conference Fees 2018 Spring Seminar & Networking Forum.	No
2/7/2018	\$175.00	*****0021	WOODLEY	EDWIN	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Conference Fees 2018 Spring Seminar & Networking Forum.	No
2/7/2018	\$175.00	*****0021	WOODLEY	EDWIN	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Conference Fees 2018 Spring Seminar & Networking Forum.	No
2/7/2018	\$175.00	*****0021	WOODLEY	EDWIN	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Conference Fees 2018 Spring Seminar & Networking Forum.	No
2/7/2018	\$175.00	*****0021	WOODLEY	EDWIN	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Conference Fees 2018 Spring Seminar & Networking Forum.	No

2/7/2018	\$175.00	*****0021	WOODLEY	EDWIN	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Conference Fees 2018 Spring Seminar & Networking Forum.	No
2/7/2018	\$175.00	*****0021	WOODLEY	EDWIN	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Conference Fees 2018 Spring Seminar & Networking Forum.	No
Transaction Date	Transaction Amount	Account Number	Cardholder Last Name	Cardholder First Name	Merchant Name	MCC Description	Merchant Type	Transaction Notes	CBE
2/7/2018	\$175.00	*****0021	WOODLEY	EDWIN	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Conference Fees 2018 Spring Seminar & Networking Forum.	No
2/7/2018	\$175.00	*****0021	WOODLEY	EDWIN	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Conference Fees 2018 Spring Seminar & Networking Forum.	No
2/8/2018	\$540.00	*****0021	WOODLEY	EDWIN	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Toner	Yes
2/10/2018	\$66.74	*****0021	WOODLEY	EDWIN	COMCAST	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Other	Cable Service - 810 First Street, NE	No
2/10/2018	\$443.88	*****0021	WOODLEY	EDWIN	D J*WALL ST JOURNAL	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Other	Subscription Renewal	No
2/10/2018	\$1,105.96	*****0021	WOODLEY	EDWIN	FEDEX 97239596	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Other	OTHER SERVICES AND CHARGES	No
2/12/2018	\$318.00	*****0021	WOODLEY	EDWIN	THE CALVIN PRICE	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Secure Safe - Enforcement	Yes
2/14/2018	\$425.00	*****0021	WOODLEY	EDWIN	SQ *SQ *THE AQUILINE G	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Layout Ad for America Saves Week (Communications)	Yes
2/14/2018	\$1,750.00	*****0021	WOODLEY	EDWIN	PAYPAL *MTBENTERPRI	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Promotional Ad (Communications)	No
2/15/2018	\$3,775.10	*****0021	WOODLEY	EDWIN	INT*IN *GENERAL MERCHA	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Smart TV Purchase	No
2/16/2018	\$1,469.72	*****0021	WOODLEY	EDWIN	SUNBELT RENTALS #421	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Other	Emergency Spot Cooler Rental for LAN Room	No
2/20/2018	\$540.00	*****0021	WOODLEY	EDWIN	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Toner	Yes
2/20/2018	\$396.75	*****0021	WOODLEY	EDWIN	PREMIER SUPPLIERS	DENTAL-LAB-MED-OPHTHALMIC HOSP EQUIP +	Healthcare	Toner	Yes
2/22/2018	\$56.00	*****0021	WOODLEY	EDWIN	SUPERIOR COURIERS LLC	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Courier Service - DC Convention Ctr 12 Boxes. (Communications)	Yes
02/25/2018	\$117.35	*****3567	Wade	Alicia	D J*WALL-ST-JOURNAL	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Wall Street Journal - J. Bramble	No
2/23/2018	\$325.00	*****0021	WOODLEY	EDWIN	CAPTIVE INSURANCE COMP	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	CICA Conference; Schleit, O'Donnell, Afolabi	No
2/23/2018	\$325.00	*****0021	WOODLEY	EDWIN	CAPTIVE INSURANCE COMP	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	CICA Conference; Schleit, O'Donnell, Afolabi	No
2/23/2018	\$325.00	*****0021	WOODLEY	EDWIN	CAPTIVE INSURANCE COMP	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	CICA Conference; Schleit, O'Donnell, Afolabi	No
3/1/2018	\$4,138.92	*****0021	WOODLEY	EDWIN	EB DC BLOCKCHAIN SUMM	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Other	DC2018 Blockchain Summit - Charged in error. (Taylor) Charged	No
3/2/2018	(\$4,138.92)	*****0021	WOODLEY	EDWIN	EB DC BLOCKCHAIN SUMM	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Other	DC2018 Blockchain Summit - Charged in error. (Taylor) Charged	No
3/2/2018	(\$0.01)	*****0021	WOODLEY	EDWIN	SUNBELT RENTALS #421	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Other	Security Hold for Spot Cooler Rental (Refund)	No
3/2/2018	\$26.34	*****0021	WOODLEY	EDWIN	INDEED	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Recruitment Activities-K. Purdie	No
3/6/2018	\$35.00	*****0021	WOODLEY	EDWIN	METRO 108-NEW YORK AV	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	MetroCard Refill	No
3/7/2018	\$2,200	*****0021	WOODLEY	EDWIN	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Conference Fees 2018 Spring Seminar & Networking Forum.	No
3/3/2018	(\$753.93)	*****0021	WOODLEY	EDWIN	DTV*DIRECTV HARDWARE	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Refund - Direct Tv Services . Declined Subscription. Direct Tv	No
3/10/2018	\$331.80	*****0021	WOODLEY	EDWIN	PREMIER SUPPLIERS	DENTAL-LAB-MED-OPHTHALMIC HOSP EQUIP + SUPPLIES	Healthcare	Replacement Chair. L. Martin	Yes
3/12/2018	\$502.87		WOODLEY	EDWIN	INDEED	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Recruitment Activities-K. Purdie	No
3/3/2018	\$540.00	*****0021	WOODLEY	EDWIN	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Toner	Yes

3/12/2018	\$2,500	*****0021	WOODLEY	EDWIN	GREATER WASHINGTON HIS	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Greater Washington Hispanic Chamber of Commerce. Booth Rental - (Communications)	No
3/13/2018	\$3,000	*****0021	WOODLEY	EDWIN	WASHINGTON DC ECONOMIC	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	WDEP - Purchase Neighborhood Guides (Communications)	No
3/14/2018	\$525	*****3567	Wade	Alicia	D J*WALL ST JOURNAL	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Agency Wall Street Journal Subscription.	No
Transaction Date	Transaction Amount	Account Number	Cardholder Last Name	Cardholder First Name	Merchant Name	MCC Description	Merchant Type	Transaction Notes	CBE
3/15/2018	\$ 349.30	*****0021	WOODLEY	EDWIN	ACTEX MAD RIVER BOOKS	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Other	Blockchain Intro for Actuaries and Insurance Professionals Webinar:	No
3/20/2018	\$ (904.46)	*****0021	WOODLEY	EDWIN	INT*IN *GENERAL MERCHA	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Refund:75" TV for 8th Floor Conference Room	No
3/19/2018	\$2,152.80	*****0021	WOODLEY	EDWIN	ABC TECHNICAL SOLUTION	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Purchase of security cables for Laptops	Yes
3/20/2018	\$4,780.00	*****0021	WOODLEY	EDWIN	FINRA EDUC & TRNG	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Other	FINRA. Securities Staff	No
3/23/2018	\$500.07	*****0021	WOODLEY	EDWIN	INDEED	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Recruitment Activities - K. Purdie	No
3/23/2018	\$1,800.00	*****0021	WOODLEY	EDWIN	SMARTSHEET.COM	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Other	Smartsheet Renewal - Banking	No
3/28/2018	\$1,056.37	*****0021	WOODLEY	EDWIN	CAPITAL MOVING SOLUTIO	STATIONERY-OFFICE SUPPLIES-PRINTING + WRITING PAP.	Office Equipment and Supplies	Office supplies-Communications	Yes
3/28/2018	\$1,359.60	*****0021	WOODLEY	EDWIN	U.S. OFFICE SOLUTIONS	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Supplies, OCFO	Yes
3/29/2018	\$3,173.00	*****0021	WOODLEY	EDWIN	BLUEBAY OFFICE INC	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Supplies, OCFO	Yes
3/30/2018	\$715.00	*****0021	WOODLEY	EDWIN	EB IRES FOUNDATION 20	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Other	EB IRES FOUNDATION Conference (Owens)	No
3/30/2018	\$4,788.80	*****0021	WOODLEY	EDWIN	BLUEBAY OFFICE INC	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Office Supplies OCFO	Yes
3/30/2018	\$301.50	*****0021	WOODLEY	EDWIN	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Office Supplies	Yes
04/04/2018	595.00	*****1440	WOODLEY	EDWIN	INSURANCE REGULATORY EXAMINERS	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	IRES Foundation 2018 National School on Market Regulation	No
04/10/2018	50.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	METRO Card Refill	No
04/11/2018	515.61	*****1440	WOODLEY	EDWIN	PUBLIC PERFORMANCE MGM	CONSULTING MANAGEMENT AND PUBLIC RELATIONS SVCS	Professional Services	Supplies (OCFO)	Yes
04/11/2018	550.00	*****1440	WOODLEY	EDWIN	SQ	ORGANIZATIONS MEMBERSHIP-NOT	Other	MTRA Advance School - J. Bramble	No
04/11/2018	900.00	*****1440	WOODLEY	EDWIN	NATIONALCOM	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	NCRC Conference - Group rate discounted. (Drafton, Abdullah,	No
04/12/2018	981.20	*****1440	WOODLEY	EDWIN	INT*IN *PRECISION CAPI	STATIONERY-OFFICE SUPPLIES-PRINTING + WRITING PAP.	Office Equipment and Supplies	Purchase of Toner	Yes
04/18/2018	1,170.00	*****1440	WOODLEY	EDWIN	YAKIMA SUPPLIES INC	MISCELLANEOUS AND SPECIALTY RETAIL STORES	Retail	purchase of Copier Paper.	Yes
04/22/2018	750.00	*****1440	WOODLEY	EDWIN	CENTER FOR DISPUTE SET	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Mediation Services Provided by CDS.	No
04/23/2018	350.00	*****1440	WOODLEY	EDWIN	PAYPAL	ORGANIZATIONS MEMBERSHIP-NOT	Other	Association of Certified Fraud Examiners, Registration Fees -	No-Price over 12%
04/20/2018	304.43	*****1440	WOODLEY	EDWIN	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Office Supplies (OCFO)	Yes
04/30/2018	2,100.00	*****1440	WOODLEY	EDWIN	CAPITAL MOVING SOLUTIO	STATIONERY-OFFICE SUPPLIES-PRINTING + WRITING PAP.	Office Equipment and Supplies	Post Move services provided by Capital Services and Supplies	Yes
05/01/2018	1,349.15	*****1440	WOODLEY	EDWIN	FEDEX	COURIER SVC-AIR + GROUND FREIGHT FORWARDERS	Warehousing, Freight and Delivery	FedEx Invoices	No
05/01/2018	70.95	*****1440	WOODLEY	EDWIN	METRO STAMP AND SEAL C	STATIONERY-OFFICE SUPPLIES-PRINTING + WRITING PAP.	Office Equipment and Supplies	Notary Supplies (Mathis)	Yes
05/02/2018	1,192.14	*****1440	WOODLEY	EDWIN	LASER ART INC	OFFICE SCHOOL SUPPLY AND STATIONERY STORES	Office Equipment and Supplies	Toner Cartridges (Commissioner's Suite)	Yes
05/05/2018	1,455.00	*****1440	WOODLEY	EDWIN	CAPITAL PRIDE ALLIANCE	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Registration Fees/Booth Rental - Capital Pride Festival.	No
05/07/2018	3,272.56	*****1440	WOODLEY	EDWIN	US OFFICE SOLUTIONS	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM	Print and Duplicating Services	Supplies - SYEP	Yes

05/07/2018	1,627.50	*****1440	WOODLEY	EDWIN	CAPITAL MOVING SOLUTIO	STATIONERY-OFFICE SUPPLIES- PRINTING + WRITING PAP.	Office Equipment and Supplies	Pre Move Services Needed by Capital Services and Supplies	Yes
05/14/2018	995.00	*****1440	WOODLEY	EDWIN	IIBIG	BUSINESS SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Registration Fees for CHARLES BURT to attend iiBIG's 10th	No
05/16/2018	197.55	*****1440	WOODLEY	EDWIN	BIZTECH FUSION LLC - E	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	SolarWinds Dameware Remote Support Maintenance (IT Dept.)	Yes
05/16/2018	1,282.48	*****1440	WOODLEY	EDWIN	BIZTECH FUSION LLC - E	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	CPTRAZ and DRAZOR for Windows (IT Dept.)	Yes
Transaction Date	Transaction Amount	Account Number	Cardholder Last Name	Cardholder First Name	Merchant Name	MCC Description	Merchant Type	Transaction Notes	CBE
05/18/2018	60.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	MetroCard Reloading	No
05/30/2018	100.00	*****1440	WOODLEY	EDWIN	THE BUSINESS JOURNALS	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Subscription Renewal- S. Taylor	No
05/30/2018	1,518.50	*****1440	WOODLEY	EDWIN	FLIK GALLCONF 16128290	LODGING-HOTELS MOTELS RESORTS-NOT CLASSIFIED	Lodging	Kellog Conference. Communications	No
06/01/2018	4,755.79	*****1440	WOODLEY	EDWIN	US OFFICE SOLUTIONS	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM	Print and Duplicating Services	Office Supplies	Yes
05/31/2018	1,050.00	*****1440	WOODLEY	EDWIN	FRESHFARM	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Exhibit Fee - Fresh Farm Markets (Communications)	No
06/05/2018	1,773.00	*****1440	WOODLEY	EDWIN	THOMSON WEST	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services		No
06/06/2018	1,011.52	*****1440	WOODLEY	EDWIN	CALVIN PRICE GROUP LLC	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Office Supplies	Yes
06/08/2018	1,650.00	*****1440	WOODLEY	EDWIN	TOUCAN	MISCELLANEOUS GENERAL MERCHANDISE	Retail	Promotional Items. (Communications)	Yes
06/08/2018	2,219.00	*****1440	WOODLEY	EDWIN	LEX*LEXIS NEXIS	BUSINESS SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Lexis Nexis Portal for Communications	No
06/08/2018	2,119.60	*****1440	WOODLEY	EDWIN	PREMIER SUPPLIERS	DENTAL-LAB-MED- OPHTHALMIC HOSP EQUIP +	Healthcare	Copier Paper	Yes
06/11/2018	80.00	*****1440	WOODLEY	EDWIN	THE BUSINESS JOURNALS	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services		No
06/08/2018	278.43	*****1440	WOODLEY	EDWIN	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Toner	Yes
06/12/2018	810.00	*****1440	WOODLEY	EDWIN	THE CALVIN PRICE	STATIONERY-OFFICE SUPPLIES- PRINTING + WRITING PAP.	Office Equipment and Supplies	Shelf Installation Fee	Yes
06/13/2018	433.90	*****1440	WOODLEY	EDWIN	THE CALVIN PRICE	STATIONERY-OFFICE SUPPLIES- PRINTING + WRITING PAP.	Office Equipment and Supplies	Office Supplies	Yes
06/13/2018	95.00	*****1440	WOODLEY	EDWIN	PROFESSIONAL LEGAL RES	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Process Server (Blackstone)	No
06/13/2018	200.00	*****1440	WOODLEY	EDWIN	EVENTS DC SPORT AND EN	BUSINESS SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Exhibit Table @events DC (Communications)	No
06/07/2018	594.00	*****1440	WOODLEY	EDWIN	FLIK GALLCONF 16128290	LODGING-HOTELS MOTELS RESORTS-NOT CLASSIFIED	Lodging	Group Master DISB Feasibility Town Hall	No
06/21/2018	249.00	*****1440	WOODLEY	EDWIN	OMEDA	CONSULTING MANAGEMENT AND PUBLIC RELATIONS SVCS	Professional Services	Subscription _ National Underwriters Property and Casualty	Yes
06/26/2018	3,618.84	*****8281	WADE	ALICIA	THE CALVIN PRICE	STATIONERY-OFFICE SUPPLIES- PRINTING + WRITING PAP.	Office Equipment and Supplies	Installation of storage racks	Yes
06/26/2018	99.60	*****8281	WADE	ALICIA	US OFFICE SOLUTIONS	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM	Print and Duplicating Services	Supplies, AFO	Yes
06/26/2018	278.88	*****8281	WADE	ALICIA	US OFFICE SOLUTIONS	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM	Print and Duplicating Services	Toner	Yes
06/26/2018	308.71	*****1440	WOODLEY	EDWIN	INDEED	DIRECT MARKETING-OTHER DIRECT MARKETERS-NOT	Professional Services	Job Posting	No
06/29/2018	509.32	*****1440	WOODLEY	EDWIN	INDEED	DIRECT MARKETING-OTHER DIRECT MARKETERS-NOT	Professional Services	Job Posting	No
06/29/2018	50.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other		No
06/29/2018	50.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metro Reload	No
07/01/2018	193.87	*****1440	WOODLEY	EDWIN	INDEED	DIRECT MARKETING-OTHER DIRECT MARKETERS-NOT	Professional Services		No
07/02/2018	1,545.60	*****8281	WADE	ALICIA	PAYPAL	CONSULTING MANAGEMENT AND PUBLIC RELATIONS SVCS	Professional Services	YEP Items (Hammonds)	Yes

07/03/2018	100.00	*****8281	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	MetroFareCard Reload - SYEP	No
07/03/2018	100.00	*****8281	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other		No
07/03/2018	100.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other		No
07/03/2018	100.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other		No
07/03/2018	635.82	*****1440	WOODLEY	EDWIN	CALVIN PRICE GROUP LLC	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation		Yes
Transaction Date	Transaction Amount	Account Number	Cardholder Last Name	Cardholder First Name	Merchant Name	MCC Description	Merchant Type	Transaction Notes	CBE
07/05/2018	179.00	*****8281	WADE	ALICIA	ACFE	ORGANIZATIONS MEMBERSHIP-NOT	Other	How to detect and prevent Financial Statement Fraud (Online Workbook)	No
07/06/2018	100.00	*****8281	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Bank on DC smartrip autoloa.	No
07/06/2018	54.00	*****8281	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metro Card Reload. 54.00	No
07/06/2018	100.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metro smartrip card for agency staff travel.	No
07/06/2018	100.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metro smartrip card for agency staff travel.	No
07/06/2018	750.00	*****1440	WOODLEY	EDWIN	CSBS/EFSBS ONLINE	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	CSBS online training system for Brian Williams.	Yes
07/09/2018	750.00	*****8281	WADE	ALICIA	SQ	ORGANIZATIONS MEMBERSHIP-NOT	Other	MTRA membership dues.	No
07/09/2018	2,500.00	*****8281	WADE	ALICIA	NASAA	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	Securities - NASAA 2018 Annual Membership Dues.	No
07/10/2018	100.00	*****8281	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	DISB Metrofare Autoload	No
07/10/2018	100.00	*****8281	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	DISB Metrofare Autoload.	No
07/09/2018	157.25	*****1440	WOODLEY	EDWIN	PREMIER SUPPLIERS	DENTAL-LAB-MED-OPHTHALMIC HOSP EQUIP +	Healthcare	Calculators for Banking Examiners.	Yes
07/10/2018	100.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metro smartrip card for agency staff travel.	No
07/10/2018	100.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metro smartrip card for agency staff travel.	No
07/12/2018	200.00	*****8281	WADE	ALICIA	AINS INC	COMP PROGRAMING DATA PRCSNG INTGRD SYS DSGN	Professional Services	FOIA Express Training for Claudine Alula, Paralegal Specialist	No
07/13/2018	100.00	*****8281	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Bank on DC Smartrip Card autoloa.	No
07/13/2018	100.00	*****8281	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Bank on DC smartrip card autoloa.	No
07/13/2018	100.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metro smartrip card for agency staff travel.	No
07/13/2018	100.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metro smartrip card for agency staff travel.	No
07/16/2018	1,506.89	*****8281	WADE	ALICIA	PAYPAL	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Pay pal. Daniel Alexander Payne community development corp.	No
07/18/2018	1,795.00	*****8281	WADE	ALICIA	BUSINESS INSURANCE	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Event Sponsorship - World Captive Forum 2019 - Domicile Exhibitor -	No
07/18/2018	100.00	*****8281	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Bank on DC Metrofare autoloa	Yes
07/18/2018	100.00	*****8281	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Bank on DC smartrip autoloa.	No
07/18/2018	100.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metro smartrip card for agency staff travel.	No
07/18/2018	100.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metro smartrip card for agency staff travel.	No
07/19/2018	100.00	*****8281	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Bank on DC smartrip card autoloa.	No
07/19/2018	100.00	*****8281	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Bank on DC smartrip card autoloa.	No

07/20/2018	2,225.00	*****8281	WADE	ALICIA	INT*IN *CLEARLY INNOVA	OTHER SERVICES (NOT ELSEWHERE CLASSIFIED)	Other	DISB event space rental. Communications	No
07/20/2018	100.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metro smartrip card for agency staff travel.	No
07/22/2018	531.58	*****1440	WOODLEY	EDWIN	FEDEX	COURIER SVC-AIR + GROUND FREIGHT FORWARDERS	Warehousing, Freight and Delivery	FedEx services support the Department of Insurance, Securities	No
07/23/2018	100.00	*****8281	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Bank on DC smartrip card autoload. 7/23/18	No
07/23/2018	100.00	*****8281	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metrofare Autoload. 7.23.18 Bank on DC	No
07/23/2018	100.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metro smartrip card for agency staff travel.	No
Transaction Date	Transaction Amount	Account Number	Cardholder Last Name	Cardholder First Name	Merchant Name	MCC Description	Merchant Type	Transaction Notes	CBE
07/23/2018	100.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metro smartrip card for agency staff travel.	No
08/01/2018	3,000.00	*****1440	WOODLEY	EDWIN	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	The Department of Insurance, Securities and Banking custom	No
08/01/2018	337.47	*****1440	WOODLEY	EDWIN	INDEED	DIRECT MARKETING-OTHER DIRECT MARKETERS-NOT	Professional Services		No
08/02/2018	900.00	*****1440	WOODLEY	EDWIN	FIESTA DC INC	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Fiesta DC 2018 is a Latino community, nonprofit organization	No
08/02/2018	586.56	*****8281	WADE	ALICIA	CROWN AWARDS INC	SPORTING GOODS STORES	Retail	Bank on DC Marketing DISB marketing supplies.	Yes
08/02/2018	1,220.32	*****8281	WADE	ALICIA	CROWN AWARDS INC	SPORTING GOODS STORES	Retail	Bank on DC DISB marketing receipt 8.6.18.	Yes
08/02/2018	49.14	*****8281	WADE	ALICIA	CROWN AWARDS INC	SPORTING GOODS STORES	Retail	Bank on DC marketing receipt 8.6.18.	Yes
08/06/2018	50.00	*****8281	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metrofare Autoload 8.6.18	No
08/06/2018	50.00	*****8281	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metrofare autoload 8.6.18	No
08/06/2018	70.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metro smartrip card for agency staff travel.	No
08/06/2018	50.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metro smartrip card for agency staff travel.	No
08/07/2018	718.16	*****8281	WADE	ALICIA	PUBLIC PM.COM	SCHOOLS + EDUCATIONAL SVC-NOT ELSEWHERE	Education	Public Performance management receipt 8.8.18	No
08/11/2018	1,050.00	*****1440	WOODLEY	EDWIN	D J	DIRECT MARKETING-CONTINUITY-SUBSCRIPTION	Professional Services	The Wall Street Journal renewal.	No
08/15/2018	1,110.38	*****8281	WADE	ALICIA	D J	DIRECT MARKETING-CONTINUITY-SUBSCRIPTION	Professional Services	Wall Street Journal subscription. Dow Jones.	No
08/15/2018	3,110.13	*****8281	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Standard DISB office supplies.	Yes
08/17/2018	66.69	*****8281	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Standard office supplies. DISB. 66.69	Yes
08/20/2018	(4.95)	*****8281	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Standard DISB office supplies credit to purchase card.	Yes
08/24/2018	695.00	*****1440	WOODLEY	EDWIN	NATIONAL ASSOCIATION O	MISCELLANEOUS GENERAL MERCHANDISE	Retail	The 2018-2019 NACCA membership dues.	No
08/28/2018	2,166.00	*****1440	WOODLEY	EDWIN	THE CALVIN PRICE	STATIONERY-OFFICE SUPPLIES-PRINTING + WRITING PAP.	Office Equipment and Supplies	Purchase of Copier Paper	Yes
08/30/2018	115.00	*****1440	WOODLEY	EDWIN	SUPERIOR COURIERS LLC	COURIER SVC-AIR + GROUND FREIGHT FORWARDERS	Warehousing, Freight and Delivery		Yes
08/31/2018	200.00	*****8281	WADE	ALICIA	SQU*SQ *BLACK STUDENT	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Black Student fund receipt 8.31.18	No
08/31/2018	450.00	*****8281	WADE	ALICIA	CSBS/EFSBS ONLINE	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	CSBS Board Meeting registration fee. Brian Williams. 3/5/18.	No
09/01/2018	226.41	*****1440	WOODLEY	EDWIN	INDEED	DIRECT MARKETING-OTHER DIRECT MARKETERS-NOT	Professional Services	Indeed Job Posting	No
09/04/2018	145.44	*****1440	WOODLEY	EDWIN	PUBLIC PERFORMANCE MAN	CONSULTING MANAGEMENT AND PUBLIC RELATIONS SVCS	Professional Services	Office Supplies OCFO.	Yes
09/07/2018	1,260.00	*****1440	WOODLEY	EDWIN	HSTREETMAIN	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other		No

