



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

**Stephen C. Taylor
Commissioner**

January 8, 2020

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 December 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 2019 and FY 2020.

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 January 15, 2020 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 2019-2020
Performance Oversight
Hearing Responses
Before the
Committee on Business
and Economic Development
Council of the District of Columbia
Kenyan McDuffie, Chairperson
Hearing Date: January 15, 2020



Stephen C. Taylor, Commissioner



Council of the District of Columbia Committee on Business and Economic Development FY19 and FY20 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 2019 and FY 2020
Responses to Performance Oversight Questions

General Questions

1. **Please provide a current organizational chart for the Department, 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 provide:**

Please see Appendix 1 – Organizational Chart.

Please see Appendix 2 – Schedule A.

- a. **An explanation of the roles and responsibilities for each division and subdivision, including specific programs and projects administered by each division. Please also explain the administrative organization within each division and provide the number of personnel allocated to each division; and**

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;
- Protects investor/consumers by ensuring 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 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.

CHIEF OF POLICY, PLANNING, AND ADMINISTRATION

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

Administrative Services

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

Human Resources

- Provides services to the Department to assist with hiring, training and retaining a qualified and diverse staff; and

- Facilitates the management of all corrective and disciplinary actions.

Information Technology

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

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;
- 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.

b. A narrative explanation of any changes made during the previous year.

The Department hired its first Director of Financial Empowerment and Education.

2. **Please provide a current Schedule A for the Department, 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 state how long the position has been vacant, and provide the status of the Department'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, and whether there are impediments to the Department's ability to fill those vacancies.**

Please see Appendix 2 – Schedule A.

- b. For each filled position, please provide the employee’s length of service with the Department. Please provide any available information on turnover rates and/or trends identified by the Department.

Please see Appendix 2 – Schedule A.

3. Please list all employees detailed to or from the Department, if any. For each employee identified, please provide the name of the department 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 Department expense in Fiscal Year 2019 and Fiscal Year 2020, to date;

The Department of Insurance, Securities and Banking (Department or DISB) has 31 cell phones issued to staff. The Department also has 16 mobile broadband/wireless air devices distributed and/or available to staff, as needed. The staff-issued 31 cell phones are listed below:

Employee	Device
Abdullah, Idriys	Cell Phone
Ahaiwe, Bright	Cell Phone
Anderson, Lloyd	Cell Phone
Beard, Andre	Cell Phone
Blackstone, Lilah	Cell Phone
Bressman, Brian	Cell Phone
Brown, Nathaniel	Cell Phone
Collins, Thedford	Cell Phone
Ellis, Gregory	Cell Phone
Guishard, Michael	Cell Phone
Hammonds, Michelle	Cell Phone
Jefferson, Ricardo	Cell Phone
Jones, Robbin	Cell Phone
Kerr, Monique	Cell Phone
Levi, Adam	Cell Phone
McManus, James	Cell Phone
Meaza, Senayet	Cell Phone
Miles, Theodore	Cell Phone
O'Donnell, Sean	Cell Phone
Onifade, Oluwatosin	Cell Phone

Purdie, Katrice	Cell Phone
Ross, Michael	Cell Phone
Sheppard, Dana	Cell Phone
Shipp, Sharon	Cell Phone
Taylor, Stephen	Cell Phone
Vaidyanathan, Shankar	Cell Phone
Wade, Alicia	Cell Phone
Wadley, Debra	Cell Phone
Washington, Christian	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 Department and to whom the vehicle is assigned, as well as a description of all vehicle accidents involving the Department’s vehicles in Fiscal Year 2019 and Fiscal Year 2020, to date. Please also include any anticipated changes to the requested information for Fiscal Year 2020;**

DISB currently leases a 2020 Dodge Caravan and participates in the DC Fleet Share Program when appropriate. DISB picked up its leased vehicle from DPW on December 11, 2019. DISB staff have not been involved in any accidents involving District-owned vehicles.

- c. A list of employee bonuses or special award pay, raises, and step increases granted in Fiscal Year 2019 and Fiscal Year 2020, to date;**

Assistant General Counsels Lilah Blackstone, Adam Levi, and Charlotte Parker received bonuses in FY 2019. There have been no bonuses awarded in FY 2020, to date. These bonuses were issued pursuant to the Legal Services Act.

Accounts Payable Supervisor Lashawn VanHorne, who is employed by the Office of the Chief Financial Officer, received a performance bonus in FY 2019. Ms. VanHorne’s bonus was approved by the OCFO but paid from DISB’s FY 2019 budget.

For more information, please see the response to Question 33.

- d. A list of travel expenses, arranged by or for Department employees for Fiscal Year 2019 and Fiscal Year 2020, to date, including the justification for travel and description of activities engaged in during the travel; and**

Please see Appendix 3 – FY 2019 and FY 2020, to date, Travel Expenses.

- e. A list of the total overtime and workers' compensation payments paid in Fiscal Year 2019 and Fiscal Year 2020, to date, including the number of employees who received overtime and workers' compensation payments.

Overtime Payments

Fiscal Year	Number of Employees	Overtime Amount Paid
2019	21	13,907.51
		12,925.41
		4,118.47
		2,372.45
		2,289.13
		2,114.32
		1,609.23
		1,136.04
		1,045.10
		962.99
		916.41
		789.42
		577.27
		496.00
		405.63
		385.31
		336.06
		334.01
		199.98
		163.18
85.58		
2019 Total		47,169.50
2020	7	817.28
		752.07
		580.91
		474.96
		461.13
		442.51
		291.68
2020 Total		3,820.54
Grand Total		50,990.04

Workers' Compensation Payments

There were no workers' compensation payments made in FY 2019 or FY 2020, 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 the Department 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 16 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 2019 and Fiscal Year 2020, to date, what was the total cost including, but not limited to, equipment and service plans for mobile communications and devices?**

For FY 2019, the total cost for equipment and service plans for mobile communications and devices was **\$32,418.12**.

For FY 2020, the total cost, to date, for equipment and service plans for mobile communications and devices is **\$1,943.00**.

6. **Please provide a chart showing the Department’s approved budget, revised budget (after reprogramming, etc.), and actual spending, by division, for Fiscal Year 2019 and Fiscal Year 2020, to date. In addition, please describe any variance between fiscal year appropriations and actual expenditures.**

Please see Appendix 4 – FY 2019 and FY 2020 Budget and Actual Expenditures.

7. **For FY 2019 and FY 2020, to date, please list all intra-District transfers to or from the Department. For each transfer, include all of the following details:**

- a. **Buyer agency;**
- b. **Seller agency;**
- c. **The program and activity codes and names in the sending and receiving agencies’ budgets;**
- d. **Funding source (i.e. local, federal, SPR);**
- e. **Description of memoranda of understanding (“MOU”) services;**
- f. **Total MOU amount, including any modifications;**
- g. **Whether a letter of intent was executed for FY 2019 or FY 2020 and if so, on what date;**
- h. **The date of the submitted request from or to the other agency for the transfer;**
- i. **The dates of signatures on the relevant MOU; and**
- j. **The date funds were transferred to the receiving agency.**

Please see Appendix 5 – FY 2019 and FY 2020 List of Intra-District Transfers.

8. **Please list any additional intra-District transfers planned for FY 2020, including the anticipated agency(ies), purposes, and dollar amounts.**

FY 2020 Planned Intra-District Transfers from Other Agencies

Program No.	Description	Seller Agency	Buyer Agency	Amount
SYE20N	Summer Youth Employment Program	Department of Insurance, Securities and Banking (DISB)	Department of Employment Services (DOES)	\$52,000.00
Total				\$52,000.00

FY 2020 Planned Intra-District Transfers to Other Agencies

Program No.	Description	Buyer Agency	Seller Agency	Amount
N/A	Fleet Services	Department of Insurance, Securities and Banking (DISB)	Department of Public Works (DPW)	\$3,200.00
N/A	Background Checks/Fingerprinting	Department of Insurance, Securities and Banking (DISB)	Metropolitan Police Department (MPD)	\$10,000.00
N/A	Sign Language Interpretation Services	Department of Insurance, Securities and Banking (DISB)	Office of Disability Rights (ODR)	\$2,000.00
N/A	Rent	Department of Insurance, Securities and Banking (DISB)	Department of General Services (DGS)	\$2,146,788.00
N/A	Occupancy Fixed Cost	Department of Insurance, Securities and Banking (DISB)	Department of General Services (DGS)	\$53,779.00
N/A	Security Services	Department of Insurance, Securities and Banking (DISB)	Department of General Services (DGS)	\$2,317.00
N/A	Suitability check for employment	Department of Insurance, Securities and Banking (DISB)	Department of Human Resources (DCHR)	\$3,500.00
N/A	District Vehicle Insurance Compliance	Department of Insurance, Securities and Banking (DISB)	Department of Motor Vehicles (DMV)	\$495,000
Total				\$2,716,584

9. **For Fiscal Year 2019 and Fiscal Year 2020, to date, please identify any special purpose revenue funds maintained by, used by, or available for use by the Department. 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 6 – FY 2019 and FY 2020 Special Purpose Revenue Funds.

10. **Please list each contract, procurement, lease, and grant (“contract”) awarded, entered into, extended, and option years exercised, by the Department during Fiscal Year 2019 and Fiscal Year 2020, 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 amount budgeted 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 Department’s contract monitor and the results of any monitoring activity; and**
 - i. **The funding source.**

Please see Appendix 7 – FY 2019 and FY 2020 Contracting and Procurement.

11. **For Fiscal Year 2019 and Fiscal Year 2020, to date, please list any purchase card spending by the Department, the employee making each expenditure, and the general purpose for each expenditure.**

Please see Appendix 8 – FY 2019 and FY 2020 Purchase Card Spending.

12. **Please list all MOU entered into by the Department during Fiscal Year 2019 and Fiscal Year 2020, to date, as well as any MOU currently in force. For each, indicate the date entered and the termination date.**

Please see Appendix 9 – Current Memoranda of Understanding, Memoranda of Agreement and Other Contracts.

13. **Please list the ways, other than MOU, in which the Department collaborated with analogous agencies in other jurisdictions, with federal agencies, or with non-governmental organizations in Fiscal Year 2019 and Fiscal Year 2020, 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 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. The District hosted the annual meeting of Northeast Zone Commissioners from September 12-14, 2019 at the Intercontinental Hotel at the Wharf.

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 fourth 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 student worked on a project investigating the insurance aspects of robotics. 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. Commissioner Taylor and Department staff also regularly serve as subject matter experts on panels for professional education. Department staff have participated in panels organized by the American Academy of Actuaries, the Metro Alliance of Independent Insurance Agents, and the Securities and Insurance Licensing Association, among others.

The financial examination staff served as the lead state examiner along with representatives of the Maryland Insurance Administration on a coordinated financial examination of CareFirst. The Department's Compliance Analysis Division was the co-managing lead state on a nationwide market conduct examination of the Independence Holding Company Group to review short-term medical health insurance policies.

Finally, the Supervisory Insurance Examiner 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 attend 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

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 Securities Bureau'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 NASAA's programs for coordinated reviews of multi-state offerings. The Corporation Finance Division participates in a NASAA-sponsored 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.

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 2019, 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, Prosperity Now, and Coalition for Non-Profit Housing and Economic Development to produce an Economic Inclusion series during FY 2019. 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.

Banking 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 2019, the Department's Risk Finance Bureau, which regulates captive insurers and risk retention groups domiciled in the District, helped develop guidelines used by risk retention groups that are already licensed in the District and desire to register in other states to write business. This guidance is expected to improve the efficiency of the process for RRGs registering in other states. This guidance was developed by a task force of the National Association of Insurance Commissioners (NAIC), and the Department played a significant role in drafting the new guidance. 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 32 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-SIUIINTEL** – regional intelligence meeting attended by ECPD along with insurance company SIUs and enforcement agencies.
- c. **U.S. Attorney for the District of Columbia Financial Crimes/Suspicious Activity Report Task Force** – ECPD staff is a member of the SARs Task Force and attends monthly meetings along with other local, state, and federal task force agency members to identify cases of financial fraud for investigation and criminal prosecution.
- d. **North American Securities Administrators Association (NASAA)** – Information sharing within multi-state regional information and intelligence sharing and case collaboration at spring, summer, fall, and winter NASAA meetings and conferences.
- e. **National Association of Insurance Commissioners (NAIC)** – ECPD attends NAIC meetings and shares information relating to insurance fraud.
- f. **National Insurance Crime Bureau (NICB)** - ECPD participates in the annual NICB National Fraud Directors’ Conference and maintains a close working relationship with this industry-funded organization. NICB is a source of intelligence and investigative assistance. ECPD assists with NICB-initiated matters impacting the District.
- g. **Federal Bureau of Investigation (FBI)** – ECPD works closely with the FBI on joint investigations into businesses and individuals defrauding the District’s residents and its financial sector companies.
- h. **Office of the U.S. Attorney for the District of Columbia** – ECPD works cooperatively in the investigation and prosecution of criminal financial fraud cases affecting District residents and District businesses.
- i. **U.S. Securities and Exchange Commission (SEC)** – ECPD shares information with the SEC and provides mutual assistance in securities enforcement matters.
- j. **Financial Industry Regulatory Authority (FINRA)** – ECPD collaborates with FINRA’s Enforcement Department and Office of Market Surveillance on investigative matters involving FINRA member firms and their associated persons.
- k. **Commonwealth of Virginia Corporation Commission (Bureau of Financial Institutions, Bureau of Insurance, Division of Securities) and Virginia**

State Police – ECPD exchanges information and provides investigative assistance on matters impacting both VA and the District in the areas of Insurance, Securities, and Banking. ECPD collaborates with the VA State Police on criminal matters related to Insurance, Securities, and Banking affecting both VA and the District.

1. **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.

ECPD also is part of a multi-state task force that is examining the recent phenomena of companies that are making loans to employees of various companies nationwide in ways that may constitute payday advance lending.

Office of Communications

The Office of Communications collaborated with the District’s Department of Small and Local Business Development and the Department of Consumer and Regulatory Affairs 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 2019 and FY 2020, 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 2019 and FY 2020 to address District residents’ concerns related to managing their student loan debt. The Department partnered with the Clergy for Community Wealth Preservation and the Federal Deposit Insurance Corporation to provide faith community leaders and seniors with information that will help seniors age safely and affordably in their homes in FY 2019. The Department continues to collaborate with the CFPB and the FDIC in the provision of *Money Smart for Older Adults* presentations that help prevent common frauds, scams and other types of elder financial exploitation.

14. **Please describe any anticipated spending pressures for Fiscal Year 2020. Include a description of the pressure, the estimated amount, and any proposed solutions.**

Due to Council budget cuts, DISB anticipates spending pressure in FY 2020. The current approved Personnel Service budget is \$17.056 million, and the current Schedule A projected cost is \$18.570 million. There is a shortfall of \$1.6 million; therefore, the approved budget will be insufficient to fund the existing vacant positions. In order to fill the needed vacant positions, DISB will have to request additional budget authority in the amount of \$1.6 million in FY 2020.

15. **Please list all currently open capital projects, including an update on all capital projects under the agency’s purview in Fiscal Year 2019 and Fiscal Year 2020, to date, including the amount budgeted, actual dollars spent, and any remaining balances. In addition, please provide:**
- a. **An update on all capital projects begun, in progress, or concluded in Fiscal Year 2018, Fiscal Year 2019, and Fiscal Year 2020, to date, including the amount budgeted, actual dollars spent, and any remaining balances;**
 - b. **An update on all capital projects planned for Fiscal Year 2020 through Fiscal Year 2024; and**
 - c. **Whether the capital projects begun, in progress, or concluded in Fiscal Year 2018, Fiscal Year 2019, or Fiscal Year 2020, to date have an impact on the operating budget of the Department. 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 2019 and Fiscal Year 2020, to date. For each, include a description of the need and the amount of funding requested.**

DISB works with the Mayor’s Office of Budget and Performance Management to develop its annual budget. The Mayor’s annual budget submission reflects those efforts.

17. **Please list, in chronological order, every reprogramming in Fiscal Year 2019 and Fiscal Year 2020, to date, that had an impact on the Department, including those which moved funds into the Department, out of the Department, and within the Department. Include the revised, final budget for the Department after the reprogramming for Fiscal Year 2019 and Fiscal Year 2020. For each reprogramming, list the date, the amount, the rationale, and the reprogramming number. Finally, please indicate whether a reprogramming impacted the Department’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 2019			
Effective Date	Document No.	Description	Amount
9/30/2019	BJSR0930	This reprogramming was processed to move O-type budget from Insurance Bureau PS to Activity 2080 (DC Market Operations Insurance) NPS budget. The funds are needed to help reduce the number of uninsured drivers in the District, and in turn, reduce the cost of automobile insurance for District consumers.	\$267,000.00

9/30/2019	APJWL512	This reprogramming was processed to realign Intra-District budget. The reprogramming is needed to move the funds to proper Comptroller Objects (NPS to PS budget).	\$22,000.00
Total			\$289,000.00
Note: These reprogrammings were made within DISB's O-type fund and Intra-District fund. They 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 2020			
There are no reprogramming actions for Special Purpose Revenue Funds in FY 2020, as of yet.			

18. **Please list each grant or sub-grant received by the Department in Fiscal Year 2019 and Fiscal Year 2020, to date. List the date, amount, and purpose of the grant or sub-grant received.**

Please see Appendix 10 – FY 2019 and FY 2020 Federal Grants.

- a. **Are any FTEs dependent on grant funding? If so, how many? Please describe any the terms of this funding, and, if it is set to expire, what plans, if any, there are in place to continue funding.**

No FTEs are dependent on grant funding.

19. **Please list all pending lawsuits that name the Department as a party. Please identify any lawsuits that potentially expose the District to significant financial liability and/or will result in a change in Department practices, and please include the current status of the litigation. Please provide the basis and extent of each claim, regardless of its likelihood of success. For those identified, please include an explanation of 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.

20. **Please list all settlements entered into by the Department, or by the District on behalf of the Department, in Fiscal Year 2019 or Fiscal Year 2020, to date, and provide the parties' names, the amount of the settlement, and if related to litigation, the case name and a brief description of the case. If unrelated to litigation, please describe the underlying issue or reason for the settlement (e.g. administrative complaint, etc.).**

Securities Bureau

On February 2, 2019, the Department entered into a \$499,000 settlement with LPL Financial LLC. to pay civil penalties of \$499,000 to the District of Columbia and that required LPL Financial to repurchase from investors certain securities sold between October 2006 and May 2018.

The North American Securities Administrators Association (NASAA), of which the Department is a member, established a task force with Massachusetts and Alabama as lead states to investigate LPL's failure to establish and maintain reasonable policies and procedures to prevent the sale of unregistered, non-exempt securities by LPL to its customers. NASAA President Joseph P. Borg said LPL fully cooperated with the NASAA task force. The investigation focused on LPL's retention, use, and subsequent cancellation of certain third-party services integral to LPL's compliance with state securities registration requirements. Investigators also looked into certain other legacy deficiencies within LPL's compliance structure related to LPL's controls, monitoring and reporting tools, and escalation protocols regarding the firm's response to significant compliance issues.

State securities regulators, including the Department, concluded that LPL offered and sold unregistered, non-exempt securities and failed to reasonably supervise the flow of information to ensure full and proper compliance with state securities registration requirements.

Compliance Analysis Division

In FY 2019, the Compliance Analysis Division recommended participation in 4 multistate regulatory settlement agreements with insurance companies regarding claims practices. The agreements are a result of coordinated multi-state examinations among state insurance departments. The multistate settlement is allocated to each jurisdiction based on the market share of the company. Please see the chart below for more detailed information on these settlements:

Fiscal Year	Issue	Company	Settlement Amount
FY2019	In April 2016 the Company became the subject of a multistate market conduct examination that reviewed the Company’s sales, marketing, and administration practices (the “MCE”). The MCE was joined by 43 states, including Indiana (the “Participating Jurisdictions”). The MCE is led by the insurance regulators in Indiana, Florida, Kansas, Montana, and Utah (the “Lead States”), with the Indiana Department of Insurance serving as the managing Lead State.	Health Insurance Innovations, Inc.	\$13,081.15
FY2019	Analyses of operations for the examination period January 1, 2011 - December 31, 2013 targeted Globe's rating and marketing & sales practices relating to their group life products & high-level assessment of cyber-security controls.	Globe Life & Accident Insurance Company	\$21,320.56
FY2019	Multi-state examination of Allstate Life Insurance Company, Allstate Assurance Company, and American Heritage Life Insurance Company (collectively referred to as "Allstate") to assess the companies' settlement practices, procedures and policy administration relating to	Protective Life Insurance Company	\$307.00

	claims and the use of the Social Security Death Master File to identify the owners' and beneficiaries of unclaimed proceeds.		
FY2019	Multi-state examination of Protective Life Insurance Company, Protective Life and Annuity Insurance Company and West Coast Life Insurance Company (collectively referred to as "Protective") to assess the companies' settlement practices, procedures and policy administration relating to claims and the use of the Social Security Death Master File to identify the owners' and beneficiaries of unclaimed proceeds.	Great-West Life and Annuity Company	\$525.00
FY2020	Multi-state examination of Allstate Life Insurance Company, Allstate Assurance Company, and American Heritage Life Insurance Company (collectively referred to as "Allstate") to assess the companies' settlement practices, procedures and policy administration relating to claims and the use of the Social Security Death Master File to identify the owners' and beneficiaries of unclaimed proceeds.	Allstate	\$126.00

21. **Please list and describe any ongoing investigations, audits, or reports on the Department or any employee of the Department, including, but not limited to, personnel complaints, or any investigations, studies, audits, or reports on the Department or any employee of the Department that were completed during Fiscal Year 2019 and Fiscal Year 2020, to date, along with the Department's compliance or non-compliance with any recommendations.**

There are no ongoing or completed investigations, audits, or reports on the Department during Fiscal Year 2020, to date. The Department of Human Resources (DCHR) completed an investigation of an employee's grievance and issued a report in Fiscal Year 2019. The Department and DCHR are still working with the employee to resolve the grievance.

22. Please provide the total number of administrative complaints or grievances filed against the Department in Fiscal Year 2019 and Fiscal Year 2020, to date, broken down by source. Please describe the process utilized to respond to any complaints and grievances received and any changes to Department policies or procedures that have resulted from complaints or grievances received. As it relates to a constituent challenging the Department’s response to grievances, please indicate:

- a. Whether a formalized process is in place to request a hearing by the Commissioner;
- b. If so, whether a Commissioner’s decision appealable to the Court of Appeals; and
- c. If there is a formalized hearing process, whether that process detailed on the Department'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 remedies in the courts. There is no provision for a Department hearing or appeal.

Industry Sector	Complaints received FY19	Complaints Received for FY20 to date
Insurance	611	113
Securities	1	2
Banking	60	15
Total	672	130

The Department is aware of 12 purported grievances filed by employees or former employees in FY 2019 and FY 2020 to date.

23. **Please describe the agency’s procedures for investigating allegations of sexual harassment or misconduct committed by or against its employees. List and describe any allegations received by the agency in FY18 and FY19, to date, whether or not those allegations were resolved.**

The Department follows the guidelines mandated under Mayor’s Order 2017-313. The Department designated a Sexual Harassment Officer to investigate allegations of sexual harassment, train all employees on related laws and policies, and provide response training for all managers and supervisors.

On December 18, 2017, Mayor Muriel Bowser signed Mayor’s Order 2017-313 on sexual harassment that discusses, among other things, what constitutes sexual harassment, how to report and respond to sexual harassment, and various protections available to employees involved in a sexual harassment complaint. All District government employees have received a copy of this policy and have received clear guidance that sexual harassment is strictly prohibited in District government.

The Department did not receive any sexual harassment complaints in FY 2018 or FY 2019.

24. **Please provide the number of FOIA requests for Fiscal Year 2019 and Fiscal Year 2020, to date. Include the number granted, partially granted, denied, and pending. Please also provide the average response time, estimated number of FTEs required to process requests, and the estimated number of hours spent responding to these requests. For FOIA requests disposed of because no records or agency records containing the requested information exist, please describe the nature of the request.**

Number of FOIA requests received in Fiscal Year 2019, to date = 61

- a. Number of FOIA requests pending on October 1, 2019: 2
- b. Number of requests granted, in whole: 5
- c. Number of requests granted, in part, and denied, in part: 12
- d. Number of requests denied, in whole: 3
- e. Number of requests withdrawn: 5
- f. Number of requests referred or forwarded to other public bodies: 0

Other dispositions: 36

- a. No Records: 14
- b. Records not reasonably described: 2
- c. No Agency records: 11
- d. Fee-Related Reason: 1
- e. Improper FOIA for Other Reason: 3

Average response times

- a. Median number of days to process FOIA requests: 51 days

- b. Number of FTEs required to process: 2 FTEs
- c. Number of hours spent responding to requests: 1,420 hours

Number of FOIA requests received in Fiscal Year 2020 (10/01/2019, through 12/17/2019), to date = 16

- a. Number of FOIA requests processed in FY 2020 (October 1, 2019 to date): 19
- b. Number of FOIA requests pending on October 1, 2019: 5
- c. Number of FOIA requests pending on December 17, 2019: 2

Other dispositions: 19

- a. Number of requests granted, in whole: 5
- b. Number of requests granted, in part, and denied, in part: 2
- c. Number of requests denied, in whole: 0
- d. Number of requests withdrawn: 0
- e. Number of requests referred or forwarded to other public bodies: 0
- f. No Records: 6
- g. Records not reasonably described: 0
- h. No Agency Records: 5
- i. Fee-Related Reason: 0
- j. Improper FOIA for Other Reason: 1

Average response times

- a. Median number of days to process FOIA requests: 14 days
- b. Number of FTEs required to process: 2 FTEs
- c. Number of hours spent responding to requests: 36 hours

25. **Please provide a list of all studies, research papers, reports, and analyses that the Department prepared, or contracted for, during Fiscal Year 2019 and Fiscal Year 2020, to date. Please state the status and purpose of each. Please submit a hard copy to the Committee.**

FY 2019

Bureau/DIV	Name of study	Purpose	Status	Copy attached
INSURANCE	Amerigroup District of Columbia	Statutory Financial Examination	Complete	https://disb.dc.gov/publication/examination-report-amerigroup-district-columbia-

INSURANCE	Columbia Federal Insurance Company	Statutory Financial Examination	Complete	https://disb.dc.gov/publication/examination-report-columbia-federal-insurance-
INSURANCE	WellCentric Health Group DC Company	Organizational Examination	Complete	https://disb.dc.gov/publication/examination-report-wellcentric-health-group-dc-
INSURANCE	District of Columbia Insurance Guaranty Association	Statutory Financial Examination	Complete	https://disb.dc.gov/publication/examination-report-district-columbia-insurance-guaranty-
INSURANCE	DC Life & Health Insurance Guaranty Association	Statutory Financial Examination	Complete	https://disb.dc.gov/publication/examination-report-dc-life-health-insurance-guaranty-
INSURANCE	Surety and Fidelity Association of America	Regularly Scheduled Market Conduct of Domestic Rating Organization	Complete	https://disb.dc.gov/publication/market-conduct-examination-surety-and-fidelity-
INSURANCE	Aetna	Market Conduct examination of potential exposure of HIV status of District residents in mailing.	Complete	https://disb.dc.gov/publication/market-conduct-examination-aetna-inc
INSURANCE	Public Hearing on Private Passenger Automobile Insurance Premiums and Rating Factors Assessment 2018 Report	Report from public hearing held to understand recent increase in private passenger automobile rates.	Complete	https://disb.dc.gov/publication/public-hearing-private-passenger-automobile-
INSURANCE	Public Hearing on Private Passenger Automobile Insurance Premiums and Rating Factors Assessment 2019 Report	Report from follow-up public hearing held to further identify factors impacting automobile insurance rate increases.	Draft completed, going through internal review.	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	Attached in Box: 1) Law Review & Preventive Services Comparison Report
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.	Attached in Box: 1) Mental Health Parity Treatment Limits Analysis 2) Mental Health Parity Drug Coverage Analysis

26. **Please provide an update on the status of the Department’s annual report on financial institution compliance with community development plans required pursuant to D.C. Code § 26-431.05(b).**

The Department completed a Community Reinvestment Act (CRA) review of our regulated bank, Industrial Bank. Industrial Bank received a satisfactory rating.

27. **How does the Department solicit feedback from customers? Please describe.**

The Department solicits feedback from customers using 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 Elder Housing Resource Forums, 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 10, 2019 and August 22, 2019. The focus of the hearings was the 2020 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 2021 rates for plans sold on DC Health Link during FY 2020. All health insurance rate filings are posted to the Department's website to allow input from the public prior to resolving the filings.

On March 25, 2019, the Department held its second 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. Furthermore, NASAA has an Ombudsman session twice a year at its national conferences, and the Department also receives feedback from those events.

Finally, as a result of the Department's public survey of its website: disb.dc.gov from December 2018, the Department is working with the Office of the Chief Technology Officer to make the site more user-friendly.

a. Please explain what the Department has learned from this feedback, including specific examples; and

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 Insurance Advisory Committee 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 explore ways to obtain cost savings for consumers.

b. Explain how the Department has 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 2019 that helped applicants compare prescription drug coverage and understand health insurance terminology (e.g., premium, deductible, and copayments). The Department also developed a consumer guide on *If My Frozen Pipes Burst, Am I Covered by Insurance?* and several consumer alerts on real estate wire transfer scams, payday loans, fighting fake insurance, genetic testing scams, grant scams and the grandparent scam to help District residents protect their financial history, identity and security. The Department also released a series of short videos to share tips and explain financial scams that the public can watch from their mobile phones and tablets.

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 2020, the Department will be implementing new customer satisfaction and “How can we help you?” surveys for several programs.

28. Please attach copies of the required annual small business enterprise (SBE) expenditure reports for the Department for Fiscal Year 2018, Fiscal Year 2019, and Fiscal Year 2020, to date.

a. D.C. Official Code § 2-218.53(b) requires each District agency to submit supplemental information with their annual SBE expenditure report, including: a description of the activities the agency engaged in to achieve their fiscal year SBE expenditure goal; and a description of any changes the agency intends to make during the next fiscal year to achieve their SBE expenditure goal. Has the Department submitted the required information for Fiscal Year 2019? Please provide a copy as an attachment.

Please see Appendix 11 – FY 2018 and FY 2019 SBE Expenditure Reports. Please note that SBE Expenditure Reports are not available for FY 2020, however the Department’s spending goal from the Mayor’s FY20 Small Business Opportunity Guide also is included.

29. **Please provide a copy of the Department’s Fiscal Year 2019 performance plan. Please explain which performance plan objectives were completed in Fiscal Year 2019 and whether or not they were completed on time and within budget. If they were not, please provide an explanation.**

The Department successfully completed all its Key Performance Indicators and Strategic Initiatives in FY 2019, on time and within budget.

Please see Appendix 12 – FY 2019 Performance Plan.

30. **Please provide a copy of the Department’s Fiscal Year 2020 performance plan as submitted to the Office of the City Administrator.**

Please see Appendix 13 – FY 2020 Performance Plan.

Personnel

31. **Please separately list each employee whose salary was \$100,000 or more in Fiscal Year 2019 and Fiscal Year 2020, to date. Please provide the name, position number, position title, program number, activity number, salary, and fringe for each. In addition, state the amount of any overtime or bonus pay received by each employee on the list.**

Please see Appendix 14 – List of Employees with Salaries over \$100,000.

32. **Please list, in descending order, the top 25 overtime earners in the Department in Fiscal Year 2019 and Fiscal Year 2020, to date. For each, please 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 15 – List of Top 25 Overtime Earners.

33. **For Fiscal Year 2019 and Fiscal Year 2020, 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 2019

Employee Name	Bonus Paid	Reason
Blackstone, Lilah R.	\$3,022.24	Bonus paid pursuant to the Legal Services Act.
Levi, Adam	\$3,281.22	Bonus paid pursuant to the Legal Services Act.
Parker, Charlotte	\$3,490.40	Bonus paid pursuant to the Legal Services Act.
VanHorne, Lashawn	\$1,000.00	CFO Award for E-Invoicing Team
Total	\$10,793.86	

FY 2020

There have been no bonuses paid in FY 2020, to date.

Special Award Payments

FY 2019

Employee Name	Amount	Reason
Abdullah, Idriys J.	\$1,125.00	Mr. Abdullah is currently a DISB employee, but this payment was for work he performed as an adjunct professor at UDC. The payment should not have been charged to DISB's budget. DISB will ensure this is corrected.
Haynes, LaShaunda	\$1,120.00	Ms. Haynes is currently employed as a teacher at DCPS. She was previously employed at DISB. This payment was for work she performed as a DCPS employee, and the payment should not have come from DISB's budget. DISB will ensure this is corrected.
Total	\$2,245.00	

FY 2020

Employee Name	Amount	Reason
Haynes, LaShaunda	\$700.00	Ms. Haynes is currently employed as a teacher at DCPS. She was previously employed at DISB. This payment was for work she performed as a DCPS employee, and the payment should not have come from DISB's budget. DISB will ensure this is corrected.
Total	\$700.00	

34. **Please provide each collective bargaining agreement that is currently in effect for Department employees. Please include the bargaining unit and the duration of each agreement.**

Two collective bargaining agreements are currently in effect for Department employees:

- Master Agreement between the American Federation of State, County and Municipal Employees (AFSCME), District Council 20, AFL-CIO and the Government of the District of Columbia (the Union or AFSCME) are covered. These Union or AFSCME employees have two agreements, a Collective Bargaining (Master Agreement) and a Compensation Agreement, with the Labor

Organizations who represent Units 1 and 2. The last formal agreements were effective through Fiscal Year (FY) 2010. While negotiations continued after FY2010, the formal agreements remain in place.

- Most Department attorneys are represented under the American Federation of Government Employees, Local 1403, Compensation Unit 33. The Mayor signed new compensation and collective bargaining agreements on January 16, 2018, the agreements is effective October 1, 2017 through September 30, 2020.

Please see Appendix 16 – Collective Bargaining Agreements

35. **Please explain how the Department conducts annual performance evaluations of its employees, including who conducts the evaluations and what steps are taken to ensure that all agency employees are meeting individual job requirements.**

The Department conducted annual performance evaluations of all its employees for the fiscal year ending on September 30, 2019. Evaluations were completed by the employee's 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 all managers and supervisors to conduct mid-year reviews to ensure that all Department employees were meeting individual job requirements.

36. **Does the Department conduct employee satisfaction surveys or otherwise solicit such information from employees? If so, please explain how such information is collection and evaluated, including whether responses are anonymous and/or confidential. Please explain what steps are taken to ensure that all Department employees are comfortable in the work environment.**

The Department does not conduct employee surveys. In order to maintain a comfortable work environment, the executive and management staff maintain an open-door policy to engage with staff. Open communication provides the foundation for resolution of concerns in an efficient manner. The Department has a Labor Management Council that serves as a liaison for management and staff concerns and recommendations.

37. **Please provide the total number of complaints or grievances from employees or former employees that the Department received or was aware of in Fiscal Year 2019 and Fiscal Year 2020, to date, including, but not limited to, matters concerning program implementation and work environment.**

The Department is aware of 12 purported grievances filed in FY 2019 and FY 2020 to date.

38. **Please provide a list of any additional training or continuing education opportunities made available to Department employees. For each training or continuing education program, please provide the subject of the training, the names of the trainers, and the number of agency employees that were trained. Please discuss whether the Department accepts requests from employees to engage in specific training opportunities.**

Please see Appendix 17 – List of Training/Continuing Education Opportunities

39. **Please discuss any training deficiencies the Department identified during Fiscal Year 2019 and Fiscal Year 2020, to date, and plans the Department has to address those deficiencies.**

The Department has not identified any training deficiencies during Fiscal Year 2019 and Fiscal Year 2020. There are continued efforts to expand training opportunities for all employees.

Agency Operations

40. **Please list each new program implemented by the Department during Fiscal Year 2019 and Fiscal Year 2020, to date. For each initiative please provide:**
- a. **A description of the initiative;**
 - b. **The funding required to implement the initiative;**
 - c. **The division(s) or subdivision(s) within the Department responsible for implementation of the program; and**
 - d. **Any documented results of the initiative.**

Appraisal Management Companies

- a. The Department began regulating Appraisal Management Companies in FY 2019. An Appraisal Management Company, or AMC, is an independent entity through which mortgage lenders order residential real estate valuation services for properties on which they are considering extending loans to homebuyers. Individual appraisers, who work for AMCs, provide the actual property valuation services.