09/11/2018	239.40	*****1440	WOODLEY	EDWIN	CAPITAL MOVING SOLUTIO	STATIONERY-OFFICE SUPPLIES- PRINTING + WRITING PAP.	Office Equipment and Supplies		Yes
09/13/2018	355.00	*****1440	WOODLEY	EDWIN	PAYPAL	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Communications Booth Rental/Barracks Row	No
09/14/2018	1,248.05	*****1440	WOODLEY	EDWIN	A.R.M. SOLUTIONS	ACCOUNTING AUDITING AND BOOKKEEPING SERVICES	Professional Services	Shredding Services	No
09/19/2018	159.00	*****1440	WOODLEY	EDWIN	DC BAR	ORGANIZATIONS MEMBERSHIP-NOT	Other	DC Bar - Conference Fees - T. Miles	No
09/19/2018	169.00	*****1440	WOODLEY	EDWIN	DC BAR	ORGANIZATIONS MEMBERSHIP-NOT	Other	DC Bar-L. Cooper. Conference Fees	No
09/19/2018	83.04	*****1440	WOODLEY	EDWIN	CAPITAL MOVING SOLUTIO	STATIONERY-OFFICE SUPPLIES- PRINTING + WRITING PAP.	Office Equipment and Supplies	Office Supplies. Commissioner	Yes
09/21/2018	2,200.00	*****1440	WOODLEY	EDWIN	WASHINGTON DC ECONOMIC	ORGANIZATIONS CHARITABLE AND SOCIAL	Professional Services	Sponsorship (Event)- Communications- Exhibits Table	No

DEPARTMENT OF INSURANCE, SECURITIES AND BANKING

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Transaction Date	Transaction Amount	Account Number	Cardholder Last Name	Cardholder First Name	Merchant Name	MCC Description	Merchant Type	Transaction Notes	CBE
10/02/2018	795.00	*****1440	WOODLEY	EDWIN	WKF*WK FINANCIAL SRVS	BUSINESS SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Travel and training for the individual Christine Afolabi to attend the 2018 TeamMate User Forum	No-Explain in Notes
10/04/2018	585.00	*****1440	WOODLEY	EDWIN	AM ACADEMY OF ACTUARIE	ORGANIZATIONS MEMBERSHIP-NOT ELSEWHERE CLASSIFIED	Other	Travel and training for the individual Efen Tanhehco to attend the AAA 2018 Annual Meeting.	No-Explain in Notes
10/04/2018	585.00	*****1440	WOODLEY	EDWIN	AM ACADEMY OF ACTUARIE	ORGANIZATIONS MEMBERSHIP-NOT ELSEWHERE CLASSIFIED	Other	Travel and training for the individual Philip Barlow to attend the AAA 2018 Annual Meeting.	No-Explain in Notes
10/03/2018	2,426.15	*****8281	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Ergonomic chairs for individuals with doctor's notes within the agency.	Yes
10/05/2018	70.00	*****1440	WOODLEY	EDWIN	APSTYLEBOOK.COM	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Annual subscription for the AP Stylebook online	No-Explain in Notes
10/05/2018	475.00	*****1440	WOODLEY	EDWIN	WPY*DOCKET MEDIA LLC	BUSINESS SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Local travel and training for the individual Senayet Meaza to attend the Securities Enforcement Forum 2018.	No-Explain in Notes
10/06/2018	671.79	*****1440	WOODLEY	EDWIN	FEDEX	COURIER SVC-AIR + GROUND FREIGHT FORWARDERS	Warehousing, Freight and Delivery	FedEx invoices for the agency	No-Explain in Notes
10/09/2018	106.22	*****1440	WOODLEY	EDWIN	US OFFICE SOLUTIONS	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM EQUIPMT.	Print and Duplicating Services	Office supplies	Yes
10/09/2018	594.00	*****1440	WOODLEY	EDWIN	TOUCAN	MISCELLANEOUS GENERAL MERCHANDISE	Retail	ID Badges for employees within the securities bureau.	Yes
10/16/2018	2,499.48	*****1440	WOODLEY	EDWIN	ABC TECHNICAL SOLUTION	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Diskkeeper software maintenance	Yes

Transaction Date	Transaction Amount	Account Number	Cardholder Last Name	Cardholder First Name	Merchant Name	MCC Description	Merchant Type	Transaction Notes	CBE
10/16/2018	185.00	*****1440	WOODLEY	EDWIN	THE CALVIN PRICE	STATIONERY-OFFICE SUPPLIES-PRINTING + WRITING PAP.	Office Equipment and Supplies	Courier service for moving boxes	Yes
10/23/2018	2,118.94	*****1440	WOODLEY	EDWIN	MICROSOFT *ANSWER DESK	COMPUTER NETWORK-INFORMATION SERVICES	Computer, Hardware, Software and Peripherals	Microsoft Professional Support maintenance support.	No-Explain in Notes
10/30/2018	23.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	WMATA smart trip reload	No-Explain in Notes
10/30/2018	10.00	*****1440	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	WMATA smart trip reload	No-Explain in Notes
10/31/2018	2,765.00	*****1440	WOODLEY	EDWIN	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Local professional training for individuals to attend the Captive Insurance Council of the District of Columbia(CICDC)	No-Explain in Notes
11/09/2018	2,064.00	*****1440	WOODLEY	EDWIN	CAPITAL MOVING SOLUTIO	STATIONERY-OFFICE SUPPLIES-PRINTING + WRITING PAP.	Office Equipment and Supplies	Courier services for a outreach event the communication's team participated in November.	Yes
11/19/2018	1,359.60	*****8281	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Copy paper for the OCFO team	Yes
11/28/2018	95.00	*****8281	WADE	ALICIA	BLR/HCPRO	ADVERTISING SERVICES	Media and Advertising Services	Compliance Guide to the new Form ADV and companion tools for the Securities Bureau.	No-Explain in Notes
11/29/2018	2,490.00	*****8281	WADE	ALICIA	U.S. OFFICE SOLUTIONS	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM EQUIPMT.	Print and Duplicating Services	Copy Paper for the agency	Yes
11/29/2018	106.22	*****8281	WADE	ALICIA	U.S. OFFICE SOLUTIONS	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM EQUIPMT.	Print and Duplicating Services	Office supplies for new Director of Communications	Yes
12/12/2018	750.00	*****8281	WADE	ALICIA	PAYPAL	SCHOOLS + EDUCATIONAL SVC- NOT ELSEWHERE CLASSIFIED	Education	Renewal membership dues	No-Explain in Notes

Transaction Date	Transaction Amount	Account Number	Cardholder Last Name	Cardholder First Name	Merchant Name	MCC Description	Merchant Type	Transaction Notes	CBE
12/13/2018	2,500.00	*****8281	WADE	ALICIA	CAPTIVE INSURANCE COMP	ORGANIZATIONS MEMBERSHIP-NOT ELSEWHERE CLASSIFIED	Other	Travel and training for the individual Anu Andrew to attend the Captives Shaping The Future in Tuscan, AZ.	No-Explain in Notes
12/15/2018	1,934.00	*****8281	WADE	ALICIA	TOUCAN	MISCELLANEOUS GENERAL MERCHANDISE	Retail		Yes
12/18/2018	759.00	*****8281	WADE	ALICIA	TOUCAN	MISCELLANEOUS GENERAL MERCHANDISE	Retail		Yes
12/18/2018	1,192.14	*****8281	WADE	ALICIA	LASER ART INC	OFFICE SCHOOL SUPPLY AND STATIONERY STORES	Office Equipment and Supplies	Replacement toner for printers throughout the agency	Yes
12/18/2018	640.00	*****8281	WADE	ALICIA	A360INC	CONSULTING MANAGEMENT AND PUBLIC RELATIONS SVCS	Professional Services	Renew the CaseAware Manage annual maintenance/support for the agency	No-Explain in Notes
12/18/2018	2,453.23	*****8281	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation		Yes
12/19/2018	1,366.00	*****8281	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation		Yes
12/21/2018	(1,359.60)	*****8281	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	The company charged card ending in #8281 by mistake and credit the amount back.	Yes
01/02/2019	1,025.00	*****8281	WADE	ALICIA	PAYPAL	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services		Yes
01/04/2019	955.81	*****8281	WADE	ALICIA	SQ *SQ *THE AQUILINE G	CONSULTING MANAGEMENT AND PUBLIC RELATIONS SVCS	Professional Services		
01/11/2019	319.88	*****8281	WADE	ALICIA	THE CALVIN PRICE	STATIONERY- OFFICE SUPPLIES- PRINTING + WRITING PAP.	Office Equipment and Supplies		
01/11/2019	1,145.00	*****8281	WADE	ALICIA	CSBS/EFSBS ONLINE	ASSOCIATIONS- CIVIC SOCIAL AND FRATERNAL	Other		
01/15/2019	50.00	*****8281	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN- SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other		

Transaction Date	Transaction Amount	Account Number	Cardholder Last Name	Cardholder First Name	Merchant Name	MCC Description	Merchant Type	Transaction Notes	CBE
01/16/2019	590.00	*****8281	WADE	ALICIA	TOUCAN	MISCELLANEOUS GENERAL MERCHANDISE	Retail		
01/15/2019	1,098.15	*****8281	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation		
01/17/2019	50.00	*****8281	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other		
01/17/2019	225.00	*****8281	WADE	ALICIA	BLUEBAY OFFICE INC	OFFICE SCHOOL SUPPLY AND STATIONERY STORES	Office Equipment and Supplies		
01/18/2019	50.00	*****8281	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other		
01/22/2019	2,500.00	*****8281	WADE	ALICIA	SQ *SQ *THE AQUILINE G	CONSULTING MANAGEMENT AND PUBLIC RELATIONS SVCS	Professional Services		
01/22/2019	1,137.00	*****8281	WADE	ALICIA	INT*IN *THE BEACON NEW	ADVERTISING SERVICES	Media and Advertising Services		

Appendix 10

DISB'S CURRENT Memoranda of Understanding (MOU) Memoranda of Agreement (MOA) & Other Contracts

PARTIES	PURPOSE	EXECUTION DATE	EXPIRATION DATE	DISB BUREAU/OFFICE	COMMENTS
1. DISB and North American Securities Administrators Association, Inc. (NASAA)	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
2. DISB and Department of Consumer and Regulatory Affairs (DCRA)	MOU between DISB and DCRA for delegation of authority to DISB for the registration and regulation of retail sellers and sales finance companies doing business in the District.	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.
3. DISB and Consumer Financial Protection Bureau (CFPB)	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 will remain in full effect until superseded by the signed, agreement of the parties.

Appendix 10

PARTIES	PURPOSE	EXECUTION DATE	EXPIRATION DATE	DISB BUREAU/OFFICE	COMMENTS
4. DISB and the Department of Treasury Financial Crimes Enforcement Network (FinCEN)	MOU between DISB and FinCEN to establish procedures for the Sharing and Exchanging of confidential Information in FY 2013 and up.	Aug.30, 2012	None (see comments)	Securities	Remains in full effect until superseded by the signed, mutual agreement of the parties.
5. DISB and the National Association of Insurance Commissioners (NAIC)	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 will remain in full effect until superseded by the signed, agreement of the parties.
6. DISB and the Consumer Financial Protection Bureau (CFPB), the Conference of State Bank Supervisors (CSBS), and the Other Signatories (The PARTIES)	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 will remain in full effect until superseded by the signed, agreement of the parties.
7. DISB Contract Agreement w. Fieldprint, Inc.	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 INITIAL period of two (2) years from the effective date (December 19, 2013). However, beginning December 19, 2015 , the term of the Agreement shall AUTOMATICALLY renew

Appendix 10

PARTIES	PURPOSE	EXECUTION DATE	EXPIRATION DATE	DISB BUREAU/OFFICE	COMMENTS
					THEREAFTER for additional one (1) year periods. Provider may cancel, renew or terminate the Agreement with sixty (60) days' notice to End-User.
8. DISB and the FINANCIAL Stability Oversight Council (FSOC)	MOU Between Council FSOC and DISB concerning the provision of information. Dodd-Frank Act	May 19, 2015	None (see comments)	Insurance	There is no expiration date and MOU will remain in full effect until superseded by the signed, mutual agreement of the parties).
9. Common Interest Agreement between US DEPARTMENT of LABOR and DISB	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 will remain in full effect until superseded by the signed, mutual agreement of the parties).
10. DISB and D.C. Health Care Benefit Exchange Authority (HBX)	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 HBX on August 1, 2017 and DISB Commissioner on August 3, 2017.
11. DISB and Metropolitan Police Department (MPD)	Letter of agreement extending a one-year option for the MOU between DISB and MPD	Executed by MPD on Dec. 12, 2016	Sept. 30, 2018	Insurance	An Agreement to Renew for one option period Fiscal Year 2018 was executed by DISB Commissioner on August 9, 2017

Appendix 10

PARTIES	PURPOSE	EXECUTION DATE	EXPIRATION DATE	DISB BUREAU/OFFICE	COMMENTS
	to conduct fingerprinting services as authorized by FBI for FY 2016	by DISB on Nov. 2016			and By MPD Chief Police on January 12, 2018
12. DISB and the Department of Employment Services (DOES)	MOU between DISB and DOES to develop Summer Youth Employment Program (SYEP) to train and employ District youth enrolled in the SYEP within DISB	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. Last Update: 1/23/18
13. DISB and the Department of Small and Local Business Development (DSLBD)	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.
14. DISB and Department of Energy and Environment (DOEE)	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.	Insurance	No extension. No funds applied.

Appendix 10

PARTIES	PURPOSE	EXECUTION DATE	EXPIRATION DATE	DISB BUREAU/OFFICE	COMMENTS
15. DISB and The Centers for Medicare & Medicaid Services (CMS)	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.
16. DISB and the Department of Human Resources (DCHR)	For suitability-related services for appointees, employees, and volunteers who are subject to enhanced suitability screenings.	November 9, 2018	September 30, 2019	Policy and Administration	Parties may extend the term of the MOU by exercising a maximum of one (1) option period. The option period may consist of a year, a fraction thereof, or multiple successive fractions of a year 45 calendar days advance written notice to terminate.
17. DISB and the Department of Human Resources (DCHR)	For executive coaching for Executive Service employees at DISB with the goal of enhancing these employees' leadership or management performance and development.	December 11, 2018	September 30, 2019	Commissioner	Parties may extend the term of the MOU by exercising a maximum of one (1) one-year option period. 45 calendar days advance written notice to terminate.

Appendix 11

Department of Insurance, Securities and Banking (SR0)
Fiscal Year 2018 and 2019 Federal Grants

[illegible]

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.	1	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
TOT		19	19

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
1 - Provide high quality and efficient consumer protection services to District residents and businesses. (3 Measures)									
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	<input type="checkbox"/>	100%	100%	100%	100%	100%	100%	100%	100%

conducted during the fiscal year									
2 - Provide high quality and cost effective regulation of financial services providers to ensure compliance with District laws. (3 Measures)									
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%
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)									
Initiate and increase cyber fraud enforcement efforts	✓	Not available	Not available	Not available	Not available	New Measure	New Measure	New Measure	12
4 - Provide high quality services to financially empower residents and create pathways to the middle class. (1 Measure)									
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
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%
Number of 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
1 - Provide high quality and efficient consumer protection services to District residents and businesses. (8 Activities)					
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

2 - Provide high quality and cost effective regulation of financial services providers to ensure compliance with District laws. (3 Activities)

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	0
SECURITIES EXAMS	Investment firm exams	Conduct examinations of investment firms scheduled during the fiscal year.	Daily Service	1	0

TOT	3	1
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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)					
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
4 - Provide high quality services to financially empower residents and create pathways to the middle class. (4 Activities)					
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	2	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	1	0
TOT				5	1
5 - Provide valuable assistance and support to District based small businesses and entrepreneurs that will create or retain jobs. (3 Activities)					
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
TOT				13	6

2018 Workload Measures

Measure	New Measure/	FY 2014	FY 2015	FY2016 Actual	FY 2017 Actual
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	Benchmark Year	Actual	Actual		
1 - Consumer alerts (1 Measure)					
Number of consumer guides and alerts issued	<input type="checkbox"/>	Not available	Not available	5	9
1 - Outreach campaigns (2 Measures)					
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	17,935
The number of Hispanic residents who receive financial education offerings at outreach events	✓	Not available	Not available	New Measure	New Measure
2 - Domestic insurance company exams (1 Measure)					
Number of domestic insurance company examinations completed during the fiscal year	<input type="checkbox"/>	Not available	Not available	0	6
2 - Investment firm exams (1 Measure)					
Number of District-based investment firm examinations completed during the fiscal year	<input type="checkbox"/>	Not available	Not available	16	22
2 - Non-depository exams (1 Measure)					
Number of non-depository financial institutions examinations completed during the fiscal year	<input type="checkbox"/>	Not available	Not available	317	134
4 - Bank on DC program (1 Measure)					
Number of Bank on DC or other Financially Fit DC events held	<input type="checkbox"/>	Not available	Not available	80	140
4 - Consumer guides and alerts (1 Measure)					
The number of fraud alerts issued	<input type="checkbox"/>	Not available	0	0	6
4 - Financial Literacy for all Residents of the District. (1 Measure)					
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
4 - Financial services curriculum (2 Measures)					
	<input type="checkbox"/>				

Number of consumers receiving financial literacy training and/or consumer protection information.	<input type="checkbox"/>	Not available	Not available	6990	17,935
The number of regulatory enforcement cases initiated	<input type="checkbox"/>	Not available	Not available	0	0
5 - SSBCI program partnerships (1 Measure)					
Number of small business assistance clinics, seminars, or other events provided	<input type="checkbox"/>	Not available	Not available	12	18
5 - SSBCI program promotion (1 Measure)					
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
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
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
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
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
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
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

Department of Insurance, Securities and Banking FY2018

▼ FY2018 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.

▼ FY18 Top Accomplishments

What is the accomplishment that your agency wants to highlight?	How did this accomplishment impact residents of DC?	How did this accomplishment impact your agency?
In FY 2018, the Department of Insurance, Securities and Banking successfully handled 743 consumer complaints, 99% of which were resolved within 45 days of receipt. Most notably, the Department successfully negotiated settlements totaling \$110,000 from the insurers of the owners of 4920 and 4922 Jay Street, NE. Initially both insurers refused to pay the claims because the insurers took the position that the claims were excluded from coverage pursuant to the earth movement exclusion in the policies. The Department disagreed, and was able to persuade the insurers to settle with the property owners. The Department also provided both homeowners with housing counseling and legal assistance in connection with the sale of their homes.	The Department's consumer protection activities resulted in the return of \$1,073,278 to District residents in FY 2018.	The Department met its goal of providing exceptional customer service to District residents, and places the Department at the forefront of consumer financial protection in the District.
In FY 2018, the Department of Insurance, Securities and Banking approved 2019 individual and small group health insurance rates for plans sold on DC Health Link. The rate review process resulted in decreases for most plans. There are two insurers offering plans in the individual market. CareFirst individual rates were reduced from 16.7% to 9.8% for PPO plans and increased from 9.5% to 10.6% for HMO plans. Kaiser individual HMO rates are unchanged at a 20% increase. For small employer plans there are four carriers. Aetna reduced rates from 23.8% to 9.5% for PPO plans and from 18.1% to 3.4% for HMO plans. CareFirst small group plans were reduced from 5.2% to 1.7% for PPO plans and 3.2% to 1.9% for HMO plans. The Kaiser small group review resulted in no change to its overall 0% filed increase. Finally, all of the United Healthcare plans (both PPO and HMO) were reduced from 17.9% to 9.8%.	The impact on residents and employees of small employers in the District will be a savings of almost \$16 million in health insurance premiums paid in 2019 savings is due to the decreases in rates as a result of DISB's actuarial review of the filings submitted by the four carriers in those markets.	This is an annual exercise for the Department, although the process has improved over the last three years. Department staff worked closely with outside actuaries, the HBX, the insurance carriers and the public. The Department held two public hearings to provide information to the public, and to receive feedback on the rates and their impact on District residents.
In FY 2018, the Department of Insurance, Securities and Banking completely overhauled its the non-depository financial institutions examination program.	The Department's new examination program expanded the scope and	The new examination procedures created

What is the accomplishment that your agency wants to highlight?	How did this accomplishment impact residents of DC?	How did this accomplishment impact your agency?
The Department created new examination procedures, covering both District and federal fair lending and consumer protection laws. In addition, examination reports are more comprehensive. We also introduced a new ratings system. The new program meets the Conference of State Bank Supervisors' accreditation standards.	increased the depth of the examinations, which enables the Department to identify violations that we would have previously missed.	structure that was previously lacking. In addition, the examiners are being held to a higher standard, and that has produced positive effects in other divisions in the Banking Bureau, and provides improved consumer protection.

2018 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.**

2018 Key Performance Indicators

Measure	Freq	Target	Q1	Q2	Q3	Q4	FY2018	KPI Status	Explanation
1 - Provide high quality and efficient consumer protection services to District residents and businesses. (3 Measures)									
Percent of Insurance, Securities and Banking complaints scheduled to be closed within 45 days of receipt	Annually	95%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	98.7%	Met	
Percent increase in the number of fraud alerts from the previous fiscal year developed and available on the Department's website and other media	Annually	10%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	18%	Met	
Percent of scheduled captive financial analyses conducted during the fiscal year	Annually	100%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	100%	Met	
2 - Provide high quality and cost effective regulation of financial services providers to ensure compliance with District laws. (3 Measures)									

Measure	Freq	Target	Q1	Q2	Q3	Q4	FY2018	KPI Status	Explanation
Percent of scheduled non-depository financial institutions examined during the fiscal year	Annually	100%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	100%	Met	
Percent of scheduled domestic insurance companies examined during the fiscal year	Annually	100%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	100%	Met	
Percent of scheduled District-based investment firms examined during the fiscal year	Annually	100%	Annual Measure	Annual Measure	Annual Measure	Annual Measure	100%	Met	
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)									
Initiate and increase cyber fraud enforcement efforts	Quarterly	12	2	6	5	5	18	Met	
4 - Provide high quality services to financially empower residents and create pathways to the middle class. (1 Measure)									
Increase by 10 percent the number of new bank accounts opened through the Bank on DC program from the previous year	Quarterly	825	69	152	406	200	827	Met	
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	Quarterly	95%	No applicable incidents	No applicable incidents	100%	No applicable incidents	100%	Met	
Number of outreach events for small businesses, financial institutions or business organizations	Quarterly	5	5	6	8	12	31	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.

2018 Workload Measures

Measure	Freq	Q1	Q2	Q3	Q4	FY 2018
1 - Consumer alerts (1 Measure)						
Number of consumer guides and alerts issued	Quarterly	1	6	1	2	10

Measure	Freq	Q1	Q2	Q3	Q4	FY 2018
1 - Outreach campaigns (2 Measures)						
Number of residents who receive in-person fraud abuse prevention, financial literacy training and/or consumer protection information	Quarterly	3785	2250	5114	2728	13,877
The number of Hispanic residents who receive financial education offerings at outreach events	Quarterly	32	11	124	125	292
2 - Domestic insurance company exams (1 Measure)						
Number of domestic insurance company examinations completed during the fiscal year	Quarterly	0	3	1	2	6
2 - Investment firm exams (1 Measure)						
Number of District-based investment firm examinations completed during the fiscal year	Quarterly	3	7	3	6	19
2 - Non-depository exams (1 Measure)						
Number of non-depository financial institutions examinations completed during the fiscal year	Quarterly	29	32	35	32	128
4 - Bank on DC program (1 Measure)						
Number of Bank on DC or other Financially Fit DC events held	Quarterly	27	33	52	118	230
4 - Consumer guides and alerts (1 Measure)						
The number of fraud alerts issued	Quarterly	6	9	1	4	20
4 - Financial Literacy for all Residents of the District. (1 Measure)						
Number of events held where residents were provided with financial literacy training and/or consumer protection information	Quarterly	27	33	52	146	258
4 - Financial services curriculum (2 Measures)						
Number of consumers receiving financial literacy training and/or consumer protection information.	Quarterly	3785	2250	5114	2728	13,877
The number of regulatory enforcement cases initiated	Quarterly	12	4	0	4	20
5 - SSBCI program partnerships (1 Measure)						
Number of small business assistance clinics, seminars, or other events provided	Quarterly	1	2	8	5	16
5 - SSBCI program promotion (1 Measure)						
Number of jobs created or retained in the District with SSBCI funds.	Quarterly	0	0	0	0	0

2018 Strategic Initiatives

Title	Description	Complete to Date	Status Update	Explanation
AGENCY MANAGEMENT (1 Strategic Initiative)				
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.	75-99%	Completed discussions with partners and have paths for participants.	While the Department has yet to get new academia partners for the banking and securities sector, the Department did expand the Financial Services Academy (Academy) in 2018. The Department selected three students from Gallaudet University's Risk Management Institute (RMI) for the 2018 program year. Two students completed the program. The students worked on projects involving current financial services trends such as cryptocurrency and voice-activated insurance services.
BANKING EXAMS (1 Strategic Initiative)				
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	Complete	Complete	
CONSUMER SERVICES (1 Strategic Initiative)				
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.	Complete	The Department created the Market Conduct Unit in FY2018. The Examiners completed their examination of all areas targeted for review. The companies submitted completed responses to outstanding requests for information and Initial Summaries that were due on September 30. The Examiners are in the process of reviewing the companies' responses and supporting documentation and they are in the process of creating Final Exit Summaries. The Final Summaries of Findings will reflect the actual exceptions and concerns upon which the multi-state examination Draft Report will be based	
DC MARKET OPERATIONS BANKING (1 Strategic Initiative)				
Implement the District's Inclusive Growth Leadership Fund	In FY18, DISB will promulgate regulations and start accepting applications to implement the Inclusive Growth Leadership	Complete	Complete	

Title	Description	Complete to Date	Status Update	Explanation
	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.			
PUBLIC AFFAIRS (2 Strategic initiatives)				
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.	Complete	Through use of the covert laptops, we were able to investigate whether several suspicious and unlicensed companies were offering bitcoin ICOs within the District of Columbia. This revealed two companies that were willing to do business in the District.	
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 .	Complete	Conducted 1 Reality Fair Events at McKinley Tech High School, 1 McKinley Tech Employments Banking Fair, 1 Parent & Civic Engagement Summit and 6 Pathways for Young Adults Financial Services Clinics	

Department of Insurance, Securities and Banking FY2019

Agency Department of Insurance, Securities and Banking

Agency Code SRO

Fiscal Year 2019

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.

2019 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.

2019 Key Performance Indicators

Measure	Directionality	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Target
1 - Provide high quality and efficient consumer protection services to District residents and businesses. (3 Measures)					
Percent of insurance, securities and banking complaints scheduled to be closed within 45 days of receipt	Up is Better	99%	96.1%	98.7%	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	Up is Better	266.7%	50%	18%	5%
Percent of scheduled captive financial analyses conducted during the fiscal year	Up is Better	100%	100%	100%	100%
2 - Provide high quality and cost effective regulation of financial services providers to ensure compliance with District laws. (3 Measures)					
Percent of scheduled non-depository financial institutions examined during the fiscal year	Up is Better	117.1%	119.6%	100%	100%
Percent of scheduled domestic insurance companies examined during the fiscal year	Up is Better	100%	100%	100%	100%

Measure	Directionality	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Target
Percent of scheduled District-based investment firms examined during the fiscal year	Up is Better	100%	100%	100%	100%
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)					
Initiate and increase cyber fraud enforcement efforts	Up is Better	Not Available	Not Available	18	15
4 - Provide high quality services to financially empower residents and create pathways to the middle class. (1 Measure)					
The number of new bank accounts opened through the Financially Fit DC program	Up is Better	1711	785	827	750
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	Up is Better	Not Available	100%	100%	95%
Number of outreach events for small businesses, financial institutions, or business organizations	Up is Better	Not Available	No data available	31	18
6 - Create and maintain a highly efficient, transparent and responsive District government. (8 Measures)					
HR MANAGEMENT - Percent of eligible employees completing and finalizing a performance plan in PeopleSoft (Updated by OCA)	Up is Better	Not Available	No data available	100%	Not Available
FINANCIAL MANAGEMENT - Quick Payment Act Compliance - Percent of QPA eligible invoices paid within 30 days (Updated by OCA)	Up is Better	Not Available	No data available	Waiting on Data	Not Available
FINANCIAL MANAGEMENT - Percent of local budget de-obligated to the general fund at the end of year (Updated by OCA)	Down is Better	Not Available	No data available	Waiting on Data	Not Available
CONTRACTS AND PROCUREMENT - Average number of calendar days between requisition and purchase orders issued (Updated by OCA)	Up is Better	Not Available	25.8	Waiting on Data	Not Available
CONTRACTS AND PROCUREMENT - Percent of Small Business Enterprise (SBE) annual goal spent (Updated by OCA)	Up is Better	83.9%	108.7%	Waiting on Data	Not Available
IT POLICY AND FOIA COMPLIANCE - Percent of "open" data sets identified by the annual Enterprise Dataset Inventory published on the Open Data Portal - (Updated by OCA)	Up is Better	Not Available	No data available	100%	Not Available
IT POLICY AND FOIA COMPLIANCE - Percent of FOIA Requests Processed in more than 25 business days - statute requirements allow 15 business days and a 10 day extension - (Updated by OCA)	Down is Better	0%	0%	Waiting on Data	Not Available
HR MANAGEMENT - Average number of days to fill vacancy from post to offer acceptance (Updated by OCA)	Down is Better	Not Available	Not Available	Not Available	New Measure

2019 Operations

Operations Header	Operations Title	Operations Description	Type of Operations
1 - Provide high quality and efficient consumer protection services to District residents and businesses. (7 Activities)			
PUBLIC AFFAIRS	Outreach Campaigns	Conduct seminars, educational events and workshops to provide residents with information on financial services and engage in comprehensive efforts to provide financial literacy.	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
CONSUMER SERVICES	Complaint Activity	Review complaint activity to identify trends that are adverse to the interests of consumers.	Daily Service
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
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
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; and (2) enhance DISB's consumer enforcement program to protect District seniors.	Daily Service
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
2 - Provide high quality and cost effective regulation of financial services providers to ensure compliance with District laws. (3 Activities)			
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 Firm Exams	Conduct examinations of investment firms scheduled during the fiscal year.	Daily Service
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)			
AGENCY MANAGEMENT	Financial Services Academy	Expand the 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
4 - Provide high quality services to financially empower residents and create pathways to the middle class. (4 Activities)			
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.	Daily Service

Operations Header	Operations Title	Operations Description	Type of Operations
BANKING	Financially Fit DC program	Promote the Financially Fit 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
CONSUMER SERVICES	Consumer Guides and Alerts	Prepare consumer guides and alerts to provide District residents with information about financial products and services.	Daily Service
5 - Provide valuable assistance and support to District based small businesses and entrepreneurs that will create or retain jobs. (3 Activities)			
DC MARKET OPERATIONS BANKING	DC BizCap	Promote program to local banks and financial institutions, the business community, and District agencies such as Department of Small and Local Business Development (DSLBD), Department of General Services (DGS) and the Deputy Mayor of Planning and Economic Development (DMPED).	Daily Service
DC MARKET OPERATIONS BANKING	DC BizCap	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	DC BizCap	Administer DISB's State Small Business Credit Initiative program to provide financial support to District-based small businesses and entrepreneurs.	Daily Service

2019 Workload Measures

Measure	FY 2016	FY 2017	FY 2018
1 - Outreach Campaigns (1 Measure)			
Number of residents who receive in-person fraud abuse prevention, financial literacy training, and/or consumer protection information	6990	17,935	13,877
2 - Domestic Insurance Company Exams (1 Measure)			
Number of domestic insurance company examinations completed during the fiscal year	0	6	6
2 - Investment Firm Exams (1 Measure)			
Number of District-based investment firm examinations completed during the fiscal year	16	22	19
2 - Non-Depository Exams (1 Measure)			
Number of non-depository financial institutions examinations completed during the fiscal year	317	134	128
4 - Consumer Guides and Alerts (1 Measure)			

Measure	FY 2016	FY 2017	FY 2018
The number of fraud alerts issued	Not Available	6	20
4 - Financial Literacy for all Residents of the District (1 Measure)			
Number of events held where residents were provided with financial literacy training and/or consumer protection information	216	226	258
4 - Financial Services Curriculum (1 Measure)			
The number of regulatory enforcement cases initiated	Not Available	12	20
4 - Financially Fit DC program (1 Measure)			
Number Financially Fit DC events held	80	140	230
5 - DC BizCap (1 Measure)			
Number of small business assistance clinics, seminars, or other events provided	12	18	16

2019 Strategic Initiatives

Strategic Initiative Title	Strategic Initiative Description	Proposed Completion Date
Consumer Guides and Alerts (1 Strategic Initiative)		
Public Affairs	Develop and distribute five business-oriented industry-specific insurance fact sheets that provide useful considerations for District business owners and those who are thinking about starting a business.	09-30-2019
DC BizCap (2 Strategic initiatives)		
Banking	During FY19 DC BizCap will conduct 6 small business assistance clinics, seminars, or other events	09-30-2019
DC MARKET OPERATIONS BANKING	For FY19 DC BizCap will assist with the creation or retention of 450 jobs retained in the District	09-30-2019
Domestic Insurance Company Exams (1 Strategic Initiative)		
Insurance	In FY19, IB will: complete 4 examinations, and for any high premium volume insurer (≥ \$500 million individually), or insurer that is a member of a group of insurers that write a high volume of premiums (≥ \$1 billion for the group), IB	09-30-2019

Strategic Initiative Title	Strategic Initiative Description	Proposed Completion Date
	will require the insurer(s) to issue their own assessment of their current and future risk through an internal risk self-assessment process. This process will allow the Department's examiners to form an enhanced view of the insurer's ability to withstand financial stress. The insurer(s) will be required to document their processes in the form of a confidential high-level summary report.	
Financial Education Events (1 Strategic Initiative)		
Public Affairs	Develop a series of informercials to help address District residents' financial concerns and to show how the Department protects their financial interests. For FY2019, the Department will develop four informercials (e.g. resolve consumer complaints, navigating student loan repayment process, protecting District seniors from financial exploitation and protecting your home and belongings). The Department will distribute the informercials on social media networks (Twitter, Facebook and YouTube) and share with media outlets. Publish and distribute consumer alerts, guides and articles to inform consumers about financial services issues and to help them from becoming victims of scams and abuses.	09-30-2019
Financial Literacy for all Residents of the District (1 Strategic Initiative)		
Public Affairs	<ul style="list-style-type: none"> -Conduct seminars, educational events and workshops to provide residents with information on financial services and engage in comprehensive efforts to provide financial literacy. -Develop and organize an annual economic development and comprehensive financial education expo that includes workshops, one-on-one financial counseling, complaint resolution, small business planning and a career fair where all District residents of all ages can attend to learn more about financial products, services, programs and resources to help them make more informed financial decisions. -Prepare consumer guides and articles to provide District residents with information about financial products and services. -Conduct 18 outreach campaigns to provide residents with information that helps them make informed choices about financial services offerings (e.g. DC Saves Week, Financial Literacy Month, Dash for the Stash, World Elder Abuse Awareness Day and National Consumer Protection Week. 	09-30-2019
Financially Fit DC program (1 Strategic Initiative)		
Banking	In FY19 the Banking Bureau will conduct 200 sessions/events to include Bank on DC, Financial Fit, Student Loan Ombudsmen and Foreclosure Mediation	09-30-2019
Non-Depository Exams (1 Strategic Initiative)		
Banking Examinations	During FY19, Banking will conduct 125 non-depository financial institutions examinations.	09-30-2019
Outreach Campaigns (1 Strategic Initiative)		
Securities	Raise the level of cooperation with faith-based institutions by holding 2 semi-annual forums with Faith Leaders and holding 3 DISB sponsored events at individual places of worship.	09-30-2019

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

FY 2018

Bureau/DIV	Name of study	Purpose	Status	Copy attached
INSURANCE	Market Conduct examination of Aetna	Investigate potential exposure of HIV status of District residents in mailing.	Draft report from contract examiners under review by DISB staff.	No, not yet complete
INSURANCE	ACA Market Reform Study - I	Review 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.	This is a multi-year project
INSURANCE	ACA Market Reform Study - II	Review 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.	This is a multi-year project
INSURANCE	Public Hearing on Private Passenger Automobile Insurance Premiums and Rating Factors Assessment 2018 Report	Present summary and results of the hearing.	Draft completed, going through internal review.	No, not yet complete.
BANKING	Feasibility Study on Public Banking in the District of Columbia	Determine the feasibility and desire among stakeholders for the creation of a	Under internal review	No

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

Bureau/DIV	Name of study	Purpose	Status	Copy attached
		public bank in the District		
BANKING	2018 Student Loan Ombudsman Report	Present the information and analysis related to the activities of the Student Loan Ombudsman	Under internal review	No

FY 2019

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	185,217.00	39,080.79	
Sheppard,Dana G	00036539	Director of Risk Finance	6000	Risk Finance Bureau	6020	F	DS0086	16	0	180,549.95	38,096.04	
Miles,Theodore A	00015183	DIR OF SECURITIES	3000	Securities Bureau	3010	F	DS0086	16	0	180,545.02	38,095.00	
Bramble,Jocelyn	00041785	SUPERVISOR TRIAL ATTORNEY	1000	Agency Management Program	1060	F	LX0001	2	0	179,652.60	37,906.70	
Barlow,Philip A	00036295	Associate Commissioner For Ins	2000	Insurance Bureau	2010/2050	F	DS0086	16	0	175,019.38	36,929.09	
Parker,Charlotte W	00041786	ATTORNEY ADVISOR	1000	Agency Management Program	1060	F	LA0002	15	10	174,520.00	36,823.72	
Taylor,Stephen C.	00039088	Commissioner Ins Sec&Banking	1000	Agency Management Program	1090	F	DX0000	E5	0	172,760.14	36,452.39	
Levi,Adam	00042200	ATTORNEY ADVISOR	1000	Agency Management Program	1060	F	LA0002	15	7	164,061.00	34,616.87	
Bressman,Brian	00075430	DIR OF FRAUD	4000	Enforcement Program	4060	F	DS0086	16	0	162,843.00	34,359.87	
O'Donnell,Patrick S.	00035765	Supervisory Financial Examiner	8000	Market Examinations Division	8040	F	DS0086	15	0	162,705.24	34,330.81	
Blackstone,Lilah R	00041787	ATTORNEY ADVISOR	1000	Agency Management Program	1060	F	LA0002	14	10	151,112.00	31,884.63	
Vaidyanathan,Shankar	00027840	Chief Information Officer	1000	Agency Management Program	1040	F	DS0086	15	0	150,423.05	31,739.26	
Tanhehco,Efren L	00073445	Supervisory Health Actuary	2000	Insurance Bureau	2090	F	DS0086	14	0	141,895.15	29,939.88	
Meaza,Senayet	00075391	Director of Market Examination	3000	Securities Bureau	3080	F	DS0086	15	0	141,363.05	29,827.60	
Mcmanus,James M.	00008873	ASST DIR	3000	Securities Bureau	3010	F	DS0086	15	0	140,271.63	29,597.31	
Brown,Nathaniel Kevin	00009191	Supvy Ins Oper Exam (Auditing)	8000	Market Examinations Division	8010	F	DS0086	14	0	138,204.70	29,161.19	
Li,Xiangchun	00075076	Financial Examiner & Analyst	8000	Market Examinations Division	8040	F	DS0077	14	9	136,743.00	28,852.77	
Christhilf,David	00085202	ACTUARY	2000	Insurance Bureau	2015	F	DS0077	14	8	133,256.00	28,117.02	
Washington,Christian A	00041792	Chief of Staff	1000	Agency Management Program	1090	F	XS0001	9	0	130,936.28	27,627.56	
Schleit,David	00036363	FINANCIAL EXAMINER OFFICER	6000	Risk Finance Bureau	6010	F	DS0077	14	7	129,769.00	27,381.26	
Purdie,Katrice Diana	00034872	Chief of Policy and Administra	1000	Agency Management Program	1040	F	DS0086	16	0	128,961.56	27,210.89	
Williams,Brian	00034846	Associate Commiss. for Banking	5000	Banking Bureau	5060	F	DS0086	16	0	128,961.15	27,210.80	
Goff,Maurice V	00000483	ASST DIR SEC LICENSING	3000	Securities Bureau	3030	F	DS0086	14	0	128,438.76	27,100.58	
Fuller,Samuel V	00075388	Lead Bank Examiner	8000	Market Examinations Division	8030	F	DS0077	14	6	126,282.00	26,645.50	
Caesar,Camille	00075396	Program Manager (SSBCI)	5000	Banking Bureau	5070	F	DS0086	14	0	126,072.00	26,601.19	
Liebers,Howard M	00036236	Health Care Poilcy Analyst	2000	Insurance Bureau	2050	F	DS0077	14	5	122,795.00	25,909.75	
Nkojo,Robert I	00008351	ACTUARY MGR	2000	Insurance Bureau	2015	F	DS0086	14	0	120,286.87	25,380.53	
Godie,Enyew	00001761	BUDGET OFFICER	100F	Agency Fiscal Operations	110F	F	DS0007	14	4	119,308.00	25,173.99	
Dyson,Monica L	00003501	ACTUARY	2000	Insurance Bureau	2015	F	DS0077	13	10	118,670.00	25,039.37	643.34
Rielley,John M	00035565	INSURANCE EXAMINER	2000	Insurance Bureau	2010	F	DS0077	13	10	118,670.00	25,039.37	
Rouse,Brian A	00075387	Sr. Banking Licensing Speciali	5000	Banking Bureau	5060	F	DS0077	13	10	118,670.00	25,039.37	
Shipp,Sharon	00075393	Director, Compliance Analysis	9000	Compliance Division	9010	F	DS0086	15	0	117,300.00	24,750.30	
Irwin,Trey	00075551	Supervisory Bank Examiner	8000	Market Examinations Division	8030	F	DS0086	15	0	116,218.42	24,522.09	
Belen,Carmen	00026346	INSURANCE EXAMINER	2000	Insurance Bureau	2010	F	DS0077	13	9	115,717.00	24,416.29	
King,Angela Jenice	00036494	Insurance Examiner (Property a	2000	Insurance Bureau	2015	F	DS0077	13	9	115,717.00	24,416.29	545.42
Negash,Yohanness	00012196	FINANCIAL EXAMINER INS	2000	Insurance Bureau	2015	F	DS0077	13	9	115,717.00	24,416.29	
Burt,Charles	00001945	Student Loan Ombudsman	5000	Banking Bureau	5070	F	DS0086	14	0	115,566.00	24,384.43	
Adu,George	00039603	Secur Finan Exam (Rpt & Discl)	3000	Securities Bureau	3010	F	DS0077	13	8	112,764.00	23,793.20	
Anderson II,Lloyd J	00035768	INFO TECH SPEC	1000	Agency Management Program	1040	F	DS0077	13	8	112,764.00	23,793.20	
Johnson,Colin B	00015197	INSURANCE EXAMINER	2000	Insurance Bureau	2050	F	DS0077	13	8	112,764.00	23,793.20	79.73
Kunzweiler,Brad L	00035980	SECURITIES FINANCIAL EXAM	8000	Market Examinations Division	8020	F	DS0077	13	8	112,764.00	23,793.20	
Merlo,Samuel A	00011195	FINANCIAL EXAMINER INS	2000	Insurance Bureau	2015	F	DS0077	13	8	112,764.00	23,793.20	
Morgan,John	00005439	ACTUARY	2000	Insurance Bureau	2090	F	DS0077	13	8	112,764.00	23,793.20	
Bryant,Tanya D	00003290	Public Affairs Specialist	1000	Agency Management Program	1080	F	DS0077	13	8	112,764.00	23,793.20	650.56
Vanhorne,Lashawn M	00043252	ACCOUNTS PAYABLE SUPV	100F	Agency Fiscal Operations	120F	F	DS0007	13	8	112,763.00	23,792.99	