The Dodd-Frank Wall Street Reform and Consumer Protection Act, approved July 21, 2010 (124 Stat. 2192; 12 U.S.C § 3353) required states and the District to establish minimum standards for the regulation of AMCs in order for AMCs to engage in federally related transactions. The Department began accepting applications to regulate AMCs on July 23, 2019.

- b. The Department absorbed the cost of regulating AMCs into its FY 2019 budget.
- c. The Banking Bureau is responsible for implementing the regulation of AMCs.

- d. To date, the Department has licensed 97 AMCs.

Service Contract Providers

- a. The Department began regulating Service Contract Providers in FY 2019. A “Service Contract Provider” is a company that agrees to perform the repair, replacement, or maintenance of property or indemnification for service, repair, replacement, or maintenance for the operational or structural failure of any motor vehicle, major household appliance or other consumer good that has a purchase price that exceeds \$100.00.
- b. The Department absorbed the cost of regulating Service Contract Providers into its FY 2019 budget.
- c. The Insurance Bureau is responsible for implementing the regulation of Service Contract Providers.
- d. To date, the Department has licensed 20 Service Contract Providers.

Opportunity Accounts Program

- a. The Department relaunched the Opportunity Accounts Program in FY 2019. DISB contracted with Capital Area Asset Builders (CAAB) to administer this. The Department funded the program with \$450,000 and CAAB, in turn, raised \$450,000 from two non-profit organizations. and opened 130 accounts for low-to-moderate District residents. Savers agree to complete financial education classes and use their savings for an asset-building purpose – typically for post-secondary education or job training, home purchase, or to capitalize a small business. In addition to earning match dollars and interest on their savings savers learn about budgeting, saving and receive additional training before purchasing an asset. The Opportunity Accounts Program makes it possible for individuals to build the financial assets they need to achieve the American dream.
- b. The Department provided \$450,000 to fund this program.
- c. The Office of the Commissioner is responsible for implementing the Opportunity Accounts program.
- d. To date, 130 bank accounts have been opened for District residents, four residents have withdrawn their funds to pay for items related to starting their small business enterprises, and an additional four are expected to withdraw their funds soon to pay for items related to higher education and home purchases and repairs .

41. **Please provide updates on the “Financial Empowerment Center” program and any innovative approaches to expanding outreach efforts in Fiscal Year 2020. If there is no progress to report, please explain.**

The Department is committed to expanding Mayor Bowser’s vision of creating pathways to the middle class through the creation of the District’s Financial Empowerment Center (FEC). The Department has taken a number of steps to expand outreach efforts to increase the impact of our financial empowerment and education programs.

The Department recently established the position of Director of Financial Empowerment and Education, the programmatic lead for all of the Department’s financial education programs, including the FEC. The FEC is a continuation of the work established by the Bank on DC Program and subsequently the Financially Fit DC initiative for District residents. The goal of the FEC, and all the Department’s financial empowerment programs, is to provide District residents with resources to help them move forward toward financial freedom.

In October 2018, the District was selected by national non-profit, Cities for Financial Empowerment to participate in the 2018 Cohort for the development of a financial empowerment center. The FEC model is part of an effort to embed financial empowerment strategies into municipal infrastructure with focus on four key areas: asset building, banking access, consumer protection and financial education and one-on one counseling.

The FEC initiative provides free, one-on one financial counseling as a public service to all residents. Professionally trained counselors help consumers with low incomes manage their finances, pay down debt, increase savings, establish and build credit, and access safe and affordable mainstream banking products.

Another core component of the FEC is the integration of financial counseling into other social services, to facilitate counseling delivery, ensure a flow of clients referred through a range of local government and community organizations, including workforce development, housing, foreclosure prevention, prisoner reentry, benefits access and more. The FEC model is a data-driven one, where data is systematically tracked across a set of defined outcomes in a database used by all FECs around the country, to understand the program impact, improve the program credibility and also to help cities tell their own stories and justify the public funding that is being channeled to the FECs.

Key milestones for the FEC in the District of Columbia:

FY 2019

- Establish technical assistance grant with National nonprofit, Cities for Financial Empowerment (CFE)
- Budget allocation in FY 2020
- Announcement of FEC initiative to key District government agencies
- Establishment of Office of Financial Empowerment and Education

- Convening of Advisory Subcommittees committees and establishing subcommittees (fundraising, partnerships and outreach) for assistance during the planning phase
 - Subcommittees consisted of District agencies, non-profit organizations, private sector and philharmonic entities

FY 2020

- Proposal submission to CFE
- Procurement of counseling provider, marketing and training
- Location determination in partnership with DGS
- Marketing and awareness campaign in conjunction with Financially Fit DC to engage residents in asset building conversations.
- Partnership with Serve DC, Mayor’s office on Partnership and Volunteerism for MLK Day events
- Partnership with Mayor’s Office on African American Affairs, Financially Fit DC on building generational wealth
- Launch first program installment of program by end of FY 2020

42. **Please explain the impact on the Department of any legislation passed at the federal level during Fiscal Year 2019 and Fiscal Year 2020, to date, which significantly affected Department operations. If regulations are the shared responsibility of multiple agencies, please note.**

There was no legislation passed at the federal level in FY 2019 or FY 2020 to date the significantly affected Department operations. There are a number of pending bills in Congress that could impact insurance regulation in the District, including bills related to flood insurance, terrorism and surprise balance medical billing.

43. **Please list all regulations which the Department is subject to at the federal level. Please explain how the Department complies with those regulations and explain any non-compliance or lapses in compliance.**

The Department is responsible for complying with all applicable federal laws and regulations. The financial services entities that the Department licenses also are responsible for complying with applicable federal statutes and regulations, and the Department plays a role in ensuring that these entities meet those standards.

Examples of federal regulations that the Department is subject to include:

Insurance

- Regulations associated with the Health Insurance Portability and Accountability Act (HIPAA). the Dodd-Frank Wall Street Reform and Consumer Protection Act, and the Patient Protection and Affordable Care Act (ACA)

Securities

- Regulation Best Interest
- Regulations associated with the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940 and the Investment Company Act of 1940

Banking

- Regulations associated with the Dodd-Frank Wall Street Reform and Consumer Protection Act, including the Appraisal Management Company rule.

44. **Please list all regulations for which the Department 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)
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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)
<i>Chapter C31.</i>	<i>Appraisal Management Companies (12/5/2019)</i>

45. **Please identify any statutory or regulatory impediments to the Department’s operations, including any outstanding legislative requirements of the Department (e.g. implementation of rulemakings).**

Currently, there are no statutory impediments to the Department’s operations.

46. **Please identify all electronic databases maintained by the Department, including the following:**
- a. **A detailed description of the information tracked within each system;**
 - b. **The age of the system and any discussion of substantial upgrades that have been made or are planned to the system; and**
 - c. **Whether the public can be granted access to all or part of each system.**

Insurance Bureau Electronic Databases:

- **State-Based System (SBS)** – SBS was created in 2000 by the National Association of Insurance Commissioners in collaboration with a few states and the District of Columbia.

DISB was the first 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. The public is also able to identify registered agents for insurers through SBS from our website.

- **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.

The public has access to all approved form and rate filings in SERFF through the DISB website.

Securities Bureau Electronic Databases:

- **MicroPact STAR System** – The STAR system has been in use at the Department since 2001. STAR is maintained by the Corporation Finance and Licensing Divisions of the Securities Bureau. The system has modules that track licensing activity pursuant to Title II of the Securities Act of 2000 (DCSA) and registration filings and notice filings that are related to securities offerings subject to the requirements of Titles III and IV of the DCSA. The corporate filings are primarily SEC Uniform Investment Company Notice Filing Form NF for mutual fund offerings, Securities and Exchange Commission Form D for Regulation D offerings, and similar notices of securities offerings in other categories that are not subject to the registration requirements. The securities firm licensing information is tracked in the database and includes the name and identifying numbers of the licensee or applicant, the licensing category, and the status of the license.

The licensing functionality was enhanced in FY 2013 by enabling the importation of licensing data directly from FINRA. Securities offering information tracked in the database includes: name of issuer; description of securities issued; amount of securities offered; names and ID numbers of broker dealer firms and agents; sales information; and status of DISB’s processing of these filings. The Licensing and Corporation Finance Divisions staff have access to this system, in addition to DISB’s IT and Office of the Chief Technology Officer (OCTO) staff. A new version of the client application was rolled out in December 2015. The Securities Bureau has a contract with the vendor, MicroPact, to migrate the hosting of the STAR servers to MicroPact.

- **BlueExpress** – BlueExpress is the database system maintained by the Securities Bureau’s Corporation Finance Division, DISB IT Administrators and OCTO, that provides electronic filing services for financial institutions. The STAR registration system imports securities filing data from the BlueExpress system. Information tracked within the system includes: name of licensed firm or issuer, names and ID numbers of officers and directors, names and ID numbers of broker dealer firms and agents, and descriptions of securities issued and other sales information. Access to BlueExpress is afforded to investment company filers who have executed a MOU with DISB to use the system. The BlueExpress system has been in use at DISB since 2002. No upgrades are anticipated.
- **Electronic Filing Depository (EFD)** - EFD is used by the Corporation Finance Division (CFD). Developed and operated by the North American Securities Administrators Association (NASAA), EFD is an online system that allows an issuer to submit a Form D for a Regulation D, Rule 506 offering, to state securities regulators and to pay related fees. Rule 506 of Regulation D is a “safe harbor” for the private offering exemption of Section 4(a)(2) of the federal Securities Act and provides an exemption for offerings to verified accredited investors. Issuers relying on the Rule 506 exemption do not have to register their offerings of securities with

the SEC or state securities regulators. But they must file a “Form D” with the SEC and state securities regulators where they offer the securities, including the District.

EFD was created to provide an efficient, streamlined system for state Form D filing requirements. Issuers benefit from a uniform process to submit their filings to the states. Additionally, the EFD website enables the public, free of charge, to search and view the Form D’s for the offerings in the system. As a result, investor protection is strengthened by the improved transparency the system provides for Form D filings. CFD began receiving Form D filings from the EFD when the system was launched on December 15, 2014. CFD receives filings of Form D through the EFD system. Those filings are then processed manually into the STAR system. Unlike the BlueExpress system, EFD does not interact electronically with the STAR system at this point.

While EFD and the STAR system are not yet integrated and communicating with each other electronically, NASAA is continuing its work to expand the types of filings for which filers may soon be able to submit through the EFD (i.e., SEC Regulation A/A plus, and the mutual fund Form NF (the Securities Bureau now uses theBlueExpress system to accept Form NF filings electronically)). Also, the STAR vendor (MicroPact) has informed CFD that it is rolling out a new platform (i.e., a complete system update) that most likely will facilitate the integration of these systems with EFD. CFD set an 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.

47. **Please provide a detailed description of any new technology acquired in Fiscal Year 2019 and Fiscal Year 2020, to date, including the cost, where it is used, and what it does. Please explain if there have been any issues with implementation.**

Technology	Fiscal Year	Cost	Where Used	Use
TEEM Subscription/Lobby Connect	FY19	\$11,272.98	Admin/Policy	Hardware and software for meeting room scheduling and lobby/reception area check-in
Visual CPTRAX software	FY19	\$5,025.42	Admin/Policy (IT)	Workstation auditing and file system module
Unitrends Backup Application	FY19	\$9,994.00	Admin/Policy (IT)	File maintenance and preservation
Box licenses	FY19	\$6,600.00	Multiple Bureaus/Divisions	Manage, secure, and share content for internal and external collaboration

Technology	Fiscal Year	Cost	Where Used	Use
Plantronics CS540 Wireless Headsets	FY19	\$9,240.00	Multiple Bureaus/Divisions	Promotes privacy and productivity related to telephone calls for staff members seated in cubicle workstations

48. **Please describe any steps the Department took in Fiscal Year 2019 and Fiscal Year 2020, to date, to improve the transparency of Department operations.**

The Department held three public hearings in FY 2019. DISB held a public hearing on auto insurance rates in the District on March 25, 2019. Commissioner Taylor received testimony from insurance companies, a rating agency, the District’s Department of Transportation, insurance agents, trade associations, consumer advocates, and members of the public. This hearing provided the public with a greater understanding of the Department’s process of reviewing rates filed by insurers offering private passenger auto insurance rates in the District. The hearing also allowed residents to provide comments, which the Department will consider in reviewing auto rates.

The Department also held two health insurance rate hearings in FY 2019. The first hearing on health insurance rates was held on June 10, 2019 and the second hearing was held on August 22, 2019. Commissioner Taylor received testimony from health insurers, the Department’s consulting actuary, the Health Benefits Exchange Authority, insurance agents and brokers, small business owners, sole proprietors, and several members of the public. The Department considered the input from all these stakeholders in its review of the 2020 health insurance rates.

49. **Please list the top five priorities for the Department, and please provide a detailed explanation for how the Department expects to achieve or work toward these priorities in Fiscal Year 2020.**

Priority #1

Financial Empowerment Center – The Department will open the District’s first Financial Empowerment Center in FY 2020. The Department, in collaboration with the Cities for Financial Empowerment Fund, is in the process of designing the FEC, which will provide one-on-one financial counseling to low-to-moderate District residents.

Priority #2

Financial Services Regulatory Sandbox and Innovation Council – The Mayor recently launched the Financial Services Regulatory Sandbox and Innovation Council (Council).

The Council is currently comprised of 19 professionals who are experts in financial services, regulation, technology, law, and government. The Council will carefully consider the benefits and pitfalls of creating a regulatory sandbox in the District and will issue a report in FY 2020 and the Department is charged with supporting the Council.

Priority #3

DC BizCap Program – The Department is planning to relaunch the Department’s DC BizCap program by reintroducing the program to participating lenders as well as new banks and community development financial institutions to familiarize them with the benefits of investing in District-based small businesses.

Priority #4

Financial Services Owner’s Manual – The Department is planning to design and publish a Financial Services Owner’s Manual (Manual) in FY 2020. The Manual will provide residents with detailed information about the various types of insurance that is available in the District, including what is covered and what is not, why it is needed, where to buy it, and other useful information. The Manual will be made available to all District residents without charge.

Priority #5

Financial Services Academy – The Department is planning to expand its Financial Services Academy by getting additional colleges and universities, and private sector employers to provide training and employment opportunities for young women and men interested in pursuing a career in the financial services industry.

50. **Please discuss the how the Department tracks, analyzes, and intervenes to prevent foreclosures, highlighting any recent changes or updates. Please provide the following information relating to foreclosures:**

- a. **Resources the Department currently makes available to residents who are facing foreclosure, including a description of how residents can access those resources and what community outreach efforts have been made to make residents aware of the availability of such resources;**

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. The number of foreclosures reported in Fiscal Year 2019 and Fiscal Year 2020, to date;

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 2019	19	9
FY 2020, to date	9	3

Total Number of Notices of Trustees Deed (Actual Foreclosures)

	Total – Notice of Trustees Deeds
FY 2019	719
FY 2020, to date	124

- c. Whether the foreclosure rate is improving in the District, and if it is not, whether the Department has determined why and what action has been taken or planned to correct course;**

Based on the statistics provided to us from Housing Counseling Services, it appears that the foreclosure rate is gradually improving. The higher number of foreclosure filings and actual foreclosures (in earlier years) were due to the previous backlog. Now that the courts are beyond the backlog, foreclosure filings and actual foreclosures have slightly decreased over the past two years.

- d. Which Wards and/or neighborhood are impacted the most by foreclosure; and**

Below is a breakdown, by ward, which shows the percentage of residents served over the past 4 fiscal years and the first two fiscal months of the current fiscal year through the DISB/HCS contract. These figures do not necessarily correspond to overall foreclosure rates across all wards of the District.

<u>Ward</u>	<u>Oct '19 – Nov '19</u>	<u>2019</u>	<u>2018</u>	<u>2017</u>	<u>2016</u>
1	10%	7%	7%	6%	8%
2	0%	2%	1%	1%	2%
3	0%	2%	3%	2%	4%
4	23%	18%	18%	19%	21%
5	5%	19%	22%	22%	19%
6	10%	10%	9%	5%	5%
7	26%	30%	26%	27%	25%
8	26%	12%	14%	18%	16%

- e. Whether there is backlog, and if so, how the Department has 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.

51. **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 2019, 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. The mediation program has prevented foreclosures with lenders and homeowners agreeing to loan modifications, repayment plans, reinstatements, short sales, and other alternatives.

The fifth fiscal year of the mediation program has proved to be very successful. There were a total of 292 positive outcomes that were achieved through the efforts of Housing Counseling Services which is an increase of 43 percent. Property values of homes saved from foreclosure totaled over \$140,139,779. The number of households that received legal assistance remained relatively the same (182 households vs 195 previously) and the number of hotline calls (857) remained relatively the same as well (increase of 2 callers).

For the current fiscal year, a total of 37 positive outcomes have been achieved. Property values of homes saved from foreclosure total \$16,536,876. There are 22 new clients receiving legal assistance and the foreclosure prevention hotline has received 112 calls so far.

<u>Demographics</u>	<u>Oct & Nov '19</u>	<u>2019</u>	<u>2018</u>
District Residents Served	42	592	686
Home Foreclosure Modifications	17	115	91
Mortgages Brought Current	6	63	57
Outreach Letters Sent	153	869	940
Hotline Calls	112	857	855

DC Judicial Mediations Hearings	N/A	N/A	4859
Values of Properties Saved	\$16,536,876	\$140,139,780	\$95,800,481

52. In Fiscal Year 2019 and Fiscal Year 2020, 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 when to act.

53. In Fiscal Year 2019 and Fiscal Year 2020, to date, has the Department engaged the Superior Court of the District of Columbia to improve the judicial foreclosure process? Please provide data or specific examples of how the Department 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.

During the 2019 Fiscal Year, HCS and their legal partners (Legal Counsel for the Elderly and Legal Aid) provided two foreclosure trainings to DC Superior Court Staff. The first training was for Superior Court judges and clerks. That training consisted of an in-depth training of foreclosure avoidance strategies. The 2nd training was specifically for Superior Court Mediators. The topics covered in that training were foreclosure avoidance strategies, legal claims and specialized issues (rights of heirs, reverse mortgages).

54. Please describe the programs or procedures the Department has 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.

55. **Please provide an update on the “Financially Fit DC” initiative and any innovative approaches to expanding outreach efforts in Fiscal Year 2019. If there is no progress to report, please explain.**

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 Mayor's Office on African American Affairs (MOAAA), the Department of Housing and Community Development (DHCD), and DISB, along with its Bank on DC program.

DISB is the lead agency for the initiative, in terms of online registration, marketing, and promotion of the program. Residents may access the program via the Internet at welcome.financiallyfit.com. DISB began offering the Financially Fit DC online tool in Spanish in 2018. To date, 4,641 residents have signed up for the online program. Through the online program, residents can learn about saving, investing, homeownership, credit reports, loans, setting goals, and creating an action plan.

In terms of demographics: 68% of users are female and 31% male, with 1% identify as other. By age, 54% are age 31- 50, 30% are age 51-70, 12% are 18-30. African Americans make up 78% of users, while 10% are white, 6% Hispanic, 2% Asian/ Pacific Islander, 1% Native American and 4% is other.

The initiative is an extension of DISB's efforts to bring financial education and empowerment to residents. In August 2019, DISB launched the Opportunities Accounts Program. This program is a matched savings program that will help qualified District residents potentially save up to \$7,500. Those funds can be used to help pay for a variety of expenses, including education, first-time home purchases, small business development, retirement, home renovation and college expenses.

The DC Opportunity Accounts program is administered by the Department through its contractor, Capital Area Asset Builders (CAAB). DISB budgeted \$850,000 in Fiscal Years 2019 and 2020 for the program. Fiscal Year 2019 dollars were matched with \$350,000 from the A. James & Alice B. Clark Foundation and \$100,000 from Wells Fargo. CAAB will seek private funders to match the Fiscal Year 2020 dollars.

DC Opportunity Accounts works as follows: Qualified residents make regular deposits of up to \$1,500 in a savings account for a maximum of 18 months. DISB matches the deposits 2:1, with private funders like Wells Fargo and the Clark Foundation also matching the deposits 2:1. For example, participants who save \$1,500 will get a match of \$6,000, growing their contribution to \$7,500. The funds can be used toward investments in college, continuing education, job training, first-time home purchases, and small business development. The funds may also be used to pay for medical emergencies and to help leverage the cost of retirement.

To qualify for the program, applicants need to meet specific requirements:

- Be a District resident.
- Have a maximum annual household income of \$54,250, for households with one adult and \$62,000 for two adults living in the same household.
- Have earned income.
- Have less than \$10,000 in net assets (excluding a primary home and one vehicle).

Participants must contribute to the account for at least six months and take part in money management and asset-specific training before they can make a matched withdrawal.

Participants who plan to use the matched savings to buy homes must qualify as first-time homebuyers.

With the current funding, there are 130 slots available in the first cohort of the program. All 130 slots have been filled by District residents.

56. **Please provide the number of District-wide town hall meetings the Department held in Fiscal Year 2019 and Fiscal Year 2020, year to date. For each meeting, please discuss the locations, dates, topics of discussion, and number of attendees.**

The Department participated in 235 presentations, panel discussions, expos, summits and other events throughout the District in FY 2019, and 32 thus far in FY 2020. The Department has attended events in each ward of the city. Below are highlights of the Department's outreach efforts.

In FY 2019, 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.

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 57 events at senior centers across the city reaching 4,633 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 financial literacy reality fairs for youth and relaunched the DC Opportunity Accounts program. The Department also held its first Financial Literacy Day at H.D. Woodson High School that included a concert for students in collaboration with Funding the Future. Other DISB events included DMPED's Open House, the Annual Tenant and Tenant Association Summit, 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 and WeDC Futures 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 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 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, National Consumer Protection Week, National Retirement Week, and the District's Earned Income Tax Credit initiative.
- In FY 2019, 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 forums 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 18.

57. Please provide a detailed update on the "State Small Business Credit Initiative." Explain how the Department has engaged Ward 7 and 8 businesses to participate in the Initiative during Fiscal Year 2019 and Fiscal Year 2020, to date.

In FY 2019, the DC BizCAP Collateral Support Program helped restructure a loan for a Ward 7 business to modify financing to improve cash flow. Additionally, we provided collateral support to help a Ward 6 business open a clothing store and café. In FY 2020, we helped restructure a loan for a Ward 5 business and provided a loan to a Ward 6 business

to finish their renovations so that they could open their new location. Overall, we disbursed a total of approximately \$2.0 million

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.

58. **Please provide a detailed update on the District’s “Business Capital Program,” including detailed updates on the “Collateral Support Program,” the “Loan Participation Program,” and the “Innovation Finance Program.”**

- a. **Please explain how these programs are administered, including which division(s) or subdivision(s) are responsible, how many employees are engaged in the administration of the program, whether the Department has sufficient professional staff to administer the programs, and whether the Department faces impediments to the successful administration of the programs;**

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 DC BizCAP program is currently run by a Program Manager and a Program Support Assistant. The Program is supported by Senior Management and the Legal Department is available to assist if needed. 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.

b. Please provide the number of small businesses and entrepreneurs who have engaged with the programs and include the Wards where these businesses are located; and

Over the course of the year DC BizCAP engaged with 100 businesses from all 8 wards.

c. Please describe what outreach has been done to make District-based businesses, especially Certified Business Enterprises, aware of these programs. Please explain what innovative ideas the Department has to expand its outreach efforts in Fiscal Year 2020.

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.

59. **In Fiscal Year 2019 and Fiscal Year 2020, to date, how has the Department collaborated with the Department of Small and Local Business Development and the Department of Consumer and Regulatory Affairs on the District’s Business Capital Program?**

In FY2019, the Department collaborated with the Department of Small and Local Business Development in creating the DC Capital Connector. This initiative is a strategic among the Department, the Department of Small and Local Business Development (DSLBD), Life Asset, the Latino Economic Development Center, Construction Bonds Inc., and Invest Sou Sou. The DC Capital Connector provides intelligent lender and surety bonding matching services to small businesses that are looking for lenders who can provide much needed capital to grow their business. The Department and DSLBD will continue to work together on this initiative in FY 2020.

In FY 2019, the Department held three public outreach events in collaboration with the Department of Consumer and Regulatory Affairs (DCRA). These events provided District small business owners with information about the Department’s DC BizCap program. The Department will continue to work with DCRA to promote the DC BizCap program in FY 2020.

The Department has collaborated with the 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.

60. **Please detail how many businesses have benefited from participation in the Department’s small business programs in Fiscal Year 2019 and Fiscal Year 2020, to date and include the Ward where each business is located.**

In FY 2019, the DC BizCAP Collateral Support Program helped restructure a loan for a Ward 7 business to modify financing to improve cash flow. Additionally, we provided collateral support to help a Ward 6 business open a clothing store and café. In FY 2020, we helped restructure a loan for a Ward 5 business and provided a loan to a Ward 6 business to finish its renovations so that they could open their new location. Overall, we disbursed a total of approximately \$2.0 million.

61. **Please provide a detailed update on the Crowdfunding program. Please describe any modifications or innovative solutions to attract more entrepreneurs and small business.**

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. The Securities Bureau has made several presentations of DISB’s Crowdfunding program but has received few expressions of interest in FY 2019 and 2020 to date. That is consistent with what other states are experiencing. We believe one likely reason for that is the new SEC Crowdfunding program, which came online in late FY 2018. That program is similar to state programs, but it allows issuers to offer their securities in more than one jurisdiction. The newly established Regulatory Sandbox Council may develop some attractive alternatives during the coming year.

62. **Please outline any other “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

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.

63. **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 June 30, 2019, there are 30 banks with 210 branches in the District.

Please see Appendix 19 – Bank Branches by Ward.

64. **Please provide the number of applications for licenses for international banks to do business in the District that the Department has received in Fiscal Year 2019 and Fiscal Year 2020, to date.**

The Department did not receive any application for licenses for international banks to do business in the District in FY 2019 or FY 2020 to date.

65. **Please explain why, in the Department’s opinion, there is only one bank chartered in the District. Discuss whether the Department believes that having more District chartered banks will benefit the residents of the District and what efforts the Department is making to increase the number of banks chartered in the District.**

Currently, Industrial Bank is the only District-chartered bank in operation. This is due to several reasons, including the cyclical nature of the banking industry, the start-up costs and capital required to establish a de novo bank, the regulatory burden of operating a community bank and prospects of profitability for a de novo bank.

At one point in the last 12 years, the District of Columbia was home to three chartered depository institutions – two de novo community banks and one long-standing minority depository institution that changed from a federal charter to a District of Columbia charter. Given the cyclical nature of the banking industry, one of the de novo community banks opted to switch to a Virginia-charter to better align with its customer base located mostly in Northern Virginia. The second de novo community bank enjoyed a successful 10 year run growing to over \$1 billion in assets before it was acquired by a large regional bank.

The start-up costs and capital to establish a de novo bank is another hurdle to the chartering process. An investment group would need to raise several million dollars to obtain FDIC insurance and a District-charter, leasing premises and to identify and recruit talent to manage the de novo. Investors can typically find a better vehicle with better odds for profitable returns than de novo banking.

The regulatory burden of establishing and operating a de novo bank is another significant hurdle that prevents individuals from chartering a bank. Banking is one of the most heavily regulated financial service industries and the regulatory burden persists throughout the life cycle of an institution.

Over the last 18 months, the Department has received two applications for new bank charters: One received conditional approval in January 2019, and has been trying to raise the necessary capital; the other application was deemed complete in December 2019, and is currently being reviewed by the Department and Federal Deposit Insurance Corporation (FDIC).

District of Columbia residents would benefit from having a District-chartered bank by having more competition for their business as bank customers. Additionally, a District-chartered bank would likely understand the District metropolitan area better and be able to better assist the business community as well as residents with its products offering, pricing and customer service.

There are things that the District may be able to try to spur more charters in the District but there is no guarantee that this would bring additional charters to the District because of all the variables that we mentioned before. However, maybe we could give District Chartered Banks an additional 10 points for financial contracts in the District. Or maybe we could include preferences for first time homebuyer financing opportunities or administering façade improvement programs.

66. Please provide an update on the public bank study that was funded in the Fiscal Year 2018 budget.

The Public Bank study was completed in FY 2019 and is currently under review.

67. **Please explain how the Department has actively tried to attract additional bank branch locations in the District, specifically in Wards 5, 7, and 8.**

a. **How many banks did the Department meet with in Fiscal Year 2019 and Fiscal Year 2020, to date, expressing interest in operating bank branches in Wards 5, 7, and 8?**

The Department met with multiple prospective banking partners in FY 2019 and FY 2020. In FY 2019, the Department granted conditional approval to Moxy Bank to open a branch in Ward 6; however, at this time it has not been able to raise the capital required by both District and federal regulators. Additionally, the Department received an application from another interested party, and we are hoping to announce a hearing soon regarding this proposed new bank. Although this new bank will not be physically located in Wards 5, 7, or 8 they are looking forward to becoming an active partner in those communities.

68. **Please discuss the Department's accreditation status with the Conference of State Bank Supervisors ("CSBS"). If the Department is not accredited, please discuss the Department's efforts to obtain accreditation and provide an update on the status of accreditation, and whether the District's lack of accreditation has negatively impacted the District's ability to attract District chartered banks.**

In FY 2019, the Department had a pre-accreditation review that was completed by CSBS. CSBS provides this as a service to help prepare an organization to sit for accreditation. The Department received very positive feedback during this process, and we are looking forward to a final accreditation review in 2020. CSBS also just introduced accreditation guidelines for Money Transmitter organizations and the Department is currently gathering information and may begin the process for Money Transmitter accreditation in late FY 2020.

Accreditation through CSBS provides regulatory agencies with guidance and assistance through self-evaluation and self-improvement, it helps standardize processes through documentation, it demonstrates that the agency meets the standards for state bank and mortgage supervision, allows an agency to share ideas and best practices for the regulation of financial services, and strengthens bank and mortgage regulation by meeting a shared set of principles. However, we have found no correlation between the number of chartered banks and accreditation and do not see the lack of accreditation as a reason for only having a single chartered bank.

69. Please provide the data accumulated by the Department’s banking division for the biennial report for Fiscal Year 2018, Fiscal Year 2019 and Fiscal Year 2020, year to date.

DISB - Banking Bureau Licensing Statistics			
Category:	FY 2018	FY 2019	FY 2020, Year to Date
Mortgage Lenders/Brokers	1,397	1,420	1,435
Mortgage Loan Originators	5,512	5,091	5,280
Check Cashers	74	68	68
Money Transmitters	111	126	124
Retail Seller and Consumer Sales Finance Companies	88	99	99
Money Lenders	48	56	57
Student Loan Servicers	16	43	45
Appraisal Management Companies		79	96
Total	7,246	6,982	7,204

70. Please provide the data accumulated by the Department’s risk finance bureau for the two most recent biennial reports.

New Captive Insurance Companies Licensed in the District

FY 2019	FY 2020, to date
19	6

Growth of District Captives (numbers in \$millions)

	CY 2016	CY 2017	CY 2018
Gross Premiums Written	787	5,426	1,398
Net Premiums Written	428	5,021	847
Net Premiums Earned	414	4,982	783
Underwriting Profit	79	46	61

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

	CY 2016	CY 2017	CY 2018
Cash and Invested Assets	2,560	5,555	5,461
Total Assets	3,358	7,040	7,799
Total Capital and Surplus	1,012	1,295	1,369

Premium Tax and Fee Revenue by Calendar Year

	CY 2016	CY 2017	CY 2018
Premium Taxes	\$2,174,102	\$2,545,343	\$2,788,082
Fines and Fees	\$41,460	\$52,640	\$70,190

CAPCO Fee Revenue by Calendar Year

	CY 2016	CY 2017	CY 2018	CY 2019
Annual Fees	\$20,000	\$20,000	\$20,000	\$20,000

71. **Please provide the data accumulated by the Department’s securities division for the two most recent biennial reports.**

Examinations

Category	FY17	FY18	FY19	FY 20 to date
Carried over exams	8	5	6	4
Opened exams	22	20	18	1
Completed Exams	25	19	20	5
Pending exams	5	6	4	0

Enforcement Recommendations

Category	FY17	FY18	FY19	FY20 to date
Carried over cases	5	4	3	4
Opened open cases	1	1	2	0
Completed cases	2	2	1	0
Pending cases	2	3	4	4

Corporation Finance Division

Securities Offerings for 2017 thru 2020 to date						
	FY17		FY18		FY19	
	Filings	Fees Collected	Filings	Fees Collected	Filings	Fees Collected
Mutual Funds Notice Filings (Paper)	4,072	\$1,816,023	3,999	\$1,891,323	3,554	\$1,654,426
Mutual Funds Notice Filings (Electronic)	23,298	\$10,898,451	21,256	\$10,789,671	21,864	\$10,406,412
Registrations	77	\$100,080	54	\$70,000	31	\$39,000
Exemption Filings	1,174	\$277,540	1,397	\$308,350	1,451	\$325,650

Licensing Division

Category	FY16 UNITS	FY16 FEES	FY17 UNITS	FY17 FEES	FY18 UNITS	FY18 FEES	FY19 UNITS	FY19 FEES
Agents	148,904	\$6,700,680	149,878	\$6,743,180	155,600	\$7,002,000	158,573	\$7,135,785
IA REPS	4,387	\$197,415	4,291	\$193,095	4,400	\$198,000	4,424	\$199,080
BD FIRMS	1,680	\$420,000	1,657	\$414,250	1,640	\$410,000	1,622	\$405,500
FEDERAL ADVISERS	1,244	\$311,000	1,289	\$322,250	1,216	\$304,000	1,323	\$330,750
STATE IA'S	169	\$42,250	171	\$42,750	281	\$70,250	186	\$46,500
TOTAL	156,384	\$7,671,345	157,286	\$7,715,525	163,137	\$7,984,250	166,128	\$8,117,615

72. **Please provide the data accumulated by the Department's Insurance Bureau for the two most recent biennial reports.**

Below is the insurance premium volume through 2018. The 2019 annual statements from the insurers operating in the District are not due until March 1, 2020, so DISB does not have 2019 financial information.

Volume of District Insurance Premiums (in thousands)*

Category	CY17	CY18
Health	\$5,051,152	\$5,379,672
Life/Annuities	\$2,939,568	\$3,347,654

Property/Casualty	\$1,687,395	\$1,924,812
Surplus Lines	\$259,500	\$312,077
Title	\$75,596	\$71,505
RRG	\$56,358	\$474,681
Total	\$10,069,569	\$11,510,401

*Data based on calendar year financial information

Approximately 1,300 insurance companies are licensed to operate in the District. There are 13 domestic companies that are incorporated in the District and 1,294 licensed companies that are incorporated in other states (“foreign companies”). They provide almost \$138 million in taxes and fees to the District’s General Fund. See the table below.

District Insurance Sector Taxes and Fees (in thousands)*

Revenue Source	CY17	CY18
Taxes	\$110,392	\$115,290
Fees	\$22,580	\$23,029
Total	\$132,972	\$138,319

*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

	CY18	CY19
Individual		
Resident	1,290	1,282
Nonresident	90,280	95,447
Total	91,570	96,729
Business Entity		
Resident	119	111
Nonresident	6,384	6,540
Total	6,503	6,651

Grand Total	98,073	103,380

73. **Please describe and discuss any significant National Association of Insurance Commissioners adoptions related to health care reform.**

There were no significant NAIC adoptions in FY 2019, nor in FY20 to date related to health care reform.

74. **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’ settlement discussions remain ongoing.

75. **Please discuss the agency’s collaboration with the Health Benefit Exchange.**

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.

76. **Please provide updates on the activities of the Student Loan Ombudsman, including the number of education presentations held, the number of District residents in attendance, and any efforts by the Commission to increase public awareness of educational presentations.**

Since its inception the Student Loan Ombudsman has provided guidance, education, and help to many residents of the District. Through various types of outreach opportunities, the Ombudsman has been able to reach over 3,547 constituents at 325 events. The Department also produced to Student Loan Ombudsman Annual Reports with another report that will be released soon. In FY 2020 the Student Loan Ombudsman has joined a group that is made up of Ombudsman from other states across the country where they discuss trends, share best practices, and share successes. So far in FY 2020 the Ombudsman has worked with individuals that have over \$1,389,321.00 in student loan debt.

Market Compliance

77. **Please provide the number of complaints the Department received during Fiscal Year 2019 and Fiscal Year 2020, to date. Please distinguish the complaints by the following types:**
- a. **Insurance;**
 - b. **Securities; and**
 - c. **Banking.**

Industry Sector	Complaints received FY19	Complaints Received for FY20 to date
Insurance	611	113
Securities	1	2
Banking	60	15
Total	672	130

78. **Please identify any trends in the complaints received in Fiscal Year 2019 and Fiscal Year 2020, year to date.**

The Compliance Analysis Division (CAD) continues to observe a year to year increase in the nonrenewal and premium increases of homeowners and auto policies for FY 2019 and YTD 2020. The CAD will continue to monitor to determine the drivers of the non-renewals and premium increases and provide regulatory action if appropriate. Regardless of the type of insurance coverage, claim handling represents the single greatest category for FY 2019, and YTD 2020 continues to follow this pattern.

Health Insurance Complaints

Complaints about delays, claim denials, copays 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 2019, health insurance complaints accounted for 35 percent of insurance complaints and, as of December 20, 2019, 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 2019, 23 percent of insurance complaints related to auto insurance which involved claim handling, pricing, and termination of coverage. In FY 2020, to date, 23 percent of insurance complaints are auto-related.

Homeowners Insurance Complaints

Complaints about homeowner's insurance typically represent approximately 10 percent to 15 percent of insurance complaints. In FY 2019, 14 percent of insurance complaints were attributed to homeowners with 12 percent attributed to homeowners so far in FY 2020.

Complaints about Claims

Regardless of the type of insurance coverage, claim handling represents the single largest category of complaints and FY2019 and FY2020 continue to follow the pattern.

79. **Please provide the data accumulated by the enforcement and consumer protections bureau for the biennial report for Fiscal Year 2019 and Fiscal Year 2020, to date.**

The Department's complaint resolution process recovered more than \$1.3 million for District residents in FY 2019. During FY 2019, DISB received 611 insurance complaints, 60 banking complaints, and 1 securities complaint. To date in FY 2020, the Department closed 113 insurance complaints, 15 banking complaints and 2 securities complaints 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 2019 Total	FY 2020 As of 12/19/19
Auto/Property Insurance	555	125
Health Insurance	9	8
Life Insurance	22	6
Insurance Regulatory	46	3
Insurance – Other	13	1
Insurance Agent or Adjuster	8	0
Banking Regulatory and/or Fraud	63	45
Securities	12	3
Workers’ Compensation/Disability	32	1
Other	12	0
Totals	772	192

Results of Investigations	FY 2019 Total	FY 2020 As of 12/19/19
Cases Opened	191	51
Cases Closed*	107	56
DISB Cases Referred to U.S. Attorney’s Office	1	2

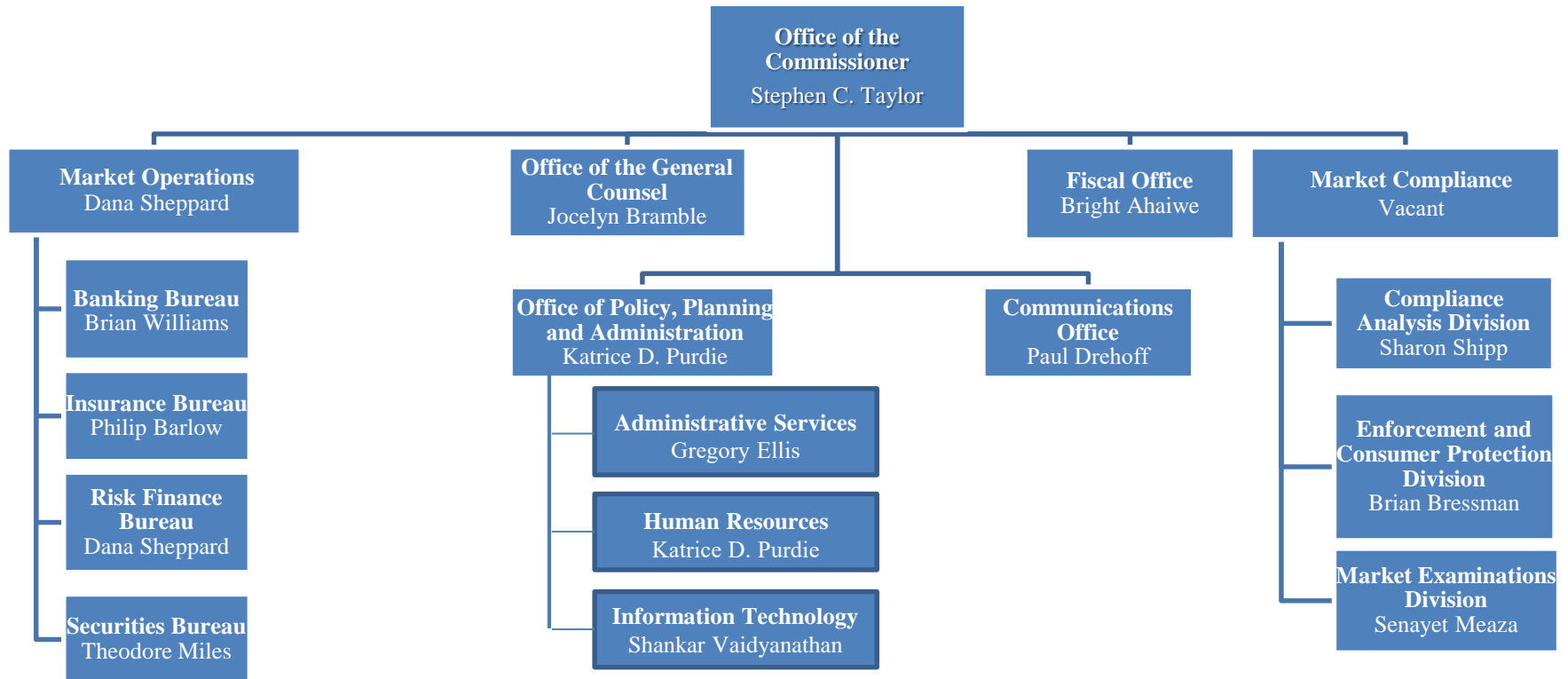
DISB Cases Accepted by U.S. Attorney's Office	0	2
U.S. Attorney's Office-DISB criminal case convictions**	0	1
DISB Office of General Counsel Administrative Actions	13	38
Total Restitution/Forfeitures	\$4,800.00	0
Total Incarceration/Probation Periods	6 months	0
Recoveries	0	0
Fines	0	0

*Cases closed during a fiscal year may include cases that were opened in prior fiscal years.

**Convictions may be from cases initiated in prior fiscal years.

Appendix 1

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



Department of Insurance, Securities and Banking (SRO)
Schedule A - As of December 18, 2019

Appendix 2

Program	Program Title	Activity	Posn Nbr	Title	Name	Hire Date	Length of Time (Years)	Vac Stat	Reg/Temp/Term	Grade	Step	FTEs	Annual Salary	Annual Benefits	Time Vacant (years)	Status of Vacant Positions
1000	Agency Management Program	1010	00016013	Human Resources Specialist	Simmons,Marlene O	7/11/2005	14.4	F	Reg	12	4	1	83,209.00	17,557.10		
			00022252	Management Liaison Specialist	Pettigrew,Alice VonEva	5/26/2009	10.6	F	Reg	11	6	1	71,406.00	15,066.67		
			1010 Total									2	154,615.00	32,623.77		
		1017	00045891	Human Resources Specialist	(blank)	(blank)		V	Reg	11	0	1	61,521.00	12,980.93	1.00	Candidate selected. Pending DCHR approval.
			1017 Total									1	61,521.00	12,980.93		
		1040	00015485	Information Technology Special	Guishard,Michael	11/2/2015	4.1	F	Reg	13	5	1	107,022.00	22,581.64		
			00024853	SUPPORT SERVICES SPECIALIST	(blank)	(blank)		V	Reg	11	1	1	66,542.00	14,040.36	0.10	Posted. Interviews pending.
			00025123	Administrative Services Progra	Ellis,Gregory	12/11/2006	13.0	F	Reg	14	0	1	134,473.71	28,373.95		
			00025163	Staff Assistant	Pedroso,Tamisha S.	12/3/2012	7.0	F	Reg	9	3	1	58,758.00	12,397.94		
			00025507	CLERICAL ASSISTANT	Murphy,Marcus	8/21/2017	2.3	F	Reg	7	3	1	48,896.00	10,317.06		
			00027840	Chief Information Officer	Vaidyanathan,Shankar	5/7/2001	18.6	F	Reg	15	0	1	154,935.74	32,691.44		
			00034872	Chief of Policy and Administra	Purdie,Katrice Diana	2/22/2005	14.8	F	Reg	16	0	1	132,830.41	28,027.22		
			00035768	INFO TECH SPEC	Anderson II,Lloyd J	3/22/2005	14.8	F	Reg	13	9	1	119,186.00	25,148.25		
			00035827	Imaging Specialist	Patterson,Deserie	10/13/1998	21.2	F	Reg	9	10	1	71,106.00	15,003.37		
			00035828	ADMIN SPEC	Glass,Kendra	5/26/2015	4.6	F	Reg	11	5	1	75,094.00	15,844.83		
			00075356	CLERICAL ASSISTANT	Polk,Jasmine	3/19/2018	1.8	F	Reg	7	2	1	47,307.00	9,981.78		
			1040 Total									11	1,016,150.86	214,407.83		
		1060	00041785	SUPERVISOR TRIAL ATTORNEY	bramble,jocelyn	4/18/2017	2.7	F	Reg	2	0	1	185,042.18	39,043.90		
			00041786	ATTORNEY ADVISOR	Parker,Charlotte W	1/16/1979	40.9	F	Reg	15	10	1	177,661.00	37,486.47		
			00041787	ATTORNEY ADVISOR	(blank)	(blank)		V	Reg	14	0	1	118,319.00	24,965.31	0.50	Employee acting in a Deputy GC position.
			00041788	ATTORNEY ADVISOR	Murat,Maureen L.	7/8/2019	0.4	F	Reg	12	4	1	92,623.00	19,543.45		
			00041789	Deputy General Counsel	Blackstone,Liliah R	9/28/1998	21.2	F	Reg	1	0	1	165,945.36	35,014.47		
			00042200	ATTORNEY ADVISOR	Levi,Adam	11/8/1999	20.1	F	Reg	15	7	1	167,014.00	35,239.95		
			00075376	Paralegal Specialist	Alula,Makondi Claudine	3/31/2008	11.7	F	Reg	12	5	1	92,554.00	19,528.89		
			00075544	Operations Manager	Mathis,Michelle D.	11/9/1992	27.1	F	Reg	13	6	1	110,063.00	23,223.29		
			00075599	Special Assistant	Felder,Wendell E	2/23/2015	4.8	F	Reg	7	0	1	101,759.01	21,471.15		
			00076896	LEGAL ASST	McBride,Keenan R.	9/10/2012	7.3	F	Reg	7	5	1	52,074.00	10,987.61		
			00077717	ATTORNEY ADVISOR	Beard,Andre	5/21/2012	7.6	F	Reg	12	9	1	106,663.00	22,505.89		
			1060 Total									11	1,369,717.55	289,010.40		
		1080	00003290	Public Affairs Specialist	Bryant,Tanya D	5/22/2000	19.6	F	Reg	13	8	1	116,145.00	24,506.60		
			00034860	Public Affairs Specialist	Drafton-Lowery,Lucille	9/14/1977	42.3	F	Reg	12	10	1	105,339.00	22,226.53		
			00036294	Public Information Officer	Drehoff,Paul	8/6/2018	1.4	F	Reg	14	0	1	115,566.00	24,384.43		
			00041791	Public Affairs Specialist	Iglesias Alves Pereira,Aristi	7/22/2019	0.4	F	Reg	13	1	1	94,858.00	20,015.04		
			00043792	CONSUMER PROTECTION ADVOCATE	Abdullah,IIdriys J	9/4/2007	12.3	F	Reg	13	10	1	113,002.00	23,843.42		
			1080 Total									5	544,910.00	114,976.01		
		1090	00012977	Dep Comm for Market Operations	(blank)	(blank)		V	Reg	10	0	1	156,810.00	33,086.91	4.50	Posting pending.
			00017095	Special Assistant	Collins,Thedford L	6/8/2015	4.5	F	Reg	13	7	1	104,567.23	22,063.69		
			00018144	Staff Assistant	Sanogo,Mariam F.	10/1/2019	0.2	F	Reg	9	1	1	55,230.00	11,653.53		
			00034803	EXECUTIVE ASST	Wade,Alicia M	5/16/2011	8.6	F	Reg	13	7	1	104,569.00	22,064.06		
			00039088	Commissioner Ins Sec&Banking	Taylor,Stephen C.	12/1/2014	5.0	F	Reg	E5	0	1	177,942.94	37,545.96		
			00041792	Chief of Staff	Washington,Christian A	8/22/2016	3.3	F	Reg	9	0	1	134,864.37	28,456.38		
			00082338	HEARING EXAMINER	Butler,Lisa D.	9/23/2013	6.2	F	Reg	13	6	1	101,758.00	21,470.94		
			00085506	Legislative Analyst	(blank)	(blank)		V	Reg	12	0	1	76,126.00	16,062.59	1.10	Pending reclassification of PD.
			1090 Total									8	911,867.54	192,404.05		
1000 Total												38	4,058,781.95	856,402.99		
2000	Insurance Bureau	2010	00004205	SUPV INSURANCE EXAM GEN	Liebers,Howard M	2/11/2013	6.9	F	Reg	14	0	1	130,070.46	27,444.87		
			00009105	Insurance Licensing Spec Mgr	Johnson-Parker,Sheila A	10/31/2005	14.1	F	Reg	14	0	1	107,843.06	22,754.89		
			00016131	INSURANCE LICENSE SPEC	Parker,Denise M	10/4/1981	38.2	F	Reg	12	10	1	105,339.00	22,226.53		
			00022192	INSURANCE LICENSE SPEC	Jordan-Robinson,Lucynthia D	8/25/1981	38.3	F	Reg	12	9	1	102,782.00	21,687.00		
			00026346	INSURANCE EXAMINER	Belen,Carmen	2/6/2017	2.9	F	Reg	13	10	1	122,227.00	25,789.90		
			00035565	INSURANCE EXAMINER	Rielley,John M	9/19/1994	25.3	F	Reg	13	10	1	122,227.00	25,789.90		
			00036295	Associate Commissioner For Ins	Barlow,Philip A	4/10/2000	19.7	F	Reg	16	0	0.67	120,780.87	25,484.76		
			00037940	INSURANCE LICENSING SPEC	Alexander,Kathy	6/10/2019	0.5	F	Reg	11	3	1	70,818.00	14,942.60		
			00078131	Health Insurance Analyst.	Benson,RaShaunda	10/31/2016	3.1	F	Reg	11	4	1	72,956.00	15,393.72		
			00085212	Insurance Examiner (General)	(blank)	(blank)		V	Reg	13	6	1	106,858.00	22,547.04	0.80	Pending recruitment.
			2010 Total									9.67	1,061,901.39	224,061.19		
		2015	00003501	ACTUARY	Dyson,Monica L	3/24/2003	16.7	F	Reg	13	10	1	122,227.00	25,789.90		
			00008351	ACTUARY MGR	Nkojo,Robert I	4/21/2003	16.7	F	Reg	14	0	1	123,895.48	26,141.95		
			00011195	FINANCIAL EXAMINER INS	Merlo,Samuel A	4/3/2006	13.7	F	Reg	13	9	1	119,186.00	25,148.25		
			00012196	FINANCIAL EXAMINER INS	Negash,Yohaness	10/17/2016	3.2	F	Reg	13	9	1	119,186.00	25,148.25		
			00036494	Insurance Examiner (Property a	King,Angela Jenice	5/25/1994	25.6	F	Reg	13	10	1	122,227.00	25,789.90		
			00085202	ACTUARY	Christhilf,David	12/28/2015	4.0	F	Reg	14	8	1	137,255.00	28,960.81		
			2015 Total									6	743,976.48	156,979.04		
		2050	00015197	INSURANCE EXAMINER	Johnson,Colin B	2/25/1994	25.8	F	Reg	13	9	1	119,186.00	25,148.25		
			00017344	INSURANCE LICENSE SPEC	Hicks,Willie C	6/28/1983	36.5	F	Reg	12	7	1	97,668.00	20,607.95		
			00031831	Financial Examiner	Ryan Jr.,Francis J	2/2/2009	10.9	F	Reg	13	6	1	110,063.00	23,223.29		

Program	Program Title	Activity	Posn Nbr	Title	Name	Hire Date	Length of Time (Years)	Vac Stat	Reg/Temp/Term	Grade	Step	FTEs	Annual Salary	Annual Benefits	Time Vacant (years)	Status of Vacant Positions	
			00036236	Health Care Policy Analyst	(blank)	(blank)		V	Reg	14	1	1	112,111.00	23,655.42	0.70	Pending PD reclassification and recruitment.	
			00036295	Associate Commissioner For Ins	Barlow,Philip A	4/10/2000	19.7	F	Reg	16	0	0.33	59,489.09	12,552.20			
			2050 Total									4.33	498,517.09	105,187.11			
			2090	00005439	ACTUARY	Morgan,John	4/21/2014	5.7	F	Reg	13	8	1	116,145.00	24,506.60		
				00073445	Supervisory Health Actuary	Tanhehco,Efren L	11/7/2011	8.1	F	Reg	14	0	1	146,152.00	30,838.07		
				00073451	ACTUARY	Shirley,Darniece L	1/3/2011	9.0	F	Reg	13	8	1	116,145.00	24,506.60		
				00073453	Health Insur. Financial Analy.	(blank)	(blank)	V	Reg	11	0	1	66,542.00	14,040.36	0.30	Pending PD reclassification and recruitment.	
				00082359	Insurance Examiner (General)	(blank)	(blank)	V	Reg	12	0	1	82,326.00	17,370.79	1.40	Pending PD reclassification and recruitment.	
			2090 Total									5	527,310.00	111,262.41			
2000 Total												25	2,831,704.96	597,489.75			
3000	Securities Bureau	3010	00000198	Securities Registration Spec	Sanyang,Sainey	10/17/2016	3.2	F	Reg	9	4	1	60,522.00	12,770.14			
				00008873	ASST DIR	Mcmanus,James M.	10/22/2001	18.2	F	Reg	15	0	1	144,479.78	30,485.23		
				00015183	DIR OF SECURITIES	Miles,Theodore A	7/3/2000	19.5	F	Reg	16	0	1	185,961.37	39,237.85		
				00039603	Secur Finan Exam (Rpt & Discl)	Adu,George	8/8/2006	13.4	F	Reg	13	9	1	119,186.00	25,148.25		
			3010 Total									4	510,149.15	107,641.47			
			3030	00000483	ASST DIR SEC LICENSING	Goff,Maurice V	10/13/1987	32.2	F	Reg	14	0	1	132,291.92	27,913.60		
				00037776	Securities Licensing Spec.	Ballard,Laytonya	7/25/2016	3.4	F	Reg	12	5	1	92,554.00	19,528.89		
				00037779	Securities Licensing Spec.	Martin,Lucinda D	12/5/2011	8.0	F	Reg	12	7	1	97,668.00	20,607.95		
				00039602	Securities Licensing Spec.	Cooper,Lakishia	2/8/2016	3.9	F	Reg	12	6	1	95,111.00	20,068.42		
			3030 Total									4	417,624.92	88,118.86			
			3080	00075391	Director of Market Examination	Meaza,Senayet	2/7/1994	25.9	F	Reg	15	0	1	145,603.94	30,722.43		
			3080 Total									1	145,603.94	30,722.43			
3000 Total												9	1,073,378.01	226,482.76			
4000	Enforcement Program	4050	00003370	FRAUD INVEST	Pendleton,Mark A	5/16/2016	3.6	F	Reg	12	4	1	89,997.00	18,989.37			
				00008031	FRAUD COMPLIANCE MGR	(blank)	(blank)	V	Reg	14	0	1	129,411.00	27,305.72	0.50	PD under review.	
			4050 Total									2	219,408.00	46,295.09			
			4060	00001990	INVEST FRAUD	Coles,Karen	11/19/2012	7.1	F	Reg	12	10	1	105,339.00	22,226.53		
				00013699	Assistant Dir for Enforcement	Ross,Michael	11/21/2016	3.1	F	Reg	15	0	1	124,630.00	26,296.93		
				00020539	FRAUD INVEST	Loproto,Robert B	9/5/2006	13.3	F	Reg	12	8	1	100,225.00	21,147.48		
				00031812	FRAUD INVEST	Suggs,Shanta	5/18/2015	4.6	F	Reg	12	2	1	84,883.00	17,910.31		
				00034870	Investigator Fraud	Tengen,Juliana N	10/19/1992	27.2	F	Reg	13	7	1	113,104.00	23,864.94		
				00075430	DIR OF FRAUD	Bressman,Brian	2/21/2017	2.8	F	Reg	16	0	1	167,728.29	35,390.67		
				00085206	INVEST FRAUD	Gaskin,Mary	5/31/2016	3.6	F	Reg	12	4	1	89,997.00	18,989.37		
			4060 Total									7	785,906.29	165,826.23			
4000 Total												9	1,005,314.29	212,121.32			
5000	Banking Bureau	5060	00034846	Associate Commis. for Banking	Williams,Brian	1/9/2017	2.9	F	Reg	16	0	1	132,829.98	28,027.13			
				00034862	Banking Licensing Specialist	Walton,Brittany	7/22/2019	0.4	F	Reg	12	1	1	82,326.00	17,370.79		
				00034868	Supervisory Banking Examiner	Jones,Robbin	2/8/2016	3.9	F	Reg	14	0	1	107,842.80	22,754.83		
				00034869	Banking Licensing Specialist	Cole,Jacqueline D	12/1/2003	16.1	F	Reg	11	6	1	77,232.00	16,295.95		
				00035837	Banking Licensing Specialist	Goines,Robsine M	6/22/1998	21.5	F	Reg	11	4	1	72,956.00	15,393.72		
				00037714	Licensing Manager	Kerr,Monique Melissa	9/10/2012	7.3	F	Reg	14	0	1	107,843.04	22,754.88		
				00075304	Student Intern	Gibbs,Ebony I	10/29/2018	1.1	F	Term	7	2	1	43,741.00	9,229.35		
				00075387	Sr. Banking Licensing Speciali	Rouse,Brian A	3/7/2005	14.8	F	Reg	13	10	1	122,227.00	25,789.90		
			5060 Total									8	746,997.82	157,616.54			
			5070	00001945	Student Loan Ombudsman	Jefferson,Ricardo R.	10/15/2019	0.2	F	Reg	14	0	1	107,843.00	22,754.87		
				00034863	Program Analyst	(blank)	(blank)	V	Reg	13	0	1	94,858.00	20,015.04		Interviews in progress.	
				00037577	Program Manager (Financial Emp	Hammonds,Michelle	2/8/2016	3.9	F	Reg	14	0	1	124,630.00	26,296.93		
				00073628	CLERICAL ASSISTANT	(blank)	(blank)	V	Reg	7	0	1	45,718.00	9,646.50	0.50	PD under review.	
				00074667	PROGRAM SUPPORT ASSISTANT	(blank)	(blank)	V	Reg	7	0	1	45,718.00	9,646.50	0.80	Posted. Resumes under review.	
				00075089	Student Intern	(blank)	(blank)	V	Temp	7	0	1	42,273.00	8,919.60	0.50	Pending summer recruitment.	
				00075396	Program Manager (SSBCI)	Caesar,Camille	4/18/2017	2.7	F	Reg	14	0	1	129,854.16	27,399.23		
				00082354	Student Intern	(blank)	(blank)	V	Temp	7	0	1	42,273.00	8,919.60	0.50	Pending summer recruitment.	
				00085528	PROGRAM SUPPORT ASSISTANT	Benitez,Carla M	1/9/2017	2.9	F	Reg	7	2	1	47,307.00	9,981.78		
			5070 Total									9	680,474.16	143,580.05			
5000 Total												17	1,427,471.98	301,196.59			
6000	Risk Finance Bureau	6010	00036363	FINANCIAL EXAMINER OFFICER	Schleit,David	3/25/2013	6.7	F	Reg	14	7	1	133,663.00	28,202.89			
			6010 Total									1	133,663.00	28,202.89			
			6020	00036539	Director of Risk Finance	Sheppard,Dana G	9/13/1993	26.3	F	Reg	16	0	1	185,966.45	39,238.92		
			6020 Total									1	185,966.45	39,238.92			
			6030	00036633	Insurance Licensing Specialist	Andrew,Anu	9/19/2016	3.2	F	Reg	12	4	1	89,997.00	18,989.37		
			6030 Total									1	89,997.00	18,989.37			
6000 Total												3	409,626.45	86,431.18			
8000	Market Examinations Division	8010	00009191	Supvy Ins Oper Exam (Auditing)	Brown,Nathaniel Kevin	4/10/2000	19.7	F	Reg	14	0	1	142,350.84	30,036.03			
				00012661	INSURANCE OPR EXAM AUDIT	Ukairo,Chidinma	7/27/1987	32.4	F	Reg	11	10	1	85,784.00	18,100.42		
			8010 Total									2	228,134.84	48,136.45			
			8020	00021355	SECURITIES FINANCIAL EXAM	Doster,Malcolm	8/22/2016	3.3	F	Reg	13	2	1	97,899.00	20,656.69		
				00021395	Securities Financial Examiner	(blank)	(blank)	V	Reg	12	1	1	82,326.00	17,370.79	0.30	Position posted.	
				00085203	Securities Financial Examiner	(blank)	(blank)	V	Reg	12	1	1	82,326.00	17,370.79	0.50	Position posted.	

Program	Program Title	Activity	Posn Nbr	Title	Name	Hire Date	Length of Time (Years)	Vac Stat	Reg/Temp/Term	Grade	Step	FTEs	Annual Salary	Annual Benefits	Time Vacant (years)	Status of Vacant Positions
		8020 Total										3	262,551.00	55,398.26		
		8030	00005191	BANK EXAMINER	Tippett,Eleanor	1/7/2019	0.9	F	Reg	12	1	1	82,326.00	17,370.79		
			00034865	Banking Examiner	Wagner,Peggy A.	7/14/2014	5.4	F	Reg	12	6	1	95,111.00	20,068.42		
			00046080	BANK EXAMINER	Sutton,Cortez	2/19/2019	0.8	F	Reg	12	3	1	87,440.00	18,449.84		
			00046081	Banking Examiner	Smith,Leonard	4/21/2014	5.7	F	Reg	12	5	1	92,554.00	19,528.89		
			00075373	BANK EXAMINER	Farquharson-Reid,Angela	9/10/2012	7.3	F	Reg	12	7	1	97,668.00	20,607.95		
			00075374	BANK EXAMINER	Cole,Miriam A	4/17/2018	1.7	F	Reg	12	6	1	95,111.00	20,068.42		
			00075386	Senior Bank Examiner	Bright,Eva M	9/29/2008	11.2	F	Reg	13	6	1	110,063.00	23,223.29		
			00075388	Lead Bank Examiner	Fuller,Samuel V	1/9/2006	13.9	F	Reg	14	6	1	130,071.00	27,444.98		
			00075389	BANK EXAMINER	Joseph,Lester C.	10/15/2019	0.2	F	Reg	12	4	1	89,997.00	18,989.37		
			00075551	Supervisory Bank Examiner	Irwin,Trey	5/30/2017	2.6	F	Reg	15	0	1	119,704.97	25,257.75		
			00085204	BANK EXAMINER	Davis,Dionne	3/7/2016	3.8	F	Reg	12	5	1	92,554.00	19,528.89		
			00085205	BANK EXAMINER	Clifton,Aaron	3/19/2018	1.8	F	Reg	12	2	1	84,883.00	17,910.31		
		8030 Total										12	1,177,482.97	248,448.91		
		8040	00035765	Supervisory Financial Examiner	O'Donnell,Patrick S.	6/6/2005	14.5	F	Reg	15	0	1	167,586.40	35,360.73		
			00038470	FINANCIAL EXAMINER (CAPTIVE)	Davis,Rebecca	12/1/2014	5.0	F	Reg	13	5	1	107,022.00	22,581.64		
			00038485	FINANCIAL EXAMINER INS	Bunyasrie,Surayuth	5/18/2015	4.6	F	Reg	13	6	1	110,063.00	23,223.29		
			00046076	Insurance Operations Examiner	Afolabi,Christine	4/21/2014	5.7	F	Reg	13	5	1	107,022.00	22,581.64		
			00075076	Financial Examiner & Analyst	Li,Xiangchun	3/6/2006	13.8	F	Reg	14	9	1	140,847.00	29,718.72		
		8040 Total										5	632,540.40	133,466.02		
8000 Total												22	2,300,709.21	485,449.64		
9000	Compliance Division	9010	00010013	INSURANCE OPERATIONS SPEC	Dickens,Marionnetta	4/28/1986	33.7	F	Reg	12	10	1	105,339.00	22,226.53		
			00013044	INSURANCE OPERATIONS SPEC	Stinson,Douglas	10/14/2008	11.2	F	Reg	12	7	1	97,668.00	20,607.95		
			00015980	INS OPERATIONS SPEC	Matthews,Sylvia D	2/16/1995	24.9	F	Reg	12	10	1	105,339.00	22,226.53		
			00022086	INSURANCE OPERATIONS SPEC	Slade,Arthur F	10/14/2008	11.2	F	Reg	12	7	1	97,668.00	20,607.95		
			00075087	Consumer Services Specialist	Moore,David	12/3/2012	7.0	F	Reg	12	10	1	105,339.00	22,226.53		
			00075393	Director, Compliance Analysis	Shipp,Sharon	9/10/2012	7.3	F	Reg	15	0	1	120,819.00	25,492.81		
			00075435	Consumer Services Specialist	Williams,Shahidah	5/29/2018	1.6	F	Reg	12	1	1	82,326.00	17,370.79		
		9010 Total										7	714,498.00	150,759.08		
		9020	00038798	Manager, Consumer Services	Wadley,Debbra	3/6/2017	2.8	F	Reg	14	0	1	107,843.04	22,754.88		
			00075077	Compliance Analyst	Wade,Cheryl R	1/30/2012	7.9	F	Reg	12	8	1	100,225.00	21,147.48		
			00075086	Student Intern	(blank)	(blank)		V	Reg	7	0	1	42,273.00	8,919.60	0.50	Pending summer recruitment.
			00075431	Manager, Market Research and A	(blank)	(blank)		V	Reg	14	0	1	129,411.00	27,305.72	0.80	Posting pending.
			00078117	FINANCIAL EXAMINER INS	Davis,LaTasha	4/3/2017	2.7	F	Reg	13	3	1	100,940.00	21,298.34		
		9020 Total										5	480,692.04	101,426.02		
		9080	00046078	Dep Commiss. for Market Compl.	(blank)	(blank)		V	Reg	16	0	1	159,396.00	33,632.56	0.10	Posting pending.
		9080 Total										1	159,396.00	33,632.56		
9000 Total												13	1,354,586.04	285,817.65		
100F	Agency Fiscal Operations	110F	00001761	BUDGET OFFICER	Onifade,Oluwatosin B	2/16/2010	9.8	F	Term	14	1	1	112,110.00	23,655.21		
			00012917	BUDGET ANALYST	Ware,Jovan Louise	11/30/2015	4.1	F	Reg	11	5	1	75,094.00	15,844.83		
		110F Total										2	187,204.00	39,500.04		
		120F	00004196	ACCOUNTANT	May,Julia C	7/25/1990	29.4	F	Reg	11	9	1	83,651.00	17,650.36		
			00022530	Accounts Payable Specialis	Branham,Valencia M	12/10/1990	29.0	F	Reg	12	8	1	100,219.00	21,146.21		
			00043252	ACCOUNTS PAYABLE SUPV	Vanhorne,Lashawn M	12/3/1990	29.1	F	Reg	13	8	1	116,146.00	24,506.81		
			00075090	ACCOUNTANT	Armstrong Jr.,Sherwood	12/5/2011	8.0	F	Reg	11	6	1	77,234.00	16,296.37		
			00085225	SENIOR ACCOUNTANT	Ibrahim,Yesuf	2/27/2012	7.8	F	Reg	13	5	1	107,022.00	22,581.64		
		120F Total										5	484,272.00	102,181.39		
		130F	00012491	CONTROLLER	Ahaiwe,Bright A	8/12/1985	34.4	F	Reg	16	10	1	190,773.00	40,253.10		
		130F Total										1	190,773.00	40,253.10		
100F Total												8	862,249.00	181,934.54		
Grand Total												144	15,323,821.89	3,233,326.42		

Appendix 3

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

Employee/Vendor Name	Position/Title	Invoice Description/Conference Attended	Travel/Effective Date	Trans Amt	Justification
AARON CLIFTON	Bank Examiner	QUICK LOANS Examination	9/30/19	1,111.20	
		Loancare LLC Mortgage Examination Virginia	4/18/19	307.00	
		EXAM-TRAVEL ADVANCE	3/26/19	952.54	
		AARMR-TRAVEL ADVANCE	4/18/19	1,400.72	
		ON SITE FIN EXAM-TRAVEL LAKE ZURICH IL	3/13/19	1,658.22	
		Mortgage Freedom onsite Examination	7/24/19	1,567.39	
		Everett Financial Examination Dallas TX	9/18/19	1,644.79	
AARON CLIFTON				8,641.86	
ABUKAR ABDIRAHMAN	Budget Director	NASBO Conference-Travel Advance	8/16/19	2,795.35	
ABUKAR ABDIRAHMAN				2,795.35	
Alexander Baker	Program Support Assistant	National Community Reinvestment 2019 Conference	3/13/19	236.55	
Alexander Baker				236.55	
ANDRE BEARD	Attorney Advisor	NASAA-TRAVEL ADVANCE	9/25/19	1,705.35	
ANDRE BEARD				1,705.35	
ANGELA FARQUHARSON-REID	Bank Examiner	Envoy Mortgage Examination, Houston, TX	8/5/19	1,483.36	
		CSBS 2019 Registration P Card	3/11/19	567.14	
ANGELA FARQUHARSON-REID				2,050.50	
ANU ANDREW	Insurance Licensing Specialist	NAIC-RECONCILIATION	6/21/19	1,459.52	
		Captives Shaping The Future in Tuscan, AZ Pcard	12/17/18	2,500.00	
		CICDC Annual Conference Registration Fee Pcard	8/27/19	790.00	
ANU ANDREW				4,749.52	
BRIAN BRESSMAN	Director of Fraud	NASAA Annual Meeting-RECONCILIATION	9/18/19	1,561.30	
		NAIC-RECONCILIATION	9/5/19	96.27	
		National Fraud Directors Santa Fe, NM	12/4/18	1,430.86	
		NAIC 2019 Summer TRAVEL	7/31/19	169.73	
BRIAN BRESSMAN				3,258.16	
BRIAN ROUSE	Sr. Banking Licensing Specialist	AARMR-RECONCILIATION	9/30/19	1,379.13	
BRIAN ROUSE				1,379.13	
BRIAN WILLIAMS	Associate Commissioner-Banking	CSBS 2019 Meeting PA	10/26/18	1,236.08	
		National Community Reinvestment 2019 Conference	3/13/19	236.55	
BRIAN WILLIAMS				1,472.63	
BRIGHT AHAIWE	Agency Fiscal Officer	GFOA 2019 Annual Conference, LA	6/5/19	2,056.90	
BRIGHT AHAIWE				2,056.90	
CARLA BENITEZ	Program Support Assistant	2019 Unidos US Annual Conference	9/5/19	2,601.09	
CARLA BENITEZ				2,601.09	