Name	Posn Nbr	Title	Program	Program Title	Activity	Vac Stat	Sal Plan	Grade	Step	Annual Salary	Annual Benefits	Overtime Paid
Drehoff,Paul	00036294	Public Information Officer	1000	Agency Management Program	1080	F	DS0086	14	0	112,200.00	23,674.20	
Tengen,Juliana N	00034870	Investigator Fraud	4000	Enforcement Program	4060	F	DS0077	13	7	109,811.00	23,170.12	
Shirley,Darniece L	00073451	ACTUARY	2000	Insurance Bureau	2090	F	DS0077	13	7	109,811.00	23,170.12	
Abdullah,IIdriys J	00043792	CONSUMER PROTECTION ADVOCATE	1000	Agency Management Program	1080	F	DS0087	13	10	109,710.00	23,148.81	
Bunyasrie,Surayuth	00038485	FINANCIAL EXAMINER INS	8000	Market Examinations Division	8040	F	DS0077	13	6	106,858.00	22,547.04	
Mathis,Michelle D.	00075544	Operations Manager	1000	Agency Management Program	1060	F	DS0077	13	6	106,858.00	22,547.04	
Ryan Jr.,Francis J	00031831	Financial Examiner	2000	Insurance Bureau	2050	F	DS0077	13	6	106,858.00	22,547.04	
Johnson-Parker,Sheila A	00009105	Insurance Licensing Spec Mgr	2000	Insurance Bureau	2010	F	DS0086	14	0	104,702.00	22,092.12	
Wadley,Debbra	00038798	Manager, Consumer Services	9000	Compliance Division	9020	F	DS0086	14	0	104,701.98	22,092.12	
Kerr,Monique Melissa	00037714	Licensing Manager	5000	Banking Bureau	5060	F	DS0086	14	0	104,701.98	22,092.12	
Jones,Robbin	00034868	Supervisory Banking Examiner	5000	Banking Bureau	5060	F	DS0086	14	0	104,701.75	22,092.07	
Ross,Michael	00008031	FRAUD COMPLIANCE MGR	4000	Enforcement Program	4050	F	DS0086	14	0	104,701.75	22,092.07	
Afolabi,Christine	00046076	Insurance Operations Examiner	8000	Market Examinations Division	8040	F	DS0077	13	5	103,905.00	21,923.96	
Beard,Andre	00085212	Insurance Examiner (General)	2000	Insurance Bureau	2010	F	DS0077	13	5	103,905.00	21,923.96	
Bright,Eva M	00075386	Senior Bank Examiner	8000	Market Examinations Division	8030	F	DS0077	13	5	103,905.00	21,923.96	
Davis,Rebecca	00038470	FINANCIAL EXAMINER (CAPTIVE)	8000	Market Examinations Division	8040	F	DS0077	13	5	103,905.00	21,923.96	
Guishard,Michael	00015485	Information Technology Special	1000	Agency Management Program	1040	F	DS0077	13	5	103,905.00	21,923.96	
Coles,Karen	00001990	INVEST FRAUD	4000	Enforcement Program	4060	F	DS0077	12	10	102,268.00	21,578.55	
Dickens,Marionnetta	00010013	INSURANCE OPERATIONS SPEC	9000	Compliance Division	9010	F	DS0077	12	10	102,268.00	21,578.55	1,084.56
Drafton-Lowery,Lucille	00034860	Public Affairs Specialist	1000	Agency Management Program	1080	F	DS0077	12	10	102,268.00	21,578.55	10,890.64
Moore,David	00075087	Consumer Services Specialist	9000	Compliance Division	9010	F	DS0077	12	10	102,268.00	21,578.55	
Parker,Denise M	00016131	INSURANCE LICENSE SPEC	2000	Insurance Bureau	2010	F	DS0077	12	10	102,268.00	21,578.55	
Collins,Thedford L	00017095	Special Assistant	1000	Agency Management Program	1090	F	DS0087	13	7	101,521.58	21,421.05	
Hammonds,Michelle	00034863	Program Analyst	5000	Banking Bureau	5070	F	DS0077	13	4	100,952.00	21,300.87	
Ibrahim,Yesuf	00085225	SENIOR ACCOUNTANT	100F	Agency Fiscal Operations	120F	F	DS0007	13	4	100,952.00	21,300.87	

Appendix 17

Department of Insurance, Securities and Banking (SR0) **Fiscal Year 2018 and 2019: Top 25 Overtime Earners**

Fiscal Year	Employee Name	Position Title	Position No.	Program Code	Program Title	Activity Code	Salary	Fringe Benefits	Overtime Amount Paid
2018	Drafton-Lowery, Lucille	00034860	Public Affairs Specialist	1000	Agency Management Program	1080	102,268.00	21,578.55	9,015.58
	Azikiwe, Nneka	00085528	PROGRAM SUPPORT ASSISTANT	5000	Banking Bureau	5070	45,030.00	9,501.33	7,279.49
	Richards, Shaun	00025163	CLERICAL ASSISTANT	1000	Agency Management Program	1040	45,030.00	9,501.33	2,628.23
	Simmons, Marlene O	00016013	Human Resources Specialist	1000	Agency Management Program	1010	80,785.00	17,045.64	1,758.79
	Murphy, Marcus	00025507	CLERICAL ASSISTANT	1000	Agency Management Program	1040	45,931.00	9,691.44	1,318.09
	Pedroso, Tamisha S.	00018144	Staff Assistant	1000	Agency Management Program	1090	55,910.00	11,797.01	1,191.79
	Dyson, Monica L	00003501	ACTUARY	2000	Insurance Bureau	2015	118,670.00	25,039.37	643.24
	Jordan-Robinson, Lucynthia D	00022192	INSURANCE LICENSE SPEC	2000	Insurance Bureau	2010	97,304.00	20,531.14	550.36
	Dickens, Marionnetta	00010013	INSURANCE OPERATIONS SPEC	9000	Compliance Division	9010	102,268.00	21,578.55	506.13
	Patterson, Deserie	00035827	Imaging Specialist	1000	Agency Management Program	1040	69,037.00	14,566.81	428.38
	McBride, Keenan R.	00076896	LEGAL ASST	1000	Agency Management Program	1060	49,015.00	10,342.17	346.54
	Benson, RaShaunda	00078131	Health Insurance Analyst.	2000	Insurance Bureau	2010	68,755.00	14,507.31	157.14
	Matthews, Sylvia D	00015980	INS OPERATIONS SPEC	9000	Compliance Division	9010	99,786.00	21,054.85	70.55
	Pettigrew, Alice VonEva	00022252	Management Liaison Specialist	1000	Agency Management Program	1010	69,327.00	14,628.00	31.77
2018 Total							1,049,116.00	221,363.48	25,926.08
2019	Drafton-Lowery, Lucille	00034860	Public Affairs Specialist	1000	Agency Management Program	1080	102,268.00	21,578.55	1,875.06
	McBride, Keenan R.	00076896	LEGAL ASST	1000	Agency Management Program	1060	49,015.00	10,342.17	804.67
	Hicks, Willie C	00017344	INSURANCE LICENSE SPEC	2000	Insurance Bureau	2050	92,340.00	19,483.74	788.65
	Bryant, Tanya D	00003290	Public Affairs Specialist	1000	Agency Management Program	1080	112,764.00	23,793.20	650.56
	Dickens, Marionnetta	00010013	INSURANCE OPERATIONS SPEC	9000	Compliance Division	9010	102,268.00	21,578.55	578.43
	King, Angela Jenice	00036494	Insurance Examiner (Property)	2000	Insurance Bureau	2015	115,717.00	24,416.29	545.42
	Goines, Robsine M	00035837	Banking Licensing Specialist	5000	Banking Bureau	5060	67,324.00	14,205.36	380.78
	Alula, Makondi Claudine	00075376	Paralegal Specialist	1000	Agency Management Program	1060	87,376.00	18,436.34	336.06
	Richards, Shaun	00025163	CLERICAL ASSISTANT	1000	Agency Management Program	1040	45,030.00	9,501.33	334.01
	Pedroso, Tamisha S.	00018144	Staff Assistant	1000	Agency Management Program	1090	55,910.00	11,797.01	237.18
	Johnson, Colin B	00015197	INSURANCE EXAMINER	2000	Insurance Bureau	2050	112,764.00	23,793.20	79.73
2019 Total							942,776.00	198,925.74	6,610.55
Grand Total							1,991,892.00	420,289.21	32,536.63

**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 16th;
- (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.

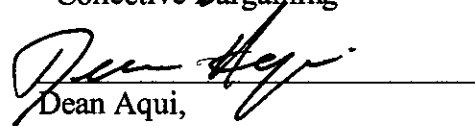
Compensation Units One and Two Collective Bargaining Agreement

Signed: July, 2013

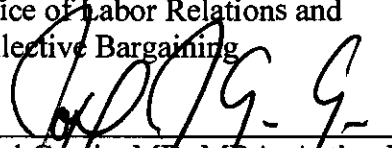
**FOR THE DISTRICT OF COLUMBIA
GOVERNMENT**



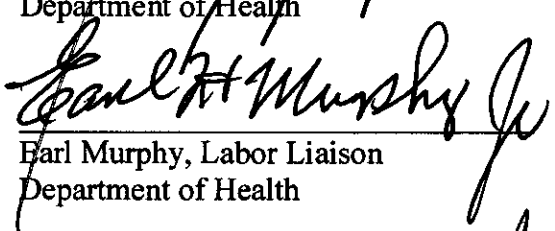
Natasha Campbell, Director
Office of Labor Relations and
Collective Bargaining



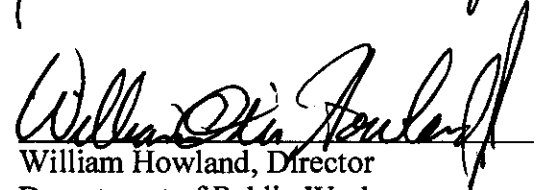
Dean Aqui,
Supervisory Attorney Advisor
Office of Labor Relations and
Collective Bargaining



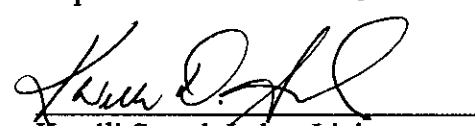
Joxel Garcia, MD, MBA, Acting Director
Department of Health



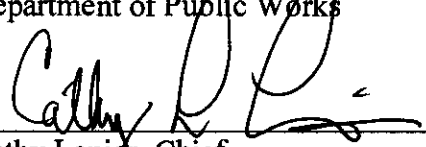
Earl Murphy, Labor Liaison
Department of Health



William Howland, Director
Department of Public Works

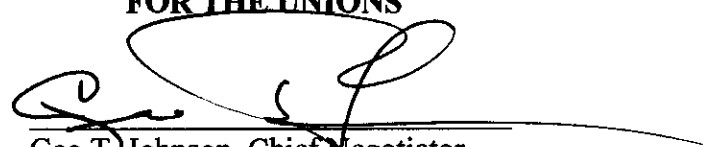


Kwelli Sneed, Labor Liaison
Department of Public Works



Cathy Lanier, Chief
Metropolitan Police Department

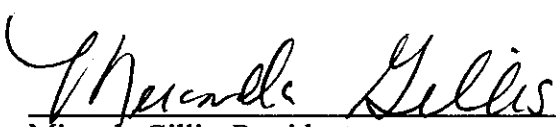
FOR THE UNIONS



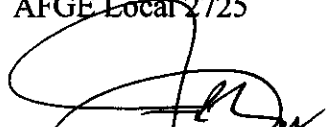
Geo T. Johnson, Chief Negotiator
Compensation Units 1 and 2



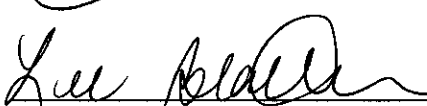
James Ivey, President
AFSCME Local 2091



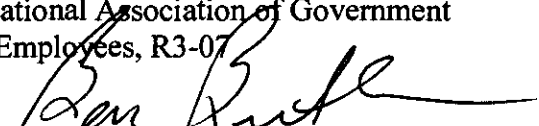
Miranda Gillis, President
AFGE Local 2725



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
Lisa Wallace, Vice President
SEIU 1199E-DC

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

Cliff Lowrey
Clifford Lowrey, President
AFGE Local 1975

Brian Lee
DC Fire and Emergency Medical Services

Sabrina Brown, President
AFSCME Local 2401

Jesús Aguirre
Jesús Aguirre, Director
Department of Parks and Recreation

Reginald Walker, President
AFSCME Local 1200

Jamarj Johnson
Jamarj Johnson, Labor Liaison
Department of Park and Recreation

Cliff Dedrick
Cliff Dedrick, President
AFSCME Local 2743

Lucinda Babers
Lucinda Babers, Director
Department of Motor Vehicles

Kenneth Lyons, President
AFGE Local 3721

Odessa Nance, Labor Liaison
Department of Motor Vehicles

Robert Hollingsworth
Robert Hollingsworth, President
AFSCME Local 2776

Terry Bellamy
Terry Bellamy, Director
Department of Transportation

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

Compensation Units One and Two Collective Bargaining Agreement

Signed: July, 2013

Melissa Williams
Melissa Williams, Labor Liaison
Department of Transportation

Robert Mayfield
Robert Mayfield, President
AFGE Local 2978

Thomas Faust
Thomas Faust, Director
Department of Corrections

Timothy Traylor
Timothy Traylor, President
AFGE Local 383

Paulette Johnson-Hutchings
Paulette Johnson-Hutchings,
Labor Liaison
Department of Corrections

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

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

Walter Jones
Walter Jones, President
AFSCME Local 2087

Beverly Fields
Beverly Fields, Labor Liaison
Office of the Chief Medical Examiner

Barbara Milton
Barbara Milton, President
AFGE Local 631

Brian Hanlon
Brian Hanlon, Director
Department of General Services

Antonio Reed
Antonio Reed, President
NAGE R3-05

Cecelia Banks
Cecelia Banks, Labor Liaison
Department of General Services

Cedric Crawley
Cedric Crawley
FOP-DYRSLC

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


Darren Roach
Darren Roach, President
AFSCME Local 877

Compensation Units One and Two Collective Bargaining Agreement

Signed: July, 2012

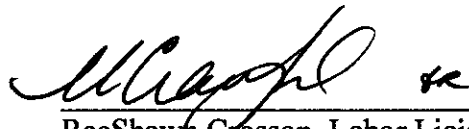
Amy Mauro, Labor Liaison
Office of Risk Management

Sheila Bailey-Wilson, President
AFSCME Local 709

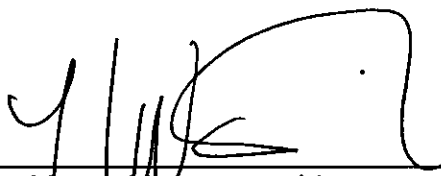


Emily Duso, Interim State
Superintendent of Education
Office of the State Superintendent
Of Education

Johnnie Walker, Representative
AFGE Local 3444



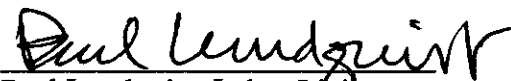
RaeShawn Crosson, Labor Liaison
Office of the State Superintendent
Of Education




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



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

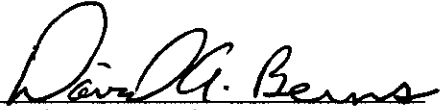


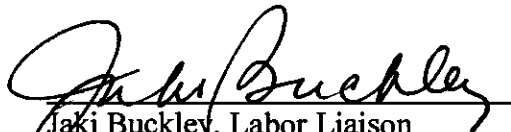
Wayne M. Turnage, Director
Department of Health Care Finance

Compensation Units One and Two Collective Bargaining Agreement

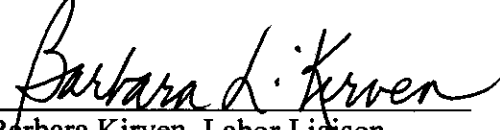
Signed: July, 2012


Portia Shorter, Labor Liaison
Department of Health Care Finance



David Berns, Director
Department of Human Services


Jaki Buckley, Labor Liaison
Department of Human Services

Ginnie Cooper, Executive Director
DC Public Libraries


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



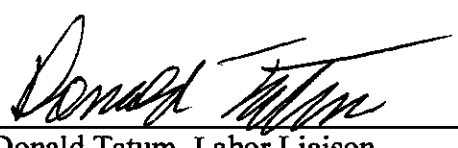
William P. White, Commissioner
Department of Insurance, Securities
And Banking



Margaret Schruender, Labor Liaison
Department of Insurance, Securities
And Banking



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




Donald Tatum, Labor Liaison
Department of Consumer and
Regulatory Affairs

Compensation Units One and Two Collective Bargaining Agreement

Signed: July, 2012

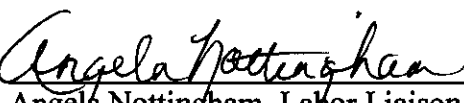
Keith Anderson, Director
Department of the Environment



Denise Rivera-Portis, Labor Liaison
Department of the Environment



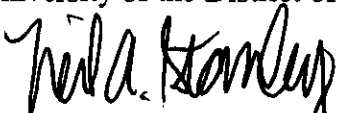
Michael Kelly, Director
Department of Housing and
Community Development



Angela Nottingham, Labor Liaison
Department of Housing and
Community Development

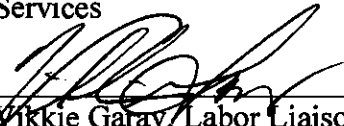
Dr. James E. Lyons, Sr., Interim President
University of the District of Columbia

_____, 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



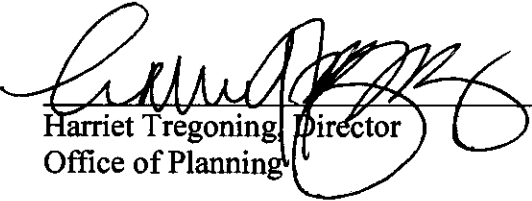
Vikkie Garay, Labor Liaison
Department of General Services

Compensation Units One and Two Collective Bargaining Agreement

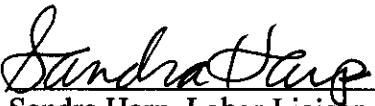
Signed: July, 2012

Ron M. Linton, Commissioner
DC Taxicab Commission

Patty Mason, Labor Liaison
DC Taxicab Commission



Harriet Tregoning, Director
Office of Planning



Sandra Harp, Labor Liaison
Office of Planning

Eric E. Richardson, Executive Director
Office of Cable Television

Angela Harper, Labor Liaison
Office of Cable Television

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

Christina Fleps, Labor Liaison
Office of the Chief Technology Officer

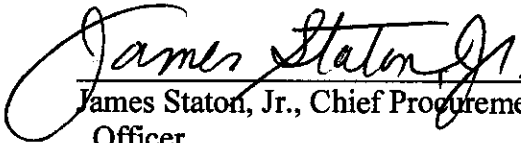
Compensation Units One and Two Collective Bargaining Agreement

Signed: July, 2012



Laura L. Nuss, Director
Department of Disability Services

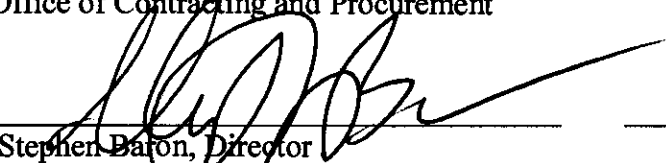
Kehinde Asuelimen, Labor Liaison
Department of Disability Services



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



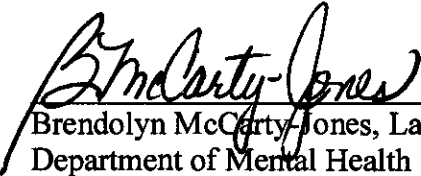
Shirley Danner, Labor Liaison
Office of Contracting and Procurement



Stephen Baron, Director
Department of Mental Health



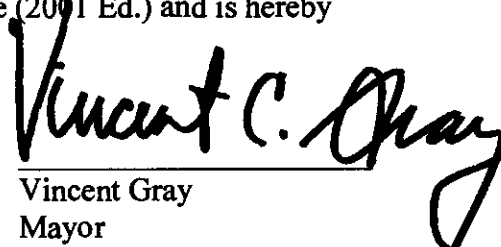
Frankie T. Wheeler, Director,
Human Resources
Department of Mental Health



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

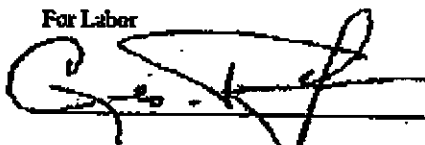
Between
Compensation Units 1 & 2
and
The District of Columbia
Concerning Classification and Compensation Collaborative Review

"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.

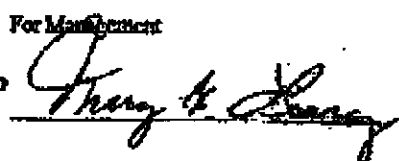
Furthermore, the Parties hereby agree that the District and the Unions shall commence a joint labor-management classification and compensation collaborative review of District jobs. This project shall examine the current classification and compensation systems in order to ensure that job classifications 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.

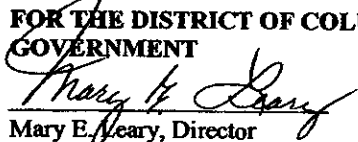
The Joint Task Force classification review will begin in August 2003, with a review of positions in the clerical/administrative occupational group and specific classification series and/or positions, which the Joint Task Force has determined, requires immediate review. The Joint Task Force has agreed 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.

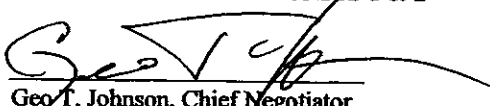
Further, the contracting parties agree that amounts hereafter designated through collective bargaining for classification and compensation collaborative review under the terms of the FY 2004 to FY2006 Compensation Units 1 and 2 Agreement, shall be accorded similar treatment for purposes of implementation. 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 26th day of August, 2003.

**FOR THE DISTRICT OF COLUMBIA
GOVERNMENT**


Mary E. Leary, 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.

mel
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 16th 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

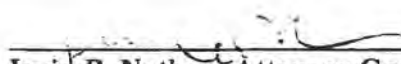
This Agreement was reached after negotiations during which the parties were able to negotiate on any and all negotiable non-compensation issues, and contains the full agreement of the parties as to all such compensation issues that were or could have been negotiated.

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 28th day of March, 2014 and in witness to this Agreement, the Parties hereto set their signatures.

**FOR THE DISTRICT OF COLUMBIA
GOVERNMENT**

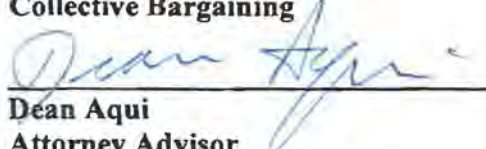


Irvin B. Nathan, Attorney General
Office of the Attorney General



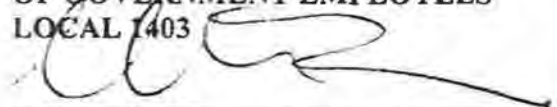
Nadine C. Wilburn,
Chief Counsel, Personnel, Labor &
Employment Division
Office of the Attorney General

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

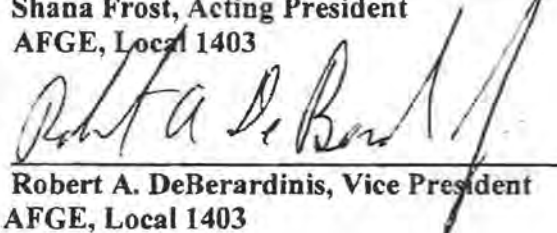


Dean Aqui
Attorney Advisor
Office of Labor Relations &
Collective Bargaining

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



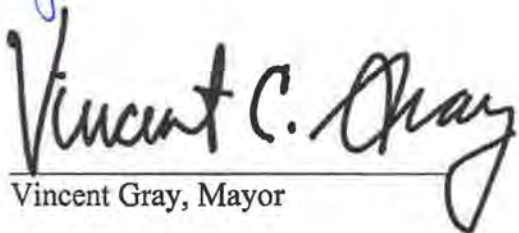
Shana Frost, Acting President
AFGE, Local 1403



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. 01-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 CMLA, 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 30th 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 1st 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 31st 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**

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

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

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

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

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

**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 for FY 2018 and FY 2019, to date

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF BANK ON DC ACCOUNTS OPENED	# OF ATTENDEES (Student Loan Ombudsman)	# OF ATTENDEES (FinFitDC)	FinFitDC (SIGN UPS)
OCTOBER 2017											
Office of the Chief Financial Officer	10/04/17	1101 4th Street, SW, Suite 850 West Washington, DC 20024	6	Bank on DC, banking options for District Employees	OCFO/ Bank on DC	0	9	1	0	0	0
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	Bank on DC, banking options for District Employees	MOAAA	0	8	1	0	0	0
Department of Human Resources	10/05/17	441 4th Street, NW, Suite 330 South, Washington, DC 20001	2	Bank on DC, banking options for District Employees	Bank on DC	0	28	2	0	0	0
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	0	0	0	0	0
Capital Guardian Youth Challenge Academy Financial Readiness Presentation	10/06/17	3201 Oak Hill Drive Laurel, Maryland 20724 United States	Maryland	Financial Education	CGYCA	0	46	0	0	0	0
Department of Human Resources	10/11/17	441 4th Street, NW, Suite 330 South, Washington, DC 20001	2	Bank on DC, banking options for District Employees	Bank on DC	0	28	1	0	0	1
Office of the Chief Financial Officer	10/12/17	1101 4th Street, SW, Suite 850 West Washington, DC 20024	6	Bank on DC, banking options for District Employees	Bank on DC	0	38	2	0	0	2
Project Empowerment	10/12/17	DOES Headquarters 4058 MINNESOTA AVENUE NE WASHINGTON, DC 20019	7	Account Enrollment	DOES	0	149	9	0	0	0
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	0	0	0	0	0
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	0	0	0	0	0
Insurance in the Shared Economy Presentation	10/17/17	National Association of Broadcasters, 1771 N Street, NW	2	Insurance	Consumer Action	25	0	0	0	0	0
Financially Fit DC Workshop Series	10/18/17	Fort Chaplin Apartments 15 42nd St. NE, Unit 1 Washington, DC 20019	7	Financial Education, Having a Bank Account and Emergency Savings	Fort Chaplin, Bank on DC, DISB	0	0	0	0	3	0
Community Health & Resource Fair	10/19/17	Nineteenth Street Baptist Church, 4606 16th Street, NW	4		DC Retired Educators Association Annual Business Meeting and DCOA	160	0	0	0	0	0
Department of Human Resources	10/19/17	441 4th Street, NW, Suite 330 South, Washington, DC 20001	2	Bank on DC, banking options for District Employees	Bank on DC	0	55	4	0	0	0
The LEAP Academy- 2017 Cohort	10/20/17	441 4th St NW Washington, DC	2	Financial Literacy, Credit	LEAP Academy/ Bank on DC	0	12	0	0	0	0
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			0		
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	0	46	0	0	0	0
3rd Annual Ward 4 State of the Senior Address	10/26/17	Riggs-LaSalle Recreation Center, 501 Riggs Rd, DC 20011	4	Financial Fraud, Reverse Mortgages	Office of Ward 4 Councilmember Bandon Todd	340	0	0	0	0	0
DC Baptist Convention 141st Annual Meeting	10/26/17	DC Baptist Convention, 1628 16th St., NW- Peoples Community Baptist Church, 31 Norwood Rd, Silver Spring, MD	Other	Consumer Protection	DC Baptist Convention, Rev. Gloria Grant, 202 550-7546, 202/882-1690	125	0	0	0	0	0
Department of Human Resources	10/26/17	441 4th Street, NW, Suite 330 South, Washington, DC 20001	2	Bank on DC, banking options for District Employees	Bank on DC	0	63	4	0	0	0
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)	0	17	3	0	0	0

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF BANK ON DC ACCOUNTS OPENED	# OF ATTENDEES (Student Loan Ombudsman)	# OF ATTENDEES (FinFitDC)	FinFitDC (SIGN UPS)
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	0	0	0	0	0
Financially Fit DC New Users	10/31/17	--	--	--	--	0	0	0	0	0	29
NOVEMBER 2017											
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, Bank on DC, DISB	0	0	0	0	1	0
DC Health Link Enrollment Day & Health Fair	11/04/17	Watha T. Daniel (Shaw) Library		DC Public Library and AARP	The DC Health Benefit Exchange Authority, DC Public Library and AARP	300	0	0	0	0	0
Capital Guardian Youth ChalleNge Academy Financial Readiness Presentation	11/06/17	3201 Oak Hill Drive Laurel, Maryland 20724 United States	Maryland	Credit, Investing, and Saving for Future	CGYCA	0	46	0	0	0	0
Open Enrollment Fair	11/14/17	DC Public Schools Central Office 1200 First Street, NE WDC 20002	6	Bank on DC Programming	DCHR	0	148	0	0	0	0
Open Enrollment Fair	11/15/17	Child & Family Services Agency 200 I Street, SE WDC 20003	6	Bank on DC Programming	DCHR	0	167	0	0	0	0
Open Enrollment Fair	11/16/17	Saint Elizabeth's Hospital 1100 Alabama Avenue, SE WDC 20032	8	Bank on DC Programming	DCHR	0	165	2	0	0	0
Community Resource Fair - Carver Senior Apartments	11/20/17	4800 East Capitol Street, NE	7	Financial Education Consumer Protection	DCOA	36	0	0	0	0	0
Financially Fit DC Workshop Series	11/21/17	Fort Chaplin Apartments 15 42nd St. NE, Unit 1 Washington, DC 20019	7	Financial Education: Fraud Prevention and Asset Protection	Fort Chaplin, Bank on DC, DISB	0	0	0	0	55	0
Open Enrollment	11/21/17	DPW 1831 Fenwick St NE	5	Bank on DC Programming	DCHR	0	4	0	0	0	0
Capital Guardian Youth ChalleNge Academy Financial Readiness Presentation	11/21/17	3201 Oak Hill Drive Laurel, Maryland 20724 United States	Maryland	Financial Education: Reality Fair and Event	CGYCA	0	46	0	0	0	0
Project Empowerment	11/22/17	Department of Employment Services 4058 Minnesota Avenue, NE	7	Account Enrollment	DOES	0	110	28	0	0	0
Open Enrollment Fair	11/28/17	John A. Wilson Building 1350 Pennsylvania Avenue, NW WDC 20004	2	Bank on DC Programming	DCHR	0	50	1	0	0	0
Kennedy Recreation Center 2017 Community Health and Resource Fair*	11/29/17	Kennedy Recreation Center, 1401 7th Street, NW, 20001	6	Financial Education Consumer Protection	DC Office on Aging	32	0	0	0	0	0
Financially Fit DC New Users	11/30/17	--	--	--	--	0	0	0	0	0	6
DECEMBER 2017											
World AIDS Day 2017	12/01/17	Reeves Center, 2000 14th Street, NW	1	Gender ID and Insurance	Serve DC, Mayor's Office on Volunteerism, Mayor's Office of LGBTQ	200	0	0	0	0	0
Open Enrollment Fair	12/05/17	Office of the Chief Financial Officer 1101 4th Street, SW WDC 20024	6	Bank on DC Programming	DCHR	0	221	1	0	0	0
Open Enrollment Fair	12/06/17	DC Housing Authority 1133 N. Capitol Street, NE WDC 20002	6	Bank on DC Programming	DCHR	0	97	1	0	0	0
WDCEP's Econ Showcase and Annual Meeting	12/12/17	Washington Convention Center, 801 Mt. Vernon Place, WDC 20001	2	DC BizCAP, Investment Crowdfunding	WDCEP	200	0	0	0	0	0
Mayor's 19th Annual Senior Holiday Celebration	12/13/17	DC Stadium Armory, 2001 East Capital Street, NE, 20003	6	Financial Fraud Protection, Lottery Scams, Affinity Fraud, Reverse Mortgages, Renters Insurance	DC Office on Aging	1500	0	0	0	0	0
Project Empowerment	12/14/17	Department of Employment Services 4058 Minnesota Avenue, NE	7	Account Enrollment	DOES	0	85	9	0	0	0
The LEAP Academy- 2017 Cohort	12/15/17	441 4th St NW Washington, DC	2	Financial Literacy	LEAP Academy/ Bank on DC	0	12	0	0	0	0
Financially Fit DC New Users						0	0	0	0	0	8

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JANUARY 2018											
Project Empowerment	01/11/18	Department of Employment Services 4058 Minnesota Avenue, NE	7	Account Enrollment	DOES	0	156	11	0	0	0
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	0	22	0	0	0	0
Money Smart for Older Adults	01/17/18	University of the District of Columbia, 4200 Connecticut Avenue, N.W, Bldg 44, Room A03, 20008	All Wards	Consumer Protection Financial Education	DISB, EAPC, UDC Institute of Gerontology, James Lee, 202-274-6658	33	0	0	0	0	0
DOES Session	01/18/18	Community Empowerment Training Academy 101 Xenia Street SW 1st Floor Washington, DC 20032	8	Financial Education	DOES	0	17	0	0	0	0
DOES Session	01/18/18	Community Empowerment Training Academy 101 Xenia Street SW 1st Floor Washington, DC 20032	8	Financial Education	DOES	0	17	0	0	0	0
Victory Heights First Annual Community Day	01/18/18	1369 Irving Street, NW, 20010	1	Senior Event	DCOA	32	0	0	0	0	0
DOES Session	01/19/18	Contemporary Family Services 601 50th Street NE	7	Financial Education	DOES	0	14	0	0	0	0
MBSYEP Parent/Child Information Session	01/19/18	Barry Farms Recreation Center 1230 Sumner Rd SE	8	Bank on DC Programming	MBSYEP	0	18	0	0	0	0
MBSYEP Parent/Child Information Session	01/22/18	Trinidad Recreation Center 1310 Childress St. NE	5	Bank on DC Programming	MBSYEP	0	8	0	0	0	0
MBSYEP Parent/Child Information Session	01/23/18	Columbia Heights Recreation Center 1480 Girard St NW	1	Bank on DC Programming	MBSYEP	0	17	0	0	0	0
Money Smart for Older Adults	01/24/18	Shiloh Baptist Church, 1500 9th St., NW, 20001	1	Consumer Protection	DISB, EAPC, Shiloh Baptist Church, Shiloh Senior Citizens Club	40	0	0	0	0	0
DOES Session	01/25/18	Nai Xander 143 Kennedy St, NW DC Prep - Anacostia Elementary, 1409 V Street, SE	4	Financial Education	DOES	0	11	0	0	0	0
Ward 8 Education Fair	01/27/18	Tyler House, 1200 North Capitol St, NW, Washington, DC 20002	8	Student Loan		0	0	0	80	0	0
Money Smart for Older Adults- Renters Insurance	01/29/18	Hayes Senior Wellness Center, 500 K Street, NE, 20002	5	Consumer Protection	DISB, Tyler House	4	0	0	0	0	0
Hayes Senior Wellness Center Resource Fair	01/31/18		6	Senior Event	DCOA	60	0	0	0	0	0
Financially Fit DC New Users	--	--	--	--	--	0	0	0	0	0	41
Website Account Referrals	--	--	--	--	--	0	0	5	0	0	0
FEBRUARY 2018											
Project Empowerment	02/01/18	Department of Employment Services 4058 Minnesota Avenue, NE	7	Account Enrollment	DOES	0	93	17	0	0	0
DOES Session	02/01/18	CC Prep Suite 240 3230 Pennsylvania Ave. SE Washington, DC	7	Financial Education	DOES	0	18	0	0	0	0
Money Smart for Older Adults	02/01/18	FRIENDSHIP TERRACE RETIREMENT COMMUNITY 4201 Butterworth Place, N.W., 20016	3	Consumer Protection	DISB, EAPC, Seabury	8	0	0	0	0	0
District of Columbia Veteran Affairs Meeting	02/08/18			Student Loan, VA education benefits and student loans	DC Veteran Affairs	0	0	0	60	0	0
Ward 7 Education Fair	02/10/18	4250 Massachusetts Ave SE	7	Student Loan	My School DC, DC Public Schools, DC Public Charter School Board, and Rocketship Public Schools.	0	0	0	102	0	0

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CentroNia	02/10/18	1420 Columbia Road NW Washington DC 2009	1	Bank on DC Programming- Tax Site Visit	Bank on DC, CAAB, Community Tax Aid, and United Way	0	8	0	0	0	0
MBSYEP Certification	02/13/18	Department of Employment Services 4058 Minnesota Avenue, NE	7	Bank on DC Programming	MBSYEP	0	13	0	0	0	0
Money Smart for Older Adults	02/14/18	New Samaritan Baptist Church, 1100 Florida Avenue, NE, 20002	5	Consumer Protection	DISB, New Samaritan Baptist Church	46	0	0	0	0	0
Jubilee Jobs	02/14/18	2712 Ontario road NW Washington DC 20009	1	Bank on DC Programming- Tax Site Visit	Bank on DC, CAAB, Community Tax Aid, and United Way	0	10	0	0	0	0
Money Smart for Older Adults	02/15/18	Samuel Kelsey Senior Building, 3322 14th Street, NW, Valarie Ellerbe 202/667- 6590	1	Consumer Protection	DISB, EAPC, Samuel Kelsey Senior Building	18	0	0	0	0	0
MBSYEP Certification	02/16/18	R.I.S.E. Demonstration Center 2730 Martin Luther King Jr. Avenue SE	7	Bank on DC Programming - Banking Day	MBSYEP	0	43	0	0	0	0
SE Community Credit Center at Good Hope Road Shopping Center	02/17/18	2831 Alabama Ave SE, Washington, DC 20020	8	Bank on DC Programming- Tax Site Visit	Bank on DC, CAAB, Community Tax Aid, and United Way	0	27	0	0	0	0
2018 Mayor Marion S. Barry Summer Youth Employment Program Employer Forum	02/20/18	Department of Employment Services - 4058 Minnesota Avenue Northeast - Washington, DC 20019	7	Bank on DC Programming	OYP - MBSYEP	0	64	0	0	0	0
Money Smart for Older Adults- Reverse Mortgages	02/20/18	Israel Metropolitan CME, 557 Randolph St NW, 20011	4	Consumer Protection	DISB, EAPC, Young at Heart Senior Ministry, POC: Sharon Smith,	16	0	0	0	0	0
Money Smart for Older Adults	02/20/18	Garfield Terrace Senior Apartments, 2301 11th St NW, 20001	1	Consumer Protection	US Attorney's Office, DISB, EAPC	15	0	0	0	0	0
MBSYEP Certification	02/20/18	Department of Employment Services 4058 Minnesota Avenue, NE	7	Bank on DC Programming	MBSYEP	0	41	0	0	0	0
DHS Education Explosion 2018	02/21/18	UDC Bertie Backus Campus, 5171 South Dakota, NE		Student Loans	DHS	0	0	0	105	0	0
DOES Session	02/22/18	Westlink 1513-A Rhode Island Ave. NE Washington, DC 20018	5	Financial Education	DOES	0	21	0	0	0	0
OSSE Event	02/22/18	OSSE, 1st Floor Training Room		Student Loans		0	0	0	33	0	0
A Fair Shot: African American Job and Prosperity Job Fair	02/24/18	Washington Convention Center, 801 Mt. Vernon Place, NW, Room 146 A, B and C	2	DISB Resources, Programs and Services	Deputy Mayor for Greater Economic Opportunity	205	139	0	0	50	0
Model Cities Senior Wellness Center's Community Health, Wellness & Informational Fair	02/26/18	Model Cities Senior Wellness Center's Community Health, Wellness & Informational Fair, 1901 Evarts Street, N.E., 20018	5	Senior Event	Office on Aging, Model Cities Senior Wellness Center	28	0	0	0	0	0
Brown Bag Lunch: Moving Beyond Making Ends Meet- Personal Management for You	02/27/18	DISB, 1050 First Street, NW, Rooms 802 and 803, 20002	6	Budgeting or Money Management	DISB	0	23	0	0	0	0
MBSYEP Certification	02/27/18	Department of Employment Services 4058 Minnesota Avenue, NE	7	Bank on DC Programming	MBSYEP	0	50	0	0	0	0
UPO Ralph Waldo Petey Greene	02/27/18	2970 Martin Luther King Jr Ave, SE, 20032	8	Bank on DC Programming	Bank on DC, CAAB, Community Tax Aid, and United Way	0	6	0	0	0	0
Student Loan Ombudsman's Open Office Hours	02/28/18	DISB Training Room (1st floor)	6	Student Loans	DISB		0	0	7	0	0
Financially Fit DC New Users	--	--	--	--	--		0	0	0	0	25
Website Account Referrals	--	--	--	--	--	0	0	3	0	0	0
MARCH 2018											

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2018 Senior Lifestyle Expo	03/01/18	Kenilworth Parkside Recreation Center, 4321 Ord Street, NE, 20019	7	Financial Education, Consumer Protection	Dept. of Parks and Recreation	200	0	0	0	0	0
Mayor's Office of Veterans Affairs	03/01/18	DC Conference Center 441 4th St NW	2	Bank on DC Programming	Mayor's Office of Veterans Affairs, Bank on DC	0	3	0	12	0	0
DCPS/DME Resource Fair	03/07/18	Dunbar High School, 1091 N Street, NW		Student Loans	DCPS/DME	0	0	0	45	0	0
Office of State Superintendent of Education Presentation	03/07/18	OSSE's Office	6	Student Loans	Office of State Superintendent of Education	0	0	0	8	0	0
OSSE: Young Women's College and Career Readiness Conference	03/08/18	Gallaudet Kellogg Conference Center	5	Financial Education	OSSE	0	109	0	0	0	0
UDC - CC National Consumer Protection Week	03/08/18	UDC-CC, 801 North Capitol Street, NE	1	Financial Education, Consumer Protection	DISB	22	0	0	15	0	0
Wardman Court Community Center	03/08/18	1350 Clifton Street NW Washington, DC 20009	1	Bank on DC Programming	Bank on DC, CAAB, Community Tax Aid, and United Way	0	6	0	0	0	0
DPR Teen Program Financial Education	03/08/18	Fort Davis Rec. Center 1400 41st St. SE	7	Financial Education	DPR	0	12	0	0	0	0
DCPS & Deputy Mayor of Education Resource Fair	03/08/18	Woodson High School,	5	Student Loan		0	0	0	61	0	0
Hattie Holmes - National Consumer Protection Week	03/09/18	Hattie Holmes Senior Wellness Center, 324 Kennedy Street, NW, 20011	4	Financial Education	DISB	48	0	0	0	0	0
DCPS/DME Resource Fair	03/09/18	HD Woodson High School, 540 55th Street, NE	5	Student Loan	DCPS/DME	0	0	0	67	0	0
Student Loan Ombudsman's Open Office Hours	03/11/18	Eleanor Norton Holmes Conference Room	6	Student Loan		0	0	0	5	0	0
Student Loan Ombudsman's Open Office Hours	03/13/18	DISB Training Room (1st floor)	6	Student Loan	DISB	0	0	0	21	0	0
DCPS/DME Resource Fair	03/14/18	Coolidge High School, 6315 5th Street, NW	4	Student Loan	DCPS/DME	0	0	0	48	0	0
DPR Teen Program Financial Education	03/14/18	Fort Stanton Recreational center 1812 Erie Street SE	8	Financial Education	DPR	0	20	0	0	0	0
DGS Certified Business Enterprise Outreach Event	03/15/18	One Judiciary Square, Old Council Chambers, 441 4th Street, NW	6	Small Business	DGS	20	0	0	0	0	0
Project Empowerment	03/15/18	Department of Employment Services 4058 Minnesota Avenue, NE	7	Bank on DC Programming	DOES	0	128	24	0	0	0
GWHCC 9th Annual Business Expo	03/16/18	Walter E. Washington Convention Center, 801 Mt. Vernon Place, NW, 20001	2	Small Business	Greater Washington Hispanic Chamber of Commerce	72	0	0	0	0	0
OSSE: Young Men's College and Career Readiness Conference	03/16/18	Gallaudet Kellogg Conference Center	5	Financial Education	OSSE	0	62	0	0	0	0
DCPS/DME Resource Fair	03/16/18	Anacostia High School, 1601 Street, SE	8	Student Loan	DCPS/DME	0	0	0	46	0	0
MBSYEP Certification Event (March Madness)	03/17/18	Walter E. Washington Convention Center 801 Mt. Vernon Place NW	2	Bank on DC Programming	MBSYEP	0	250	90	0	0	0
Moneywise Financial Empowerment Seminar	03/17/18	National Community Reinvestment Coalition Headquarters, 740 15th Street, NW, 3rd Floor, 20005	2	Financial Education	Moneywise TV, Daniel Alexander Payne CDC, National Endowment for Financial Education	48	0	0	80	38	0
DCPS & Deputy Mayor of Education Resource Fair	03/20/18	Wilson High School	3	Student Loan		0	0	0	57	0	0
DCPS/DME Resource Fair	03/23/18	Cardozo Educational Campus, 1200 Clifton Street, NW	1	Student Loan	DCPS/DME	0	0	0	43	0	0
Wellness Day at E.L. Haynes	03/23/18	E.L. Haynes Public Charter School, 4501 Kansas Ave NW	4	Financial Education	EL Haynes	0	17	0	0	0	0
DMPED's March Madness 2018	03/27/18	The Anthem, 901 Wharf Street, SW	6	DC BizCAP, Investment Crowdfunding		75	0	0	0	0	0
Maxiums Education Fair	03/28/18	1720 I Street, NW, Suite 300, 20006		Student Loan		0	0	0		0	0