**Required
conference/training
related to positions of
the staff**

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

Employee/Vendor Name	Position/Title	Invoice Description/Conference Attended	Travel/Effective Date	Trans Amt	Justification
CHERYL WADE	Compliance Analyst	IRES Career Development Seminar	9/11/19	755.04	Required conference/training related to positions of the staff
CHERYL WADE				755.04	
CHRISTINE AFOLABI	Insurance Operations Examiner	2019 NAIC Peer Review, Kasnas City MO	7/12/19	1,802.32	
		Annual TEAMMATE Forum-TRAVEL ADVANCE	8/5/19	1,973.87	
		CICDC Annual Conference Registration Fee Pcard	8/27/19	790.00	
CHRISTINE AFOLABI				4,566.19	
Chrsitian Washington	Chief of Staff	2019 NASAA Spring Conference-Pcard	7/23/19	150.00	
Chrsitian Washington				150.00	
CORTEZ SUTTON	Bank Examiner	Freedom Mortgage Examination	9/6/19	1,444.85	
		QUICK LOANS Examination	8/5/19	1,121.60	
CORTEZ SUTTON				2,566.45	
DANA SHEPPARD	Acting Deputy Commissioner	VCIA-Vermont Captive Insurance Conference	9/6/19	1,740.42	
		CICA 2019 Conference Minneapolis	2/27/19	1,236.84	
DANA SHEPPARD				2,977.26	
DAVID A CHRISTHILF	Actuary	NAIC-Orlando FL	5/3/19	431.56	
		CICDC 2019 Annual Conference Registration Fee	8/27/19	395.00	
		NAIC Fall National Meeting San Fransisco	11/8/18	1,544.94	
		Casualty Actuarial Society's Loss Reserve conf TX	9/6/19	2,547.90	
DAVID A. CHRISTHILF				4,919.40	
DAVID SCHLEIT	Financial Examiner Officer	NAIC-RECONCILIATION	9/30/19	334.34	
		CICDC Annual Conference Registration Fee Pcard	8/27/19	790.00	
DAVID SCHLEIT				1,124.34	
Debra Wadley	Manager, Consumer Services	Thorny Issues in Residential Foreclosures P card	1/31/19	129.00	
Debra Wadley				129.00	
DENNIS RAMPRASHAD	Controller	TRAVEL ADVANCE-GFOA Los Angeles	6/10/19	2,138.88	
DENNIS RAMPRASHAD				2,138.88	
DEREJE BELAY	Financial Manager	TRAVEL ADVANCE-GFOA Los Angeles	7/23/19	1,730.90	
DEREJE BELAY				1,730.90	
DIONNE DAVIS	Bank Examiner	CSBS 2019 Registration P Card	3/11/19	567.16	
DIONNE DAVIS				567.16	
EFREN TANHEHCO	Supervisory Health Actuary	NAIC Spring National Meeting Florida	4/25/19	2,112.08	
		NAIC Fall National Meeting San Fransisco	11/28/18	2,703.68	
		NAIC Summer National Meeting NY	6/27/19	2,047.46	
		NAIC Spring National Meeting Florida	3/26/19	2,091.36	
EFREN TANHEHCO				8,954.58	

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

Employee/Vendor Name	Position/Title	Invoice Description/Conference Attended	Travel/Effective Date	Trans Amt	Justification
ELEANOR TIPPETT	Bank Examiner	Freedom Mortgage EXAM-Indianapolis	8/20/19	1,039.96	Required conference/training related to positions of the staff
		CSBS-RECONCILIATION	7/12/19	2,478.70	
		Exam Mortgage Research Center Missouri	4/4/19	564.91	
		ARRMR-TRAVEL ADVANCE	4/18/19	1,121.40	
		QUICK LOANS Examination MI	8/5/19	1,393.64	
		MMC EXAM-TRAVEL ADVANCE	6/21/19	2,072.10	
ELEANOR TIPPETT				8,670.71	
ENYEW GODIE	Agency Fiscal Officer	TRAVEL ADVANCE-GFOA Los Angeles	6/5/19	2,301.00	
ENYEW GODIE				2,301.00	
EVA BRIGHT	Senior Bank Examiner	TRAVEL ADVANCE-AARMR	7/11/19	2,155.75	
		CSBS 2019 Registration	3/11/19	567.14	
EVA BRIGHT				2,722.89	
FRANK RYAN	Financial Examiner	NAIC Kansas City MO TRAVEL ADVANCE	5/23/19	1,176.12	
FRANK RYAN				1,176.12	
Gregory Ellis	Administrative Services Supervisor	2020 GSA Smartpay Training Forum	9/30/19	1,978.81	
GREGORY ELLIS				1,978.81	
HOWARD LIEBERS	Health Care Policy Analyst	NAIC Spring National Meeting Florida	4/30/19	980.67	
		NAIC Summer National Meeting NY	6/27/19	1,920.12	
HOWARD LIEBERS				2,900.79	
JAMES MCMANUS	Assistant Director- Securities	NASAA 2019 OCnference-TRAVEL	9/30/19	1,237.24	
JAMES MCMANUS				1,237.24	
JEANETTE GORDON	Accountant	TRAVEL ADVANCE-GFOA Los Angeles	6/5/19	1,981.98	
JEANETTE GORDON				1,981.98	
JOCELYN BRAMBLE	Supervisor-Trial Attorney	CSBS Legal Seminar in Chicago, IL	9/30/19	2,336.77	
		NAIC Spring National Meeting Florida	9/25/19	544.53	
		Fundamentals of Banking Law, Philadelphia	8/16/19	637.21	
		NAIC-TRAVEL ADV	3/26/19	834.48	
		2019 NASAA Spring Conference-Pcard	7/23/19	289.03	
		2019 NASAA- Annual Meeting Austin, TX	8/2/19	1,492.90	
JOCELYN BRAMBLE				6,134.92	
JOVAN WARE	Budget Analyst	TRAVEL ADVANCE-GFOA Los Angeles	6/6/19	1,687.78	
JOVAN WARE				1,687.78	
Kendra Glass	Administrative Specialist	2019 GSA Smartpay Training Forum	9/30/19	1,978.81	
KENDRA GLASS				1,978.81	
LAKISHIA COOPER	Securities Financial Examiner	NASAA-RECONCILIATION	5/16/19	138.74	
LAKISHIA COOPER				138.74	

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

Employee/Vendor Name	Position/Title	Invoice Description/Conference Attended	Travel/Effective Date	Trans Amt	Justification
LATASHA DAVIS	FINANCIAL EXAMINER INSURANCE	2019 NAIC Insurance Summit Kansas City MO	6/12/19	1,590.75	Required conference/training related to positions of the staff
		NRRA-TRAVEL ADVANCE	8/20/19	1,023.75	
		CICDC Annual Conference Registration Fee	11/1/18	790.00	
LATASHA DAVIS				3,404.50	
Leonard Smith	Bank Examiner	CSBS 2019 Registration fee	3/11/19	567.14	
Leonard Smith				567.14	
LILAH BLACKSTONE	Deputy General Counsel	SILA National Education Conf-TRAVEL	9/30/19	916.09	
		Fundamentals of Banking Law, Philadelphia	8/30/19	699.74	
		2019 NASAA Spring Conference	7/23/19	150.00	
LILAH BLACKSTONE				1,765.83	
Lucy Drafton	Public Affairs Specialist	National Community Reinvestment 2019 Conference	3/13/19	236.55	
Lucy Drafton				236.55	
MABEL OSEI	Accountant	TRAVEL ADVANCE-GFOA Los Angeles	6/10/19	2,018.61	
MABEL OSEI				2,018.61	
MALCOLM DOSTER	Securities Financial Examiner	NASAA-RECONCILIATION	5/1/19	1,034.38	
MALCOLM K. DOSTER				1,034.38	
Mary Gaskin	Investigator Fraud	2019 NASAA Spring Conference	7/23/19	150.00	
Mary Gaskin				150.00	
Maurice Goff	Asst. Dir. Securities Licensing	2019 NASAA Spring Conference	7/23/19	150.00	
Maurice Goff				150.00	
MICHAEL ROSS	Assistant Dir for Enforcement	CAIF-TRAVEL Orlando Florida	7/19/19	1,448.12	
		2019 NASAA Spring Conference	7/23/19	150.00	
MICHAEL ROSS				1,598.12	
MICHELLE HAMMONDS	Program Manager-Fin Emp	Bank on Pilot Results & Prospective MO	10/25/18	296.80	
		Bank on Leadership Conference-NY	10/23/18	801.98	
MICHELLE HAMMONDS				1,098.78	
MIRIAM COLE	Bank Examiner	Full Scope Examination of Rakuten, San Mateo, CA May 2019	7/12/19	2,494.45	
		2019 NAIC Financial Summt	5/23/19	1,089.66	
MIRIAM COLE				3,584.11	
MONIQUE KERR	Licensing Manager	2019 NMLS Conference PER-DIEM	2/6/19	297.00	
MONIQUE KERR				297.00	
NATHANIEL BROWN	Supvy Ins Oper Exam (Auditing)	NAIC Summer National Meeting NY	9/5/19	1,498.71	
		NAIC TRAVEL ADVANCE Kansas MO	7/24/19	259.81	
		NAIC Fall National Meeting San Fransisco	11/2/18	1,464.23	
		NAIC Spring National Meeting Florida	3/26/19	1,731.39	
NATHANIEL BROWN				4,954.14	

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

Employee/Vendor Name	Position/Title	Invoice Description/Conference Attended	Travel/Effective Date	Trans Amt	Justification
PAUL DREHOFF	Public Information Officer	NAIC Conference-PER DIEM	5/15/19	363.00	Required conference/training related to positions of the staff
		CSBS-RECONCILIATION	6/27/19	1,354.95	
		National Community Reinvestment 2019 Conference	3/13/19	236.55	
		2019 NASAA Spring Conference-Pcard	7/23/19	150.00	
		CICDC 2019 Annual Conference Registration Fee	8/27/19	395.00	
		NASAA Investor Education Dallas, TX	3/21/19	1,462.22	
PAUL DREHOFF				3,961.72	
Peggy Warner	Bank Examiner	CSBS 2019 Registration	3/11/19	567.14	
Peggy Warner				567.14	
PHILIP BARLOW	Associate Commissioner-Insurance	NAIC Summer National Meeting NY	9/5/19	1,501.62	
		Insue Tech Connect Conference Las Vegas NV	9/30/19	253.43	
		NAIC Commissioners Conference Ontario, CA	2/6/19	164.27	
		NAIC Fall National Meeting San Fransisco	11/28/18	510.06	
		NAIC Economic Scenario Generaor Meeting kansas City MO	11/27/18	767.95	
PHILIP BARLOW				3,197.33	
ROBBIN JONES	Supervisory Banking Examiner	2019 NMLS Conference TRAVEL	3/7/19	693.60	
		EXAM-TRAVEL Loanare Mortgage Virginia Beach, VA	3/27/19	1,647.31	
		EXAM-TRAVEL Envoy Mortgage Houston TX	6/27/19	1,974.62	
		EXAM-TRAVEL Rushmore Financial Mortgage Services	6/21/19	2,357.35	
		CSBS Conference -TRAVEL ADVANCE	6/11/19	2,774.85	
ROBBIN JONES				9,447.73	
ROBERT NKOJO	Actuary Manager	NCCI 2019 Conference West Palm Beach FL	1/25/19	1,144.04	
ROBERT NKOJO				1,144.04	
ROBSINE GOINES	Banking Licensing Specialist	AARMR-TRAVEL ADVACE	7/22/19	1,405.25	
		CSBS State-Federal Supervisory Forum P card	9/23/19	1,295.00	
ROBSINE GOINES				2,700.25	
ROLAND MCALLISTER, JR.	Revenue Manager	GFOA 2019 Annual Conference, LA	6/13/19	2,156.44	
ROLAND MCALLISTER, JR.				2,156.44	
SAMUEL FULLER	Lead Bank Examiner	EXAM-TRAVEL Intergrated Payment Systems Inc Atlanta	9/18/19	3,157.00	
SAMUEL FULLER				3,157.00	
SAMUEL MERLO	Financial Examiner Insurance	2019 NAIC Insurance Summit Kansas City MO	6/27/19	1,059.18	
SAMUEL MERLO				1,059.18	

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

Employee/Vendor Name	Position/Title	Invoice Description/Conference Attended	Travel/Effective Date	Trans Amt	Justification
SEAN O'DONNELL	Supervisory Financial Examiner	NAIC Summer National Meeting NY	8/16/19	1,535.18	Required conference/training related to positions of the staff
		Captives Shaping the Future conference in Tucson, AZ	2/28/19	375.00	
		NRRA-TRAVEL ADVANCE	8/20/19	922.74	
		CICA-TRAVEL ADVANCE	2/27/19	1,260.69	
		2019 NAIC National Conference	11/2/18	403.31	
SEAN O'DONNELL				4,496.92	
SENAYET MEAZA	Director of Market Examination	2019 SEC Mi-Atlantic Enforcement Meeting Philadelphia, PA	6/12/19	233.00	
		Get Set State Examiner Training Los Angeles, CA	8/8/19	1,064.18	
		NASAA BROKER DEALER Exam Training Jacksonville, FL	5/23/19	1,096.59	
		2019 NASAA Enforcement Conference Dallas TX	1/9/19	978.66	
SENAYET MEAZA				3,372.43	
SHANKAR VAIDYANATHAN	Chief Information Officer	2019 NAIC Conference TRAVEL Kansas City Recon	6/27/19	270.42	
SHANKAR VAIDYANATHAN				270.42	
SHANTA SUGGS	Investigator Fraud	2019 NASAA Spring Conference-Pcard	7/23/19	150.00	
		NHCAFA-05/06-09/19-TRAVEL ADV.	4/12/19	1,059.75	
SHANTA SUGGS				1,209.75	
SHARON SHIPP	Director, Compliance Analysis	NAIC Fall National Meeting San Fransisco	1/9/19	928.15	
SHARON SHIPP				928.15	
STEPHEN TAYLOR	Commissioner	Per-Diem NAIC Executive Committee Meeting Laquinta, CA	1/25/19	203.00	
		Per-Diem NASAA Annual Conference Austin, TX	8/30/19	213.50	
		Per-Diem NAIC Autonomous Vehicle Forum Santa Clara, CA	10/2/18	224.00	
		NAIC Fall National Meeting San Fransisco Per Diem	11/8/18	342.00	
		NAIC Spring National Meeting Orlando, Florida	3/26/19	363.00	
		ACI- Insurance Forum Recon	6/11/19	106.87	
		CSBS 2019 Conference Registration	3/11/19	567.14	
		National Mortgage Policy Summit	8/2/19	175.00	
		Mastering Bitcoin Digital Currency Conference	8/13/19	149.00	
		NAIC Summer National Meeting NY	8/23/19	418.00	
STEPHEN TAYLOR				2,761.51	
SURAYUTH JOP BUNYASRIE	Financial Examiner Insurance	NRRA Annual Ocnference Chicago, IL Recon	10/16/18	110.24	
		NAIC Insurance Summit Kansas City MO	5/15/19	1,227.03	
		VCIA 2019 Conference	8/20/19	2,755.35	
		CICDC Annual Conference Registration Fee Pcard	8/27/19	790.00	
SURAYUTH JOP BUNYASRIE				4,882.62	

Department of Insurance, Securities and Banking (SR0)

Fiscal Year 2019 Employee Travel Expenses

Employee/Vendor Name	Position/Title	Invoice Description/Conference Attended	Travel/Effective Date	Trans Amt	Justification
TANYA JOHNSON	Senior Accountant	GFOA 2019 Annual Conference, LA	7/9/19	1,891.88	Required conference/training related to positions of the staff
TANYA JOHNSON				1,891.88	
TANYA BRYANT	Public Affairs Specialist	National Community Reinvestment 2019 Conference	3/13/19	236.55	
TANYA BRYANT				236.55	
THEODORE MILES	Director of Securities	ASA-ANNUAL CONFERENCE-TRAVEL Recon	3/13/19	515.18	
THEODORE MILES				515.18	
TITA ADOLF TENGEN	Manager-Financial Reporting	GFOA 2019 Annual Conference, LA	6/11/19	1,919.12	
TITA ADOLF TENGEN				1,919.12	
TREY IRWIN	Supervisory Bank Examiner	Full Scope Examination of Yapstone Inc. November 2018	11/28/18	2,638.99	
		Full Scope Examination of Intermex Kendall, FL	6/5/19	1,941.23	
		Full Scope Examination of Rakuten, San Mateo, CA May 2019	6/5/19	2,944.70	
		CSBS State-Federal Supervisory Forum P card	9/23/19	2,631.90	
TREY IRWIN				10,156.82	
YOHANESS NEGASH	Financial Examiner Insurance	NAIC Advanced Financial Regulators Training Kansas City MO	9/30/19	1,060.84	
		2019 NAIC Insurance Summit Kansas City MO	7/23/19	1,690.29	
YOHANESS NEGASH				2,751.13	
Total				178,078.50	

Department of Insurance, Securities and Banking (SR0)
Fiscal Year 2020 YTD Employee Travel Expenses

Employee/Vendor Name	Position/Title	Invoice Description/Conference Attended	Travel/Effective Date	Trans Amt	Justification
AARON CLIFTON	Bank Examiner	Examination of -Everett Financial Inc Dallas, TX Recon	10/11/19	158.49	Required conference/training related to positions of the staff
AARON CLIFTON				158.49	
BRIAN BRESSMAN	Director of Fraud	National Insurance Fraud Directors Conference Orlando, FL	10/4/19	1,216.21	
BRIAN BRESSMAN				1,216.21	
CHRISTINE AFOLABI	Insurance Operations Examiner	2019 TeamMate User Forum Aurora, Colorado Recon	11/1/19	174.14	
CHRISTINE AFOLABI				174.14	
DAVID A. CHRISTHILF	Actuary	NAIC Fall National Conference Austin, TX	11/20/19	1,078.47	
DAVID A. CHRISTHILF				1,078.47	
ELEANOR TIPPETT	Bank Examiner	Examination of Quicken Loans Detroit MI	11/5/19	196.11	
ELEANOR TIPPETT				196.11	
GEORGE ADU	Financial Examiner (Reporting & Disclosure)	NASAA Conference Addison, TX	11/5/19	971.40	
GEORGE ADU				1,140.71	
HOWARD LIEBERS	Health Care Policy Analyst	NAIC Fall National Conference Austin, TX	11/20/19	1,466.01	
HOWARD LIEBERS				1,466.01	
JAMES MCMANUS	Assistant Director- Securities	NASAA Conference Addison, TX	11/12/19	993.18	
JAMES MCMANUS				993.18	
JULIANA TENGEN	Investigator Fraud	Mileage-Reimbur-Basic Cyber Investigation Columbia, MD	11/8/19	92.91	
JULIANA TENGEN				92.91	
LATASHA DAVIS	FINANCIAL EXAMINER INSURANCE	NRRA Travel -RECONCILIATION	11/13/19	19.49	
LATASHA DAVIS				19.49	
LESTER JOSEPH	Bank Examiner	Full Scope Examination of Envious De Valores Littleton, CO	11/7/19	1,667.00	
		Full Scope Examination of Alipay San Mateo, CA	11/26/19	4,781.58	
LESTER JOSEPH				6,448.58	
MALCOLM DOSTER	Securities Financial Examiner	NASAA Conference Addison, TX	12/16/19	1,200.55	
MALCOLM DOSTER				1,200.55	
MARY GASKIN	Investigator Fraud	Mileage-Reimbur-National White Collar Crime Investigation Columbia, MD	11/8/19	92.91	
MARY GASKIN				92.91	
MICHELLE HAMMONDS	Program Manager-Fin Emp	Per-Diem Cities for Financial Empoement-New York, NY	10/23/19	67.00	
MICHELLE HAMMONDS				67.00	
MIRIAM COLE	Bank Examiner	Examination of HSI USA Inc. Austin, TX	11/8/19	2,944.78	
MIRIAM COLE				2,944.78	
NATHANIEL BROWN	Supvy Ins Oper Exam (Auditing)	NAIC Fall National Conference Austin, TX Recon	11/20/19	146.61	
NATHANIEL BROWN				146.61	
PAUL DREHOFF	Public Information Officer	PRSA (Public Relation) Annual Conference San Diaego, CA	11/13/19	2,210.62	
PAUL DREHOFF				2,210.62	
PHILIP BARLOW	Associate Commissioner-Insurance	NAIC Fall National Conference Austin, TX	11/20/19	1,369.33	
PHILIP BARLOW				1,369.33	
REBECCA DAVIS	Financial Examiner	NAIC Analysis Peer Review project Kansas City MO	11/13/19	679.32	
REBECCA DAVIS				679.32	

Department of Insurance, Securities and Banking (SR0)
Fiscal Year 2020 YTD Employee Travel Expenses

Employee/Vendor Name	Position/Title	Invoice Description/Conference Attended	Travel/Effective Date	Trans Amt	Justification
SAMUEL FULLER	Lead Bank Examiner	EXAM-TRAVEL Intergrated Payment Systems Inc Atlanta Recon	11/5/19	314.11	Required conference/training related to positions of the staff
		Examination of HSI USA Inc. Austin, TX	11/8/19	3,428.97	
SAMUEL FULLER				3,743.08	
SEAN O'DONNELL	Supervisory Financial Examiner	NRRA Conference-Recon Chicago, IL	11/5/19	55.34	
		NAIC Fall National Conference Austin, TX Recon	11/5/19	1,189.45	
SEAN O'DONNELL				1,244.79	
STEPHEN TAYLOR	Commissioner	CSBS District Meeting Philadelphia, PA	11/19/19	712.18	
		CSBS Board and Strategic South Dakota Recon	11/26/19	1,521.37	
		CSBS State Federal Forum San Antonio, TX Recon	11/26/19	1,767.10	
STEPHEN TAYLOR				4,000.65	
TREY IRWIN	Supervisory Bank Examiner	CSBS District Meeting Providence RI Recon	12/16/19	629.00	
		Full Scope Examination of Envious De Valores Littleton, CO	11/5/19	1,892.88	
TREY IRWIN				2,521.88	
Total				33,205.82	

Appendix 4

Department of Insurance, Securities and Banking (SR0)
Fiscal Year 2019 Budget and Actual Expenditures

Division Code	Division Title	Fund Type	Expenditure Category	Approved Budget	Revised Budget	Expenditures	Available Balance
1000	AGENCY MANAGEMENT	OPERATING INTRA-DISTRICT FUNDS	PERSONNEL SERVICES	0.00	22,000.00	22,000.00	0.00
			NON-PERSONNEL SERVICES	44,000.00	30,000.00	30,000.00	0.00
		SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	4,636,090.75	4,082,756.33	4,003,494.00	79,262.33
			NON-PERSONNEL SERVICES	3,833,805.00	2,589,358.41	2,395,822.34	193,536.07
1000 Total				8,513,895.75	6,724,114.74	6,451,316.34	272,798.40
100F	AGENCY FINANCIAL OPERATIONS	OPERATING INTRA-DISTRICT FUNDS	NON-PERSONNEL SERVICES	81,000.00	67,178.32	67,178.32	0.00
			SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	995,058.07	991,529.34	1,010,935.70
			NON-PERSONNEL SERVICES	22,800.00	22,800.00	0.00	22,800.00
100F Total				1,098,858.07	1,081,507.66	1,078,114.02	3,393.64
2000	INSURANCE	FEDERAL GRANT FUND	NON-PERSONNEL SERVICES	0.00	452,433.00	452,433.00	0.00
			SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	3,649,089.00	2,956,915.10	3,031,381.71
			NON-PERSONNEL SERVICES	568,400.00	775,579.26	699,441.81	76,137.45
2000 Total				4,217,489.00	4,184,927.36	4,183,256.52	1,670.84
3000	SECURITIES	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,553,091.57	1,298,034.46	1,298,034.46	0.00
			NON-PERSONNEL SERVICES	439,369.00	131,479.86	131,479.86	0.00
3000 Total				1,992,460.57	1,429,514.32	1,429,514.32	0.00
4000	ENFORCEMENT	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,251,378.36	998,531.82	954,285.03	44,246.79
			NON-PERSONNEL SERVICES	75,102.00	19,239.41	9,271.40	9,968.01
4000 Total				1,326,480.36	1,017,771.23	963,556.43	54,214.80
5000	BANKING	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,665,232.60	1,265,340.12	1,265,340.12	0.00
			NON-PERSONNEL SERVICES	4,436,703.00	2,312,253.54	1,475,110.57	837,142.97
			PRIVATE GRANT FUND	NON-PERSONNEL SERVICES	0.00	44,800.00	44,800.00
5000 Total				6,101,935.60	3,622,393.66	2,785,250.69	837,142.97
6000	RISK FINANCE	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	474,837.36	474,837.36	463,263.61	11,573.75
			NON-PERSONNEL SERVICES	183,850.00	183,850.00	45,930.38	137,919.62
6000 Total				658,687.36	658,687.36	509,193.99	149,493.37
8000	MARKET EXAMINATIONS	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	3,120,587.71	2,525,191.53	2,543,739.53	(18,548.00)
8000 Total				3,120,587.71	2,525,191.53	2,543,739.53	(18,548.00)
9000	COMPLIANCE ANALYSIS	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,631,041.15	1,226,056.65	1,149,990.18	76,066.47
			NON-PERSONNEL SERVICES	29,041.00	24,015.31	19,186.89	4,828.42
9000 Total				1,660,082.15	1,250,071.96	1,169,177.07	80,894.89
Grand Total				28,690,476.57	22,494,179.82	21,113,118.91	1,381,060.91

The \$1.4 million budget surplus is mostly in O-Type fund. The detail is as follows:

\$99K is PS surplus due to vacant positions;

\$94K is due to lower than projected fixed costs (mainly rent and Occupancy costs);

\$204K is surplus in supplies as well as other services and charges (travel, repair and maintenance, and OCTO IT Assessment);

\$957K is contractual services that were deferred to FY20 (manly for Banking and Risk Finance Bureaus);

\$17k surplus is due to lower than anticipated equipment and other costs

Department of Insurance, Securities and Banking (SR0)
Fiscal Year 2020 Budget and Actual Expenditures (Year-to-Date)

Division Code	Division Title	Fund Type	Expenditure Category	Approved Budget	Revised Budget	Expenditures	Available Balance
1000	AGENCY MANAGEMENT	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	4,536,435.04	4,536,435.04	809,396.07	3,727,038.97
			NON-PERSONNEL SERVICES	4,012,453.00	4,012,453.00	115,048.43	3,897,404.57
1000 Total				8,548,888.04	8,548,888.04	924,444.50	7,624,443.54
100F	AGENCY FINANCIAL OPERATIONS	OPERATING INTRA-DISTRICT FUNDS	NON-PERSONNEL SERVICES	81,000.00	81,000.00	260.00	80,740.00
			PERSONNEL SERVICES	1,035,124.57	1,035,124.57	186,965.59	848,158.98
		SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	NON-PERSONNEL SERVICES	22,800.00	22,800.00	0.00	22,800.00
100F Total				1,138,924.57	1,138,924.57	187,225.59	951,698.98
2000	INSURANCE	FEDERAL GRANT FUND	NON-PERSONNEL SERVICES	139,000.00	139,000.00	(90,605.75)	229,605.75
			PERSONNEL SERVICES	3,347,467.32	3,347,467.32	561,977.02	2,785,490.30
		SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	NON-PERSONNEL SERVICES	868,400.00	868,400.00	3,588.24	864,811.76
2000 Total				4,354,867.32	4,354,867.32	474,959.51	3,879,907.81
3000	SECURITIES	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,209,363.60	1,209,363.60	238,851.17	970,512.43
			NON-PERSONNEL SERVICES	494,841.00	494,841.00	3,365.13	491,475.87
3000 Total				1,704,204.60	1,704,204.60	242,216.30	1,461,988.30
4000	ENFORCEMENT	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	892,481.29	892,481.29	186,891.84	705,589.45
			NON-PERSONNEL SERVICES	74,281.00	74,281.00	25,023.35	49,257.65
4000 Total				966,762.29	966,762.29	211,915.19	754,847.10
5000	BANKING	OPERATING INTRA-DISTRICT FUNDS	NON-PERSONNEL SERVICES	52,000.00	52,000.00	0.00	52,000.00
			NON-PERSONNEL SERVICES	0.00	2,500.00	0.00	2,500.00
		SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,576,512.62	1,576,512.62	237,937.78	1,338,574.84
			NON-PERSONNEL SERVICES	4,993,703.00	4,993,703.00	(78,457.71)	5,072,160.71
5000 Total				6,622,215.62	6,624,715.62	159,480.07	6,465,235.55
6000	RISK FINANCE	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	490,382.75	490,382.75	87,476.71	402,906.04
			NON-PERSONNEL SERVICES	211,000.00	211,000.00	2,117.74	208,882.26
6000 Total				701,382.75	701,382.75	89,594.45	611,788.30
8000	MARKET EXAMINATIONS	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	2,533,314.22	2,533,314.22	477,742.50	2,055,571.72
8000 Total				2,533,314.22	2,533,314.22	477,742.50	2,055,571.72
9000	COMPLIANCE ANALYSIS	SPECIAL PURPOSE REVENUE FUNDS ('O'TYPE)	PERSONNEL SERVICES	1,435,758.88	1,435,758.88	226,909.69	1,208,849.19
			NON-PERSONNEL SERVICES	39,040.00	39,040.00	0.00	39,040.00
9000 Total				1,474,798.88	1,474,798.88	226,909.69	1,247,889.19
Grand Total				28,045,358.29	28,047,858.29	2,994,487.80	25,053,370.49

FY 2020 variance (budget balance) is due to expenditures showing only year-to-date amounts.

Appendix 5

Department of Insurance, Securities and Banking (SRO) **List of Intra-District Transfers**

1) FY 2019 Intra-District Transfers from Other Agencies

Project No.	Description	Seller Agency	Buyer Agency	Program Code	Program Code Title	Activity Code	Activity Code Title	Funding Source	MOU Signature Date	Transferred Date	Amount
IAS19N	Insurers' Assessment Services	Department Of Insurance, Securities and Banking (DISB)	Department of Healthcare Finance (DHCF)	100F	Agency Financial Operations	110F	Budget Operation	Special Purpose Revenue Funds	7/20/2018	2/1/2019	67,178.32
SYE19N	Summer Youth Employment Program	Department Of Insurance, Securities and Banking (DISB)	Department of Employment Services (DOES)	1000	Agency Management	1040	Office Of Info. Tech. And Support	Local Fund	4/18/2019	5/3/2019	52,000.00
Total											119,178.32

2) FY 2019 Intra-District Transfers to Other Agencies

Project No.	Description	Buyer Agency	Seller Agency	Program Code	Program Code Title	Activity Code	Activity Code Title	Funding Source	MOU Signature Date	Transferred Date	Amount
9BIASR	Application Services and OPS Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	Agency Management	1040	Office Of Info. Tech. And Support	Special Purpose Revenue Funds	Citywide MOU	10/1/2018	3,855.54
9DETSR	Business Intelligence Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	Agency Management	1040	Office Of Info. Tech. And Support	Special Purpose Revenue Funds	Citywide MOU	10/1/2018	58,743.25
9FMSRO	Fleet Services	Department Of Insurance, Securities and Banking (DISB)	Department of Public Works (DPW)	1000	Agency Management	1040	Office Of Info. Tech. And Support	Special Purpose Revenue Funds	Citywide MOU	12/31/2018	5,430.20
9GCSSR	Government Cloud Services Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	Agency Management	1040	Office Of Info. Tech. And Support	Special Purpose Revenue Funds	Citywide MOU	10/5/2018	42,717.81
9NOCSSR	NOC Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	Agency Management	1040	Office Of Info. Tech. And Support	Special Purpose Revenue Funds	Citywide MOU	10/5/2018	6,797.19
9PASSR	PASS Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	Agency Management	1040	Office Of Info. Tech. And Support	Special Purpose Revenue Funds	Citywide MOU	10/1/2018	1,043.70
9WMBRSR	Web Maintenance Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	Agency Management	1040	Office Of Info. Tech. And Support	Special Purpose Revenue Funds	Citywide MOU	10/1/2018	24,258.36
DIS19N	Background Checks / Fingerprinting	Department Of Insurance, Securities and Banking (DISB)	Metropolitan Police Department (MPD)	2000	Insurance	2080	Dc Market Operations Insurance	Special Purpose Revenue Funds	12/13/2018	1/18/2019	9,094.75
DISBIN	District Vehicle Insurance Compliance	Department Of Insurance, Securities and Banking (DISB)	Department of Motor Vehicles (DMV)	2000	Insurance	2080	Dc Market Operations Insurance	Special Purpose Revenue Funds	8/12/2019	9/1/2019	495,000.00
DISBVP	Production of professional Videos	Department Of Insurance, Securities and Banking (DISB)	Office of Cable Television, Film, Music and Entertainm	1000	Agency Management	1080	Public Affairs	Special Purpose Revenue Funds	3/18/2019	3/26/2019	7,500.00
IDCASL	Sign Language Interpretation Services	Department Of Insurance, Securities and Banking (DISB)	Office of Disability Rights	1000	Agency Management	1040	Office Of Info. Tech. And Support	Special Purpose Revenue Funds	6/18/2019	7/9/2019	1,841.00
J308SR	Telecommunications	Department Of Insurance, Securities and Banking (DISB)	Office of Finance and Resources Management (OFRM)	1000	Agency Management	1040	Office Of Info. Tech. And Support	Special Purpose Revenue Funds	Citywide MOU	11/1/2018	33,058.74
J309SR	Rent	Department Of Insurance, Securities and Banking (DISB)	Department of General Services (DGS)	1000	Agency Management	1040	Office Of Info. Tech. And Support	Special Purpose Revenue Funds	Citywide MOU	11/28/2018	1,498,665.74
J319SR	Occupancy Fixed Cost	Department Of Insurance, Securities and Banking (DISB)	Department of General Services (DGS)	1000	Agency Management	1040	Office Of Info. Tech. And Support	Special Purpose Revenue Funds	Citywide MOU	11/21/2018	12,576.23
J440SR	Security Services	Department Of Insurance, Securities and Banking (DISB)	Department of General Services (DGS)	1000	Agency Management	1040	Office Of Info. Tech. And Support	Special Purpose Revenue Funds	Citywide MOU	11/21/2018	2,615.00
SR19BE	Executive coaching	Department Of Insurance, Securities and Banking (DISB)	Department of Human Resources (DCHR)	1000	Agency Management	1040	Office Of Info. Tech. And Support	Special Purpose Revenue Funds	12/11/2018	12/12/2018	15,000.00
SRBE19	Suitability check for employment	Department Of Insurance, Securities and Banking (DISB)	Department of Human Resources (DCHR)	1000	Agency Management	1040	Office Of Info. Tech. And Support	Special Purpose Revenue Funds	11/9/2018	12/5/2018	3,363.93
PX05RO	Purchase/Travel Card	Department Of Insurance, Securities and Banking (DISB)	Purchase Card Transactions (PX0)	1000	Agency Management	1040	Office Of Info. Tech. And Support	Special Purpose Revenue Funds	Citywide MOU	10/1/2018	151,678.02
				1000	Agency Management	1040	Office Of Info. Tech. And Support	Intra-District Fund	Citywide MOU	10/1/2018	17,144.42
				1000	Agency Management	1060	Office Of Legal Services	Special Purpose Revenue Funds	Citywide MOU	10/1/2018	3,142.00
				1000	Agency Management	1080	Public Affairs	Special Purpose Revenue Funds	Citywide MOU	10/1/2018	23,475.95
				100F	Agency Financial Operations	110F	Budget Operation	Intra-District Fund	Citywide MOU	10/1/2018	13,232.29
				2000	Insurance	2080	Dc Market Operations Insurance	Special Purpose Revenue Funds	Citywide MOU	10/1/2018	2,400.00
				3000	Securities	3080	Dc Market Operations Securities	Special Purpose Revenue Funds	Citywide MOU	10/1/2018	18,769.40
				4000	Enforcement	4080	Dc Market Compliance Enforcement	Special Purpose Revenue Funds	Citywide MOU	10/1/2018	1,847.17
5000	Banking	5080	Dc Market Operations Banking	Special Purpose Revenue Funds	Citywide MOU	10/1/2018	37,713.67				
6000	Risk Finance	6080	Dc Market Operations Risk Finance	Special Purpose Revenue Funds	Citywide MOU	10/1/2018	17,200.00				
Total											2,508,164.36

3) FY 2020 Intra-District Transfers from Other Agencies

Project No.	Description	Seller Agency	Buyer Agency	Program Code	Program Code Title	Activity Code	Activity Code Title	Funding Source	MOU Signature Date	Transferred Date	Amount
IAS20N	Insurers' Assessment Services	Department Of Insurance, Securities and Banking (DISB)	Department of Healthcare Finance (DHCF)	100F	Agency Financial Operations	110F	Budget Operation	Special Purpose Revenue Funds		10/1/2019	44,550.00
								Federal Medicaid Payments		10/1/2019	36,450.00
Total											44,550.00

4) FY 2020 Intra-District Transfers to Other Agencies

Project No.	Description	Buyer Agency	Seller Agency	Program Code	Program Code Title	Activity Code	Activity Code Title	Funding Source	MOU Signature Date	Transferred Date	Amount
DAIMSR	Application Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	Special Purpose Revenue Funds	Citywide MOU	10/1/2019	7,900.00
OBIASR	Application Services and OPS Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	Special Purpose Revenue Funds	Citywide MOU	10/1/2019	5,366.55
OCISSR	Government Cloud Services Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	Special Purpose Revenue Funds	Citywide MOU	10/1/2019	56,241.11
ODETSR	DC NET Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	Special Purpose Revenue Funds	Citywide MOU	11/18/2019	59,919.34
OPASSR	PASS Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	Special Purpose Revenue Funds	Citywide MOU	10/1/2019	1,043.70
OWEBSR	Web Maintenance Sweep	Department Of Insurance, Securities and Banking (DISB)	Office of the Chief Technology Officer (OCTO)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	Special Purpose Revenue Funds	Citywide MOU	10/1/2019	24,175.05
I205RO	Telecommunications	Department Of Insurance, Securities and Banking (DISB)	Office of Finance and Resources Management (OFRM)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	Special Purpose Revenue Funds	Citywide MOU	10/1/2019	37,835.06
PX05RO	Purchase/Travel Card	Department Of Insurance, Securities and Banking (DISB)	Purchase Card Transactions (PX0)	1000	AGENCY MANAGEMENT	1040	OFFICE OF INFO. TECH. AND SUPPORT	Special Purpose Revenue Funds	Citywide MOU	10/1/2019	300,000.00
Total											492,480.81

Appendix 6

Department of Insurance, Securities and Banking (SR0)
Special Purpose Revenue Funds
FY2019 and FY2020 Revenue and Expenditures

Fund Code	Fund Title	Source of Funding	Description	Propose of Expenditures	FY2019 Revenue	FY2019 Actual Expenditure	FY2020 Revenue 12/19/2019	FY2020 Actual Expenditure 12/19/2019
2100	HMO Assessment	Health Insurance Companies	An assessment on health care organizations	Expenditures are for the Agency's day-to-day operations	1,006,582	961,101	0	203,180
2200	Insurance Assessment	Insurance Companies	An assessment on Insurance Companies	Expenditures are for the Agency's day-to-day operations	6,870,756	7,141,450	105	1,108,259
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	2,573,395	0	178,915	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	11,113,841	10,281,638	0	1,381,441
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	575,645	0	8,660	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	1,981,903	0	3,328,922	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	2,681,946	2,112,519	34,820	391,954
2900	Banking Trust Fund	Banking Institutions , Mortgage Companies	These are fees collected from banks for applications, licensing, titles and penalties	N/A	0	0	4,018,247	0
2910	Foreclosure Mediation Fund	Banks, Mortgage Companies and Individual Borrowers	Mediation fees collected from banks, mortgage companies and individuals being foreclosed on	N/A	11,150	0	1,850	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	0	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	54,785	0	0	0
2951	Loan Participation Fund	US Department of Treasury	Funds received from the US Department of Treasury pursuant to the Small Business Jobs Act that created the State Small Business Credit Initiative (SSBCI). The money is deposited in participating banks and generates interest.	Expenditures are for the Agency's DCBizCAP program	4,940	0	0	0
					26,874,943	20,496,708	7,571,519	3,084,834

Appendix 7

DEPARTMENT OF INSURANCE, SECURITIES AND BANKING
Contracting and Procurement

FY19 and FY20

Supplier Name	Product/Service	Term	Budgeted Amount	Actual Spending	Status	Negotiated/Competitive Bid	Contract Monitor	Monitoring Activity	Funding Source	CBE
FORMOST ADVANCED CREATIONS LLC	DISB: FY 2019 Promotional Items	FY19	\$86,033.50	\$0.00	n/a	Competitive	P.Drehoff/T.Bryant	n/a	O-Type	YES
THE AQUILINE GROUP	DISB: 2019 Student Loan Ombudsman Annual Report	FY19	\$5,113.75	\$5,113.75	Products Received	Competitive	P.Drehoff/T.Bryant	Services Monitored & Product Received	O-Type	YES
THE AQUILINE GROUP	DISB: DC BizCAP Report	FY19	\$12,079.87	\$12,079.87	Products Received	Competitive	P.Drehoff/T.Bryant	Services Monitored & Product Received	O-Type	YES
ABC TECHNICAL SOLUTIONS I	DISB: Back Up Appliance and CCloud Subscription	FY19	\$9,994.00	\$9,994.00	Services Rendered	Competitive	Shankar Vaidyanathan	Services Rendered	O-Type	YES
THE AQUILINE GROUP	DISB Professional Design, Layout, and Production Services	FY19	\$31,338.75	\$31,338.75	Products Received	Competitive	P.Drehoff/T.Bryant	Services Monitored & Product Received	O-Type	YES
THE BEACON NEWSPAPERS INC.	DISB: Monthly Advertisement	FY19	\$8,583.00	\$8,583.00	Services Rendered	Negotiated	P.Drehoff/T.Bryant	Services Monitored & Product Received	O-Type	NO
DUPONT COMPUTERS	DISB: Embroidery Services for Apparel Design	FY19	\$8,501.78	\$8,501.78	Products Received	Competitive	P.Drehoff/T.Bryant	Services Monitored & Product Received	O-Type	YES
ABC TECHNICAL SOLUTIONS I	DISB: Laptops	FY19	\$51,975.60	\$51,975.60	Products Received	Competitive	Shankar Vaidyanathan	Services Rendered	O-Type	YES
KAARI HUGHS DBA/ THE HAMILTON	DISB: Promotional Insulated Lunch Bags	FY19	\$7,603.57	\$7,603.57	Products Received	Competitive	P.Drehoff/T.Bryant	Services Monitored & Product Received	O-Type	YES
ABC TECHNICAL SOLUTIONS I	DISB: Microsoft Surface Pro Tablets	FY19	\$9,999.60	\$9,999.60	Products Received	Competitive	Shankar Vaidyanathan	Services Monitored & Product Received	O-Type	YES
RIZEUP TECHNOLOGY TRAINING	Temporary Staffing-Technical Writer	FY19	\$28,862.72	\$17,033.36	Services Rendered	Competitive	Katrice Purdie	Services Monitored & Product Received	O-Type	YES
WASHINGTON INFORMER NEWSPAPER	DISB: Weekly Advertisement	FY19	\$13,500.00	\$6,000.00	Services Rendered	Negotiated	P.Drehoff/T.Bryant	Services Monitored & Product Received	O-Type	YES
CAPITAL SERVICES AND SUPPLIES	DISB: Transporting Promotional Items	FY19	\$21,840.00	\$9,012.00	Services Rendered	Competitive	P.Drehoff/T.Bryant	Services Rendered	O-Type	YES
ABC TECHNICAL SOLUTIONS I	DISB: Dell KACE Hardware Appliance Refresh & Software Support	FY19	\$8,342.67	\$8,342.67	Services Rendered	Competitive	Shankar Vaidyanathan	Services Monitored & Product Received	O-Type	YES
RECTOR AND ASSOCIATES INC.	DISB: Training for Consumer Complaint Staff	FY19	\$10,000.00	\$10,000.00	Services Rendered	Competitive	Sharon Shipp	Services Rendered	O-Type	NO
SOU SOU INVESTMENT SOLUTIONS	DISB: Develop & Host a Financial Technology-Based Customized Virtual Lending Marketplace	FY19	\$91,350.00	\$91,350.00	Services Rendered	Competitive	Dana Sheppard	Services Monitored & Product Received	O-Type	YES
RIZEUP TECHNOLOGY TRAINING	(BPA Request) Temporary General Office Support	FY19	\$14,341.63	\$0.00	n/a	Competitive	Katrice Purdie	n/a	O-Type	YES
GEORGETOWN TECHNOLOGIES LLC	DISB: Financial Empowerment Center	FY19	\$44,800.00	\$44,800.00	Services Rendered	Competitive	Dana Sheppard	Services Monitored & Product Received	O-Type	YES
ABC TECHNICAL SOLUTIONS I	DISB: Dell Workstation Memory Upgrade	FY19	\$6,441.40	\$6,441.40	Services Rendered	Competitive	Shankar Vaidyanathan	Services Monitored & Product Received	O-Type	YES
DOCUMENT SYSTEMS INC	Maintenance Agreement Renewal: Kodak Warranty & Kofax Standard Support	FY19	\$7,425.30	\$7,425.30	Services Rendered	Competitive	Shankar Vaidyanathan	Services Monitored & Product Received	O-Type	YES
LEWIS & ELLIS INC.	DISB: Lewis and Ellis #CW51985	FY19	\$151,125.00	\$140,915.00	Services Rendered	Competitive	Philip Barlow	Services Monitored & Product Received	Grant Funds	NO
WASHINGTON BUSINESS JOURNAL	DISB: Washington Business Journal	FY19	\$19,110.00	\$0.00	n/a	Negotiated	P.Drehoff/T.Bryant	n/a	O-Type	NO
PITNEY BOWES	DISB: Pitney Bowes	FY19	\$30,000.00	\$3,120.22	Products Received	Negotiated	Katrice Purdie	Services Monitored & Product Received	O-Type	NO
CAPITAL COMMUNITY NEWS INC	DISB: Capital Community News (Monthly Advertisement)	FY19	\$7,230.00	\$7,230.00	Services Rendered	Competitive	P.Drehoff/T.Bryant	Services Monitored & Product Received	O-Type	YES
DC CHAMBER OF COMMERCE	DISB Sponsor: 2019 Small Business & Economic Development Summit	FY19	\$7,500.00	\$7,500.00	Services Rendered	Competitive	P.Drehoff/T.Bryant	Services Rendered	O-Type	NO
NATIONAL ASSOCIATION OF INSURA	FY19 NAIC Member Assessment	FY19	\$10,988.00	\$10,988.00	Services Rendered	Negotiated	Philip Barlow	Services Rendered	Grant Funds	NO
Bluebay Office Inc	Bookshelves/HeadSets	FY19	\$11,069.00	\$11,069.00	Products Received	Competitive	Katrice Purdie	Product Received	O-Type	YES
BIZTECH FUSION, LLC	DISB: Privacy Screens	FY19	\$26,600.00	\$26,600.00	Products Received	Competitive	Shankar Vaidyanathan	Services Monitored & Product Received	O-Type	YES
WEST PUBLISHING CORP	DISB: Westlaw/Thomas Reuters-West	FY19	\$18,240.00	\$18,240.00	Services Rendered	Negotiated	Jocelyn Bramble	Services Rendered	O-Type	NO
BIZTECH FUSION, LLC	CPTRAX Workstation Auditing & File System Module	FY19	\$5,025.42	\$5,025.42	Services Rendered	Competitive	Shankar Vaidyanathan	Services Rendered	O-Type	YES
GREATER WASHINGTON HISPANIC	DISB Sponsor: 10th Annual 2019 Greater Washington Hispanic Charter of Commerce Business Expo	FY19	\$5,000.00	\$5,000.00	Services Rendered	Competitive	P.Drehoff/T.Bryant	Services Rendered	O-Type	NO
SMITH GRAHAM AND CRUMP	Foreclosure Mediation Services	FY19	\$8,000.00	\$7,500.00	Services Rendered	Negotiated	Brian Williams	Services Monitored & Product Received	O-Type	NO
CCH INCORPORATED	Annual Renewal: CCH Federal Securities Regulation Integrated Library (CCHIL)	FY19	\$13,707.90	\$13,707.90	Services Rendered	Competitive	Theodore Miles	Services Rendered	O-Type	NO
NETWORKING FOR FUTURE INC	Training for DISB IT Staff	FY19	\$7,983.33	\$7,983.33	Services Rendered	Competitive	Shankar Vaidyanathan	Services Rendered	O-Type	YES
PUBLIC CONSULTING GRP INC	Market Reforms Appeals & Preventive Services	FY19	\$227,000.00	\$197,900.00	Services Rendered	Competitive	Philip Barlow	Services Rendered	Grant Funds	NO
REED ELSEVIER INCORPORATED	DISB: LexisNexis/Accurint	FY19	\$33,264.00	\$31,595.40	Services Rendered	Competitive	Brian Bressman	Services Rendered	O-Type	NO
CAPITAL AREA ASSET BUILDING	DC Earned Income Tax Credit (DC EITC)	FY19	\$250,000.00	\$155,000.00	Services Rendered	Competitive	Brian Williams/M. Hammonds	Services Monitored & Product Received	O-Type	YES
XEROX CORPORATION	Copy of Xerox Corporation Leasing Agreement	FY19	\$93,515.02	\$83,689.67	Products Received	Negotiated	Shankar Vaidyanathan	Services Monitored & Product Received	O-Type	NO
MELTWATER NEWS US, INC	DISB: Media Intelligence Services	FY19	\$5,333.00	\$5,333.00	Products Received	Competitive	P.Drehoff/T.Bryant	Services Monitored & Product Received	O-Type	NO
NCRC-NATIONAL COMMUNITY	DISB: Sponsorship at the 2019 NCRC Annual Conference	FY19	\$5,000.00	\$5,000.00	Services Rendered	Negotiated	P.Drehoff/T.Bryant	Services Rendered	O-Type	NO

XEROX CORPORATION	Xerox Corporation Leasing Agreement	FY19	\$30,225.85	\$8,104.35	Products Received	Negotiated	Shankar Vaidyanathan	Services Monitored	O-Type	NO
MicroPact Global, INC	STAR System Maintenance & Hosting, MicroPact, Inc.	FY19	\$89,875.00	\$89,875.00	Products Received	Competitive	Shankar Vaidyanathan	Services Monitored & Product Received	O-Type	NO
WASHINGTON DC ECONOMIC PARTNER	Gold Sponsor of WDCEP's 2018 Annual Meeting & ECON Showcase	FY19	\$5,000.00	\$5,000.00	Products Received	Competitive	P.Drehoff/T.Bryant	Services Rendered	O-Type	NO
MDM OFFICE SYSTEMS DBA	Automated External Defibrillators (AED)	FY19	\$3,399.00	\$3,399.00	Products Received	Competitive	Katrice Purdie	Product Received	O-Type	YES
BRIAR PATCH SHREDDING AND R	Briar Patch, Shredding and Recycling	FY19	\$3,420.00	\$3,420.00	Services Rendered	Competitive	Katrice Purdie	Ongoing Services/Monitored	O-Type	YES
DOCUMENT SYSTEMS INC	IBM FileNet Maintenance Agreement Renewal	FY19	\$30,511.32	\$30,511.32	Products Received	Competitive	Shankar Vaidyanathan	Services Monitored & Product Received	O-Type	YES
THINK LOCAL FIRST DC	Localist Sponsor of the 2018 Local First Awards	FY19	\$3,000.00	\$3,000.00	Services Rendered	Competitive	P.Drehoff/T.Bryant	Services Rendered	O-Type	NO
DC CHAMBER OF COMMERCE	Silver Table Sponsor of 2018 Chamber's Choice Awards Gala	FY19	\$5,000.00	\$5,000.00	Services Rendered	Competitive	P.Drehoff/T.Bryant	Services Rendered	O-Type	NO
HOUSING COUNSELING SERVICE	Housing Counseling Services: CW24302	FY19	\$990,800.00	\$982,659.50	Services Rendered	Negotiated	Brian Williams	Ongoing Services/Monitored Regularly	O-Type	NO
WASHINGTON BUSINESS JOURNAL	DISB: FY20 Weekly Publication	FY20	\$19,110.00	\$0.00	n/a	Competitive	P.Drehoff/T.Bryant	n/a	O-Type	NO
MOTIR SERVICES INC	DISB: Transporting Equipment & Promotional Items	FY20	\$43,201.92	\$0.00	n/a	Competitive	P.Drehoff/T.Bryant	n/a	O-Type	YES
XEROX CORPORATION	DISB: Xerox Multi function Printer Fleet Maintenance Renewal	FY20	\$118,744.08	\$0.00	n/a	Negotiated	Shankar Vaidyanathan	n/a	O-Type	NO
IRON MOUNTAIN INC	DISB: Renewal of Iron Mountain Services	FY20	\$5,074.80	\$0.00	n/a	Competitive	Shankar Vaidyanathan	n/a	O-Type	NO
CAPITAL COMMUNITY NEWS INC	DISB: Advertisement in Capital Community News, Inc	FY20	\$18,813.60	\$2,748	n/a	Competitive	P.Drehoff/T.Bryant	Services Monitored	O-Type	YES
PUBLIC CONSULTING GRP INC	DISB: Market Reforms Grant/Technology #CW55072	FY20	\$212,276.25	\$139,702.25	Services Rendered	Competitive	Philip Barlow	Services Monitored	Grant Funds	NO
WASHINGTON INFORMER NEWSPAPER	DISB: Advertisement in The Washington Informer	FY20	\$19,000.00	\$0.00	n/a	Competitive	P.Drehoff/T.Bryant	n/a	O-Type	YES
MELTWATER NEWS US, INC	DISB: Media Intelligence Services	FY20	\$9,500.00	\$9,500	Services Rendered	Competitive	P.Drehoff/T.Bryant	Services Monitored	O-Type	NO
AL S OFFICE PRODUCTS	DISB Copy Paper (BPA Request)	FY20	\$20,000.00	\$0.00	n/a	Competitive	Gregory Ellis	n/a	O-Type	YES
AMERICAN BUSINESS SUPPLIE	DISB HP Brand Toner (BPA Request)	FY20	\$25,000.00	\$958.45	Products Received	Competitive	Gregory Ellis	Monitored Regularly	O-Type	YES
HOUSING COUNSELING SERVICE	DISB: Housing Counseling Services	FY20	\$991,800.00	\$0.00	n/a	Negotiated	Brian Williams	Ongoing Services/Monitored Regularly	O-Type	NO
MicroPact Global, INC	DISB: STAR System Maintenance and Hosting MicroPact	FY20	\$89,875.00	\$0.00	n/a	Competitive	Shankar Vaidyanathan	n/a	O-Type	NO
WASHINGTON DC ECONOMIC PARTNER	DISB Sponsorship: Washington DC Economic Partnership	FY20	\$24,000.00	\$0.00	n/a	Competitive	P.Drehoff/T.Bryant	n/a	O-Type	NO
THE BEACON NEWSPAPERS INC.	DISB: Advertisement in The Beacon	FY20	\$18,837.00	\$4,347	n/a	Competitive	P.Drehoff/T.Bryant	Ongoing Services	O-Type	NO
AAVISE DESIGN, LLC	DISB: Portable Public Address Equipment	FY20	\$12,399.99	\$0.00	n/a	Competitive	P.Drehoff/T.Bryant	n/a	O-Type	NO
PITNEY BOWES	DISB: Pitney Bowes	FY20	\$40,000.00	\$3,192	Products Received	Competitive	Gregory Ellis	Ongoing Services	O-Type	NO
WINGSWEPT LLC	DISB: CMTS Annual Maintenance Support & Cloud Hosting Service	FY20	\$23,665.22	\$23,665.22	Services Rendered	Competitive	Shankar Vaidyanathan	Services Rendered	O-Type	NO
WEST PUBLISHING CORP	DISB: Westlaw/Thomas Reuters-West	FY20	\$19,152.00	\$3,192.00	n/a	Negotiated	Jocelyn Bramble	n/a	O-Type	NO
BRIAR PATCH SHREDDING AND R	DISB: Briar Patch Shredding & Recycling	FY20	\$3,876.00	\$0.00	n/a	Competitive	Gregory Ellis	Ongoing Services	O-Type	YES
DC CHAMBER OF COMMERCE	FY20 DC Chamber Choice Award Gala	FY20	\$5,000.00	\$5,000	Services Rendered	Competitive	P.Drehoff/T.Bryant	Services Rendered	O-Type	NO
THINK LOCAL FIRST DC	DISB: 2019 Local First Awards/Think Local First DC	FY20	\$3,000.00	\$3,000	Services Rendered	Competitive	P.Drehoff/T.Bryant	Services Rendered	O-Type	NO
DOCUMENT SYSTEMS INC	DISB: IBM FileNet Maintenance Agreement Renewal	FY20	\$30,817.06	\$30,817.06	Services Rendered	Competitive	Shankar Vaidyanathan	Services Rendered	O-Type	YES

Total			\$4,328,191.90	\$2,446,082.74						
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Appendix 8

DEPARTMENT OF INSURANCE, SECURITIES AND BANKING

PCard Report

FY19

Transaction Date	Transaction Amount	Cardholder Last Name	Cardholder First Name	Merchant Name	MCC Description	Merchant Type	Transaction Notes	CBE
10/02/2018	795.00	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	No
10/04/2018	585.00	WOODLEY	EDWIN	AM ACADEMY OF ACTUARIE	ORGANIZATIONS MEMBERSHIP-NOT ELSEWHERE CLASSIFIED	Other	Travel and training for the individual Efren Tanhehco to attend the AAA 2018 Annual	No
10/04/2018	585.00	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	No
10/03/2018	2,426.15	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	WOODLEY	EDWIN	APSTYLEBOOK.COM	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Annual subscription for the AP Stylebook online	No
10/05/2018	475.00	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	No
10/06/2018	671.79	WOODLEY	EDWIN	FEDEX	COURIER SVC-AIR + GROUND FREIGHT FORWARDERS	Warehousing, Freight and Delivery	FedEx invoices for the agency	No
10/09/2018	106.22	WOODLEY	EDWIN	US OFFICE SOLUTIONS	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM	Print and Duplicating Services	Office supplies	Yes
10/09/2018	594.00	WOODLEY	EDWIN	TOUCAN	MISCELLANEOUS GENERAL MERCHANDISE	Retail	ID Badges for employees within the securities bureau.	Yes
10/16/2018	2,499.48	WOODLEY	EDWIN	ABC TECHNICAL SOLUTION	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Diskeeper software maintenance	Yes

10/16/2018	185.00	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	WOODLEY	EDWIN	MICROSOFT *ANSWER DESK	COMPUTER NETWORK- INFORMATION SERVICES	Computer, Hardware, Software and Peripherals	Microsoft Professional Support maintenance support.	No
10/30/2018	23.00	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN- SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	WMATA smart trip reload	No
10/30/2018	10.00	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN- SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	WMATA smart trip reload	No
10/31/2018	2,765.00	WOODLEY	EDWIN	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Local professional training for individuals to attend the Captive Insurance Council of	No
11/09/2018	2,064.00	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	Yes
11/19/2018	1,359.60	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	WADE	ALICIA	BLR/HCPRO	ADVERTISING SERVICES	Media and Advertising Services	Compliance Guide to the new Form ADV and companion tools for the Securities	No
11/29/2018	2,490.00	WADE	ALICIA	U.S. OFFICE SOLUTIONS	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM	Print and Duplicating Services	Copy Paper for the agency	Yes
11/29/2018	106.22	WADE	ALICIA	U.S. OFFICE SOLUTIONS	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM	Print and Duplicating Services	Office supplies for new Director of Communications	Yes
12/12/2018	750.00	WADE	ALICIA	PAYPAL	SCHOOLS + EDUCATIONAL SVC-NOT ELSEWHERE	Education	Renewal membership dues	No
12/12/2018	268.48	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation		Yes
12/13/2018	2,500.00	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	No

12/15/2018	1,934.00	WADE	ALICIA	TOUCAN	MISCELLANEOUS GENERAL MERCHANDISE	Retail		Yes
12/18/2018	759.00	WADE	ALICIA	TOUCAN	MISCELLANEOUS GENERAL MERCHANDISE	Retail		Yes
12/18/2018	1,192.14	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	WADE	ALICIA	A360INC	CONSULTING MANAGEMENT AND PUBLIC RELATIONS SVCS	Professional Services	Renew the CaseAware Manage annual maintenance/support for the agency	No
12/18/2018	2,453.23	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation		Yes
12/19/2018	1,366.00	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation		Yes
12/21/2018	(1,359.60)	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	WADE	ALICIA	PAYPAL	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services		Yes
01/04/2019	955.81	WADE	ALICIA	SQ *SQ *THE AQUILINE G	CONSULTING MANAGEMENT AND PUBLIC RELATIONS SVCS	Professional Services		
01/11/2019	319.88	WADE	ALICIA	THE CALVIN PRICE	STATIONERY-OFFICE SUPPLIES-PRINTING + WRITING PAP.	Office Equipment and Supplies		
01/11/2019	1,145.00	WADE	ALICIA	CSBS/EFSBS ONLINE	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other		
01/15/2019	50.00	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other		
01/16/2019	590.00	WADE	ALICIA	TOUCAN	MISCELLANEOUS GENERAL MERCHANDISE	Retail		

01/15/2019	1,098.15	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation		
01/17/2019	50.00	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other		
01/17/2019	225.00	WADE	ALICIA	BLUEBAY OFFICE INC	OFFICE SCHOOL SUPPLY AND STATIONERY STORES	Office Equipment and Supplies		
01/18/2019	50.00	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other		
01/22/2019	2,500.00	WADE	ALICIA	SQ *SQ *THE AQUILINE G	CONSULTING MANAGEMENT AND PUBLIC RELATIONS SVCS	Professional Services		
01/22/2019	1,137.00	WADE	ALICIA	INT*IN *THE BEACON NEW	ADVERTISING SERVICES	Media and Advertising Services		
01/22/2019	858.09	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Office supplies for Communications	Yes
01/25/2019	59.99	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Back ordered supplies for OCFO team	Yes
01/30/2019	129.00	WADE	ALICIA	DC BAR	ORGANIZATIONS MEMBERSHIP-NOT ELSEWHERE CLASSIFIED	Other	Training and Travel at "Thorny Issues in Residential Foreclosures" class for	No
01/30/2019	1,976.34	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Office Supplies for Risk Management	Yes
01/30/2019	217.68	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Office supplies for Performance Hearing	Yes
02/01/2019	1,182.75	WADE	ALICIA	NATIONALCOM	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Local travel and training for registration fees for five employees: Paul Drehoff, Lucy	No
02/05/2019	111.00	WADE	ALICIA	TOUCAN	MISCELLANEOUS GENERAL MERCHANDISE	Retail	Enforcement bureau request ID Badge for new employee Shanta Suggs	Yes

02/05/2019	214.00	WADE	ALICIA	TOUCAN	MISCELLANEOUS GENERAL MERCHANDISE	Retail	Business cards for employees Michael Ross and Michelle Hammonds that were	Yes
02/05/2019	1,318.80	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	File cabinets provided to legal staff for extra storage space in office	Yes
02/06/2019	(652.45)	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Refund on file cabinets due to agency ordering the incorrect color.	Yes
02/13/2019	1,444.09	WADE	ALICIA	FEDEX	COURIER SVC-AIR + GROUND FREIGHT FORWARDERS	Warehousing, Freight and Delivery	FedEx services for the agency	No
02/13/2019	50.00	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Reload smart trip for employee Julia May	No
02/26/2019	3,000.00	WADE	ALICIA	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	DISB has a sponsorship at CIC-DC Domicile Showcase	No
02/27/2019	2,039.00	WADE	ALICIA	THOMSON WEST	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Regulation of Investment Advisers, 2019 edition handbook.	No
02/26/2019	375.00	WADE	ALICIA	CAPTIVE INSURANCE COMP	ORGANIZATIONS MEMBERSHIP-NOT ELSEWHERE CLASSIFIED	Other	Travel and training registration fee for Sean O'Donnell to attend the Captives	No
02/27/2019	135.00	WADE	ALICIA	BLUE BOY PRINTING CORP	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Poster signs to support the America Saves Week activities the agency hosted.	Yes
02/28/2019	150.00	WADE	ALICIA	BLUE BOY PRINTING CORP	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Posters for Bank on DC Program	Yes
03/01/2019	1,800.00	WADE	ALICIA	ERGOWORKS CONSULTING L	CONSULTING MANAGEMENT AND PUBLIC RELATIONS SVCS	Professional Services	The vendor came out to complete an ergonomic assessment on 9 individuals Cortez	No
03/01/2019	239.00	WADE	ALICIA	LASER ART INC	OFFICE SCHOOL SUPPLY AND STATIONERY STORES	Office Equipment and Supplies	Monitor stand for the individual Bright Ahaiwe	Yes
03/02/2019	147.12	WADE	ALICIA	CALVIN PRICE GROUP	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM	Print and Duplicating Services	Bank on DC Program office supplies	Yes

03/04/2019	59.00	WADE	ALICIA	DC BAR	ORGANIZATIONS MEMBERSHIP-NOT ELSEWHERE CLASSIFIED	Other	The individual James McManus registration fee	No
03/04/2019	59.00	WADE	ALICIA	DC BAR	ORGANIZATIONS MEMBERSHIP-NOT ELSEWHERE CLASSIFIED	Other	The individual George Adu registration fee	No
03/01/2019	517.44	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Office supplies for the agency	Yes
03/05/2019	96.00	WADE	ALICIA	AMERICAN BUSINESS SUPP	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM	Print and Duplicating Services	Office supplies for the Bank on DC Program	Yes
03/05/2019	1,081.80	WADE	ALICIA	DUTCH MILL CATERING LL	CATERERS	Restaurants	Purchase catering services for the Financial Empowerment Center	Yes
03/05/2019	425.00	WADE	ALICIA	BLUEBAY OFFICE INC	OFFICE SCHOOL SUPPLY AND STATIONERY STORES	Office Equipment and Supplies	Camera for the communications team	Yes
03/05/2019	652.50	WADE	ALICIA	BLUEBAY OFFICE INC	OFFICE SCHOOL SUPPLY AND STATIONERY STORES	Office Equipment and Supplies	Bank on DC Program office supplies	Yes
03/05/2019	50.00	WOODLEY	EDWIN	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Reload smart trip card	No
03/07/2019	70.00	WADE	ALICIA	SMARTTRIP/CHARMCARD SAL	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Purchased smartrips for employees at the agency	No
03/08/2019	3,970.00	WADE	ALICIA	CSBS/EFSBS ONLINE	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	Conference registration for 7 staff members" Stephen Taylor, Dionne Davis, Brian Williams,	No
03/11/2019	1,195.00	WADE	ALICIA	FINRA CVENT	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Registration fee for the individual Senayet Meaza to attend the FINRA conference	No
03/11/2019	1,195.00	WADE	ALICIA	FINRA CVENT	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Registration fee for the individual Brad Kunzweiler to attend the FINRA conference	No
03/18/2019	79.95	WADE	ALICIA	PAYPAL	COMPUTER SOFTWARE STORES	Computer, Hardware, Software and Peripherals	Annual subscription for radio advertisement	No

03/18/2019	2,500.00	WADE	ALICIA	NASAA	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	Annual NASAA Annual Dues for the insurance bureau	No
03/15/2019	1,120.58	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Office supplies for the securities bureau	Yes
03/18/2019	29.37	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Office supply left off another order from Communications department	Yes
03/20/2019	1,318.80	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Additional file cabinets for legal team	Yes
03/21/2019	1,986.00	WADE	ALICIA	AMERICAN BUSINESS SUPP	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM	Print and Duplicating Services	Copy paper for the agency	Yes
03/21/2019	(422.05)	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Vendor refunded amount due to an error in ordering the incorrect quantity of	Yes
03/22/2019	539.88	WADE	ALICIA	D J	DIRECT MARKETING-CONTINUITY-SUBSCRIPTION	Professional Services	Agency Subscriptions to The Wall Street Journal	No
03/27/2019	10.00	WADE	ALICIA	METRO CNTR TICKET OFFI	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Replacement smartrip cards for agency staff	No
03/27/2019	250.00	WADE	ALICIA	METRO CNTR TICKET OFFI	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Add \$50.00 on each smartrip cards for replacement cards	No
04/01/2019	203.37	WADE	ALICIA	BIZTECH FUSION LLC - E	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Annual SolarWinds Dameware Remote Support Maintenance for 3 licenses	Yes
04/02/2019	3,510.98	WADE	ALICIA	SMARTSHEET.COM	COMP PROGRAMING DATA PRCSNG INTGRTD SYS	Professional Services	Renewal of Smartsheet subscription which is a online project management tool.	No
04/03/2019	225.00	WADE	ALICIA	PAYPAL	TELECOM INCL PREPAID-RECURRING PHONE SVCS	Telecom	Vendor provided an on-site technician to service the audio issues in DISB's conference	No
04/04/2019	400.00	WADE	ALICIA	INT*IN *CAPITAL COMMUN	ADVERTISING SERVICES	Media and Advertising Services	Advertisement for Financially Fit DC	Yes

04/04/2019	525.00	WADE	ALICIA	BLUE BOY PRINTING CORP	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Poster boards for Marion Barry Summer Youth Employment Program (MBSYEP)	Yes
04/04/2019	840.00	WADE	ALICIA	PAYPAL	COMMERCIAL ART GRAPHICS PHOTOGRAPHY	Professional Services	Communications division requested printing of brochures for upcoming events	Yes
04/04/2019	385.00	WADE	ALICIA	PRSA	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	Communications membership in the Public Relations Society of America	No
04/05/2019	755.00	WADE	ALICIA	CAPITAL PRIDE ALLIANCE	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Communications division to have exhibit space at the Annual Pride Festival	No
04/04/2019	265.64	WADE	ALICIA	STAR OFFICE PRODUCTS	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM	Print and Duplicating Services	Office supplies to support the Department's Financially Fit	Yes
04/08/2019	1,804.84	WADE	ALICIA	IRON MOUNTAIN	INFORMATION RETRIEVAL SERVICES	Professional Services	Services for the IT department	No
04/10/2019	2,995.00	WADE	ALICIA	SIMPLIFIED COMPLIANCE	DIRECT MARKETING-CONTINUITY-SUBSCRIPTION	Professional Services	Renew Investment Advisers Watch Compliance News, Guidance and Best	No
04/11/2019	(70.00)	WADE	ALICIA	SMARTRIP/CHARMCARD SAL	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Metro refunded the agency due to smartrips that did not arrive to our offices	No
04/10/2019	724.47	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Three hide away convertible truck to transport material to and from community	Yes
04/12/2019	1,321.92	WADE	ALICIA	MVS INC	COMPUTER MAIN-REPAIR-SERVICES NOT ELSEWHERE CLASS	Professional Services	Hardware maintenance support for the IT department	Yes
04/15/2019	1,648.00	WADE	ALICIA	BROUGHTON CONSTRUCTION	CONSTRUCTION MATERIALS NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Dismounting/mounting TV's in varies offices throughout the agency to install Comcast	Yes
04/15/2019	399.00	WADE	ALICIA	YOURMEMBER-CAREERS	EMPLOYMENT AGENCIES TEMPORARY HELP SERVICES	Temporary Help Services	DISB is looking to recruit for the Public Affairs Specialist position by posting on	No
04/15/2019	209.00	WADE	ALICIA	SOCIETY FOR HUMAN RESO	SCHOOLS + EDUCATIONAL SVC-NOT ELSEWHERE	Education	Membership with the Society for Human Resource Management(SHRM)	No

04/17/2019	2,240.00	WADE	ALICIA	CAPITAL SERVICES & SUP	STATIONERY-OFFICE SUPPLIES-PRINTING + WRITING PAP.	Office Equipment and Supplies	Past due invoice for transporting promotional items to events	Yes
04/17/2019	426.37	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	General office supplies for the agency	Yes
04/22/2019	485.00	WADE	ALICIA	TOUCAN	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Ordering business cards for the individuals Senayet Meaza, Charles Burt,	Yes
04/24/2019	750.00	ELLIS	GREGORY	FRESHFARM	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	To secure exhibit space at four Freshfarm Markets(DISB Pop Ups)	No
04/30/2019	50.00	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Reload smartrip cards for local travel	No
05/01/2019	1.11	ELLIS	GREGORY	INDEED	DIRECT MARKETING-OTHER DIRECT MARKETERS-NOT	Professional Services	The agency's HR department purchase advertising and recruiting on Indeed for	No
05/01/2019	501.14	ELLIS	GREGORY	INDEED	DIRECT MARKETING-OTHER DIRECT MARKETERS-NOT	Professional Services	The agency's HR department purchase advertising and recruiting on Indeed for	No
05/02/2019	1,418.76	ELLIS	GREGORY	IRON MOUNTAIN	INFORMATION RETRIEVAL SERVICES	Professional Services	IT paid services for this vendor to manage off-site data storage services for the agency.	No
05/03/2019	3,206.95	ELLIS	GREGORY	PITNEY BOWES PI	STATIONERY-OFFICE SUPPLIES-PRINTING + WRITING PAP.	Office Equipment and Supplies	Postage rental, supplies, and service call for the Pitney Bowes account	No
05/02/2019	250.00	ELLIS	GREGORY	BLUEBAY OFFICE INC	OFFICE SCHOOL SUPPLY AND STATIONERY STORES	Office Equipment and Supplies	The agency had two Automated External Defibrillators(AED) mounted on the 7th and	Yes
05/03/2019	3,973.92	ELLIS	GREGORY	CALVIN PRICE GROUP	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM	Print and Duplicating Services	Office supplies for the Summer Youth Employment Program	Yes
05/09/2019	101.50	WADE	ALICIA	ABC TECHNICAL SOLUTION	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Office of Communications purchased video software for a one year	Yes
05/08/2019	137.00	WADE	ALICIA	TOUCAN	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Remaining business card order for Senayet Meaza	Yes