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Student Loan Ombudsman's Open Office Hours	03/28/18	DISB Training Room (1st floor)	6	Student Loan	DISB	0	0	0	8	0	0
DC Credit Union- Tax Site Visit	03/28/18	2000 14th St NW, Washington, DC 20009	1	Bank on DC Programming	DC Credit Union MOLA	0	11	0	0	0	1
MOPWI Fresh Start Wednesday	03/28/18	UDC 5171 South Dakota Avenue NE Washington, DC 20017	5	Financial Education	MOPWI	0	15	0	0	0	0
Learn about Financial Resources from DISB Workshop	03/29/18	DCRA. 1100 4th Street, SW		DC BizCAP, Investment Crowdfunding	DISB	22	0	0	0	0	0
Financially Fit DC New Users	--	--	--	--	--	0	0	0	0	0	58
Website Account Referrals	--	--	--	--	--	0	0	2	0	0	0
APRIL 2018											
DC Hire Vets	04/04/18	2001 E Capitol St SE, Washington, DC 20003	7	Bank on DC Programming	DCHR MOVA	172	82	0	0	0	0
DPR Teen Program Financial Education	04/04/18	Raymond Rec. Center 3725 10th St. NW	4	Financial Education	DPR	0	12	0	0	0	0
UDC Career Fair	04/05/18	UDC, Student Center, Building 56, Floors B and 1, Van Ness Campus, 4200 Connecticut Avenue, NW, 20001	3	Student Loans	UDC	0	0	0	84	0	0
Project Empowerment	04/05/18	Department of Employment Services 4058 Minnesota Avenue, NE	7	Account Enrollment	DOES	0	69	6	0	0	0
DCPS/DME Resource Fair	04/06/18	Eastern High School, 1700 East Capitol Street, NE	6	Student Loans	DCPS/DME	0	0	0	33	0	0
MBSYEP Career Fair	04/06/18	Arena Stage- 1101 6th St SW	6	Bank on DC Programming	DOES	0	45	0	0	0	0
OSSE's 2018 Adult College Completion Fair	04/07/18	One Judiciary Square, 441 4th Street, NW	1	Student Loans	OSSE	0	0	0	109	0	0
Howard University School of Divinity- Financial Education Seminar Series	04/07/18	2900 Van Ness St. NW Holy Cross Hall- Room 420	A8W	Consumer Protection	Howard University School of Divinity, Society for Financial Education and Professional Development, Inc.	5	0	0	0	0	0
FDIC Money Smart- Information Session	04/07/18	DISB Conference Center- 1050 First St NE	6	Agency Hosted Event	FDIC, Credit Builder Alliance	0	16	0	0	0	0
Student Loan Ombudsman's Open Office Hours	04/10/18	DISB Training Room (1st floor)		Student Loans	DISB	0	0	0	8	0	0
National Community Reinvestment Coalition Training Conference	04/10/18	Washington Hilton Hotel, 1919 Connecticut Ave, NW, 20009	National	Financial Education, Consumer Protection	National Community Reinvestment Coalition	28	48	0	0	0	0
DPR Teen Program Financial Education	04/11/18	King Greenleaf Rec. Center 201 N St. SW	6	Financial Education	DPR	0	9	0	0	0	0
Ward 4 Inaugural Small Business Summit	04/11/18	Peoples Congregational, 4704 13th Street, NW, 20011	4	Small Business	Councilmember Brandon Todd's Office	60	0	0	0	0	0
Money Smart for Older Adults	04/12/18	Model Cities Senior Wellness Center's Community Health, Wellness & Informational Fair, 1901 Evarts Street, N.E., 20018	5	Consumer Protection	DCOA, EAPC	26	0	0	0	0	0
Resource Fair and Free Tax Prep	04/14/18	2000 14th St NW, Washington, DC 20009	1	Bank on DC Programming	DISB, DC Credit Union MOLA, MOAA, MOAAA, MOWPI	0	48	0	0	0	0
Capital City Chapter of the Links	04/14/18	Paul Laurence Dunbar High School, 101 N Street, NW, 20001	5	Consumer Protection (Seniors)	The Capital Chapter of the Links	100	0	0	0	0	0
Clergy for Community Wealth Preservation-Consumer Protection Presentation- Affinity Fraud	04/17/18	Thurgood Marshall Center, 1816 12th St NW, 20009	A8W	Consumer Protection	Clergy for Community Wealth Preservation, DISB	7	0	0	0	0	0
McKinley Tech High School - Reality Fair	04/17/18	151 T Street NE Washington, DC	5	Reality Fair	McKinley Tech, Bank on DC and Greater Washington Jump Start Coalition	0	20	0	0	0	0
McKinley Tech High School - Reality Fair	04/18/18	151 T Street NE Washington, DC	5	Reality Fair	McKinley Tech, Bank on DC and Greater Washington Jump Start Coalition	0	20	0	0	0	0

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OCPI's DC Buys Reverse Vendor Trade Fair	04/19/18	Washington Convention Center, 801 Mt. Vernon Place, NW, 20001	2	Small Business	Office of Contracting and Procurement	0	0	0	82	0	0
Health, Wellness and Information Fair	04/19/18	Chevy Chase Community Center, 5601 Connecticut Ave., N.W., 20015	3	Senior Event	Mayor's Office on Aging & Chevy Chase Community Center	38	0	0	0	0	0
Maya Angelou Partners and Funders	04/20/18	Maya Angelou Learning Center, 5600 East Capitol Street, NE	8	Community Partnership	Maya Angelou Schools	0	0	0	76	0	0
The LEAP Academy- 2017 Cohort	04/20/18	441 4th St NW Washington, DC	2	Financial Literacy	LEAP Academy/ Bank on DC	0	40	0	0	0	0
Temple of Praise Spring 2018 Job Fair	04/21/18	Mary Virginia Merrick Center, 4275 4th Street, SE, 20032	8	Job Fair	The Temple of Praise Employment Ministry	20	0	0	0	0	0
3rd Annual Homeownership Town Hall & Housing Fair	04/21/18	Thurgood Marshall Academy Public Charter High School, 2427 Martin Luther King Junior Ave., SE, 20020	8	Housing Fair	MANNA	50	0	0	0	0	0
Caesar Chavez Father Son Breakfast	04/21/18	Parkside Campus 3701 Hayes Street, NE	7	Bank on DC Programming	Caesar Chavez School	0	28	0	0	0	0
DOES- Youth Banking Days	04/24/18	Department of Employment Services 4058 Minnesota Avenue, NE	7	Account Enrollment	MBSYEP and Bank on DC	0	9	5	0	0	0
Reimagining Opportunity: Financial Inclusion for Customers with Criminal Records	04/24/18	FHI 360 Conference Center-1825 Connecticut Ave NW, Washington, DC 20009	2	DC Financial Literacy Council	Capital Impact Partners	40	0	0	0	0	0
GWHCC B2B Connections: Women in Business	04/25/18	Pepco Edison Place Gallery, 702 8th Street, NW, 20068	1	Small Business	DC Health Link, DHCD, Capital One	20	0	0	0	0	0
DOES- Youth Banking Days	04/26/18	Department of Employment Services 4058 Minnesota Avenue, NE	7	Account Enrollment	MBSYEP and Bank on DC	0	15	0	0	0	0
Financially Fit DC New Users	--	--	--	--	--	0	0	0	0	0	35
MAY 2018											
Money Smart for Older Adults	05/01/18	Israel Metropolitan CME, 557 Randolph St NW, 20011	4	Consumer Protection	DISB, EAPC, Young at Heart Senior Ministry, POC: Sharon Smith, 202-412-5708	14	0	0	0	0	0
DOES- Youth Banking Days	05/01/18	Department of Employment Services 4058 Minnesota Avenue, NE	7	Account Enrollment	MBSYEP and Bank on DC	0	24	0	0	0	0
Powerup DC	05/01/18	The Fairmont Hotel, (Georgetown) 2401 M Street, NW, 20037		Health	GWHCC & DC Health Link	44	0	0	0	0	0
2018 Small Business and Economic Development Summit	05/02/18	Washington Convention Center, 801 Mt. Vernon Place, NW, 20001		Small Business	DC Chamber of Commerce	44	0	0	0	0	0
U.S. Department of Justice's Financial Literacy Fair for DOJ Employees	05/02/18	145 N Street, NE, 20002	2	Financial Fraud Prevention, ATM Skimming	DOJ	25	0	0	0	0	0
PYAP (DOES)- Financial Education Series	05/03/18	Community Tech LLC 1112 11th St. NW, Suite 2 Washington, DC 20001	2	Financial Education	DOES- Pathway for Young Adults Program (PYAP)	0	5	0	0	0	0
1st Annual Community Health & Resource Fair	05/04/18	John Wesley A.M.E. Zion Church, 1615 14th Street, NW, 20009	2	Senior	DCOA	11	0	0	0	0	0
Capital Guardian Youth Challenge Academy	05/07/18	3201 Oak Hill Dr. Laurel MD 20724	Maryland	Financial Education	Capital Guardian Youth Challenge Academy	0	31	0	0	0	0
PYAP (DOES)- Financial Education Series	05/08/18	United Planning Organization 2907 Martin Luther King Jr. Ave SE Washington, DC 20032	8	Financial Education	DOES- Pathway for Young Adults Program (PYAP)	0	19	0	0	0	0
MBSYEP New Host Site Orientation	05/08/18	Department of Employment Services 4058 Minnesota Avenue, NE	7	Bank on DC Programming	DOES Office of Youth Programs	0	13	0	0	0	0

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MBSYEP Suitability Fair	05/09/18	Department of Employment Services 4058 Minnesota Avenue, NE	7	Bank on DC Programming	DOES Office of Youth Programs	0	10	0	0	0	0
MBSYEP New Host Site Orientation	05/09/18	Department of Employment Services 4058 Minnesota Avenue, NE	7	Bank on DC Programming	DOES Office of Youth Programs	0	24	0	0	0	0
PYAP (DOES)- Financial Education Series	05/10/18	KBEC Group 1130 Varney Street SE Washington, DC 20032	8	Financial Education	DOES- Pathway for Young Adults Program (PYAP)	0	6	0	0	0	0
Money Smart for Older Adults- Power of Attorney	05/10/18	Samuel Kelsey, 3322 14th St., NW, 20010	1	Consumer Protection	DISB, EAPC, Samuel Kelsey Senior Bldg.	17	0	0	0	0	0
Achieving Financial Security: A Community Forum Retirement and Re-Creation	05/12/18	Metropolitan African Methodist Episcopal Church, 1518 M Street, NW, 20005	2	Retirement	National Capital Chapter of the Society of Financial Service Professionals	15	0	0	0	0	0
Parent & Civic Engagement Summit (Marshall Heights Day)	05/12/18	JC Nalle School - 219 50th Street SE	7	Financial Education	The National Center for Children and Families/ Marshall Heights Day	0	10	0	0	0	0
PYAP (DOES)- Financial Education Series	05/14/18	Dramatic Solutions, Inc. 1112 11th Street NW, Suite 2 Washington, DC 20001	2	Financial Education	DOES- Pathway for Young Adults Program (PYAP)	0	9	0	0	0	0
CityCenter FRESHFARM Market	05/15/18	1098 New York Avenue, NW (between 10th & 11th Street, NW, DC 20001	2			14	0	0	0	0	0
Money Smart for Older Adults- Power of Attorney	05/15/18	Johnson Towers 1325 Upshur St., NW, 20011	4	Consumer Protection	DISB, EAPC, Johnson Towers	7	0	0	0	0	0
McKinley Tech Employability Group- Banking Day	05/15/18	151 T St NE, Washington, DC 20002	5	Account Enrollment	McKinley Tech HS	0	18	0	0	0	0
MBSYEP Orientation	05/15/18	Department of Employment Services 4058 Minnesota Avenue, NE	7		MBSYEP	0	24	0	0	0	0
Prepare Your Family for Any Natural Disaster Panel Discussion	05/15/18	DCRA, 1100 4th Street, SW, WDC 20002	6	Natural Disaster Planning for your small business	DCRA	209	0	0	0	0	0
MBSYEP Orientation	05/16/18	Department of Employment Services 4058 Minnesota Avenue, NE	7		MBSYEP	0	19	0	0	0	0
Project Empowerment	05/17/18	Department of Employment Services 4058 Minnesota Avenue, NE	7		DOES	0	131	5	0	0	0
Jack & Jill of America- DC Chapter	05/19/18	Plasadies Library- 4901 V St NW, Washington, DC 20007	3	Financial Education	Jack & Jill of America- DC Chapter	0	12	0	0	0	0
MBSYEP Orientation	05/19/18	Department of Employment Services 4058 Minnesota Avenue, NE	7		MBSYEP	0	39	0	0	0	0
PYAP (DOES)- Financial Education Series	05/21/18	Education Services of Greater Washington 2000 Alabama Ave. SE Washington, DC 20020	8	Financial Education	DOES- Pathway for Young Adults Program (PYAP)	0	10	0	0	0	0
Money Smart for Older Adults- Power of Attorney	05/24/18	Berniece Fonteneau Senior Wellness Center 3531 Georgia Ave NW, Washington, DC 20010	1	Consumer Protection	DISB, EAPC, DCOA	22	0	0	0	0	0
Capitol Hill Towers - Community Health & Resource Fair	05/31/18	Capitol Hill Towers, 900 G Street, NE, 20002	6	Senior	DCOA	36	0	0	0	0	0
JUNE 2018											
Undue Influence and the Risk of Exploitation	05/08/18	The Hatchery in the AARP Building, Terrell Place South, 575 7th Street, NW, DC 20004	2	Senior (Exploitation)	DC Office on Aging, Elder Abuse Prevention Committee	15	0	0	0	0	0
Benning Ridge Civic Association's First Annual Health & Resource Fair	06/06/18	Ridge Road Community Center, 830 Ridge Road, SE	7	DISB Resources, Programs and Services	Benning Ridge Civic Association	40	0	0	0	0	0
2018 Small Business Fair	06/07/18	Washington Convention Center, 801 Mount Vernon Place, NW, 20001	2	Small Business	Congresswoman Eleanor Holmes Norton	27	0	0	0	0	0

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Project Empowerment	06/07/18	Department of Employment Services 4058 Minnesota Avenue, NE	7	Financial Education		0	100	8	0	0	0
DHCD's Housing Expo	06/09/18	Washington Convention Center, 801 Mt. Vernon Place, NW, 20001	2	Housing	DHCD	380	0	0	0	0	0
DHCD Housing Expo- Financially Fit DC Workshops	06/09/18	Walter E. Washington Convention Center 801 Mt Vernon Place NW Washington, DC 20001	2	Community Outreach Event	DHCD	0	0	0	0	100	0
DHCD Housing Expo- Youth Zone	06/09/18	Walter E. Washington Convention Center 801 Mt Vernon Place NW Washington, DC 20001	2	Community Outreach Event	DHCD	0	853	0	0	0	0
Capital Pride Festival 2018	06/10/18	Pennsylvania Ave., NW, between 3rd and 7th Sts., NW, 20002	2	DISB Resources, Programs and Services	Capital Pride Alliance	235	0	0	0	0	0
MOLA: Ward 4 Food Distribution	06/13/18	Church of Christ 4801 16th. NW Washington, DC 20011	4	Community Outreach Event	MOLA	0	124	0	0	0	0
Banking Roundtable	06/14/18	DISB 1050 First Street NE Washington, DC 20002	6	Bank on DC Programming	DISB- Bank on DC Federal Deposit Insurance Corporation (FDIC)	0	18	0	0	0	0
Homebuyers Club	06/14/18	DISB 1050 First Street NE Washington, DC 20002	6	Financial Education	OAAA DHCD University Legal Services DISB- Bank on DC	0	0	0	0	25	0
Do Your B.E.S.T Summer Youth Employment Program Participant and Parent Orientation	06/16/18	DC Housing Authority 1133 North Capitol St NE Washington, DC 20002	6	Financial Education	DC Housing Authority	0	75	27	0	0	0
North Michigan Park Civic Association Annual Family Day	06/16/18	North Michigan Park Recreation Center, 1333 Emerson Street, NE	5	DISB Resources, Programs and Services	North Michigan Park Civic Association	30	0	0	0	0	0
Empowering Veterans to Find Their Purpose	06/13/18	GWU Marvin Center, 801 21st Street, NW, 20052	2	DISB Resources, Programs and Services	Mayor's Office of Veteran Affairs, Office of Military and Veteran Student Services, American Veterans, Veterans Mental Health Advisory Council	15	0	0	0	0	0
Money Smart for Older Adults- Power of Attorney	06/18/18	Model Cities Senior Wellness Center, 1901 Everts Street N.E	5	Consumer Protection	DISB, EAPC, DCOA	30	0	0	0	0	0
Senior Symposium at Dunbar High School	06/20/18	Dunbar High School, 101 N Street, NW	5	Consumer Protection	Office of Aging	87	0	0	0	0	0
White House FRESHFARM Market	06/21/18	810 Vermont Ave, (between H & I Street, NW), DC 20420	2	DISB Resources, Programs and Services	DISB	3	0	0	0	0	0
Money Smart for Older Adults- Power of Attorney	06/21/18	Capitol Hill Towers 900 G St., NE	6	Consumer Protection	DISB, EAPC, DCOA	7	0	0	0	0	0
18th Annual Ward 4 Family Fun Day	06/23/18	Kingsbury Day School, 5000 14th Street, NW, 20011	4	DISB Resources, Programs and Services	Councilmember Brandon Todd's Office	29	0	0	0	0	0
Department of Motor Vehicles	06/25/18	95 M Street SW Washington, DC 20024	6	Financial Education	MBSYEP/ Bank on DC	0	15	0	0	0	0
Chaplin Hope Tenant Association Inc.	06/25/18	4212 East Capitol Street NE Washington, DC 20019	7	Financial Education	MBSYEP/ Bank on DC	0	10	0	0	0	0
Zoowaddee	06/26/18	11215 Georgia Avenue, Silver Spring, MD	Maryland	Financial Education	MBSYEP/ Bank on DC	0	5	0	0	0	0
ABC's of DISB's Access to Capital Programs	06/26/18	DSLBD, 441 4th Street, NW, DC 20001	6	DC BizCAP, Business Insurance	DISB	5	0	0	0	0	0
Cora Clark	06/26/18	1220 Southern Ave. SE Washington, DC 20032	8	Financial Education	MBSYEP/ Bank on DC	0	31	0	0	0	0
2nd Annual UDC Institute of Gerontology, Nutrition & Body Wise Program Community Health, Wellness & Informational Fair	06/27/18	UDC New Student, 4200 Connecticut Avenue, NW, 20008	3	Senior	UDC	32	0	0	0	0	0
Seasoned Settlers	06/27/18	3331 22nd St SE Suite A Washington, DC 20032	8	Financial Education	MBSYEP/ Bank on DC	0	3	0	0	0	0
Community Tech LLC	06/27/18	1816 12th Street, NW, Washington, DC 20009	2	Financial Education	MBSYEP/ Bank on DC	0	37	0	0	0	0

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Department of Health Healing Futures Fellowship	06/27/18	6 Floor, 899 North Capitol Street NE Washington, D.C. 20002	6	Financial Education	MBSYEP/ Bank on DC	0	26	0	0	0	0
Mayor's Annual Senior Fest	06/28/18	Oxon Hill Park, 900 Wheeler Road & Valley Avenue, SE		Senior	Mayor Muriel Bowser and DPW	175	0	0	0	0	0
Child Center	06/28/18	202 Riggs Road, NE Washington, DC 20011	4	Financial Education	MBSYEP/ Bank on DC	0	14	0	0	0	0
Boys and Girls Clubs of Greater Washington	06/28/18	4103 Benning Rd NE Washington, DC 20019	7	Financial Education	MBSYEP/ Bank on DC	0	24	0	0	0	0
Homebuyers Club	06/28/18	DISB 1050 First Street NE Washington, DC 20002	6	Financial Education	OAAA DHCD University Legal Services DISB- Bank on DC	0	0	0	0	13	0
OSSE's 2018 Adult College Completion Fair	06/30/18	2710 Martin Luther King Jr. Avenue, SE		Student Loans	OSSE	0	0	0	15	0	0
JULY 2018											
Words Beats & Life	07/02/18	1525 Newton St NW Washington, DC 20010	1	Financial Education	MBSYEP/ Bank on DC	0	7	0	0	0	0
GZEP- Ballou Stay	07/02/18	3401 4th Street SE Washington, DC 20032	8	Financial Education	MBSYEP/ Bank on DC	0	25	0	0	0	0
Sewing Opportunity Never Ending	07/02/18	5171 South Dakota Ave NE Washington, DC 20017	5	Financial Education	MBSYEP/ Bank on DC	0	28	0	0	0	0
DC Parks and Recreation IMAGE Campy at Emery	07/03/18	Emery Heights Community Center 5701 Georgia Ave. NW Washington, DC 20011	4	Financial Education	MBSYEP/ Bank on DC	0	27	0	0	0	0
DC Parks and Recreation IMAGE Campy at Emery	07/03/18	Emery Heights Community Center 5701 Georgia Ave. NW Washington, DC 20011	4	Financial Education	MBSYEP/ Bank on DC	0	12	0	0	0	0
City Kids Wilderness Project	07/03/18	2437 15th Street NW Washington, DC 20009	1	Financial Education	MBSYEP/ Bank on DC	0	12	0	0	0	0
DC Credit Union	07/03/18	2000 14th Street NW Washington, DC 20009	1	Financial Education	MBSYEP/ Bank on DC	0	3	0	0	0	0
Uniting Our Youth	07/05/18	701 24th Street NE Washington, DC 20002	5	Financial Education	MBSYEP/ Bank on DC	0	15	0	0	0	0
Office of the Chief Technology Officer (OCTO)	07/05/18	2001 Street SE Washington, DC 20003	6	Financial Education	MBSYEP/ Bank on DC	0	10	0	0	0	0
Neighborhood Associates Corporation	07/05/18	4605 Bass Place SE Washington, DC 20019	7	Financial Education	MBSYEP/ Bank on DC	0	10	0	0	0	0
Howard University Hospital	07/05/18	2041 Georgia Avenue, NW Washington, DC 20060	1	Financial Education	MBSYEP/ Bank on DC	0	31	0	0	0	0
Guardian Angels Child Development & Learning Center	07/06/18	1814 Central Place NE Washington, DC 20002	5	Financial Education	MBSYEP/ Bank on DC	0	10	0	0	0	0
Office of the Chief Technology Officer (OCTO)	07/06/18	655 15th Street NW Washington, DC	6	Financial Education	MBSYEP/ Bank on DC	0	12	0	0	0	0
Chinatown Community Fair	07/07/18	Chinatown Park, intersection 5th & I Street, NW, DC 20001	2	DISB Resources, Programs and Services	Mayor's Office on Asian and Pacific Islander	10	0	0	0	0	0
We Act Radio Station	07/09/18	1918 Martin Luther King, Jr. Ave. SE Washington, DC	8	Financial Education	MBSYEP/ Bank on DC	0	4	0	0	0	0
Coalition for Nonprofit Housing and Economic Development	07/09/18	727 15th Street NW Washington, DC	2	Financial Education	MBSYEP/ Bank on DC	0	1	0	0	0	0
Camp Smyrna/ New Synra Baptist Church	07/09/18	4417 Douglas St. NE Washington, DC 20019	6	Financial Education	MBSYEP/ Bank on DC	0	5	0	0	0	0
DC Parks and Recreation: Deanwood- Radio Broadcasting	07/09/18	1350 49th Street NE Washington, DC	7	Financial Education	MBSYEP/ Bank on DC	0	29	0	0	0	0
DC Parks and Recreation: Deanwood- SYEP	07/09/18	1350 49th Street NE Washington, DC	7	Financial Education	MBSYEP/ Bank on DC	0	14	0	0	0	0
DC MPD Junior Police Academy	07/09/18	4800 Meade Street NE Washington, DC	7	Financial Education	MBSYEP/ Bank on DC	0	24	0	0	0	0
GZEP- LaSalle-Backus Education Campus	07/09/18	501 Riggs Road NE Washington, DC 20011	4	Financial Education	MBSYEP/ Bank on DC	0	20	0	0	0	0
Bread for the City	07/09/18	1525 7th Street NW Washington, DC 20001	6	Financial Education	MBSYEP/ Bank on DC	0	2	0	0	0	0
Healthy Babies Project	07/10/18	4501 Grant Street NE Washington, DC	7	Financial Education	MBSYEP/ Bank on DC	0	19	0	0	0	0
DC Parks and Recreation IMAGE Camp- Harry Thomas	07/10/18	1743 Lincoln Road NE Washington, DC	5	Financial Education	MBSYEP/ Bank on DC	0	12	0	0	0	0

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DC Parks and Recreation IMAGE Camp- Harry Thomas Greenleaf Recreation Center	07/10/18	1743 Lincoln Road NE Washington, DC	5	Financial Education	MBSYEP/ Bank on DC	0	10	0	0	0	0
Common Good City	07/10/18	201 N Street SW Washington, DC	6	Financial Education	MBSYEP/ Bank on DC	0	5	0	0	0	0
Rosedale Recreation Center- Art Camp	07/10/18	300 V Street NW Washington, DC	1	Financial Education	MBSYEP/ Bank on DC	0	1	0	0	0	0
UDC Upward Bound Program	07/11/18	1701 Gales Street NE Washington, DC	6	Financial Education	MBSYEP/ Bank on DC	0	20	0	0	0	0
DC Fire and Emergency Services - Human Resources	07/11/18	University of the District of Columbia 4200 Connecticut Ave. NW Building 38, Rm 121 Washington, DC	3	Financial Education	MBSYEP/ Bank on DC	0	26	0	0	0	0
SE Tennis Center/ Recreation SYEP	07/11/18	2000 14th Street NW, Suite 500 Washington, DC	1	Financial Education	MBSYEP/ Bank on DC	0	5	0	0	0	0
Riggs LaSalle Recreation Center	07/11/18	701 Mississippi Ave. SE Washington, DC	7	Financial Education	MBSYEP/ Bank on DC	0	13	0	0	0	0
DC PTAC 2018 Small Business Summit	07/11/18	501 Riggs Road NE Washington, DC	4	Financial Education	MBSYEP/ Bank on DC	0	20	0	0	0	0
USDA Office of Partnerships and Public Engagement	07/11/18	Gallaudet University, Kellogg Conference Hotel, 800 Florida Avenue, NE 1400 Independence Ave SW Washington DC 20250	6	DC BizCAP		25	0	0	0	0	0
Park View Recreation Center	07/12/18	07/12/18	2	Financial Education	MBSYEP/ Bank on DC	0	12	0	0	0	0
Amy Jacques Garvey Institute, Inc.	07/12/18	693 Otis Pl NW Washington, DC	1	Financial Education	MBSYEP/ Bank on DC	0	14	0	0	0	0
Healthy Babies Project	07/12/18	1002 46th Street, NE Washington, DC 20019	7	Financial Education	MBSYEP/ Bank on DC	0	30	0	0	0	0
Fort Stevens Recreation Center	07/12/18	4501 Grant Street NE Washington, DC	7	Financial Education	MBSYEP/ Bank on DC	0	14	0	0	0	0
FOUR	07/12/18	1327 Van Buren Street NW Washington, DC 20012	4	Financial Education	MBSYEP/ Bank on DC	0	0	0	0	0	0
EnventU	07/12/18	2235 Reynolds Place SE Washington, DC 20020	8	Financial Education	MBSYEP/ Bank on DC	0	21	0	0	0	0
Penn Quarter FRESHFARM Market	07/12/18	2375 Elvans Road S.E. Washington, DC 20020	8	Financial Education	MBSYEP/ Bank on DC	0	10	0	0	0	0
Homebuyers Club	07/12/18	801 F Street, NW, DC 20004	2	DISB Resources, Programs and Services		6	0	0	0	0	0
The WAAE	07/16/18	DISB 1050 First Street NE Washington, DC 20002	6	Financial Education	OAAA DHCD University Legal Services DISB- Bank on DC	0	0	0	0	14	0
Siblings Together USA / Civil Rights Cafe	07/16/18	Anacostia Art Center 1231 Good Hope Rd. SE Wash., DC 20020	8	Financial Education	MBSYEP/ Bank on DC	0	9	0	0	0	0
Ridge Road / Recreation SYEPs	07/16/18	4301 13th St, NW, Washington DC 20011	4	Financial Education	MBSYEP/ Bank on DC	0	57	0	0	0	0
Fort Davis /Image Camp / Recreation SYEPs	07/17/18	830 Ridge Rd. SE Washington, DC	7	Financial Education	MBSYEP/ Bank on DC	0	16	0	0	0	0
Amy Jacques Garvey Institute, Inc.	07/17/18	1400 41st Street, SE Washington, DC	7	Financial Education	MBSYEP/ Bank on DC	0	17	0	0	0	0
DC Public Library	07/17/18	1002 46th Street, NE Washington, DC 20019	7	Financial Education	MBSYEP/ Bank on DC	0	15	0	0	0	0
Calvin Woodland Sr. Foundation (CWSF)	07/17/18	West- End Library- Foggy Bottom 2301 L St NW Washington, DC 20037	2	Financial Education	MBSYEP/ Bank on DC	0	23	0	0	0	0
George Worrell Style, LLC	07/17/18	Allen Chapel AME Church 2498 Alabama SE Washington, DC 20020	8	Financial Education	MBSYEP/ Bank on DC	0	60	0	0	0	0
DISB Coffee and Capital	07/17/18	The Greater Washington Urban League 2901 14th Street NW Washington DC 20009 the Pepco Room.	1	Financial Education	MBSYEP/ Bank on DC	0	10	0	0	0	0
Barry Farms Recreation Center/ Dance Camp/Recreation SYEP	07/18/18	575 7th Street, NW, 20004	2	DC BizCAP		17	0	0	0	0	0
Housing on Merit	07/18/18	1230 Sumner Rd SE Washington, DC 20020	8	Financial Education	MBSYEP/ Bank on DC	0	7	0	0	0	0
	07/18/18	15 42nd Street NE Washington, DC 20019	7	Financial Education	MBSYEP/ Bank on DC	0	5	0	0	0	0

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Benning Stoddert Recreation Center	07/18/18	100 Stoddert Pl. SE Washington, DC 20019	7	Financial Education	MBSYEP/ Bank on DC	0	7	0	0	0	0
Congress Heights Recreation Center	07/18/18	611 Alabama Ave. SE Washington, DC 20020	8	Financial Education	MBSYEP/ Bank on DC	0	6	0	0	0	0
DISB 2018 Summer Interns	07/18/18	1050 First Street NE Washington, DC 20002	6	Financial Education	MBSYEP/ Bank on DC	0	3	0	0	0	0
Barry Farms Recreation Center/ Dance Camp/Recreation SYEP	07/18/18	1230 Sumner Rd SE, Washington, DC 20020	8	Financial Education	MBSYEP/ Bank on DC	0	10	0	0	0	0
Foggy Bottom FRESHFARM Market	07/18/18	901 23rd Street, NW, 20052	2	DISB Resources, Programs and Services		34	0	0	0	0	0
Sherwood Recreation Center	07/19/18	640 10th Street NE	5	Financial Education	MBSYEP/ Bank on DC	0	11	0	0	0	0
The MusicianShip	07/19/18	Woodrow Wilson HS 3950 Chesapeake Street NW Washington, DC 20016	3	Financial Education	MBSYEP/ Bank on DC	0	61	0	0	0	0
3rd Annual Great Streets Conference	07/19/18	Ronald Regan Building	2	DC BizCAP	DMPED	30	0	0	0	0	0
Project Empowerment	07/19/18	Department of Employment Services 4058 Minnesota Avenue, NE	7	Financial Education	DOES	0	0	0	0	0	0
Department of Consumer and Regulatory Affairs	07/20/18	1100 4th Street NW	2	Financial Education	MBSYEP/ Bank on DC	0	22	0	0	0	0
Takoma Community Center	07/20/18	300 Van Buren St. NW	4	Financial Education	MBSYEP/ Bank on DC	0	11	0	0	0	0
The MusicianShip	07/23/18	Woodrow Wilson HS 3950 Chesapeake Street NW Washington, DC 20016	3	Financial Education	MBSYEP/ Bank on DC	0	33	0	0	0	0
Young Ladies of Tomorrow	07/23/18	206 Bryant St. NE	5	Financial Education	MBSYEP/ Bank on DC	0	2	0	0	0	0
DHCD	07/23/18	1800 Martin Luther King, Jr. Ave. SE	8	Financial Education	MBSYEP/ Bank on DC	0	6	0	0	0	0
Turkey Thicket	07/23/18	1100 Michigan Ave NE	5	Financial Education	MBSYEP/ Bank on DC	0	8	0	0	0	0
GZEP- Phelps Architecture Construction, and Engineering High School	07/23/18	704 26th St NE Washington, DC 20002	6	Financial Education	MBSYEP/ Bank on DC	0	24	0	0	0	0
Joe Cole	07/23/18	1299 Neal St. NE	5	Financial Education	MBSYEP/ Bank on DC	0	5	0	0	0	0
Chevy Chase Community Center / Recreation SYEP	07/24/18	5601 Connecticut Ave. NW	4	Financial Education	MBSYEP/ Bank on DC	0	9	0	0	0	0
DC Parks and Recreation IMAGE Camp - Hillcrest	07/24/18	3100 Denver Street, SE DC	8	Financial Education	MBSYEP/ Bank on DC	0	16	0	0	0	0
Raymond Rec Center	07/24/18	3725 10th St, NW	1	Financial Education	MBSYEP/ Bank on DC	0	6	0	0	0	0
The National Center for Children and Families	07/24/18	JC Nalle - 219 50th Street, SE Washington, DC 20001	2	Financial Education	MBSYEP/ Bank on DC	0	3	0	0	0	0
Bald Eagle Rec. Center	07/24/18	100 Joliet St. SW	8	Financial Education	MBSYEP/ Bank on DC	0	10	0	0	0	0
Public Bank Meeting	07/25/18	Rise Center	8	Access to Capital	DISB	25	0	0	0	0	0
Department of Behavioral Health	07/26/18	64 New York Ave., N E Suite 300 Washington DC 20002	5	Financial Education	MBSYEP/ Bank on DC	0	8	0	0	0	0
Arboretum Recreation Center	07/26/18	2412 Rand Place, NE	5	Financial Education	MBSYEP/ Bank on DC	0	3	0	0	0	0
Department of Employment Services -DC Talent Leaders	07/26/18	4058 Minnesota Avenue, NE	7	Financial Education	MBSYEP/ Bank on DC	0	18	0	0	0	0
Marie Reed	07/26/18	2200 Champlain St, NW	1	Financial Education	MBSYEP/ Bank on DC	0	10	0	0	0	0
Kennedy Rec Center	07/26/18	1401 7th St., NW	2	Financial Education	MBSYEP/ Bank on DC	0	7	0	0	0	0
Homebuyers Club	07/26/18	DISB 1050 First Street NE Washington, DC 20002	6	Financial Education	OAAA DHCD University Legal Services DISB- Bank on DC	0	0	0	0	0	0
Build It In DC	07/26/18	Washington Convention Center	2	Business Economic Development	WDCEP and DCRA	92	0	0	0	0	0
North Michigan Park Rec Center	07/27/18	1333 Emerson St., NE	5	Financial Education	MBSYEP/ Bank on DC	0	11	0	0	0	0
NoMa FRESHFARM Market	07/29/18	1150 1st Street, NE (In the park at the corner of 1st Street NE and Pierce Street), DC 20002	6			12	0	0	0	0	0
Lamond Rec. Center	07/30/18	20 Tuckerman St., NE	4	Financial Education	MBSYEP/ Bank on DC	0	7	0	0	0	0
Greater First Baptist Church	07/30/18	1418 Girard Street, NE	5	Financial Education	MBSYEP/ Bank on DC	0	7	0	0	0	0
Ft. Stanton Rec Center	07/30/18	1812 Erie St., SE	8	Financial Education	MBSYEP/ Bank on DC	0	9	0	0	0	0
United Medical Center	07/30/18	1310 Southern Ave, SE, Hospital Basement, suite G018	8	Financial Education	MBSYEP/ Bank on DC	0	4	0	0	0	0

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF BANK ON DC ACCOUNTS OPENED	# OF ATTENDEES (Student Loan Ombudsman)	# OF ATTENDEES (FinFitDC)	FinFitDC (SIGN UPS)
City Blossoms	07/31/18	516 Kennedy St NW	4	Financial Education	MBSYEP/ Bank on DC	0	10	0	0	0	0
O.T.A. (Obligated to Achieve)	07/31/18	3401 4th Street, SE, Washington, DC 20032	8	Financial Education	MBSYEP/ Bank on DC	0	10	0	0	0	0
Financially Fit DC New Users	--	--	--	--	MBSYEP/ Bank on DC	0	0	0	0	0	27
AUGUST 2018											
Congresswoman Eleanor Holmes Norton 2018 Job Fair	08/01/18	Walter E. Washington Convention Center	2	Job Fair	Congresswoman Norton's Office	40	0	0	0	0	0
Money Smart for Older Adults- Power of Attorney	08/01/18	Washington Wellness Center, 3001 Alabama Avenue, SE	7	Consumer Protection	DISB, EAPC	18	0	0	0	0	0
US Department of Homeland Security/OCIO	08/01/18	301 7th Street SW, Washington, DC 20024	6	Financial Education	MBSYEP/ Bank on DC	0	10	0	0	0	0
Mt. Vernon Triangle FRESHFARM Market	08/04/18	499 I Street, NW (On I Street, NW between 4th & 5th Sts., adjacent to Milian Park), DC 20001	2	DISB Resources, Programs and Services		11	0	0	0	0	0
National Night Out	08/07/18	1. 2D Georgetown University, 2. 4D Emery Recreation Center, 3. 7D Oxon Run Park (Kick-off)	2, 4, 8	DISB Resources, Programs and Services	MPD	1. 17 2. 23	0	0	0	0	0
Money Smart for Older Adults	08/07/18	Bart Towers-1325 Upshur St., NW	4	Consumer P[rotection	DISB, EAPC	6	0	0	0	0	0
Beat the Streets	08/08/18	Bellevue Library,115 Atlantic Street, SW	8	DISB Resources, Programs and Services	MPD	2	0	0	0	0	0
MOLA Food Distribution Resource Fair	08/08/18	Church of Christ 4801 16th, NW Washington, DC 20011	4	Bank on DC Programming	MOLA	0	115	0	0	0	0
Homebuyers Club	08/09/18	DISB 1050 First Street NE Washington, DC 20002	6	Financial Education	OAAA DHCD University Legal Services DISB- Bank on DC	0	0	0	0	13	0
Laces To Bows Inc	08/13/18	516 8th Street Southeast Washington DC 20003	6	Financial Education	MBSYEP/ Bank on DC	0	15	0	0	0	0
Money Smart for Older Adults- Renters Insurance	08/13/18	Capitol Hill Towers, 900 G St NE,	6	Consumer Protection	DISB	4	0	0	0	0	0
Public Hearing on 2019 Proposed Health Insurance Rates	08/14/18	One Judiciary Square	2	Insurance	DISB	34	0	0	0	0	0
Money Smart for Older Adults- Renters Insurance	08/16/18	Samuel Kelsey Senior Apartments, 3322 14th St., NW 20010	1	Consumer Protection	DISB	11	0	0	0	0	0
Credit Union Round Table	08/16/18	1050 First ST NE Washington DC 20002 Eleanor Homes I	6	Conference	DISB/ Bank on DC	0	5	0	0	0	0
MBSYEP Young Adults Hiring Fair	08/17/18	1101 6th Street, SW Washington, DC 20024	6	Community Outreach Event	MBSYEP	0	50	0	0	0	0
Constituent Services Worldwide Public Benefit Corporation (CSW PBC)	08/17/18	605 Rhode Island Ave NE, Washington, DC 20002	5	Financial Education	MBSYEP/ Bank on DC	0	10	0	0	0	0
Urban League- 6th Annual Health and Wellness Back 2 School Festival	08/18/18	Columbia Heights Recreation Center-1480 Girard St NW, Washington, DC 20009	1	Financial Education	Urban League	0	39	0	0	39	0
DC EITC Listening Session	08/22/18	1050 First ST NE Washington DC 20002 Eleanor Homes I	6	Conference	United Way	0	14	0	0	0	0
DISB Coffee & Capital: After Hours	08/23/18	IN3, 2301-D Georgia Avenue, NW, DC 20001	1	Small Biz	DISB	7	0	0	0	0	0
Homebuyers Club	08/23/18	Wunder Garten	6	Financial Education	OAAA DHCD University Legal Services DISB- Bank on DC	0	0	0	0	13	0
Constituent Services Worldwide Public Benefit Corporation (CSW PBC)	08/24/18	605 Rhode Island Ave NE, Washington, DC 20002	5	Financial Education	MBSYEP/ Bank on DC	0	0	0	0	0	0
Learn About Financial Resources from DISB Workshop	08/28/18	DCRA 1100 4th Street, SW	6	Small Biz	DISB/DCRA	3	0	0	0	0	0
Youth Creating Change	08/29/18	MPD Youth Service Headquarters- 5002 Hayes Street, NE	7	Financial Education	MPD	0	24	1	0	0	0
Financially Fit DC New Users event	--	--	--	--	--	0	0	0	0	0	17
SEPTEMBER 2018											

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF BANK ON DC ACCOUNTS OPENED	# OF ATTENDEES (Student Loan Ombudsman)	# OF ATTENDEES (FinFitDC)	FinFitDC (SIGN UPS)
Money Smart for Older Adults	09/05/18	East Rock Creek Senior Village, Shepard Park Library, 7401 Georgia Avenue, NW	4	Consumer Protection	East River Senior Village, EAPC, DISB	13	0	0	0	0	0
Money Smart for Older Adults	09/06/18	Palisade Senior Village	3	Consumer Protection	DISB	3	0	0	0	0	0
DISB Coffee & Capital: After Hours	09/07/18	Marshall Heights Community Development Organization, 3939 Benning Road, NE, WDC 20019	7	DC BizCAP	DISB, MHCDO	8	0	0	0	0	0
Ward 7 Community Day	09/08/18	Riverside Center, 5200 Foote Street, NE	7			33	0	0	0	0	0
Money Smart for Older Adults	09/11/18	Congress Heights Senior Wellness Center, 3500 Martin Luther King, Jr. Avenue, SE Washington, DC 20032	8	Consumer Protection	DISB, EAPC	6	0	0	0	0	0
Money Smart for Older Adults	09/14/18	UPO Foster Grandparent Program, Mathews Memorial Baptist Church	8	Consumer Protection	DISB, EAPC, UPO Foster Grandparent program	0	0	0	0	0	0
Glover Park Day 2018	09/15/18	Guy Mason Recreation Center, 3600 Calvert Street, NW, DC, 20007	3		Glover Park Citizens Association	47	0	0	0	0	0
DC Commission on the Arts and Humanities	09/17/18	200 I Street Southeast	6	Financial Education	DC Commission on the Arts and Humanities	0	15	0	0	323	0
Money Smart for Older Adults- Power of Attorney	09/18/18	Emery Heights AARP Chapter, Peoples Congregational Church, 4704 13th St NW	4	Consumer Protection	DISB, EAPC, AARP Emery Heights Chapter	24	0	0	0	0	0
DISB Financial Services Clinic for District Veterans	09/18/18	MOVA, 441 4th Street, NW, Washington, DC 20001	1	DISB Programs and Resources	DISB, MOVA, DSLBD	19	0	0	0	0	0
Money Smart	09/18/18	Marshall Heights CDO, 3939 Benning Rd., N.E.	7	Consumer Protection	DISB, Marshall Heights CDO, EAPC	0	0	0	0	0	0
Natural Disaster Preparedness Month Presentation	09/18/18	DCRA, 1100 4th Street, SW, WDC 20002	6	Small Biz	DCRA	0	0	0	0	0	0
Hattie Holmes Senior Wellness Center Community Health Fair	09/19/18	Hattie Holmes Senior Wellness Center, 324 Kennedy Street, NW	4	Consumer Protection (Senior)	Hattie Holmes Senior Wellness Center	27	0	0	0	0	0
Entree DC	09/19/18	Washington Convention Center, 801 Mt. Vernon Place, NW, DC 20001	6	Small Business	DCRA, WDCEP	90	0	0	0	0	0
Vida Senior Centers' Fifth Annual Senior Health Fair*	09/21/18	Vida Senior Center- Brightwood, 1330 Missouri Avenue NW, 20011	4	Consumer Protection	Vida Senior Centers,	8	0	0	0	0	0
Hillcrest Community Day	09/22/18	Hillcrest Recreation Center, 3100 Denver Street, SE, DC 20020	7	Community Event		0	0	0	0	0	0
We Strive Together! Financial Planning & Professional Development Summit & Cookout	09/22/18	New Bethel Baptist Church, 1739 9th Street NW, Washington, D.C, 20001	2	Community Event	LightPoint & New Bethel Baptist Church	11	5	0	0	0	0
DC State Fair	09/23/18	Waterfront Station in Southwest DC (375 and 425 M Street, SW), DC 20024	6	DISB Services, Programs and Resources	The DC State Fair Vendor Committee	54	0	0	0	0	0
DISB Financial Services Clinic	09/24/18	Model Cities Senior Wellness Center,	5	Consumer Protection	DISB, Model Cities Senior Wellness Center	27	0	0	0	0	0
Money Smart for Older Adults	09/25/18	Capitol Hill Senior Village, 905 G St., NE, DC 20002	6	Consumer Protection	Capitol Hill Village, DISB, EAPC	0	0	0	0	0	0
Money Smart for Older Adults	09/26/18	Glover Park Senior Village, Guy Mason Recreation Center, 3600 Calvert Street, NW, Washington, DC 20007	3	Consumer Protection	DISB, EAPC,	10	0	0	0	0	0
Money Smart for Older Adults- Renters Insurance	09/27/18	Lincoln Westmoreland Apartments Channing E. Phillips Homes 1730 7 Street, NW	6	Consumer Protection	DISB, Lincoln Westmoreland Apartments/Channing E. Phillips Homes, EAPC,	10	0	0	0	0	0
Barracks Row Fall Festival	09/29/18	(Cross section of 8th Street, SE and G Street, SE), DC 20003	6	DISB Services, Programs and Resources	Barracks Row Main Street	0	0	0	0	0	0

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF BANK ON DC ACCOUNTS OPENED	# OF ATTENDEES (Student Loan Ombudsman)	# OF ATTENDEES (FinFitDC)	FinFitDC (SIGN UPS)
Parent and Family Engagement Summit	09/29/18	Washington Convention Center, 801 Mt. Vernon Place, WDC 20001	1	Student Loans	OSSE	0	0	0		0	0
11th Annual Tenant and Tenant Association Summit	09/29/18	Gallaudet University, 800 Florida Ave NE (Kellogg Center), DC 20002	6	DISB Services, Programs and Resources	Office of Tenant Advocate	42	0	0	0	0	0
Fiesta DC 2018*	09/30/18	Pennsylvania Avenue, NW (between 3rd & 7th Streets, NW)	2	DISB Services, Programs and Resources		225	0	0	0	115	0
Dupont Circle FRESHFARM Market	09/30/18	1500 20th Street, NW, DC 20036	2	DISB Services, Programs and Resources		3	0	0	0	0	0
Financially Fit DC New Users	--	--	--	--	--	0	0	0		0	13