05/13/2019	50.00	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Reload agency smartrip card for local travel	No
05/14/2019	500.51	ELLIS	GREGORY	INDEED	DIRECT MARKETING-OTHER DIRECT MARKETERS-NOT	Professional Services	The agency's HR department purchase advertising and recruiting on Indeed for	No
05/15/2019	325.00	WADE	ALICIA	NATL COUNCIL OF LA RAZ	ORGANIZATIONS MEMBERSHIP-NOT ELSEWHERE CLASSIFIED	Other	Training and travel registration for the individual Carla Benitez to attend 2019	No
05/20/2019	90.10	WADE	ALICIA	THE BUSINESS JOURNALS	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	The Office of Communications would like to renew the yearly subscription	No
05/20/2019	1,582.00	WADE	ALICIA	INT*IN *CAPITAL COMMUN	ADVERTISING SERVICES	Media and Advertising Services	Communication's bureau purchased advertisement to promote the Elder	Yes
05/20/2019	50.00	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Reload smartrip card for local travel	No
05/20/2019	300.00	WADE	ALICIA	BBAR AT THEARC	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	DISB hosted the Financial Empowerment Center Community Event at	No
05/20/2019	4,980.00	ELLIS	GREGORY	PAYPAL	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Communications purchased vertical banners for the agency's Student Loan	Yes
05/21/2019	2,630.56	WADE	ALICIA	METROPOLITAN OFFICE PR	COMPUTERS COMPUTER PERIPHERAL EQUIPMENT	Computer, Hardware, Software and Peripherals	Office Supplies for the OCFO/EDRC staff	Yes
05/22/2019	(244.95)	WADE	ALICIA	METROPOLITAN OFFICE PR	COMPUTERS COMPUTER PERIPHERAL EQUIPMENT	Computer, Hardware, Software and Peripherals	Refund of items wrongful sent by vendor for the OCFO/EDRC staff	Yes
05/22/2019	1,292.45	WADE	ALICIA	BIZTECH FUSION LLC	COMPUTERS COMPUTER PERIPHERAL EQUIPMENT	Computer, Hardware, Software and Peripherals	Maintenance renewal for CPTRAX for Windows from VisualClick software	Yes
05/28/2019	500.94	ELLIS	GREGORY	INDEED	DIRECT MARKETING-OTHER DIRECT MARKETERS-NOT	Professional Services	The agency's HR department purchase advertising and recruiting on Indeed for	No
05/29/2019	1,785.00	ELLIS	GREGORY	WKI	DIRECT MARKETING-OTHER DIRECT MARKETERS-NOT	Professional Services	Securities Bureau purchased 3 copies of the latest edition(fifth edition) of Wolters	No

05/29/2019	275.00	ELLIS	GREGORY	BLUE BOY PRINTING CORP	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Financially Empowerment Center posters, post card, and labels for a advisory	Yes
05/28/2019	3,092.72	ELLIS	GREGORY	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Toner for the agency color printers for the individuals Alicia Wade, Katrice Purdie,	Yes
05/30/2019	336.31	ELLIS	GREGORY	REI	DIRECT MARKETING- OTHER DIRECT MARKETERS-NOT	Professional Services	Purchase of The Law of Evidence in the District of Columbia book to address some	No
05/31/2019	1,007.10	WADE	ALICIA	DUTCH MILL CATERING LL	CATERERS	Restaurants	Catering services provided at the Financial Empowerment Center	Yes
06/01/2019	141.44	ELLIS	GREGORY	INDEED	DIRECT MARKETING- OTHER DIRECT MARKETERS-NOT	Professional Services	June 2019 Advertising HR posting	No
06/03/2019	267.12	ELLIS	GREGORY	AMAZON.COM*M67Z 62452	BOOK STORES	Retail	Shipment was delayed and the remainder of the order for Securities Bureau purchased	No
06/04/2019	4,022.30	WADE	ALICIA	PUBLIC PM.COM	SCHOOLS + EDUCATIONAL SVC-NOT ELSEWHERE	Education	Renewal software/support maintenance renewal on IBM's Domino	Yes
06/04/2019	2,387.32	ELLIS	GREGORY	AMERICAN BUSINESS SUPP	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM	Print and Duplicating Services	Copy Paper for agency usage	Yes
06/04/2019	1,149.44	ELLIS	GREGORY	BLUEBAY OFFICE INC	OFFICE SCHOOL SUPPLY AND STATIONERY STORES	Office Equipment and Supplies	Office Supplies for Young Money Manager Program through the banking	Yes
06/05/2019	2,192.00	ELLIS	GREGORY	SQU*SQ *RESTORATION TE	GENERAL CONTRACTORS- RESIDENTIAL BUILDINGS	Maintenance Repair Operation	Protective window film throughout the agency to increase employee comfort, conserve	Yes
06/06/2019	3,552.50	ELLIS	GREGORY	INT*IN *TELECOMMUNICAT	BUSINESS SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Payment for archival photography and videography for the Young Money	Yes
06/06/2019	640.00	WADE	ALICIA	A360INC	CONSULTING MANAGEMENT AND PUBLIC RELATIONS SVCS	Professional Services	Annual CaseAware maintenance and renewal fee to track Foreclosure Mediation	No
06/07/2019	1,491.50	WADE	ALICIA	TOUCAN	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Promotional items for the Marion S. Barry summer youth employment program	Yes

06/05/2019	1,956.22	ELLIS	GREGORY	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Vendor ordered incorrect toner for agency by mistake	Yes
06/08/2019	623.28	ELLIS	GREGORY	AMAZON.COM*M694 HITZ2	BOOK STORES	Retail	Securities Bureau purchased reference book Federal Securities Laws: Selected Statues,	No
06/06/2019	909.92	ELLIS	GREGORY	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Toner purchases for the commissioner's suite	Yes
06/10/2019	2,655.00	ELLIS	GREGORY	ABC TECHNICAL SOLUTION	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Purchase of Plantronics wireless headsets for agency staff	Yes
06/11/2019	750.00	WADE	ALICIA	SQ	ORGANIZATIONS MEMBERSHIP-NOT ELSEWHERE CLASSIFIED	Other	Money Transmitter Regulators Association, Inc (MTRA) membership	No
06/11/2019	31.16	WADE	ALICIA	DNH*GODADDY.COM	COMPUTER NETWORK-INFORMATION SERVICES	Computer, Hardware, Software and Peripherals	Renew the bankondc.org domain name for one year with privacy features.	No
06/10/2019	(1,956.22)	ELLIS	GREGORY	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Vendor refunded the agency due to sending over incorrect toner	Yes
06/12/2019	50.00	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Smart trip card reload	No
06/11/2019	952.16	ELLIS	GREGORY	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	General office supplies for agency	Yes
06/13/2019	35.00	ELLIS	GREGORY	BLUE BOY PRINTING CORP	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Poster board for Bank on DC during the Housing Expo June 15,2019	Yes
06/13/2019	4,288.00	WADE	ALICIA	FORMOST ADVANCED CRE	COMMERCIAL ART GRAPHICS PHOTOGRAPHY	Professional Services	Promotional items for Marion S. Barry Summer Youth Employment to	Yes
06/14/2019	895.00	ELLIS	GREGORY	BLUE BOY PRINTING CORP	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Flyers to support DISB's youth zone at the Housing Expo	Yes
06/24/2019	1,336.17	WADE	ALICIA	WINGSWEPT LLC	COMP PROGRAMING DATA PRCSNG INTGRTD SYS	Professional Services	CMTS Annual Maintenance Support and Cloud Hosting Services September 11-	No

06/24/2019	1,004.90	WADE	ALICIA	DNH*GODADDY.COM	COMPUTER NETWORK-INFORMATION SERVICES	Computer, Hardware, Software and Peripherals	DISB renewed Bank on DC's website services bankondc.org	No
06/24/2019	(49.64)	WADE	ALICIA	DNH*GODADDY.COM	COMPUTER NETWORK-INFORMATION SERVICES	Computer, Hardware, Software and Peripherals	Refunded taxes due to the agency being tax exempt	No
06/24/2019	501.69	ELLIS	GREGORY	INDEED	DIRECT MARKETING-OTHER DIRECT MARKETERS-NOT	Professional Services	June 2019 Advertising	No
06/25/2019	580.80	ELLIS	GREGORY	NEAL R. GROSS & CO., I	BUSINESS SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Banking bureau requested court reporter and transcriber services for a hearing.	Yes
06/24/2019	507.59	ELLIS	GREGORY	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Additional recycling bins for agency	Yes
06/27/2019	100.00	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Reload smart trip cards youth in the Young Money Managers Program	No
06/27/2019	100.00	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Reload smart trip cards youth in the Young Money Managers Program	No
06/27/2019	100.00	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Reload smart trip cards youth in the Young Money Managers Program	No
06/27/2019	100.00	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Reload smart trip cards youth in the Young Money Managers Program	No
06/27/2019	100.00	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Reload smart trip cards youth in the Young Money Managers Program	No
06/25/2019	2,030.36	ELLIS	GREGORY	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Additional recycling bins ordered for the agency	Yes
06/26/2019	(507.59)	ELLIS	GREGORY	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Vendor sent over incorrect recycling bin and refunded the agency	Yes

06/27/2019	459.99	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	DISB training room supplies. During training sessions and meetings, there is a	Yes
06/30/2019	49.95	WADE	ALICIA	THE CALVIN PRICE	STATIONERY-OFFICE SUPPLIES-PRINTING + WRITING PAP.	Office Equipment and Supplies	Refills for rollerball pens for the Office of Chief Financial Officer/EDRC staff	Yes
07/01/2019	149.85	ELLIS	GREGORY	INDEED	DIRECT MARKETING-OTHER DIRECT MARKETERS-NOT	Professional Services	Job posting for the month of June 2019	No
07/01/2019	440.60	ELLIS	GREGORY	AMERICAN AIRLINES	AMERICAN AIRLINES	Airline	Training and Travel for the individual Gregory Ellis to attend the 2019 GSA Smartpay	No
07/01/2019	440.60	ELLIS	GREGORY	AMERICAN AIRLINES	AMERICAN AIRLINES	Airline	Training and Travel for the individual Kendra Glass to attend the 2019 GSA Smartpay	No
07/02/2019	8.00	ELLIS	GREGORY	METRO CNTR TICKET OFFI	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Purchase of additional smart trip cards	No
07/02/2019	200.00	ELLIS	GREGORY	METRO CNTR TICKET OFFI	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Smart trip reload for Securities bureau	No
07/02/2019	1,385.00	WADE	ALICIA	SENODA INC	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Promotional items for Youth Employment Program	Yes
07/02/2019	3,920.10	WADE	ALICIA	BIZTECH FUSION LLC	COMPUTERS COMPUTER PERIPHERAL EQUIPMENT	Computer, Hardware, Software and Peripherals	Back up Exec for Windows maintenance renewal	Yes
07/08/2019	1,452.33	ELLIS	GREGORY	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Offices Supplies for Policy and Administrative bureau	Yes
07/10/2019	1,506.89	ELLIS	GREGORY	PAYPAL	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	Banking Bureau annual maintenance and renewal fee for portfolio management	No
07/16/2019	548.07	ELLIS	GREGORY	HYATT REGENCY ATLANTA	HYATT HOTELS	Lodging	Training and Travel for the individual Gregory Ellis to attend the 2019 GSA Smartpay	No
07/16/2019	548.07	ELLIS	GREGORY	HYATT REGENCY ATLANTA	HYATT HOTELS	Lodging	Training and Travel for the individual Kendra Glass to attend the 2019 GSA Smartpay	No

07/17/2019	995.00	WADE	ALICIA	CSBS/EFSBS ONLINE	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	Registration fee for the individual Jocelyn Bramble to attend CSBS Legal Seminar	No
07/19/2019	4.00	WADE	ALICIA	METRO CNTR TICKET OFFI	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Smart trip metro card fee	No
07/19/2019	200.00	WADE	ALICIA	METRO CNTR TICKET OFFI	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Smart trip card reload for agency	No
07/22/2019	275.00	WADE	ALICIA	SAM DAMICO PHOTOGRAPH	PHOTOGRAPHIC STUDIOS	Other	Professional development/training for the individual Lucy Drafton to attend Intro	No
07/22/2019	355.00	WADE	ALICIA	PAYPAL	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Barracks Row Fall Festival on Capitol Hill registration fee	No
07/22/2019	111.30	ELLIS	GREGORY	THE BUSINESS JOURNALS	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Renewal Washington Business Journal per Commissioner's request	No
07/22/2019	1,800.00	ELLIS	GREGORY	NASAA	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	Training and travel fees for the individuals Christian Washington, Katanya Moore,	No
07/22/2019	400.00	ELLIS	GREGORY	BLUEBAY OFFICE INC	OFFICE SCHOOL SUPPLY AND STATIONERY STORES	Office Equipment and Supplies	Workstation adjustment (Ergonomic Assessment C.Sutton)	Yes
07/23/2019	980.00	WADE	ALICIA	BLUE BOY PRINTING CORP	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services		Yes
07/23/2019	900.00	WADE	ALICIA	FIESTA DC INC	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Exhibit space at Fiesta DC 2019 held September 22, 2019.	Yes
07/23/2019	500.27	ELLIS	GREGORY	INDEED	DIRECT MARKETING-OTHER DIRECT MARKETERS-NOT	Professional Services	Job Posting for July 2019	No
07/24/2019	1,406.14	ELLIS	GREGORY	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	General office supplies for the agency	Yes
07/29/2019	5,000.00	ELLIS	GREGORY	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Premier Advertising Sponsorship for CIC-DC 2019 Annual Conference	No

07/30/2019	1,920.05	WADE	ALICIA	CROWN AWARDS INC	SPORTING GOODS STORES	Retail	Purchased awards/trophies for the end of the year Summer Youth	No
07/30/2019	1,285.00	WADE	ALICIA	HSTREETMAIN	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	Registration for exhibit space at the H Street Festival on September 21, 2019.	Yes
07/30/2019	3,075.97	WADE	ALICIA	METROPOLITAN OFFICE PR	COMPUTERS COMPUTER PERIPHERAL EQUIPMENT	Computer, Hardware, Software and Peripherals	Ice Machine needed for the Office of the Chief Financial Officer/EDRC staff	Yes
07/30/2019	485.00	WADE	ALICIA	TOUCAN	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Business card orders for new employees and current staff members with position title	Yes
07/31/2019	(83.73)	WADE	ALICIA	D J	DIRECT MARKETING-CONTINUITY-SUBSCRIPTION	Professional Services	Account credited back to agency	No
07/30/2019	578.00	WADE	ALICIA	LASER ART INC	OFFICE SCHOOL SUPPLY AND STATIONERY STORES	Office Equipment and Supplies	Purchase of two TV's for the Office of the Chief Financial Officer/EDRC	Yes
07/31/2019	2,800.00	WADE	ALICIA	AMERICAN BUSINESS SUPP	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM	Print and Duplicating Services	Copy Paper for the agency	Yes
07/31/2019	49.97	WADE	ALICIA	CROWN AWARDS INC	SPORTING GOODS STORES	Retail	Awards for summer youth program	No
07/31/2019	347.00	WADE	ALICIA	STRAFFORD PUBLICATIONS	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Training for the General Counsel team to attend 90-minute premium CLE webinar	No
07/31/2019	1,775.52	ELLIS	GREGORY	D J	DIRECT MARKETING-CONTINUITY-SUBSCRIPTION	Professional Services	Payment to extend Wall Street Journal subscription	No
07/31/2019	750.00	ELLIS	GREGORY	PAYPAL	SCHOOLS + EDUCATIONAL SVC-NOT ELSEWHERE	Education	Membership fee for the American Association of Residential Mortgage Regulators	No
08/01/2019	175.00	WADE	ALICIA	CSBS/EFBS ONLINE	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	Registration fee for the Commissioner Stephen Taylor	Yes
08/01/2019	1,217.68	ELLIS	GREGORY	FEDEX	COURIER SVC-AIR + GROUND FREIGHT FORWARDERS	Warehousing, Freight and Delivery	FedEx documents for the agency \$1,217.68 out of a combine total of \$1,595.87	No

08/01/2019	378.19	ELLIS	GREGORY	FEDEX	COURIER SVC-AIR + GROUND FREIGHT FORWARDERS	Warehousing, Freight and Delivery	FedEx documents for the agency \$378.19 out of a combine total of \$1,595.87	No
08/01/2019	306.19	ELLIS	GREGORY	INDEED	DIRECT MARKETING-OTHER DIRECT MARKETERS-NOT	Professional Services	July 2019 job posting Advertising	No
08/02/2019	1,110.38	WADE	ALICIA	D J	DIRECT MARKETING-CONTINUITY-SUBSCRIPTION	Professional Services	Payment for The Wall Street Journal	No
08/03/2019	1,049.57	ELLIS	GREGORY	BLUEBAY OFFICE INC	OFFICE SCHOOL SUPPLY AND STATIONERY STORES	Office Equipment and Supplies	Payment for supplies to support Financially Fit DC/Bank on DC Program	Yes
08/03/2019	172.96	ELLIS	GREGORY	BLUEBAY OFFICE INC	OFFICE SCHOOL SUPPLY AND STATIONERY STORES	Office Equipment and Supplies	Payment for dumbbells and bungee cords to secure DISB's tent that use at events	Yes
08/05/2019	1,020.64	WADE	ALICIA	AMERICAN BUSINESS SUPP	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM	Print and Duplicating Services	Payment for supplies for the Financially Fit DC/Bank on DC Program	Yes
08/05/2019	2,244.00	ELLIS	GREGORY	SQU*SQ *RESTORATION TE	GENERAL CONTRACTORS-RESIDENTIAL BUILDINGS	Maintenance Repair Operation	Window film through agency	Yes
08/07/2019	350.00	WADE	ALICIA	NASAA	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	Registration fee for Senayet Meaza to attend NASAA conference	No
08/08/2019	112.50	WADE	ALICIA	PUBLIC PM.COM	SCHOOLS + EDUCATIONAL SVC-NOT ELSEWHERE	Education	Purchase of OCFO rubber Stamp	No-Price over 12%
08/13/2019	149.00	WADE	ALICIA	ROSSDALE CLE	SCHOOLS BUSINESS AND SECRETARIAL	Education	Registration fee for the Commissioner Stephen Taylor to attend Mastering	No
08/14/2019	500.00	WADE	ALICIA	BLUE BOY PRINTING CORP	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Purchase postcards for the 2019 Office of Youth Programs Career Fair	Yes
08/09/2019	1,806.26	ELLIS	GREGORY	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Office Supplies	Yes
08/16/2019	50.00	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Reload smart trip card for the individual Julia May	No

08/20/2019	3,722.00	ELLIS	GREGORY	BLUEBAY OFFICE INC	OFFICE SCHOOL SUPPLY AND STATIONERY STORES	Office Equipment and Supplies	Payment to move DC surplus furniture/Install white boards and mount TV in reception	Yes
08/21/2019	880.00	ELLIS	GREGORY	SQU*SQ *RESTORATION TE	GENERAL CONTRACTORS- RESIDENTIAL BUILDINGS	Maintenance Repair Operation	Wink walls throughout agency	Yes
08/21/2019	250.00	ELLIS	GREGORY	NAICPRDPROFDESIG	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Enrollment fee for the NAIC Associate Professional in Insurance Regulation	No
08/20/2019	4,436.00	ELLIS	GREGORY	BNA 3	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Annual renewal subscription to the Bloomberg BNA Securities Regulation	No
08/21/2019	400.00	ELLIS	GREGORY	MAGLOCLEN	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Renewal of our subscription service for criminal history informaiton	No
08/21/2019	1,700.94	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Office supplies	Yes
08/21/2019	4,814.44	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Office supplies for risk management	Yes
08/23/2019	309.00	WADE	ALICIA	TOUCAN	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Payment for replacement business cards and new employee	Yes
08/26/2019	2,400.00	ELLIS	GREGORY	SQU*SQ *STREETZ MEDIA	COMMERCIAL ART GRAPHICS PHOTOGRAPHY	Professional Services	Payment services to archival photography and videography for the Young Money	No
08/26/2019	395.00	ELLIS	GREGORY	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Local travel and training for the individual Anu Andrew CICDC 2019 Annual	No
08/26/2019	395.00	ELLIS	GREGORY	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Local travel and training for the individual Joy Bunyasrie CICDC	No
08/26/2019	395.00	ELLIS	GREGORY	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Local travel and training for the individual Christine Afolabi CICDC 2019	No
08/26/2019	395.00	ELLIS	GREGORY	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Local travel and training for the individual David Schleit CICDC 2019	No

08/26/2019	395.00	ELLIS	GREGORY	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Local travel and training for the individual LaTasha Davis CICDC 2019	No
08/26/2019	395.00	ELLIS	GREGORY	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Local travel and training for the individual Paul Drehoff CICDC 2019 Annual	No
08/26/2019	395.00	ELLIS	GREGORY	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Local travel and training for the individual David Christhilf CICDC 2019	No
08/23/2019	978.11	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Toner for OCFO office	Yes
08/26/2019	4,205.82	ELLIS	GREGORY	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Office supplies for OCFO office	Yes
08/27/2019	3,401.88	ELLIS	GREGORY	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	File cabinets for additional filing throughout agency	Yes
08/27/2019	(671.41)	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Refunded by vendor due to incorrect toner delivered	Yes
08/28/2019	4,679.98	WADE	ALICIA	W.S. JENKS & SON	BUILDING MATERIALS LUMBER STORES	Maintenance Repair Operation	Risk management supplies for the agency to be in compliance	Yes
09/01/2019	497.57	ELLIS	GREGORY	INDEED	DIRECT MARKETING- OTHER DIRECT MARKETERS-NOT	Professional Services	Advertising job posting for August 2019	No
09/03/2019	2,806.85	ELLIS	GREGORY	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Office supplies for new employee within Communications	Yes
09/04/2019	186.00	ELLIS	GREGORY	REI	DIRECT MARKETING- OTHER DIRECT MARKETERS-NOT	Professional Services	Replaced DC Code books for general counsel	No
09/05/2019	742.54	ELLIS	GREGORY	COMCAST	CABLE SATELLITE OTHER PAY TELEVISION RADIO SVCS	Utilities	Installation of Comcast Cable services for the agency	No
09/06/2019	3,500.00	ELLIS	GREGORY	FUNDING THE FUTURE	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Sponsorship-Financial Literacy Event	No

09/05/2019	1,250.00	ELLIS	GREGORY	A360INC	CONSULTING MANAGEMENT AND PUBLIC RELATIONS SVCS	Professional Services	Software upgrade for CaseAware that generates reports from foreclosure mediation	No
09/06/2019	602.96	WADE	ALICIA	AMERICAN BUSINESS SUPP	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM	Print and Duplicating Services	File cabinets for new attorney	Yes
09/10/2019	1,250.00	ELLIS	GREGORY	BLUEBAY OFFICE INC	OFFICE SCHOOL SUPPLY AND STATIONERY STORES	Office Equipment and Supplies	Office supplies for individuals with ergonomic accommodations	Yes
09/11/2019	980.00	WADE	ALICIA	AM ACADEMY ACTUARIES W	ORGANIZATIONS MEMBERSHIP-NOT ELSEWHERE CLASSIFIED	Other	Local training for the individual Efen Tanhehco	No
09/13/2019	1,948.80	ELLIS	GREGORY	COMCAST	CABLE SATELLITE OTHER PAY TELEVISION RADIO SVCS	Utilities	New Comcast District account set up yearly payment	No
09/12/2019	256.82	WADE	ALICIA	AMERICAN BUSINESS SUPP	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM	Print and Duplicating Services	File cabinet for the individual Charlotte Parker	Yes
09/11/2019	250.00	WADE	ALICIA	VACAP	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	Registration fee at the Common Cents Conference 2019 for the individual Ebony	No
09/11/2019	250.00	WADE	ALICIA	VACAP	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	Registration fee at the Common Cents Conference 2019 for the individual Michelle	No
09/11/2019	250.00	WADE	ALICIA	VACAP	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	Registration fee at the Common Cents Conference 2019 for the individual Carla	No
09/12/2019	2,240.00	WADE	ALICIA	CSBS/EFSBS ONLINE	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	CSBS dues for Trey Irwin and Robbin Jones	No
09/13/2019	65.50	ELLIS	GREGORY	SQU*SQ *CENTRAL SAFE A	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Replacement 15 office keys for the agency	Yes
09/13/2019	1,175.00	ELLIS	GREGORY	BLUEBAY OFFICE INC	OFFICE SCHOOL SUPPLY AND STATIONERY STORES	Office Equipment and Supplies	Various equipment move OCSF Surplus property	Yes
09/18/2019	2,200.00	ELLIS	GREGORY	SQU*SQ *STREETZ MEDIA	COMMERCIAL ART GRAPHICS PHOTOGRAPHY	Professional Services	Payment for photography and videography to document the Financial	Yes

09/18/2019	4,769.05	ELLIS	GREGORY	AMERICAN BUSINESS SUPP	OFFICE PHOTOGRAPHIC PHOTOCOPY + MICROFILM	Print and Duplicating Services	End of the year supply order for the agency	Yes
09/18/2019	355.51	ELLIS	GREGORY	ABC TECHNICAL SOLUTION	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Payment for Dragon Pro Individual V 15 software with bluetooth headset for the	Yes
09/18/2019	4,630.84	ELLIS	GREGORY	ABC TECHNICAL SOLUTION	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Lobby Connection license	Yes
09/17/2019	779.99	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Sit/Stand workstation for the individual Aristides Pereira	Yes
09/18/2019	730.00	WADE	ALICIA	TOUCAN	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Renewal of ID badges for ECPD and Securities staff. Current badges expire 9/30/19.	Yes
09/17/2019	4,966.20	ELLIS	GREGORY	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Toner for printers throughout the agency	Yes
09/19/2019	856.66	ELLIS	GREGORY	ABC TECHNICAL SOLUTION	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Papercut Device License	Yes
09/19/2019	4,992.00	WADE	ALICIA	ABC TECHNICAL SOLUTION	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Payment for 1 year TEEM subscription	Yes
09/20/2019	1,785.14	ELLIS	GREGORY	IRON MOUNTAIN	BUSINESS SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Online storage for DISB April 2019- August 2019	No
09/20/2019	250.00	ELLIS	GREGORY	NFBPA-ONLINE	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	DISB's membership in the National Forum for Black Public Administrators(NFBP	No
09/18/2019	3,141.07	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	General office supplies for Human Resources	Yes
09/20/2019	2,290.00	WADE	ALICIA	CSBS/EFBS ONLINE	ASSOCIATIONS- CIVIC SOCIAL AND FRATERNAL	Other	Registration fees for the individuals Trey Irwin and Robbin Jones	No
09/23/2019	96.05	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Supply back ordered from previous order for Human Resources	Yes

09/27/2019	700.00	WADE	ALICIA	FINRA CVENT	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Local travel and training for the individual James McManus to attend	No
09/27/2019	700.00	WADE	ALICIA	FINRA CVENT	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Local travel and training for the individual George Adu to attend 2019 FINRA	No
09/27/2019	700.00	WADE	ALICIA	FINRA CVENT	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Local travel and training for the individual Malcolm Doster to attend 2019	No

Total

\$ 286,652.92

DEPARTMENT OF INSURANCE, SECURITIES AND BANKING
PCard Report
FY20

Transaction Date	Transaction Amount	Cardholder Last Name	Cardholder First Name	Merchant Name	MCC Description	Merchant Type	Transaction Notes	CBE
10/01/2019	381.88	ELLIS	GREGORY	INDEED	DIRECT MARKETING-OTHER DIRECT MARKETERS-NOT ELSEW.	Professional Services	October 2019 Advertising for job posting	No
10/01/2019	5,000.00	ELLIS	GREGORY	WASHINGTON DC ECONOMIC	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Sponsorship for the agency to participate in the WeDC Futures Forum	No
10/03/2019	2,997.79	WADE	ALICIA	ABC TECHNICAL SOLUTION	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Annual maintenance Diskeeper software	Yes
10/04/2019	2,360.74	ELLIS	GREGORY	ABC TECHNICAL SOLUTION	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Materials for new sign in equipment at front desk reception area in the agency	Yes
10/08/2019	5,000.00	ELLIS	GREGORY	CICDC	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Advertising at the Captive Insurance Council's 2019 Annual conference	No
10/09/2019	1,495.00	WADE	ALICIA	PRSA	ORGANIZATIONS MEMBERSHIP-NOT ELSEWHERE CLASSIFIED	Other	Travel and training for the individual Paul Drehoff registration to attend the PRSA 2019 International Conference.	No
10/09/2019	879.99	ELLIS	GREGORY	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Purchase workstation for an employee who needed accommodations per doctor's order	Yes
10/10/2019	4,994.70	WADE	ALICIA	DUPONT COMPUTERS	CONSULTING MANAGEMENT AND PUBLIC RELATIONS SVCS	Professional Services	Promotional items for outreach events in October	Yes
10/17/2019	2,105.95	ELLIS	GREGORY	BLUEBAY OFFICE INC	OFFICE SCHOOL SUPPLY AND STATIONERY STORES	Office Equipment and Supplies	Office supplies for agency	Yes
10/16/2019	2,429.15	WADE	ALICIA	PREMIER SUPPLIERS	DENTAL-LAB-MED-OPHTHALMIC HOSP EQUIP + SUPPLIES	Healthcare	General office supplies for the Securities bureau	Yes

10/21/2019	590.00	WADE	ALICIA	TOUCAN	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	ATM Decals for the Banking Bureau	Yes
10/22/2019	50.00	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Reload smart trip for securities bureau	No
10/23/2019	50.00	WADE	ALICIA	CFA	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Local travel and training for the individual Michelle Hammonds to attend the America Saves Summit registration fee	No
10/23/2019	295.00	WADE	ALICIA	BLUE BOY PRINTING CORP	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Poster board and cards for the Financially Fit DC Initiative program at the DC Public Library & Industrial Banking	Yes
10/23/2019	950.00	WADE	ALICIA	SENODA INC	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Promotional items for the Financially Fit DC Initiative Program	Yes
10/29/2019	942.04	WADE	ALICIA	CSBS/EFSBS ONLINE	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	Registration fees for Stephen Taylor and Maureen Murat to attend the National Mortgage Policy Summit	No
10/30/2019	75.00	ELLIS	GREGORY	FEDEX	COURIER SVC-AIR + GROUND FREIGHT FORWARDERS	Warehousing, Freight and Delivery	FedEx shipping fees	No
10/30/2019	511.48	ELLIS	GREGORY	FEDEX	COURIER SVC-AIR + GROUND FREIGHT FORWARDERS	Warehousing, Freight and Delivery	FedEx postage for the agency	No
10/31/2019	1,995.00	WADE	ALICIA	BUSINESS INSURANCE	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Booth exhibit for the 2020 World Captive Forum in January 27-29, 2020 in Miami, FL.	No
10/31/2019	760.00	WADE	ALICIA	TOUCAN	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Business card order for 8 staff members	Yes
11/01/2019	236.62	ELLIS	GREGORY	INDEED	DIRECT MARKETING-OTHER DIRECT MARKETERS-NOT ELSEW.	Professional Services	Advertising hard to fill positions on Indeed	No
11/04/2019	325.00	WADE	ALICIA	NASAA	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	Fall Registration conference fee for the individual Jocelyn Bramble	No
11/04/2019	350.00	WADE	ALICIA	NASAA	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	Fall Registration conference fee for the individual Brian Bressman	No

11/04/2019	670.00	WADE	ALICIA	FINRA CVENT	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Registration fee for Brian Bressman to attend 2019 FINRA Senior Investor Protection Conference	No
11/05/2019	50.00	WADE	ALICIA	METRO FARE AUTOLOAD	TRANSPRTN-SUBRBN + LOCAL COMTR PSNGR INCL FERRIES	Transportation - Other	Reload smartrip metro card for Juila May	No
11/05/2019	41.96	ELLIS	GREGORY	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	Per Communications request to hang posters DC one posters throughout agency	Yes
11/07/2019	81.00	ELLIS	GREGORY	APSTYLEBOOK.COM	MISCELLANEOUS PUBLISHING AND PRINTING	Print and Duplicating Services	Renewal of annual online subscription for the Associated Press Stylebook for the Communications division.	No
11/08/2019	540.00	ELLIS	GREGORY	CAPITAL SERVICES & SUP	STATIONERY-OFFICE SUPPLIES-PRINTING + WRITING PAP.	Office Equipment and Supplies	Courier Services for DISB information booth	Yes
11/08/2019	1,080.00	ELLIS	GREGORY	CAPITAL SERVICES & SUP	STATIONERY-OFFICE SUPPLIES-PRINTING + WRITING PAP.	Office Equipment and Supplies	Courier services for Senior Day and Community Fun Day in Ward 4	Yes
11/12/2019	4,916.14	ELLIS	GREGORY	KNOLL, INC	OFFICE AND COMMERCIAL FURNITURE	Office Equipment and Supplies	MOI installation for modesty panels on desk throughout the agency	No
11/12/2019	3,616.25	WADE	ALICIA	PAYPAL	PROFESSIONAL SERVICES-NOT ELSEWHERE CLASSIFIED	Professional Services	Communications requested banners for community outreach events.	Yes
11/13/2019	1,417.45	WADE	ALICIA	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation	File cabinets for new employees and front desk reception area	Yes
11/14/2019	200.00	WADE	ALICIA	NASAA	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other	Registration fee for James "Mike" McManus to attend NASAA conference in Addison, TX	No
11/14/2019	274.00	WADE	ALICIA	AMERICAN BAR ASSOCIATI	ORGANIZATIONS MEMBERSHIP-NOT ELSEWHERE CLASSIFIED	Other	Registration fee for Maureen Murat to attend the Administrative Law conference	Yes
11/19/2019	4,997.48	ELLIS	GREGORY	X1DISCOVERY	COMPUTER SOFTWARE STORES	Computer, Hardware, Software and Peripherals	X1 Social Discovery Software License for Enforcement and Consumer Protection Division	No

11/19/2019	299.00	WADE	ALICIA	PRINTERSUPPLIES.COM	OFFICE SCHOOL SUPPLY AND STATIONERY STORES	Office Equipment and Supplies	Purchase HP color LaserJet transfer kit for Senyat Meaza per IT's request	No
11/20/2019	177.00	WADE	ALICIA	CLEARLAWINSTITUTE.CO	CONSULTING MANAGEMENT AND PUBLIC RELATIONS SVCS	Professional Services	Paralegal courses for three individuals Michelle Mathis, Kenan McBride, and Claudine Alula	No
11/21/2019	1,345.68	ELLIS	GREGORY	SQ *SQ *WANNAS LLC	MISCELLANEOUS AND SPECIALTY RETAIL STORES	Retail	General office supplies for the agency	Yes
11/21/2019	1,903.25	WADE	ALICIA	DUPONT COMPUTERS	CONSULTING MANAGEMENT AND PUBLIC RELATIONS SVCS	Professional Services	Custom cleaning cloths for eyeglasses, smartphones and tablets to promote the agency's resources, services and programs at upcoming outreach events in FY20.	Yes
11/26/2019	175.00	WADE	ALICIA	CFA	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services	Registration fee for Debbra Wadley to attend 2019 Financial Services Conference	No
12/03/2019	175.00	WADE	ALICIA	CFA	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services		
12/03/2019	175.00	WADE	ALICIA	CFA	ORGANIZATIONS CHARITABLE AND SOCIAL SERVICES	Professional Services		
12/02/2019	1,760.04	ELLIS	GREGORY	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation		
12/03/2019	50.75	ELLIS	GREGORY	STANDARD OFFICE SUPPLY	COMMERCIAL EQUIPMENT NOT ELSEWHERE CLASSIFIED	Maintenance Repair Operation		
12/05/2019	1,645.00	WADE	ALICIA	CSBS/EFSBS ONLINE	ASSOCIATIONS-CIVIC SOCIAL AND FRATERNAL	Other		
12/08/2019	85.54	WADE	ALICIA	AMAZON.COM*6A16Y04V3 A	BOOK STORES	Retail		
12/09/2019	3,059.74	ELLIS	GREGORY	DUPONT COMPUTERS	CONSULTING MANAGEMENT AND PUBLIC RELATIONS SVCS	Professional Services		
12/09/2019	1,463.00	ELLIS	GREGORY	BMISW	COMPUTER SOFTWARE STORES	Computer, Hardware, Software and Peripherals		
12/09/2019	5,000.00	WADE	ALICIA	SQ *SQ *THE AQUILINE G	CONSULTING MANAGEMENT AND PUBLIC RELATIONS SVCS	Professional Services		

12/09/2019	184.99	WADE	ALICIA	METROPOLITAN OFFICE PR	COMPUTERS COMPUTER PERIPHERAL EQUIPMENT SOFTWARE	Computer, Hardware, Software and Peripherals		
12/11/2019	4,560.00	ELLIS	GREGORY	DUPONT COMPUTERS	CONSULTING MANAGEMENT AND PUBLIC RELATIONS SVCS	Professional Services		
12/11/2019	4,998.73	ELLIS	GREGORY	THE HAMILTON GROUP	STATIONERY-OFFICE SUPPLIES-PRINTING + WRITING PAP.	Office Equipment and Supplies		
12/13/2019	235.00	ELLIS	GREGORY	BLUEBAY OFFICE INC	OFFICE SCHOOL SUPPLY AND STATIONERY STORES	Office Equipment and Supplies		

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

PARTIES	DATE ENTERED	TERMINATION DATE
1. DISB and North American Securities Administrators Association, Inc. (NASAA)	March 24, 2014	None
2. DISB and Consumer Financial Protection Bureau (CFPB)	March 15, 2012	None
3. DISB and the Department of Treasury Financial Crimes Enforcement Network (FinCEN)	Aug.30, 2012	None
4. DISB and the National Association of Insurance Commissioners (NAIC)	Nov.29, 2010	None
5. DISB and the Consumer Financial Protection Bureau (CFPB), the Conference of State Bank Supervisors (CSBS), and the Other Signatories (The PARTIES)	CFPB on Jan.4, 2011 CSBS on Jan.14, 2011 DISB March 15, 2012	None
6. DISB Contract Agreement w. Fieldprint, Inc.	Dec. 19, 2013	None
7. DISB and the FINANCIAL Stability Oversight Council (FSOC)	May 19, 2015	None
8. Common Interest Agreement between US DEPARTMENT of LABOR and DISB	June 12, 2015	None
9. DISB and Metropolitan Police Department (MPD)	MPD on April 6, 2015 DISB on July 15, 2015	None
10. DISB and the Department of Small and Local Business Development (DSLBD)	DISB and DSLBD on Sept. 23, 2016	Sept. 30, 2021

Appendix 9

11. DISB and Department of Energy and Environment (DOEE)	DOEE and DISB on March 11, 2016	Dec. 31, 2019
12. DISB and The Centers for Medicare & Medicaid Services (CMS)	June 8, 2007	NONE
13. US Department of Labor National Association of Insurance Commissioners and State Insurance Regulatory Agencies (MEWA Information Sharing)	USDOL Dec. 21, 2016; NAIC Dec. 29, 2016	Dec. 30, 2021
14. US Department of Labor National Association of Insurance Commissioners and State Insurance Regulatory Agencies (General Enforcement)	SUSDOL Dec. 21, 2016; NAIC Dec. 29, 2016; DISB July 13, 2018	Dec. 30, 2021
15. DISB and the DC Deputy Mayor for Planning and Economic Development (DMPED)	DISB June 25, 2018 DMPED July 1, 2018	None
FY 2019		
16. DISB and the Department of Employment Services (DOES)	DISB on 04/18/19 DOES on 4/2/19	Sept. 30, 2019
17. DISB and the Department of Health Care Finance (DHCF)		Sept. 30, 2019
18. DISB and the Health Exchange Benefit Authority (HBX)		Sept. 30, 2019

Appendix 9

FY 2020		
19. DISB and Metropolitan Police Department (MPD)	DISB on Nov. 18, 2019	Sept. 30, 2020
20. DISB and the DC Financial Crimes Task Force	DISB on Nov. 1, 2019	None
21. DISB and the Health Exchange Benefit Authority (HBX)	DISB on 07/31/19 HBX on 09/16/19	Sept. 30, 2020
22. DISB and the Department of Health Care Finance (DHCF)	DISB on 07/31/19 DCHF on 07/19/19	Sept. 30, 2020

Appendix 10

Department of Insurance, Securities and Banking (SR0)
Fiscal Year 2019 and 2020 Federal Grants

Fiscal Year	Type of Grant	Awarded by	Grant Title	Award Date	End Date	Comments	Award Amount
2019	Federal	Department of Health and Human Services	Insurance Market Reforms Grant	10/31/2016	9/30/2020	Original end date was 10/30/2018. It has been extended to 09/30/2020	1,138,052.09
	Federal	Department of Health and Human Services	State Flexibility to Stabilize the Market Grant	8/20/2018	8/19/2020	Grant period from 08/20/2018 to 08/19/2020	277,958.59
	Private	Cities for Financial Empowerment Fund	Financial Empowerment Center Program	11/30/2018	5/30/2020	Grant period from 11/30/2018 to 05/30/2020	157,750.00
2020 Total							1,573,760.68
2020		NONE					
2020 Total							0.00
Summary							1,573,760.68

For FY 2019 and FY 2020, the Federal Grants pay for Contractual Services and all FTEs are funded by Special Purposed Revenue funds.

Budgets > 2...



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Agency

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Agency Name Department of Insurance, Securities, and Banking Budget Code SRO

This is your agency's DSLBD Compliance & Enforcement point of contact.

Genet Ambaye, Compliance Specialist

Annual Allocation (for Directors)

Annual Allocation Letter and Director Authorization

In accordance with 27 DCMR 831.1, each Agency Director must sign and acknowledge the agency's Expendable Budget and Small Business Enterprises (SBEs) minimum expenditures for the fiscal year. By selecting I accept, the agency Director acknowledges the requirement to allocate and expend 50% of its expendable budget with SBEs.

I accept

I do not accept

Authorized by:

Name dana SHEPPARD

Email dana.sheppard@dc.gov

Please enter the Date Authorized:

Date 09-21-2017

Allocated Budget Information

Appropriated Operating Budget	\$28,747,797.39	Appropriated Capital budget		Total Appropriated Monitored Budget	\$28,747,797.39	Baseline SBE Goal	\$14,373,898.70		
Total Initial Exclusions	\$21,177,846.73	Initial Approved Expendable Budget	\$7,569,950.66	Initial Approved SBE Goal	\$3,784,975.33				
Total Exclusions	\$21,177,846.73	Total Exceptions	\$6,021,261.00	Adjusted Approved Expendable Budget	\$1,316,156.82	Adjusted Approved SBE Goal	\$658,078.41	Based on Anticipated Transfers	-\$232,532.84

Budget Summary Information

This section contains the Preliminary Expendable Budget of each agency based on budget information provided by the Office of the Chief Financial Officer, reduced by funding sources, object classes, objects, and other items identified and excluded by the Director of the Department of Small and Local Business Development (27 DCMR 830.1). The information contained here will be adjusted following review and approval of Special Exceptions requested by Agencies

Q3 Revised Budget Data Load

Agencies may use the Operating Budget Worksheet below to request Special Exceptions, (i.e., to exclude additional budget line items not excluded by DSLBD).

Fiscal Year

Procurement Plan Total

2018

\$2,475,800.00

Budgets > 2...



Allocation Appropriated Capital Budget	Capital Budget Adjustment	Current Appropriated Capital Budget	Capital Transfer Amt	**Adj Appropriated Capital Budget**
\$0.00	\$0.00			\$0.00
Total Appropriated Monitored Budget (Gross Funds)	Baseline SBE Goal			
\$28,367,109.40	\$14,183,554.70			
INITIAL EXCLUSIONS				
Total Initial Exclusions	Initial Approved Expendable Budget	Initial Approved SBE Goal		
\$19,963,116.48	\$8,403,992.92	\$4,201,996.46		
ADJUSTMENTS				
Total Exclusions	Allocation Exceptions	Exception Changes	Total Exceptions	Adjusted Approved Expendable Budget
\$19,963,116.48	\$6,021,261.00	\$2,498,612.21	\$8,519,873.21	-\$115,880.29

Anticipated Calculations

Anticipated Op Transfers In	Anticipated Op Transfers Out	Anticipated Cap Transfers In	Anticipated Cap Transfers Out	Anticipated Expendable Budget	** Adjusted Approved SBE Goal **
\$1,326,194.76				\$1,210,314.47	\$605,157.24

Submission Status

Tracks all reports submitted by the agency detail for the fiscal year reporting, per D.C. Official Code 2-218.41, 2-218.53 and Chapter 8 of Title 27 DCMR.

Expendable Budget SBE Goal Indicator		Expendable Budget SBE Goal Status	Goal Attained	Good Faith Effort Indicator		Good Faith Effort Status							
Procurement line Plan Status	Not Submitted	1st Quarter Report Status	Submitted	2nd Quarter Report Status	Submitted	3rd Quarter Report Status	Submitted	4th Quarter Report Status	Submitted				
Procurement line Plan Indicator		1st Quarter Report Indicator		2nd Quarter Report Indicator		3rd Quarter Report Indicator		4th Quarter Report Indicator					
Adjusted Approved SBE Goal	\$605,157.24	SOAR and PCard SBE Exp Expenditure Total	\$553,767.78	SOAR and PCard SBE Expenditure Total	\$562,115.60	Pipeline SBE Expenditure Total		Additional Approved SBE Expenditures	\$69,168.88	Grand Total SBE Expenditure Amount	\$631,284.48	SBE Expenditures as a % of SBE Goal	104.32%
Expendable Budget SBE Goal Indicator													

End of the Year Narrative Status

End of Year Narrative Status	Submitted	End of Year Narrative Indicator	
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Operating Budget Worksheet

In this section, Agencies may request Special Exceptions under other comptroller objects codes not previously excluded by DSLBD, by selecting the LINK (Adjust or Exclude a Line Item) If requested, the agency must provide a justification for the requested exception (27 DCMR 830.4). Please Note: that by selecting the Adjust or Exclude Line Item Link, will reflect an apparent increase in the total budget line item, however, will not affect the overall budget Summary Information, unless and until it has been approved by DSLBD.

No. of Operating Budget Line Items (OCFO)



Budgets > 2...



No. of Approved Exceptions

[54](#)

(A = Automatic Exclusion)

Total \$ Amount Automatically Excluded

\$19,963,116.48

No. of Automatically Excluded Operating Budget Line Items

[288](#)

(E = Expendable Budget Line Item)

Full Report Grid Edit Email More ▼ 184 Operating budget line items															
	Copy Line Item	Budget Code	Type	Special Exception	Justification	Reason	Explanation	Justification Document	CompSource CompObj2	Program Code & Title	Activity Code & Title	New Budget Change	Proposed Amount	Proposed Exception Amount	Total Revised Amount
E - 2018 20 201 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)															
	Adjust or Exclude a Line Item	SRO	E	No					2018 20 201	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$6,020.00		
	Adjust or Exclude a Line Item	SRO	E	No					2018 20 201	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$30,702.00		
	Adjust or Exclude a Line Item	SRO	E	No					2018 20 201	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$20,468.00		
	Adjust or Exclude a Line Item	SRO	E	No					2018 20 201	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$3,010.00		
TOT													\$0.00	\$0.00	
E - 2018 20 201 - 1000 AGENCY MANAGEMENT - 1060 OFFICE OF LEGAL SERVICES (4 Operating budget line items)															
	Adjust or Exclude a Line Item	SRO	E	No					2018 20 201	1000 AGENCY MANAGEMENT	1060 OFFICE OF LEGAL SERVICES		\$250.00		
	Adjust or Exclude a Line Item	SRO	E	No					2018 20 201	1000 AGENCY MANAGEMENT	1060 OFFICE OF LEGAL SERVICES		\$1,275.00		
	Adjust or Exclude a Line Item	SRO	E	No					2018 20 201	1000 AGENCY MANAGEMENT	1060 OFFICE OF LEGAL SERVICES		\$850.00		
	Adjust or Exclude a Line Item	SRO	E	No					2018 20 201	1000 AGENCY MANAGEMENT	1060 OFFICE OF LEGAL SERVICES		\$125.00		
TOT													\$0.00	\$0.00	
E - 2018 20 201 - 100F AGENCY FINANCIAL OPERATIONS - 110F BUDGET OPERATION (2 Operating budget line items)															
	Adjust or Exclude a Line Item	SRO	E	No					2018 20 201	100F AGENCY FINANCIAL OPERATIONS	110F BUDGET OPERATION		\$16,000.00		

Budgets > 2...



	SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for Expert Witness. Vendor services proprietary	Expert Witness.pdf	<u>2018 20 201</u>	100F AGENCY FINANCIAL OPERATIONS	110F BUDGET OPERATION	\$15,600.00		
TOT											\$0.00	\$0.00	
E - 2018 34 440 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (8 Operating budget line items)													
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 34 440</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$705.00		
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 34 440</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$3,594.00		
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 34 440</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$2,396.00		
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 34 440</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$352.00		
		SRO	E	Yes	Agency Compliance - Exclude a Line	Other	Funds sent to Building Management for security services. A CBE/SBE can not be utilized.	440.Security Services.docx	<u>2018 34 440</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$705.00	
		SRO	E	Yes	Agency Compliance - Exclude a Line	Other	Funds sent to Building Management for security services. A CBE/SBE can not be utilized.	440.Security Services.docx	<u>2018 34 440</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$3,594.00	
		SRO	E	Yes	Agency Compliance - Exclude a Line	Other	Funds sent to Building Management for security services. A CBE/SBE can not be utilized.	440.Security Services.docx	<u>2018 34 440</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$2,396.00	
		SRO	E	Yes	Agency Compliance - Exclude a Line	Other	Funds sent to Building Management for security services. A CBE/SBE can not be utilized.	440.Security Services.docx	<u>2018 34 440</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$352.00	
TOT											\$0.00	\$0.00	
E - 2018 40 404 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (8 Operating budget line items)													
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 40 404</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$42.00		
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 40 404</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$214.20		
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 40 404</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$142.80		
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 40 404</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$21.00		
		SRO	E	Yes	Agency Compliance - Exclude a Line	Agency Transfer	This cost is the Agency's portion for Fleet Share maintenance.	404. Fleet Share.docx	<u>2018 40 404</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$42.00	\$42.00

Budgets > 2...

More ▾

	SRO	E	Yes	Agency Compliance - Exclude a Line	Agency Transfer	This cost is the Agency's portion for Fleet Share maintenance.	404. Fleet Share.docx	2018 40 404	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$214.20	\$214.20
	SRO	E	Yes	Agency Compliance - Exclude a Line	Other	This cost is the Agency's portion for Fleet Share maintenance.	404. Fleet Share.docx	2018 40 404	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$142.80	\$142.80
	SRO	E	Yes	Agency Compliance - Exclude a Line	Agency Transfer	This cost is the Agency's portion for Fleet Share maintenance.	404. Fleet Share.docx	2018 40 404	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$21.00	\$21.00
TOT											\$420.00	\$0.00
E - 2018 40 405 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (8 Operating budget line items)												
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 405	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$15,976.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 405	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$81,475.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 405	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$54,317.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 405	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$7,988.00	
	SRO	E	Yes	Agency Compliance - Exclude a Line	Agency Transfer	Cost allotted for funds transfer to DC NET for the cost for telephone batteries.	405 Maintenance.Repairs.Batteries.docx	2018 40 405	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$15,976.00	\$15,000.00
	SRO	E	Yes	Agency Compliance - Exclude a Line	Other	Cost for Off-site data storage, through Iron Mountain.	IronMountain.pdf	2018 40 405	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$4,400.00	
	SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Maintenance agreement for Lotus Dominion and Websphere.	Lotus.MC.docx	2018 40 405	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$4,000.00	
	SRO	E	Yes	Agency Compliance - Exclude a Line	Other	The cost reserved for the Maintenance Dell Latitude Laptops. Agency staff.	Dell Latitude Laptops..docx	2018 40 405	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$10,000.00	
TOT											\$15,000.00	\$0.00
E - 2018 40 405 - 100F AGENCY FINANCIAL OPERATIONS - 110F BUDGET OPERATION (1 Operating Budget Line Item)												
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 405	100F AGENCY FINANCIAL OPERATIONS	110F BUDGET OPERATION	\$5,000.00	
TOT											\$0.00	\$0.00
E - 2018 40 405 - 2000 INSURANCE - 2080 DC MARKET OPERATIONS INSURANCE (3 Operating budget line items)												
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 405	2000 INSURANCE	2080 DC MARKET OPERATIONS INSURANCE	\$35,000.00	
	SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds allotted for the Agency's NAIC Team and I-Rate Maintenance. (Insurance Bureau.)	I.Rate.pdf	2018 40 405	2000 INSURANCE	2080 DC MARKET OPERATIONS INSURANCE	\$30,000.00	

Budgets > 2...



	SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds allotted for the Agency's NAIC Team and I-Rate Maintenance. (Insurance Bureau.)	NAIC Teammate.pdf	2018 40 405	2000 INSURANCE	2080 DC MARKET OPERATIONS INSURANCE	\$5,000.00	
TOT											\$0.00	\$0.00
E - 2018 40 405 - 3000 SECURITIES - 3080 DC MARKET OPERATIONS SECURITIES (2 Operating budget line items)												
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 405	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES	\$66,200.00	
	SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the MC for ACO Star (Maintenance & Repair)- Securities.	STAR Sytem FY 2017.pdf	2018 40 405	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES	\$66,200.00	
TOT											\$0.00	\$0.00
E - 2018 40 405 - 4000 ENFORCEMENT - 4080 DC MARKET COMPLIANCE ENFORCEMENT (8 Operating budget line items)												
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 405	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$2,000.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 405	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$10,200.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 405	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$6,800.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 405	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$1,000.00	
	SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds allotted for the purchase of the Agency's Case Management System, (Enforcement Bureau).	WingSwept.pdf	2018 40 405	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$2,000.00	
	SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds allotted for the purchase of the Agency's Case Management System, (Enforcement Bureau).	WingSwept.pdf	2018 40 405	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$10,200.00	
	SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds allotted for the purchase of the Agency's Case Management System, (Enforcement Bureau).	WingSwept.pdf	2018 40 405	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$6,800.00	
	SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds allotted for the purchase of the Agency's Case Management System, (Enforcement Bureau).	WingSwept.pdf	2018 40 405	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$1,000.00	
TOT											\$0.00	\$0.00
E - 2018 40 405 - 5000 BANKING - 5080 DC MARKET OPERATIONS BANKING (2 Operating budget line items)												
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 405	5000 BANKING	5080 DC MARKET OPERATIONS BANKING	\$46,000.00	
	SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	MC for ACO Star (Maintenance & Repair)	405.Banking.docx	2018 40 405	5000 BANKING	5080 DC MARKET OPERATIONS BANKING	\$46,000.00	

Budgets > 2...



E - 2018 40 408 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)

Adjust or Exclude a Line Item	SRO	E	No					2018 40 408	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$44,000.00	
	SRO	E	Yes	Agency Compliance - Exclude a Line	Agency Transfer	These funds are an intra-district transfer between DISB and DOES for the SYEP. The Agency is a host site.	408.SYEP.docx	2018 40 408	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$44,000.00	\$44,000.00
Adjust or Exclude a Line Item	SRO	E	No					2018 40 408	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	Q3 Revised Agency Budget	\$8,000.00	\$52,000.00
	SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	CMTS Annual Maintenance Support & Hosting. Proprietary Good; SBE Could not be used.	PO589742 Wingswept.pdf	2018 40 408	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$2,953.71	
TOT												\$44,000.00	\$52,000.00

E - 2018 40 408 - 2000 INSURANCE - 2080 DC MARKET OPERATIONS INSURANCE (2 Operating budget line items)

Adjust or Exclude a Line Item	SRO	E	No					2018 40 408	2000 INSURANCE	2080 DC MARKET OPERATIONS INSURANCE		\$20,000.00	
	SRO	E	Yes	Agency Compliance - Exclude a Line	Agency Transfer	MOU with MPD for fingerprinting services.	408.insurance.docx	2018 40 408	2000 INSURANCE	2080 DC MARKET OPERATIONS INSURANCE		\$20,000.00	\$20,000.00
TOT												\$20,000.00	\$0.00

E - 2018 40 408 - 5000 BANKING - 5080 DC MARKET OPERATIONS BANKING (1 Operating Budget Line Item)

Adjust or Exclude a Line Item	SRO	E	No					2018 40 408	5000 BANKING	5080 DC MARKET OPERATIONS BANKING	Q3 Revised Agency Budget	\$2,500.00	\$2,500.00
TOT												\$0.00	\$2,500.00

E - 2018 40 410 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (8 Operating budget line items)

Adjust or Exclude a Line Item	SRO	E	No					2018 40 410	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$28,990.00	
Adjust or Exclude a Line Item	SRO	E	No					2018 40 410	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$147,849.00	
Adjust or Exclude a Line Item	SRO	E	No					2018 40 410	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$98,566.00	
Adjust or Exclude a Line Item	SRO	E	No					2018 40 410	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$14,495.00	
	SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the Agency's support items (proprietary) that can not be utilized by a CBE/SBE.	410 Exclusions.xlsx	2018 40 410	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$28,990.00	
	SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the Agency's support items (proprietary) that can not be	410 Exclusions.xlsx	2018 40 410	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$147,849.00	

Budgets > 2...



	SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the Agency's support items (proprietary) that can not be utilized by a CBE/SBE.	410 Exclusions.xlsx	2018 40 410	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$98,566.00	
	SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the Agency's support items (proprietary) that can not be utilized by a CBE/SBE.	410 Exclusions.xlsx	2018 40 410	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$14,495.00	
TOT											\$0.00	\$0.00
E - 2018 40 410 - 1000 AGENCY MANAGEMENT - 1080 PUBLIC AFFAIRS (7 Operating budget line items)												
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 410	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$8,400.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 410	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$42,840.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 410	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$28,560.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 410	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$4,200.00	
	SRO	E	Yes	Agency Compliance - Exclude a Line	Other	These funds cover initiates facilitated by the Communication Department.	Communications.410.docx	2018 40 410	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$5,000.00	
	SRO	E	Yes	Agency Compliance - Exclude a Line	Other	These funds cover initiates facilitated by the Communication Department.	Communications.410.docx	2018 40 410	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$24,000.00	
	SRO	E	Yes	Agency Compliance - Exclude a Line	Other	These funds covers any DISB-sponsored outreach events (e.g. city-wide financial fair or specific DISB event need.)	Communications.410.docx	2018 40 410	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$5,000.00	
TOT											\$0.00	\$0.00
E - 2018 40 410 - 4000 ENFORCEMENT - 4080 DC MARKET COMPLIANCE ENFORCEMENT (4 Operating budget line items)												
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 410	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$250.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 410	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$1,275.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 410	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$850.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 40 410	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$125.00	
TOT											\$0.00	\$0.00
E - 2018 40 411 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)												



Budgets > 2...



Adjust or Exclude a Line Item	SR0	E	No					2018 40 411	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$4,000.00	
Adjust or Exclude a Line Item	SR0	E	No					2018 40 411	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$20,400.00	
Adjust or Exclude a Line Item	SR0	E	No					2018 40 411	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$13,600.00	
Adjust or Exclude a Line Item	SR0	E	No					2018 40 411	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$2,000.00	
TOT											\$0.00	\$0.00
E - 2018 40 494 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (8 Operating budget line items)												
Adjust or Exclude a Line Item	SR0	E	No					2018 40 494	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$7,825.56	
Adjust or Exclude a Line Item	SR0	E	No					2018 40 494	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$39,910.38	
Adjust or Exclude a Line Item	SR0	E	No					2018 40 494	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$26,606.92	
Adjust or Exclude a Line Item	SR0	E	No					2018 40 494	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$3,912.78	
	SR0	E	Yes	Agency Compliance - Exclude a Line	Agency Transfer	Finds allotted for the OCTO IT Assessment.	IT_Assessment.494.docx	2018 40 494	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$7,825.56	\$7,825.56
	SR0	E	Yes	Agency Compliance - Exclude a Line	Agency Transfer	Funds allotted for the Agency's IT Assessment performed by OCTO	IT_Assessment.494.docx	2018 40 494	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$39,910.38	\$39,910.38
	SR0	E	Yes	Agency Compliance - Exclude a Line	Agency Transfer	Funds allotted for the Agency's IT Assessment performed by OCTO.	IT_Assessment.494.docx	2018 40 494	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$26,606.92	\$26,606.92
	SR0	E	Yes	Agency Compliance - Exclude a Line	Agency Transfer	Funds allotted for the Agency's IT Assessment performed by OCTO	IT_Assessment.494.docx	2018 40 494	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$3,912.78	\$3,912.78
TOT											\$78,255.64	\$0.00
E - 2018 41 409 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (8 Operating budget line items)												
Adjust or Exclude a Line Item	SR0	E	No					2018 41 409	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$9,000.00	
Adjust or Exclude a Line Item	SR0	E	No					2018 41 409	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$45,900.00	
Adjust or Exclude a Line Item	SR0	E	No					2018 41 409	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$30,600.00	

Budgets > 2...



	Adjust or Exclude a Line Item	SR0	E	No				<u>2018 41 409</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$4,500.00	
		SR0	E	Yes	Agency Compliance - Exclude a Line	Other	Funds reserved for professional Services and contractual services, FY18 Agency Move.	IT.Move.409.docx	<u>2018 41 409</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$9,000.00	\$9,000.00
		SR0	E	Yes	Agency Compliance - Exclude a Line	Other	Funds associated with the Agency's move, FY18. (IT Related).	IT.Move.409.docx	<u>2018 41 409</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$45,900.00	\$45,900.00
		SR0	E	Yes	Agency Compliance - Exclude a Line	Other	Funds reserved for professional Services and contractual services, FY18 Agency Move.	IT.Move.409.docx	<u>2018 41 409</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$30,600.00	\$30,600.00
		SR0	E	Yes	Agency Compliance - Exclude a Line	Other	Funds reserved for professional Services and contractual services, FY18 Agency Move.	IT.Move.409.docx	<u>2018 41 409</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$4,500.00	\$4,500.00
TOT											\$90,000.00	\$0.00	
E - 2018 41 409 - 1000 AGENCY MANAGEMENT - 1080 PUBLIC AFFAIRS (11 Operating budget line items)													
	Adjust or Exclude a Line Item	SR0	E	No				<u>2018 41 409</u>	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS		\$17,650.00	
	Adjust or Exclude a Line Item	SR0	E	No				<u>2018 41 409</u>	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS		\$90,015.00	
	Adjust or Exclude a Line Item	SR0	E	No				<u>2018 41 409</u>	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS		\$60,010.00	
	Adjust or Exclude a Line Item	SR0	E	No				<u>2018 41 409</u>	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS		\$8,825.00	
		SR0	E	Yes	Agency Compliance - Exclude a Line	Other	The funds for this item are allotted for various initiatives supported by the Communications Department (See attachment). CBE/SBE can not be utilized.	409 Communications.xlsx	<u>2018 41 409</u>	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$17,650.00	
		SR0	E	Yes	Agency Compliance - Exclude a Line	Other	The funds for this item are allotted for various initiative supported by the Communications Department (See attachment). CBE/SBE can not be utilized.	409 Communications.xlsx	<u>2018 41 409</u>	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$90,015.00	
		SR0	E	Yes	Agency Compliance - Exclude a Line	Other	The funds for this item are allotted for various initiative supported by the Communications Department (See attachment). CBE/SBE can not be utilized.	409 Communications.xlsx	<u>2018 41 409</u>	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$4,000.00	
	Adjust or Exclude	SR0	E	No				<u>2018 41 409</u>	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	Q3 Revised Agency	-\$6,800.00	\$53,210.00



Budgets > 2...



Adjust or Exclude a Line Item	SRO	E	No					2018 41 409	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	Q3 Revised Agency Budget	-\$1,000.00	\$7,825.00
Adjust or Exclude a Line Item	SRO	E	No					2018 41 409	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	Q3 Revised Agency Budget	-\$10,200.00	\$79,815.00
Adjust or Exclude a Line Item	SRO	E	No					2018 41 409	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	Q3 Revised Agency Budget	-\$2,000.00	\$15,650.00
TOT												\$0.00	\$156,500.00
E - 2018 41 409 - 2000 INSURANCE - 2080 DC MARKET OPERATIONS INSURANCE (2 Operating budget line items)													
Adjust or Exclude a Line Item	SRO	E	No					2018 41 409	2000 INSURANCE	2080 DC MARKET OPERATIONS INSURANCE		\$400,000.00	
Adjust or Exclude a Line Item	SRO	E	Yes	Agency Compliance - Exclude a Line	No Potential SBEs (lack capacity)	Funds Reserved for the 2018 Rate Review, Insurance. Historically, a CBE/SBE could not be sought.	Rate Review_SOW.pdf	2018 41 409	2000 INSURANCE	2080 DC MARKET OPERATIONS INSURANCE		\$400,000.00	
TOT												\$0.00	\$0.00
E - 2018 41 409 - 2000 INSURANCE - 2090 HEALTH INSURANCE REVIEW (9 Operating budget line items)													
Adjust or Exclude a Line Item	SRO	E	No					2018 41 409	2000 INSURANCE	2090 HEALTH INSURANCE REVIEW		\$457,172.02	
Adjust or Exclude a Line Item	SRO	E	Yes	Agency Compliance - Exclude a Line	No Eligible SBEs (licensure)	Grant funds allotted for Insurance Market Reforms. (Insurance)	409_Market Reforms Appeals and Preventative Services_Insurance.pdf	2018 41 409	2000 INSURANCE	2090 HEALTH INSURANCE REVIEW		\$457,000.00	
Adjust or Exclude a Line Item	SRO	E	No					2018 41 409	2000 INSURANCE	2090 HEALTH INSURANCE REVIEW	Q3 Revised Agency Budget	\$494,706.67	\$494,706.67
Adjust or Exclude a Line Item	SRO	E	No					2018 41 409	2000 INSURANCE	2090 HEALTH INSURANCE REVIEW	Q3 Revised Agency Budget	\$680,880.07	\$1,138,052.09
Adjust or Exclude a Line Item	SRO	E	Yes	Agency Compliance - Exclude a Line	No Eligible SBEs (licensure)	Market Reforms Appeals And Preventative Services - Vendor Selected by OCP. Non-SBE Modification	PO589742_Wingswept.pdf	2018 41 409	2000 INSURANCE	2090 HEALTH INSURANCE REVIEW		\$245,000.00	
Adjust or Exclude a Line Item	SRO	E	Yes	Agency Compliance - Exclude a Line	No Eligible SBEs (licensure)	Funds procured for the Patient and Affordable Care Act of 2010.	PO579970.Waklely.pdf	2018 41 409	2000 INSURANCE	2090 HEALTH INSURANCE REVIEW		\$239,636.00	
Adjust or Exclude a Line Item	SRO	E	Yes	Agency Compliance - Exclude a Line	No Potential SBEs (lack capacity)	Funds allotted for the examinations of formularities related to mental health, substance and other needed market health reforms. Contract awarded to non-sbe by OCP.	SKMBT_C654e18101516520.pdf	2018 41 409	2000 INSURANCE	2090 HEALTH INSURANCE REVIEW		\$547,276.25	
Adjust or Exclude a Line Item	SRO	E	Yes	Agency Compliance - Exclude a Line	Other	Funds reserved to facilitate the Opportunities Accounts initiative.	Opportunity Accounts.pdf	2018 41 409	2000 INSURANCE	2090 HEALTH INSURANCE REVIEW		\$390,000.00	

Budgets > 2...



	SRO	E	Yes	Agency Compliance - Exclude a Line	Other	Funds reserved to facilitate the Tax Audit initiative. FUNDS WAS NOT USED - To be implemented in FY19	Tax Audits.pdf	<u>2018 41 409</u>	2000 INSURANCE	2090 HEALTH INSURANCE REVIEW	\$200,000.00		
TOT											\$0.00	\$1,632,758.76	
E - 2018 41 409 - 3000 SECURITIES - 3080 DC MARKET OPERATIONS SECURITIES (4 Operating budget line items)													
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 41 409</u>	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES	\$109,400.00		
		SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds allotted to assist in handling backlogs, (Staffing). CBE/SBE can not be used.	409_Securities.docx	<u>2018 41 409</u>	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES	\$10,500.00	
		SRO	E	Yes	Agency Compliance - Exclude a Line	Other	The funds for this item are reserved to assist in handling backlogs, temporary staffing assistance, and to assist in conducting complex examinations.	409_Securities.docx	<u>2018 41 409</u>	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES	\$75,000.00	
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 41 409</u>	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES	Q3 Revised Agency Budget	-\$50,000.00	\$59,400.00
TOT											\$0.00	\$59,400.00	
E - 2018 41 409 - 4000 ENFORCEMENT - 4080 DC MARKET COMPLIANCE ENFORCEMENT (8 Operating budget line items)													
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 41 409</u>	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$1,030.00		
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 41 409</u>	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$5,253.00		
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 41 409</u>	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$3,502.00		
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 41 409</u>	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$515.00		
		SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Cost allotted for hosting of the Case Management System. Proprietary vendor. CBE/SBE can not be utilized.	SOW for ECPD CMS_2017.rtf	<u>2018 41 409</u>	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$1,030.00	
		SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Cost allotted for hosting of the Case Management System. Proprietary vendor. CBE/SBE can not be utilized.	SOW for ECPD CMS_2017.rtf	<u>2018 41 409</u>	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$5,252.00	
		SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Cost allotted for hosting of the Case Management System. Proprietary vendor. CBE/SBE can not be utilized.	SOW for ECPD CMS_2017.rtf	<u>2018 41 409</u>	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$3,502.00	



Budgets > 2...



	SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Cost allotted for hosting of the Case Management System. Proprietary vendor. CBE/SBE can not be utilized.	SOW for ECPD CMS_2017.rtf	2018 41 409	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT		\$515.00	
TOT												\$0.00	\$0.00
E - 2018 41 409 - 5000 BANKING - 5070 MARKET SERVICES (6 Operating budget line items)													
	Adjust or Exclude a Line Item	SRO	E	No				2018 41 409	5000 BANKING	5070 MARKET SERVICES		\$630,000.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 41 409	5000 BANKING	5070 MARKET SERVICES		\$350,000.00	
		SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Cost allotted to cover Banking initiatives for FY18. Itemized spreadsheet attached. CBE/SBE can not be utilized.	409.Banking.xlsx	2018 41 409	5000 BANKING	5070 MARKET SERVICES		\$630,000.00
		SRO	E	Yes	Agency Compliance - Exclude a Line	No Potential SBEs (lack capacity)	Cost allotted to cover Banking initiatives for FY18. Itemized spreadsheet attached. CBE/SBE can not be utilized.	409.Banking.xlsx	2018 41 409	5000 BANKING	5070 MARKET SERVICES		\$350,000.00
	Adjust or Exclude a Line Item	SRO	E	No				2018 41 409	5000 BANKING	5070 MARKET SERVICES	Q3 Revised Agency Budget	\$19,730.25	\$649,730.25
		SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	CMTS Annual Maintenance Support and Hosting. Proprietary good; SBE could not be used.	PQ589742 Wingswept.pdf	2018 41 409	5000 BANKING	5070 MARKET SERVICES		\$19,730.25
TOT												\$0.00	\$649,730.25
E - 2018 41 409 - 5000 BANKING - 5080 DC MARKET OPERATIONS BANKING (7 Operating budget line items)													
	Adjust or Exclude a Line Item	SRO	E	No				2018 41 409	5000 BANKING	5080 DC MARKET OPERATIONS BANKING		\$742,000.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 41 409	5000 BANKING	5080 DC MARKET OPERATIONS BANKING		\$200,000.00	
		SRO	E	Yes	Agency Compliance - Exclude a Line	No Potential SBEs (lack capacity)	Cost allotted to cover Banking initiatives for FY18. Itemized spreadsheet attached. CBE/SBE can not be utilized.	409.Banking.xlsx	2018 41 409	5000 BANKING	5080 DC MARKET OPERATIONS BANKING		\$742,000.00
		SRO	E	Yes	Agency Compliance - Exclude a Line	No Potential SBEs (lack capacity)	Cost allotted to cover Banking initiatives for FY18. Itemized spreadsheet attached. CBE/SBE can not be utilized.	409.Banking.xlsx	2018 41 409	5000 BANKING	5080 DC MARKET OPERATIONS BANKING		\$200,000.00
	Adjust or Exclude a Line Item	SRO	E	No				2018 41 409	5000 BANKING	5080 DC MARKET OPERATIONS BANKING	Q3 Revised Agency Budget	\$315,000.00	\$1,057,000.00
		SRO	E	Yes	Agency Compliance - Exclude a Line	No Potential SBEs (lack capacity)	Contract awarded to SBE by the OCP.	PQ579799 CAAB.pdf	2018 41 409	5000 BANKING	5080 DC MARKET OPERATIONS	\$315,000.00	\$250,000.00



Budgets > 2...