FY19

EVENT TITLE	DATE	LOCATION	WARD	TYPE OF EVENT	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF ACCOUNTS OPEN (Bank on DC)	# OF ATTENDEES (Student Loan Ombudsman)	# OF ATTENDEES (FinFitDC)	FINANCIALLY FIT DC (SIGNED UP)
OCTOBER 2018											
Professional Development: Writing for the Business World	10/02/18	1015 Half St SE, Washington, DC 20003	6	Financial Education	DCHR	0	8	0	0	0	0
Penn Quarter FRESHFARM Market	10/04/18	801 F Street, NW, DC 20004	2	DISB Resources, Programs and Services		4	0	0	0	0	0
So Others Might Eat- Health & Financial Wellness Fair	10/08/18	Conway Center- 4430 Benning Road NE	7	Community Outreach Event	SOME	0	0	0	0	19	0
Money Smart for Older Adults	10/12/18	UPO Foster Grandparent Program, Mathews Memorial Baptist Church, 2616 Martin Luther King Jr Ave SE	A8W	Consumer Protection	DISB, EAPC, UPO	150	0	0	0	0	0
Capital Guardian Youth Challenge Academy- Financial Education Session	10/12/18	Oak Hill Campus- 3201 Oak Hill Dr. Laurel MD 20724	Other	Financial Education	CGYCA	0	43	43	0	0	0
H Street Festival 2018	10/13/18	H Street (between 4th & 14th Street, NE, DC 20005	6	DISB Resources, Programs and Services		1000	0	0	0	0	0
Disaster Insurance and Preparedness Seminar	10/15/18	HSEMA, 2720 Martin Luther King Jr. Avenue, SE, DC 20032	8	Small Business, Insurance, Disaster Preparedness	DISB, HSEMA	8	0	0	0	0	0
Excel Automotive Academy	10/17/18	1235 Kenilworth Avenue NE	7	Financial Education	Excel Academy/ Bank on DC	0	0	0	0	11	0
United Medical Center Financial Education Workshop	10/18/18	United Medical Center, 1310 Southern Avenue, SE.	8	Financial Education	United Medical Center	0	0	0	0	26	0
DC Retired Educators Annual Business Meeting & DC Office on Aging Community Health & Wellness Fair	10/18/18	Nineteenth Street Baptist Church, 4601 16th Street, NW	4	Seniors	DC Office on Aging	33	0	0	0	0	0
Capital Harvest Farmers Market	10/19/18	Ronald Regan Building, 1300 Pennsylvania Avenue, NW	2	DISB Resources, Programs and Services		28	0	0	0	0	0
Health Fair	10/19/18	1200 Clifton St NW DC 20009	1	Financial Education	Dep. Behavioral Health	0	0	0	0	0	0
Excel Automotive Academy	10/24/18	1235 Kenilworth Avenue NE	7	Financial Education	Excel Academy/ Bank on DC	0	0	0	0	0	0
Reverse Mortgages	10/24/18	Shiloh Baptist Church, 1500 9th Street N.W. ((9th and P Streets)	6	Consumer Protection (Senior)	DISB, Shiloh Senior Citizens Club Shiloh Baptist Church	36	0	0	0	0	0
State of the Ward 4 Senior Address (Councilmember Brandon Todd's event)	10/25/18	Riggs-LaSalle Recreation Center, 501 Riggs Road, NE	4	Consumer Protection (Senior)	Councilmember Brandon Todd's Office	250	0	0	0	0	0
H Street, NE FRESHFARM Market	10/27/18	800 13th Street, NE, (between H Street NE and Florida Avenue, NE) DC, 20005	6	DISB Resources, Programs and Services		4	0	0	0	0	0
FRESHFARM Capital Riverfront Market	10/28/18	200 M Street, SE, DC 20003	6	DISB Resources, Programs and Services		6	0	0	0	0	0
Professional Development: Writing for the Business World	10/30/18	1200 Clifton St NW, Washington, DC 20009	1	Bank on DC Programming	DOES, DCPS, Bank on DC	0	5	3	0	0	0
Banking Day Eastern Senior High School	10/31/18	1700 East Capitol St NE, Washington, DC 20002	5	Bank on DC Programming	DOES, DCPS, Bank on DC	0	4	4	0	0	0
Excel Automotive Academy	10/31/18	1235 Kenilworth Avenue NE	7	Financial Education	Excel Academy/ Bank on DC	0	0	0	0	10	0

EVENT TITLE	DATE	LOCATION	WARD	TOPICS	SPONSOR	# OF ATTENDEES (Comm/Outreach)	# OF ATTENDEES (Bank on DC)	# OF BANK ON DC ACCOUNTS OPENED	# OF ATTENDEES (Student Loan Ombudsman)	# OF ATTENDEES (FinFitDC)	FinFitDC (SIGN UPS)
NOVEMBER 2018											
DC Health Link Open Enrollment Kick-off	11/01/18	Freedom Plaza, 1400 Pennsylvania Avenue, NW, Washington, DC 20004		DISB Resources, Programs and Services	HBX	20	0	0	0	0	0
Naylor Gardens Cooperative Event	11/05/18	2725 30th Street, SE Washington, DC 20018	7	Consumer Protection (Senior)	DCOA and Naylor Gardens Cooperative	35	0	0	0	0	0
Hayes Senior Wellness Center Community Health, Wellness & Resource Fair	11/07/18	500 K Street, NE Washington, DC 20002	6	Consumer Protection (Senior)	DCOA	22	0	0	0	0	0
Renter's Insurance Workshop-Housing Up, Inc.	11/07/18	6040 13TH. PL., NW	4	Consumer Protection	DISB, Housing Up, Inc.	8	0	0	0	0	0
Banking Day Columbia Heights Educational Campus	11/08/18	3101 16th St NW, Washington, DC 20010	1	Bank on DC Programming		0	16	0	0	0	0
Money Smart for Older Adults-Asbury Dwellings Tenant Association	11/09/18	1616 Marion St., NW	6	Consumer Protection	DISB, Asbury Dwellings Tenant Association	23	0	0	0	0	0
DC Health Link Fair	11/10/18	Anacostia Public Library, 1800 Good Hope Road, SE, Washington, DC 20020	8	DISB Resources	HBX	27	0	0	0	0	0
Open Enrollment 2019 Benefits Fairs	11/13/18	Office of the Chief Financial Officer 1101 4th Street, SW Washington, DC 20024	6	Bank on DC Programming	DCHR	0	0	0	0	127	0
Capital Guardian Youth Challenge Academy- Financial Education Session	11/13/18	Oak Hill Campus- 3201 Oak Hill Dr. Laurel MD 20724	all (DC Ward)	Financial Education	CGYCA	0	48	48	0	0	0
Open Enrollment 2019 Benefits Fairs	11/14/18	John A. Wilson Building 1350 Pennsylvania Avenue, NW Washington, DC 20004	2	Bank on DC Programming	DCHR	0	46	0	0	46	0
Roosevelt Banking Day	11/14/18	4301 13th St NW, Washington, DC 20011	4	Bank on DC Programming		0	12	0	0	0	0
Open Enrollment 2019 Benefits Fairs	11/15/18	Dept. of Behavioral Health 64 New York Avenue, NE Washington, DC 20002	5	Bank on DC Programming	DCHR	0	0	0	0	0	0
Money Smart for Adults-Train the Trainer	11/15/18	DISB- 1050 First St NE First FI Conference Center	6	Agency Hosted Event	FDIC; DISB	0	10	0	0	0	0
Banking Day Dunbar High School	11/19/18	101 N St NW, Washington, DC 20001	2	Bank on DC Programming		0	0	0	0	0	0
Open Enrollment 2019 Benefits Fairs	11/27/18	DC Public Schools Central Office 1200 First Street, NE Washington, DC 20002	6	Bank on DC Programming	DCHR	0	33	0	0	0	33
Banking Day Ballou HS	11/27/18	3401 4th St SE, Washington, DC 20032	8	Bank on DC Programming		0	0	0	0	0	0
Open Enrollment 2019 Benefits Fairs	11/29/18	Child & Family Services Agency 200 I Street, SE Washington, DC 20003	6	Bank on DC Programming	DCHR	0	102	0	0	0	102
Renter's Insurance Workshop-Housing Up, Inc.	11/29/18	5078 Benning Rd, SE	4	Consumer Protection	DISB, Housing Up, Inc.	8	0	0	0	0	0
DECEMBER 2018											
Workplace Finance Workshop Excel Automotive Academy	12/03/18	1235 Kenilworth Avenue NE Washington, DC 2019	7	Financial Education	Excel Automotive Academy	0	13	0	0	0	0
Open Enrollment 2019 Benefits Fairs	12/05/18	DC Housing Authority 1133 N. Capitol Street, NE Washington, DC 20002	5	Bank on DC Programming	DCHR	0	58	0	0	0	0
WDCEP Annual Meeting and Econ Showcase	12/05/18	The Anthem, The Wharf		Small Business, DC BizCAP	WDCEP	200	0	0	0	0	0
Career Bridge DOES/Banking Enrollment	12/05/18	101 N St NW, Washington, DC 20001	1	Bank on DC Programming	DCPS	0	9	6	0	0	0
Career Bridge DOES/Banking Enrollment	12/05/18	101 N St NW, Washington, DC 20001	1	Bank on DC Programming	DCPS	0	9	6	0	0	0
Open Enrollment 2019 Benefits Fairs	12/06/18	Frank D. Reeves Center 2000 14th Street, NW Washington, DC 20009	1	Bank on DC Programming	DCHR	0	108	0	0	0	0
Banking 101/ Financial Literacy Session	12/06/18	100 42nd St NE Washington DC 20019	7	Financial Education	DC Office of Neighborhood Safety and Engagement	0	28	21	0	28	0
Library Express: financial literacy	12/08/18	1990 K Street NW (entrance on 20th street) Washington DC, 20006	2	Financial Education	DC Public Library	0	0	0	0	3	0

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Senior Holiday Celebration	12/12/18	DC Armory, 2001 E Capitol St SE, Washington, DC 20003	6	Financial Fraud, Reverse Mortgages, Renters Insurance	Mayor's Office on Aging	2000	0	0	0	0	0
Renters Insurance	12/13/18	Webster Gardens Apts., 126 Webster St., NW	4	Consumer Protection (Senior)	DISB, HousingUp, Inc.	8	0	0	0	0	0
PYAP @ Community College Preparatory Academy- HOPE Project	12/17/18	3301 Wheeler Rd. SE Washington, DC 20032 CC Prep Campus	8	Financial Education	DOES- OYP	0	28	0	0	0	0
Great Streets Grantee Orientation	12/19/18	1015 Half Street, SE, 6th Floor Washington, DC 20003	6	Small Business	DMPED	60	0	0	0	0	0
PYAP @ Nai Xander	12/27/18	139 Kennedy Street NW DC 20011	4	Financial Education	DOES- OYP	0	8	0	0	0	0
JANUARY 2019											
DC Department on Disability Services	01/07/19	250 E Street SW Washington, DC 20024	6	Bank on DC Programming	DC Department on Disability Services	0	6	0	0	0	0
DC Department on Disability Services	01/08/19	One Independence Square 250 E Street SW Washington, DC 20024	6	Bank on DC Programming	DC Department on Disability Services	0	13	0	0	0	0
ONES - Credit Workshop	01/09/19	ONES- 100 42nd Street NE DC 20019	7	Bank on DC Programming	Office of Neighborhood Engagement & Safety	0	0	0	0	15	0
PYAP @ Contemporary Family Services	01/10/19	603 50th Street NE Washington, DC 20019	7	Financial Education	DOES- OYP	0	0	0	0	0	0
DC Department on Disability Services	01/17/19	One Independence Square 250 E Street SW Washington, DC 20024	6	Bank on DC Programming	DC Department on Disability Services	0	61	0	0	0	0
The LEAP Academy- 2019 Cohort	01/18/19	1015 Half St SE, Washington, DC 20003	6	Financial Education	LEAP Academy/ Bank on DC	0	63	0	0	0	0
EITC Awareness Day 2019	01/25/19	UPO: 2907 Martin Luther King Junior Avenue SE, Washington DC 20032	8	Community Outreach Event	DISB, United Way of the National Capital Area	0	0	0	0	30	0

Appendix 20

Bank Locations by Ward

NAME	STREET ADDRESS	WARD
Bank of America, National Association	1835 Columbia Road, N.W.	1
Bank of America, National Association	3500 Georgia Avenue, 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
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	2000 11th 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
United Bank	1301 U Street, N.W.	1
Wells Fargo Bank, National Association	1901 7th Street, N.W.	1
Wells Fargo Bank, National Association	1804 Adams Mills Road N.W.	1
Wells Fargo Bank, National Association	3325 14th Street, N.W.	1
	Total in Ward 1	16
Amalgamated Bank	1825 K Street, N.W.	2
Bank of America, National Association	901 K Street, N.W.	2
Bank of America, National Association	1001 Pennsylvania Avenue, N.W.	2
Bank of America, National Association	700 13th Street, N.W.	2
Bank of America, National Association	1090 Vermont Avenue, N.W.	2
Bank of America, National Association	1801 K Street, N.W.	2
Bank of America, National Association	2001 Pennsylvania Ave N.W.	2
Bank of America, National Association	888 17th Street, N.W.	2
Bank of America, National Association	1800 K Street N.W.	2
Bank of America, National Association	3 Dupont Circle, N.W.	2
Bank of America, National Association	2201 C Street, N.W.	2

Appendix 20

Bank Locations by Ward

NAME	STREET ADDRESS	WARD
BNY Mellon, National Association	1250 H Street, N.W.	2
Branch Banking and Trust Company	1099 New York Avenue, N.W.	2
Branch Banking and Trust Company	601 13th 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	1804 14th Street, N.W.	2
Branch Banking and Trust Company	1730 Rhode Island Avenue N.W.	2
Capital Bank, National Association	1776 I Street, N.W.	2
Capital One, National Association	1075 5th Street, N.W.	2
Capital One, National Association	901 New York Avenue	2
Capital One, National Association	1200 F Street N.W.	2
Capital One, National Association	701 Pennsylvania Avenue, N.W.	2
Capital One, National Association	925 15th Street, N.W.	2
Capital One, National Association	1700 K Street, N.W.	2
Capital One, National Association	1800 M Street, N.W.	2
CIBC National Trust Company	1201 F Street, N.W.	2
Citibank, National Association	750 9th St., N.W.	2
Citibank, National Association	1101 Pennsylvania Avenue, N.W.,	2
Citibank, National Association	1101 Pennsylvania Avenue, N.W.,	2
Citibank, National Association	1000 Vermont Avenue, N.W.	2
Citibank, National Association	1400 G Street, N.W.	2
Citibank, National Association	1775 Pennsylvania Avenue, N.W.	2
Citibank, National Association	1717 K Street, N.W.	2
Citibank, National Association	1218 Connecticut Avenue N.W.	2
Citibank, National Association	1000 Connecticut Avenue, N.W.	2
Citibank, National Association	2221 I Street, N.W.	2
City National Bank	2001 M Street N.W.	2
Colombo Bank	1301 9th Street N W	2

Appendix 20

Bank Locations by Ward

NAME	STREET ADDRESS	WARD
Congressional Bank	2101 K Street N.W.	2
EagleBank	700 7th Street N.W.	2
EagleBank	1425 K Street, N.W.	2
EagleBank	2001 K Street N.W.	2
EagleBank	3143 N Street, N.W.	2
EagleBank	1228 Connecticut Avenue N.W.	2
HSBC Bank USA, National Association	1401 I Street, N.W.	2
Industrial Bank	1317 F Street, N.W.	2
John Marshall Bank	1401 H Street N.W.	2
JPMorgan Chase Bank, National Association	800 Connecticut Avenue	2
Manufacturers and Traders Trust Company	555 12th Street N.W.	2
Manufacturers and Traders Trust Company	1350 I Street, N.W.	2
Manufacturers and Traders Trust Company	1680 K Street, N.W.	2
Manufacturers and Traders Trust Company	1899 L Street, N.W.	2
PNC Bank, National Association	833 7th Street, N.W.	2
PNC Bank, National Association	601 Pennsylvania Avenue, N.W.	2
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	3800 Reservoir Rd 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	2
Premier Bank, Inc.	1501 K Street, N.W.	2
Premier Bank, Inc.	1604 17th Street, N.W.	2

Appendix 20

Bank Locations by Ward

NAME	STREET ADDRESS	WARD
Premier Bank, Inc.	1130 Connecticut Avenue, N.W.	2
Presidential Bank, FSB	1660 K Street, N.W.	2
Sandy Spring Bank	1299 Pennsylvania Avenue, N.W.	2
Sandy Spring Bank	1025 Connecticut Avenue, N.W.,	2
Sandy Spring Bank	1146 19th Street, N.W.	2
SunTrust Bank	1275 K Street, N.W.	2
SunTrust Bank	1445 New York Avenue, N.W.	2
SunTrust Bank	1100 G Street, N.W.	2
SunTrust Bank	900 17th Street N.W.	2
SunTrust Bank	1150 Connecticut Avenue, N.W.	2
SunTrust Bank	1369 Connecticut Avenue, N.W.	2
SunTrust Bank	2250 M Street N.W.	2
TD Bank, National Association	901 7th Street, N.W.	2
TD Bank, National Association	605 14th Street N.W.	2
TD Bank, National Association	1030 15th Street N.W.	2
TD Bank, National Association	1489 P Street N.W.	2
TD Bank, National Association	2000 K Street N.W.	2
TD Bank, National Association	801 17th Street N.W.	2
TD Bank, National Association	1753 Connecticut Avenue N.W.	2
The Bank of New York Mellon	1250 H Street, N.W.	2
The Northern Trust Company	800 Connecticut Avenue, N.W.,	2
United Bank	1001 G Street, N.W.	2
United Bank	1776 K Street, N.W.	2
United Bank	1667 K Street, N.W.	2
United Bank	1825 Wisconsin Avenue, N.W.	2
United Bank	1001 Wisconsin Avenue, N.W.	2
Wells Fargo Bank, National Association	801 Pennsylvania Avenue, N.W.	2
Wells Fargo Bank, National Association	1331 Pennsylvania Avenue, N.W.	2

Appendix 20

Bank Locations by Ward

NAME	STREET ADDRESS	WARD
Wells Fargo Bank, National Association	1447 P Street, N.W.	2
Wells Fargo Bank, National Association	1350 New York Avenue, N.W.	2
Wells Fargo Bank, National Association	1300 I Street, N.W.	2
Wells Fargo Bank, National Association	1510 K Street, N.W.	2
Wells Fargo Bank, National Association	1310 G Street, N.W.	2
Wells Fargo Bank, National Association	1800 K Street, 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	1934 14th Street, N.W.	2
Wells Fargo Bank, National Association	1001 Connecticut Avenue, N.W.	2
Wells Fargo Bank, National Association	1300 Connecticut Avenue, N.W.	2
Wells Fargo Bank, National Association	2000 L Street, N.W.	2
Wilmington Trust, National Association	1350 I Street, N.W.	2
	Total in Ward 2	108
Bank of America, National Association	1339 Wisconsin Avenue, N.W.	3
Bank of America, National Association	3401 Connecticut Avenue, N.W.	3
Bank of America, National Association	4201 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
Branch Banking and Trust Company	1365 Wisconsin Avenue N.W.	3
Branch Banking and Trust Company	5200 Wisconsin Avenue N.W.	3
Capital One, National Association	1545 Wisconsin Avenue, N.W.	3
Capital One, National Association	3519 Connecticut Avenue, N.W.	3
Capital One, National Association	5714 Connecticut Avenue, N.W.	3
Capital One, National Association	4860 Massachusetts Avenue, N.W.	3
Capital One, National Association	4400 Massachusetts Avenue N.W.	3
Citibank, National Association	1901 Wisconsin Ave., N.W.	3
Citibank, National Association	5700 Connecticut Avenue, N.W.	3

Appendix 20

Bank Locations by Ward

NAME	STREET ADDRESS	WARD
Citibank, National Association	5250 Macarthur Boulevard, N.W.	3
Citibank, National Association	5001 Wisconsin Avenue, N.W.	3
HSBC Bank USA, National Association	1715 Wisconsin Avenue N.W.	3
Manufacturers and Traders Trust Company	1420 Wisconsin Avenue N.W.	3
Manufacturers and Traders Trust Company	2620 Connecticut Avenue, N.W.	3
Manufacturers and Traders Trust Company	5630 Connecticut Avenue, N.W.	3
PNC Bank, National Association	1201 Wisconsin Ave, N.W.	3
PNC Bank, National Association	5530 Connecticut Avenue, N.W.	3
PNC Bank, National Association	3336 Wisconsin Avenue N.W.	3
PNC Bank, National Association	4835 Massachusetts Avenue, N.W.	3
PNC Bank, National Association	4249 Wisconsin Avenue, N.W.	3
SunTrust Bank	1855 Wisconsin Avenue N.W.	3
SunTrust Bank	2929 M Street, N.W.	3
SunTrust Bank	5000 Connecticut Avenue, N.W.	3
SunTrust Bank	3402 Wisconsin Avenue N.W.	3
SunTrust Bank	3301 New Mexico Avenue, N.W.	3
TD Bank, National Association	1611 Wisconsin Avenue N.W.	3
TD Bank, National Association	4849 Wisconsin Avenue N.W.	3
United Bank	4900 Massachusetts Avenue, N.W.	3
Wells Fargo Bank, National Association	3700 Calvert Street, N.W.	3
Wells Fargo Bank, National Association	4302 Connecticut Ave N.W.	3
Wells Fargo Bank, National Association	5701 Connecticut Ave N.W.	3
Wells Fargo Bank, National Association	3314 Wisconsin Ave, N.W.	3
Wells Fargo Bank, National Association	5100 Wisconsin Avenue, N.W.	3
Wells Fargo Bank, National Association	4841 Massachusetts Avenue, N.W.	3
Wells Fargo Bank, National Association	5201 Macarthur Boulevard, N.W.	3
	Total in Ward 3	40
Industrial Bank	4812 Georgia Avenue N.W.	4

Appendix 20

Bank Locations by Ward

NAME	STREET ADDRESS	WARD
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
	Total in Ward 4	6
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	2350 Washington Place N.E.	5
TD Bank, National Association	905 Rhode Island Avenue N.E.	5
Wells Fargo Bank, National Association	1200 First Street, N.E.	5
Wells Fargo Bank, National Association	125 Michigan Avenue N.E.	5
Wells Fargo Bank, National Association	2119 Bladensburg Road, N.E.	5
	Total in Ward 5	10
Bank of America, National Association	722 H Street, N.E.	6
Bank of America, National Association	201 Pennsylvania Ave S.E.	6
Bank of America, National Association	55 M Street, S.E.	6
Branch Banking and Trust Company	360 H Street, N.E.	6
Branch Banking and Trust Company	317 Pennsylvania Avenue S.E.	6
Capital One, National Association	85 H Street, N.W.	6
Capital One, National Association	336 Pennsylvania Avenue, S.E.	6
Capital One, National Association	1100 New Jersey Avenue, S.E.	6
Citibank, National Association	600 Pennsylvania Avenue, S.E.	6
PNC Bank, National Association	800 H Street, N.E.	6
PNC Bank, National Association	650 Pennsylvania Avenue, S.E.	6

Appendix 20

Bank Locations by Ward

NAME	STREET ADDRESS	WARD
Premier Bank, Inc.	1160 First Street, N.E.	6
SunTrust Bank	Two Massachusetts Avenue, N.W.	6
SunTrust Bank	300 Pennsylvania Avenue, S.E.	6
SunTrust Bank	100 M Street, S.E.	6
TD Bank, National Association	1275 First Street N.E.	6
The National Capital Bank of Washington	316 Pennsylvania Avenue, S.E.	6
Wells Fargo Bank, National Association	490 L Street, N.W.	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	215 Pennsylvania Avenue, S.E.	6
Wells Fargo Bank, National Association	600 Maryland Avenue, S.W.	6
	Total in Ward 6	22
Bank of America, National Association	3821 Minnesota Avenue, N.E.	7
Capital One, National Association	2831 Alabama Avenue, S.E.	7
Citibank, National Association	3917 Minnesota Avenue, N.E.	7
Industrial Bank	125 45th Street, N.E.	7
Manufacturers and Traders Trust Company	2865 Alabama Avenue, S.E.	7
SunTrust Bank	2845 Alabama Ave S.E.	7
Wells Fargo Bank, National Association	3200 Pennsylvania Avenue, S.E.	7
	Total in Ward 7	7
Bank of America, National Association	2100 MLK Avenue, S.E.	8
Industrial Bank	1800 MLK Avenue, S.E.	8
PNC Bank, National Association	2000 MLK 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
	Total in Ward 8	6
	GRAND TOTAL	215