	SRO	E	Yes	Agency Compliance - Exclude a Line	No Potential SBEs (lack capacity)	Funds used for newspaper advertisements - Communications Division	PO581578-V2.CCN.pdf	<u>2018 41 409</u>	5000 BANKING	5080 DC MARKET OPERATIONS BANKING		\$13,416.00	
TOT											\$250,000.00	\$1,057,000.00	
E - 2018 41 409 - 6000 RISK FINANCE - 6080 DC MARKET OPERATIONS RISK FINANCE (3 Operating budget line items)													
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 41 409</u>	6000 RISK FINANCE	6080 DC MARKET OPERATIONS RISK FINANCE		\$100,000.00	
		SRO	E	Yes	Agency Compliance - Exclude a Line	No Eligible SBEs (licensure)	Funds allotted for marketing initiatives, Risk Finance. Historically, a CBE/SBE could not be used.	SOW-Captive Materials-DISB.doc	<u>2018 41 409</u>	6000 RISK FINANCE	6080 DC MARKET OPERATIONS RISK FINANCE		\$50,000.00
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 41 409</u>	6000 RISK FINANCE	6080 DC MARKET OPERATIONS RISK FINANCE	Q3 Revised Agency Budget	-\$50,000.00	\$50,000.00
TOT											\$0.00	\$50,000.00	
E - 2018 50 506 - 5000 BANKING - 5070 MARKET SERVICES (4 Operating budget line items)													
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 50 506</u>	5000 BANKING	5070 MARKET SERVICES		\$2,000,000.00	
		SRO	E	Yes	Agency Compliance - Exclude a Line	Federal Restrictions	These funds are reserved for Agency initiatives facilitated by the Banking Bureau.	506.Banking.docx	<u>2018 50 506</u>	5000 BANKING	5070 MARKET SERVICES		\$2,000,000.00
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 50 506</u>	5000 BANKING	5070 MARKET SERVICES	Q3 Revised Agency Budget	\$1,000,000.00	\$1,000,000.00
		SRO	E	Yes	Agency Compliance - Exclude a Line	Other	Funds allotted for Banking initiatives (Reserve)- Funds can not be utilized by SBE	506.Banking,2000000.docx	<u>2018 50 506</u>	5000 BANKING	5070 MARKET SERVICES		\$1,000,000.00
TOT											\$0.00	\$1,000,000.00	
E - 2018 70 701 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (8 Operating budget line items)													
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 70 701</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$7,500.00	
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 70 701</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$38,250.00	
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 70 701</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$25,500.00	
	Adjust or Exclude a Line Item	SRO	E	No				<u>2018 70 701</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$3,750.00	
		SRO	E	Yes	Agency Compliance - Exclude a Line	Agency Transfer	Funds expected to be transferred to DGS to defray the cost (some) associated with the Agency's move, FY18.	701.NPS.docx	<u>2018 70 701</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$7,500.00	\$7,500.00

Budgets > 2...

More ▾

	SRO	E	Yes	Agency Compliance - Exclude a Line	Agency Transfer	Funds expected to be transferred to DGS to defray the cost (some) associated with the Agency's move, FY18.	Z01.NPS.docx	2018 70 701	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$38,250.00	\$38,250.00
	SRO	E	Yes	Agency Compliance - Exclude a Line	Agency Transfer	Funds expected to be transferred to DGS to defray the cost (some) associated with the Agency's move, FY18.	Z01.NPS.docx	2018 70 701	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$25,500.00	\$25,500.00
	SRO	E	Yes	Agency Compliance - Exclude a Line	Agency Transfer	Funds expected to be transferred to DGS to defray the cost (some) associated with the Agency's move, FY18.	Z01.NPS.docx	2018 70 701	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$3,750.00	\$3,750.00
TOT											\$75,000.00	\$0.00
E - 2018 70 702 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)												
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 702	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$40,700.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 702	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$207,570.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 702	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$138,380.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 702	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$20,350.00	
TOT											\$0.00	\$0.00
E - 2018 70 704 - 100F AGENCY FINANCIAL OPERATIONS - 110F BUDGET OPERATION (1 Operating Budget Line Item)												
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 704	100F AGENCY FINANCIAL OPERATIONS	110F BUDGET OPERATION	\$10,000.00	
TOT											\$0.00	\$0.00
E - 2018 70 706 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (8 Operating budget line items)												
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 706	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$16,500.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 706	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$84,150.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 706	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$56,100.00	
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 706	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$8,250.00	
	SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Lease - Xerox Machines.	Xerox.pdf	2018 70 706	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$16,500.00	
	SRO	E	Yes	Agency Compliance -	Proprietary Goods	Lease - Xerox Machines.	Xerox.pdf	2018 70 706	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO.	\$84,150.00	



Budgets > 2...



	SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Lease - Xerox Machines.	Xerox.pdf	2018 70 706	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$56,100.00		
	SRO	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Lease - Xerox Machines.	Xerox.pdf	2018 70 706	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$8,250.00		
TOT											\$0.00	\$0.00	
E - 2018 70 710 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (5 Operating budget line items)													
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 710	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$34,400.00		
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 710	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$175,440.00		
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 710	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$116,960.00		
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 710	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$17,200.00		
		SRO	E	Yes	Agency Compliance - Exclude a Line	Other	Funds reserved for post move furniture. NOT USED IN FY18	POST MOVE RO.pdf	2018 70 710	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$75,000.00	
TOT											\$0.00	\$0.00	
E - 2018 70 710 - 100F AGENCY FINANCIAL OPERATIONS - 110F BUDGET OPERATION (1 Operating Budget Line Item)													
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 710	100F AGENCY FINANCIAL OPERATIONS	110F BUDGET OPERATION	\$10,000.00		
TOT											\$0.00	\$0.00	
E - 2018 70 711 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)													
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 711	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$4,400.00		
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 711	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$22,440.00		
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 711	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$14,960.00		
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 711	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$2,200.00		
TOT											\$0.00	\$0.00	
E - 2018 70 711 - 3000 SECURITIES - 3080 DC MARKET OPERATIONS SECURITIES (2 Operating budget line items)													
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 711	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES	\$253,250.00		

Budgets > 2...

More ▾

	SRO	E	Yes	Agency Compliance - Exclude a Line	No Eligible SBEs (licensure)	Funds allotted for initiatives supported by the Securities Bureau that traditionally could not be utilized by a CBE/SBE. Namely, the following: 1.) Star System - New Platform \$250,000 2.) Quickbooks Software System Upgrade \$3,250	Supporting Document - DISB-Special Exception-Star System.pdf	2018 70 711	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES	\$253,250.00	
TOT											\$0.00	\$0.00
E - 2018 70 711 - 5000 BANKING - 5080 DC MARKET OPERATIONS BANKING (1 Operating Budget Line Item)												
	Adjust or Exclude a Line Item	SRO	E	No				2018 70 711	5000 BANKING	5080 DC MARKET OPERATIONS BANKING	\$19,550.00	
TOT											\$0.00	\$0.00
TOT											\$572,675.64	\$4,659,889.01

MY NEW OPERATING BUDGET LINE ITEMS - STATUS

Full Report | Grid Edit | Email | More ▾ 75 Operating budget line items

DSLBD CS Status	Manager Status	Agency Name	Budget Code	Type	Special Exception	CompSource CompObj2	Status	Justification	Reason	Explanation	Justification Document	Program Code & Title	Activity Code & Title	Totaling Proposed Amount	Proposed Exception Amount	
Recommend Denial - 2018 40 404 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)																
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 404	Denied	Agency Compliance - Exclude a Line	Agency Transfer	This cost is the Agency's portion for Fleet Share maintenance.	404. Fleet Share.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$42.00	\$42.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 404	Denied	Agency Compliance - Exclude a Line	Agency Transfer	This cost is the Agency's portion for Fleet Share maintenance.	404. Fleet Share.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$214.20	\$214.20
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 404	Denied	Agency Compliance - Exclude a Line	Other	This cost is the Agency's portion for Fleet Share maintenance.	404. Fleet Share.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$142.80	\$142.80
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 404	Denied	Agency Compliance - Exclude a Line	Agency Transfer	This cost is the Agency's portion for Fleet Share maintenance.	404. Fleet Share.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$21.00	\$21.00
TOT														\$420.00	\$420.00	
Recommend Denial - 2018 40 405 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (1 Operating Budget Line Item)																
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 405	Denied	Agency Compliance - Exclude a Line	Agency Transfer	Cost allotted for funds transfer to DC NET for the cost for telephone batteries.	405 Maintenance.Repairs.Batteries.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$15,976.00	\$15,000.00
TOT														\$15,976.00	\$15,000.00	

Budgets > 2...



			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 408	Denied	Agency Compliance - Exclude a Line	Agency Transfer	These funds are an intra-district transfer between DISB and DOES for the SYEP. The Agency is a host site.	408.SYEP.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$44,000.00	\$44,000.00
TOT															\$44,000.00	\$44,000.00
Recommend Denial - 2018 40 408 - 2000 INSURANCE - 2080 DC MARKET OPERATIONS INSURANCE (1 Operating Budget Line Item)																
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 408	Denied	Agency Compliance - Exclude a Line	Agency Transfer	MOU with MPD for fingerprinting services.	408.Insurance.docx	2000 INSURANCE	2080 DC MARKET OPERATIONS INSURANCE	\$20,000.00	\$20,000.00
TOT															\$20,000.00	\$20,000.00
Recommend Denial - 2018 40 494 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)																
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 494	Denied	Agency Compliance - Exclude a Line	Agency Transfer	Finds allotted for the OCTO IT Assessment.	IT.Assessment.494.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$7,825.56	\$7,825.56
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 494	Denied	Agency Compliance - Exclude a Line	Agency Transfer	Funds allotted for the Agency's IT Assessment performed by OCTO	IT.Assessment.494.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$39,910.38	\$39,910.38
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 494	Denied	Agency Compliance - Exclude a Line	Agency Transfer	Funds allotted for the Agency's IT Assessment performed by OCTO.	IT.Assessment.494.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$26,606.92	\$26,606.92
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 494	Denied	Agency Compliance - Exclude a Line	Agency Transfer	Funds allotted for the Agency's IT Assessment performed by OCTO	IT.Assessment.494.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$3,912.78	\$3,912.78
TOT															\$78,255.64	\$78,255.64
Recommend Denial - 2018 41 409 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)																
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Denied	Agency Compliance - Exclude a Line	Other	Funds reserved for professional Services and contractual services, FY18 Agency Move.	IT.Move.409.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$9,000.00	\$9,000.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Denied	Agency Compliance - Exclude a Line	Other	Funds associated with the Agency's move, FY18. (IT Related).	IT.Move.409.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$45,900.00	\$45,900.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Denied	Agency Compliance - Exclude a Line	Other	Funds reserved for professional Services and contractual services, FY18 Agency Move.	IT.Move.409.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$30,600.00	\$30,600.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Denied	Agency Compliance - Exclude a Line	Other	Funds reserved for professional Services and contractual services, FY18 Agency Move.	IT.Move.409.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$4,500.00	\$4,500.00

Recommend Denial - 2018 41 409 - 2000 INSURANCE - 2090 HEALTH INSURANCE REVIEW (1 Operating Budget Line Item)

			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	No Eligible SBEs (licensure)	Grant funds allotted for Insurance Market Reforms. (Insurance)	409.Market Reforms Appeals and Preventative Services.Insurance.pdf	2000 INSURANCE	2090 HEALTH INSURANCE REVIEW	\$457,000.00	
TOT															\$457,000.00	\$0.00

Recommend Denial - 2018 41 409 - 3000 SECURITIES - 3080 DC MARKET OPERATIONS SECURITIES (2 Operating budget line items)

			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds allotted to assist in handling backlogs, (Staffing). CBE/SBE can not be used.	409.Securities.docx	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES	\$10,500.00	
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	Other	The funds for this item are reserved to assist in handling backlogs, temporary staffing assistance, and to assist in conducting complex examinations.	409.Securities.docx	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES	\$75,000.00	
TOT															\$85,500.00	\$0.00

Recommend Denial - 2018 41 409 - 5000 BANKING - 5080 DC MARKET OPERATIONS BANKING (3 Operating budget line items)

			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	No Potential SBEs (lack capacity)	Cost allotted to cover Banking initiatives for FY18. Itemized spreadsheet attached. CBE/SBE can not be utilized.	409.Banking.xlsx	5000 BANKING	5080 DC MARKET OPERATIONS BANKING	\$742,000.00	
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	No Potential SBEs (lack capacity)	Cost allotted to cover Banking initiatives for FY18. Itemized spreadsheet attached. CBE/SBE can not be utilized.	409.Banking.xlsx	5000 BANKING	5080 DC MARKET OPERATIONS BANKING	\$200,000.00	
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Denied	Agency Compliance - Exclude a Line	No Potential SBEs (lack capacity)	Contract awarded to SBE by the OCP.	PO579799 CAAB.pdf	5000 BANKING	5080 DC MARKET OPERATIONS BANKING	\$315,000.00	\$250,000.00
TOT															\$1,257,000.00	\$250,000.00

Recommend Denial - 2018 70 701 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)

			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 70 701	Denied	Agency Compliance - Exclude a Line	Agency Transfer	Funds expected to be transferred to DGS to defray the cost (some) associated with the Agency's move, FY18.	701.NPS.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$7,500.00	\$7,500.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 70 701	Denied	Agency Compliance - Exclude a Line	Agency Transfer	Funds expected to be transferred to DGS to defray the cost (some) associated with the Agency's move, FY18.	701.NPS.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$38,250.00	\$38,250.00

Budgets > 2...

More ▾

			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 70 701	Denied	Agency Compliance - Exclude a Line	Agency Transfer	Funds expected to be transferred to DGS to defray the cost (some) associated with the Agency's move, FY18.	Z01.NPS.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$25,500.00	\$25,500.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 70 701	Denied	Agency Compliance - Exclude a Line	Agency Transfer	Funds expected to be transferred to DGS to defray the cost (some) associated with the Agency's move, FY18.	Z01.NPS.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$3,750.00	\$3,750.00

TOT **\$75,000.00** **\$75,000.00**

Recommend Approval - 2018 20 201 - 100F AGENCY FINANCIAL OPERATIONS - 110F BUDGET OPERATION (1 Operating Budget Line Item)

			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 20 201	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for Expert Witness. Vendor services proprietary	Expert Witness.pdf	100F AGENCY FINANCIAL OPERATIONS	110F BUDGET OPERATION	\$15,600.00	
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TOT **\$15,600.00** **\$0.00**

Recommend Approval - 2018 34 440 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)

			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 34 440	Approved	Agency Compliance - Exclude a Line	Other	Funds sent to Building Management for security services. A CBE/SBE can not be utilized.	440.Security Services.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$705.00	
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 34 440	Approved	Agency Compliance - Exclude a Line	Other	Funds sent to Building Management for security services. A CBE/SBE can not be utilized.	440.Security Services.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$3,594.00	
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 34 440	Approved	Agency Compliance - Exclude a Line	Other	Funds sent to Building Management for security services. A CBE/SBE can not be utilized.	440.Security Services.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$2,396.00	
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 34 440	Approved	Agency Compliance - Exclude a Line	Other	Funds sent to Building Management for security services. A CBE/SBE can not be utilized.	440.Security Services.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$352.00	

TOT **\$7,047.00** **\$0.00**

Recommend Approval - 2018 40 405 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (3 Operating budget line items)

			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 405	Approved	Agency Compliance - Exclude a Line	Other	Cost for Off-site data storage, through Iron Mountain.	IronMountain.pdf	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$4,400.00	
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 405	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Maintenance agreement for Lotus Dominion and Websphere.	Lotus.MC.docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$4,000.00	

Budgets > 2...

More ▾

			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 405	Approved	Agency Compliance - Exclude a Line	Other	The cost reserved for the Maintenance Dell Latitude Laptops. Agency staff.	Dell Latitude Laptops..docx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$10,000.00	
TOT															\$18,400.00	\$0.00
Recommend Approval - 2018 40 405 - 2000 INSURANCE - 2080 DC MARKET OPERATIONS INSURANCE (2 Operating budget line items)																
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 405	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds allotted for the Agency's NAIC Team and I-Rate Maintenance. (Insurance Bureau.)	I.Rate.pdf	2000 INSURANCE	2080 DC MARKET OPERATIONS INSURANCE	\$30,000.00	
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 405	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds allotted for the Agency's NAIC Team and I-Rate Maintenance. (Insurance Bureau.)	NAIC Teammate.pdf	2000 INSURANCE	2080 DC MARKET OPERATIONS INSURANCE	\$5,000.00	
TOT															\$35,000.00	\$0.00
Recommend Approval - 2018 40 405 - 3000 SECURITIES - 3080 DC MARKET OPERATIONS SECURITIES (1 Operating Budget Line Item)																
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 405	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the MC for ACO Star (Maintenance & Repair)-Securities.	STAR Sytem FY 2017.pdf	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES	\$66,200.00	
TOT															\$66,200.00	\$0.00
Recommend Approval - 2018 40 405 - 4000 ENFORCEMENT - 4080 DC MARKET COMPLIANCE ENFORCEMENT (4 Operating budget line items)																
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 405	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds allotted for the purchase of the Agency's Case Management System, (Enforcement Bureau).	WingSwept.pdf	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$2,000.00	
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 405	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds allotted for the purchase of the Agency's Case Management System, (Enforcement Bureau).	WingSwept.pdf	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$10,200.00	
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 405	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds allotted for the purchase of the Agency's Case Management System, (Enforcement Bureau).	WingSwept.pdf	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$6,800.00	
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 405	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds allotted for the purchase of the Agency's Case Management System, (Enforcement Bureau).	WingSwept.pdf	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$1,000.00	
TOT															\$20,000.00	\$0.00
Recommend Approval - 2018 40 405 - 5000 BANKING - 5080 DC MARKET OPERATIONS BANKING (1 Operating Budget Line Item)																

Budgets > 2...



			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 405	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	MC for ACO Star (Maintenance & Repair)	405.Banking.docx	5000 BANKING	5080 DC MARKET OPERATIONS BANKING	\$46,000.00
TOT															
Recommend Approval - 2018 40 408 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (1 Operating Budget Line Item)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 408	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	CMTS Annual Maintenance Support .& Hosting. Proprietary Good; SBE Could not be used.	PO589742 WingsweptL.pdf	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$2,953.71
TOT															
Recommend Approval - 2018 40 410 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 410	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the Agency's support items (proprietary) that can not be utilized by a CBE/SBE.	410 Exclusions.xlsx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$28,990.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 410	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the Agency's support items (proprietary) that can not be utilized by a CBE/SBE.	410 Exclusions.xlsx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$147,849.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 410	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the Agency's support items (proprietary) that can not be utilized by a CBE/SBE.	410 Exclusions.xlsx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$98,566.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 410	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the Agency's support items (proprietary) that can not be utilized by a CBE/SBE.	410 Exclusions.xlsx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$14,495.00
TOT															
Recommend Approval - 2018 40 410 - 1000 AGENCY MANAGEMENT - 1080 PUBLIC AFFAIRS (3 Operating budget line items)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 410	Approved	Agency Compliance - Exclude a Line	Other	These funds cover initiatives facilitated by the Communication Department.	Communications.410.docx	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$5,000.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 410	Approved	Agency Compliance - Exclude a Line	Other	These funds cover initiatives facilitated by the Communication Department.	Communications.410.docx	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$24,000.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 40 410	Approved	Agency Compliance - Exclude a Line	Other	These funds covers any DISB-sponsored outreach events (e.g. city-wide financial fair or specific DISB event need.)	Communications.410.docx	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$5,000.00

Recommend Approval - 2018 41 409 - 1000 AGENCY MANAGEMENT - 1080 PUBLIC AFFAIRS (3 Operating budget line items)

			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	Other	The funds for this item are allotted for various initiatives supported by the Communications Department (See attachment). CBE/SBE can not be utilized.	409 Communications.xlsx	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$17,650.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	Other	The funds for this item are allotted for various initiative supported by the Communications Department (See attachment). CBE/SBE can not be utilized.	409 Communications.xlsx	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$90,015.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	Other	The funds for this item are allotted for various initiative supported by the Communications Department (See attachment). CBE/SBE can not be utilized.	409 Communications.xlsx	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$4,000.00

TOT **\$111,665.00** **\$0.00**

Recommend Approval - 2018 41 409 - 2000 INSURANCE - 2080 DC MARKET OPERATIONS INSURANCE (1 Operating Budget Line Item)

			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	No Potential SBEs (lack capacity)	Funds Reserved for the 2018 Rate Review, Insurance. Historically, a CBE/SBE could not be sought.	Rate Review. SOW.pdf	2000 INSURANCE	2080 DC MARKET OPERATIONS INSURANCE	\$400,000.00
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TOT **\$400,000.00** **\$0.00**

Recommend Approval - 2018 41 409 - 2000 INSURANCE - 2090 HEALTH INSURANCE REVIEW (5 Operating budget line items)

			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	No Eligible SBEs (licensure)	Market Reforms Appeals And Preventative Services - Vendor Selected by OCP. Non-SBE Modification	PO589742 Wingswept.pdf	2000 INSURANCE	2090 HEALTH INSURANCE REVIEW	\$245,000.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	No Eligible SBEs (licensure)	Funds procured for the Patient and Affordable Care Act of 2010.	PO579970.Waklely.pdf	2000 INSURANCE	2090 HEALTH INSURANCE REVIEW	\$239,636.00

Budgets > 2...

More ▾

			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	No Potential SBEs (lack capacity)	Funds allotted for the examinations of formularities related to mental health, substance and other needed market health reforms. Contract awarded to non-se by OCP.	SKMBT_C654e18101516520.pdf	2000 INSURANCE	2090 HEALTH INSURANCE REVIEW	\$547,276.25
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	Other	Funds reserved to facilitate the Opportunities Accounts initiative.	Opportunity Accounts.pdf	2000 INSURANCE	2090 HEALTH INSURANCE REVIEW	\$390,000.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Denied	Agency Compliance - Exclude a Line	Other	Funds reserved to facilitate the Tax Audit initiative. FUNDS WAS NOT USED - To be implemented in FY19	Tax Audits.pdf	2000 INSURANCE	2090 HEALTH INSURANCE REVIEW	\$200,000.00

TOT **\$1,621,912.25** **\$0.00**

Recommend Approval - 2018 41 409 - 4000 ENFORCEMENT - 4080 DC MARKET COMPLIANCE ENFORCEMENT (4 Operating budget line items)

			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Cost allotted for hosting of the Case Management System. Proprietary vendor. CBE/SBE can not be utilized.	SOW for ECPD CMS_2017.rtf	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$1,030.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Cost allotted for hosting of the Case Management System. Proprietary vendor. CBE/SBE can not be utilized.	SOW for ECPD CMS_2017.rtf	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$5,252.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Cost allotted for hosting of the Case Management System. Proprietary vendor. CBE/SBE can not be utilized.	SOW for ECPD CMS_2017.rtf	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$3,502.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Cost allotted for hosting of the Case Management System. Proprietary vendor. CBE/SBE can not be utilized.	SOW for ECPD CMS_2017.rtf	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$515.00

TOT **\$10,299.00** **\$0.00**

Recommend Approval - 2018 41 409 - 5000 BANKING - 5070 MARKET SERVICES (3 Operating budget line items)

Budgets > 2...



			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Cost allotted to cover Banking initiatives for FY18. Itemized spreadsheet attached. CBE/SBE can not be utilized.	409.Banking.xlsx	5000 BANKING	5070 MARKET SERVICES	\$630,000.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	No Potential SBEs (lack capacity)	Cost allotted to cover Banking initiatives for FY18. Itemized spreadsheet attached. CBE/SBE can not be utilized.	409.Banking.xlsx	5000 BANKING	5070 MARKET SERVICES	\$350,000.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	CMTS Annual Maintenance Support and Hosting. Proprietary good; SBE could not be used.	PO589742 Wingswept.pdf	5000 BANKING	5070 MARKET SERVICES	\$19,730.25
TOT														\$999,730.25	\$0.00
Recommend Approval - 2018 41 409 - 5000 BANKING - 5080 DC MARKET OPERATIONS BANKING (1 Operating Budget Line Item)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	No Potential SBEs (lack capacity)	Funds used for newspaper advertisements - Communications Division	PO581578-V2_CCN.pdf	5000 BANKING	5080 DC MARKET OPERATIONS BANKING	\$13,416.00
TOT														\$13,416.00	\$0.00
Recommend Approval - 2018 41 409 - 6000 RISK FINANCE - 6080 DC MARKET OPERATIONS RISK FINANCE (1 Operating Budget Line Item)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 41 409	Approved	Agency Compliance - Exclude a Line	No Eligible SBEs (licensure)	Funds allotted for marketing initiatives, Risk Finance. Historically, a CBE/SBE could not be used.	SOW-Captive Materials-DISB.doc	6000 RISK FINANCE	6080 DC MARKET OPERATIONS RISK FINANCE	\$50,000.00
TOT														\$50,000.00	\$0.00
Recommend Approval - 2018 50 506 - 5000 BANKING - 5070 MARKET SERVICES (2 Operating budget line items)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 50 506	Approved	Agency Compliance - Exclude a Line	Federal Restrictions	These funds are reserved for Agency initiatives facilitated by the Banking Bureau.	506.Banking.docx	5000 BANKING	5070 MARKET SERVICES	\$2,000,000.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 50 506	Approved	Agency Compliance - Exclude a Line	Other	Funds allotted for Banking initiatives (Reserve)- Funds can not be utilized by SBE	506.Banking.2000000.docx	5000 BANKING	5070 MARKET SERVICES	\$1,000,000.00
TOT														\$3,000,000.00	\$0.00
Recommend Approval - 2018 70 706 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 70 706	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Lease - Xerox Machines.	Xerox.pdf	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$16,500.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 70 706	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Lease - Xerox Machines.	Xerox.pdf	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$84,150.00

Budgets > 2...



			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 70 706	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Lease - Xerox Machines.	Xerox.pdf	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$56,100.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 70 706	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Lease - Xerox Machines.	Xerox.pdf	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$8,250.00
TOT														\$165,000.00	\$0.00
Recommend Approval - 2018 70 710 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (1 Operating Budget Line Item)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 70 710	Approved	Agency Compliance - Exclude a Line	Other	Funds reserved for post move furniture. NOT USED IN FY18	POST MOVE RQ.pdf	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$75,000.00
TOT														\$75,000.00	\$0.00
Recommend Approval - 2018 70 711 - 3000 SECURITIES - 3080 DC MARKET OPERATIONS SECURITIES (1 Operating Budget Line Item)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2018 70 711	Approved	Agency Compliance - Exclude a Line	No Eligible SBEs (licensure)	Funds allotted for initiatives supported by the Securities Bureau that traditionally could not be utilized by a CBE/SBE. Namely, the following: 1.) Star System - New Platform \$250,000 2.) Quickbooks Software System Upgrade \$3,250	Supporting Document -DISB-Special Excepion-Star System.pdf	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES	\$253,250.00
TOT														\$253,250.00	\$0.00
TOT														\$9,358,524.85	\$572,675.64

Capital Budget Worksheet

No. of Capital Budget Line Items (OCFO)

No. of New/Adjusted Capital Budget Line Items

No. of New Approved Capital Budget Line Items

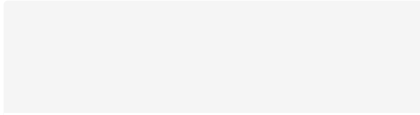
(A = Automatic Exclusion)

Total Current Fiscal Year \$ Amount Automatically Excluded

No. of Automatically Excluded Capital Budget Line Items

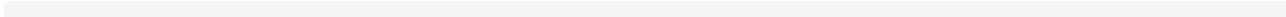


MY NEW CAPITAL BUDGET LINE ITEMS - STATUS



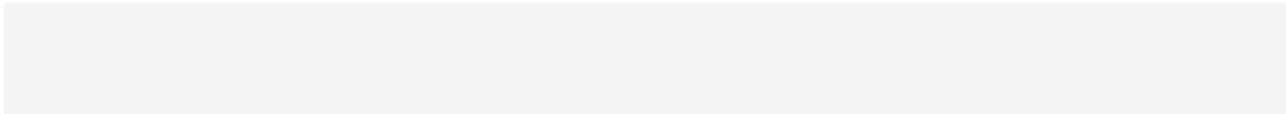
Agency Procurement Plan

If your Agency does not procure through OCP, please upload your Agency's Procurement Plan Spreadsheet



Per Chapter 8 of Title 27 DCMR, section 832, each agency detail shall submit to the Department the Agency Procurement Plan (APP) as described in section 832.5 for the fiscal year, on a form designated by the Department. Click the eye to view the plans.

AGENCY PROCUREMENT LINES

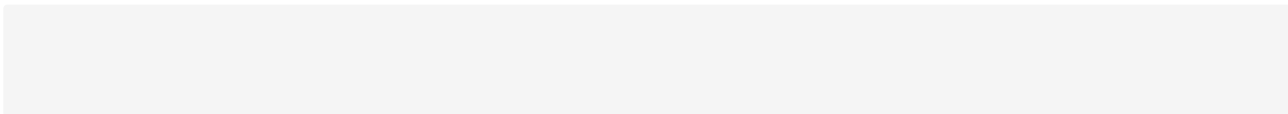


Quarterly Expenditure Reports

Enter quarterly report expenditures here. (D.C. Official Code 2-218.41).

Q1, Q2, Q3, and Final Q4 Expenditures

Please upload the Quarterly Expenditure Report Spreadsheet. If you are uploading multiple spreadsheets for the quarter, please ensure that each file has a unique descriptive name. After each spreadsheet is uploaded, you must select the SAVE button in the upper right corner before uploading the next spreadsheet.



Expenditures Summary

This area summarizes all data entered for quarterly expenditures.

The Grand Total SBE Expenditure Amount includes the Additional Approved SBE and/or CBE Expenditures (if this amount exists).

END OF QUARTER GOAL SUMMARY

Adjusted Approved SBE Goal	\$605,157.24	SBE Expenditures as a % of SBE Goal	104.32%
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Q1 SOAR and PCard SBE Expenditure Amount	\$13,581.17	Q1 Pipeline SBE Expenditure Amount		Q1 Grand Total SBE Expenditure Amount	\$15,964.57	Are you in agreement with the Q1 SBE Expenditure Amounts?	Yes	Q1 Expenditure Agreement Date	02-15-2018
Q2 SOAR and PCard SBE Expenditure Amount	\$68,306.52	Q2 Pipeline SBE Expenditure Amount		Q2 Grand Total SBE Expenditure Amount	\$78,172.66	Are you in agreement with the Q2 SBE Expenditure Amounts?	Yes	Q2 Expenditure Agreement Date	06-08-2018

DSLBD Only Expenditure Adjustments

Independent Agency

Q1 Direct Expenditures	\$2,383.40	Q1 Indirect Expenditures		Q1 Approved Justification Documents for Direct Expenditures	Updated DISB-1st Quarter SBE Spend-Credit.pdf	Q1 Approved Subcontracting VVF Documents for Indirect Expenditures		Q1 DSLBD Correspondence	
Q2 Direct Expenditures	\$9,866.14	Q2 Indirect Expenditures		Q2 Approved Justification Documents for Direct Expenditures	img-530142930-0001.pdf	Q2 Approved Subcontracting VVF Documents for Indirect Expenditures		Q2 DSLBD Correspondence	
Q3 Direct Expenditures		Q3 Indirect Expenditures		Q3 Approved Justification Documents for Direct Expenditures		Q3 Approved Subcontracting VVF Documents for Indirect Expenditures		Q3 DSLBD Correspondence	
EOY Direct Expenditures	\$56,919.34	EOY Indirect Expenditures		EOY Approved Justification Documents for Direct Expenditures	DISB 4th Quarter SBE Spend Missed Credit.pdf	EOY Approved Subcontracting VVF Documents for Indirect Expenditures		EOY DSLBD Correspondence	

DSLBD Comments [FEB-15-18 Genet Ambaye] I have attached the missed SBE Spend and also I advised the agency to submit their special exceptions to adjust the SBE goal

[MAR-20-18 Genet Ambaye] DSLBD will follow up with the Department of Insurance, Security & Banking awarded contracts and their status .

End of Year DSLBD Recommendation to encourage SBE Spending Department of Insurance, Securities and Banking FY18 SBE Spend is very encouraging, and they met their SBE goal. DSLBD I recommends the agency to provide more opportunity to the SBE community.

AGENCY PROGRESS REPORT

Did the Agency Budget change significantly this year compared to last year?

Compared to last year's spending, is the Agency on target with achieving their SBE Goal for (Q1)?

Compared to last year's spending, is the Agency on target with achieving their SBE Goal for (Q2)?

If No explain The agency should submit special exceptions.

Compared to last year's spending, is the Agency on target with achieving their SBE Goal for (Q3)?

If No explain The agency needs to send special exceptions as the agency budget adjustment in the 3rd Quarter added \$1186,086.74 so that the agency needs to submit special exceptions to adjust its SBE goal.

Compared to last year's spending, is the Agency on target with achieving their SBE Goal for (Q4)?

If No explain However, the agency special exceptions have not been completed, as such their SBE goal is too high. Once this process is completed the agency will meet its SBE goal.



Budgets > 2...

More ▾

Yes

The agency met its fiscal goals - 100%

✓ Narrative Complete

Supporting Documents Library

Provide any additional information here regarding operating budget line items' request(s) as well as receive update notices from DSLBD.

of Agency users

[10](#)

Created on July 24, 2017 at 4:50 PM (EDT). Last updated by [Ellis, Gregory](#) on March 22 at 11:34 AM (EDT). Owned by [Harris, Marcia \(DSLBD\)](#).



Home

Agency

Return

Agency Name Department of Insurance, Securities, and Banking Budget Code SRO

This is your agency's DSLBD Compliance & Enforcement point of contact.

Genet Ambaye, Compliance Specialist

Annual Allocation (for Directors)

Annual Allocation Letter and Director Authorization

In accordance with 27 DCMR 831.1, each Agency Director must sign and acknowledge the agency's Expendable Budget and Small Business Enterprises (SBEs) minimum expenditures for the fiscal year. By selecting I accept, the agency Director acknowledges the requirement to allocate and expend 50% of its expendable budget with SBEs.

I accept

I do not accept

Authorized by:

Name dana SHEPPARD

Email dana.sheppard@dc.gov

Please enter the Date Authorized:

Date 10-11-2018

Allocated Budget Information

Appropriated Operating Budget	\$28,690,476.57	Appropriated Capital budget		Total Appropriated Monitored Budget	\$28,690,476.57	Baseline SBE Goal	\$14,345,238.29		
Total Initial Exclusions	\$22,105,861.57	Initial Approved Expendable Budget	\$6,584,615.00	Initial Approved SBE Goal	\$3,292,307.50				
Total Exclusions	\$22,105,861.57	Total Exceptions	\$5,408,760.00	Adjusted Approved Expendable Budget	\$1,175,855.00	Adjusted Approved SBE Goal	\$587,927.50	Based on Anticipated Transfers	\$0.00

Budget Summary Information

This section contains the Preliminary Expendable Budget of each agency based on budget information provided by the Office of the Chief Financial Officer, reduced by funding sources, object classes, objects, and other items identified and excluded by the Director of the Department of Small and Local Business Development (27 DCMR 830.1). The information contained here will be adjusted following review and approval of Special Exceptions requested by Agencies

Approved Budget Data Load includes Q3 Revised Budget data

Agencies may use the Operating Budget Worksheet below to request Special Exceptions, (i.e., to exclude additional budget line items not excluded by DSLBD).

Fiscal Year

Procurement Plan Total

2019

\$3,853,750.00

Budgets > 2...



Allocation Appropriated Capital Budget	Capital Budget Adjustment	Current Appropriated Capital Budget	Capital Transfer Amt	**Adj Appropriated Capital Budget**
\$0.00	\$0.00			\$0.00
Total Appropriated Monitored Budget (Gross Funds)	Baseline SBE Goal			
\$27,077,353.34	\$13,538,676.67			
INITIAL EXCLUSIONS				
Total Initial Exclusions	Initial Approved Expendable Budget	Initial Approved SBE Goal		
\$22,109,861.57	\$4,967,491.77	\$2,483,745.88		
ADJUSTMENTS				
Total Exclusions	Allocation Exceptions	Exception Changes	Total Exceptions	Adjusted Approved Expendable Budget
\$22,109,861.57	\$5,408,760.00	\$0.00	\$5,408,760.00	-\$441,268.23

Anticipated Calculations

Anticipated Op Transfers In	Anticipated Op Transfers Out	Anticipated Cap Transfers In	Anticipated Cap Transfers Out	Anticipated Expendable Budget	** Adjusted Approved SBE Goal **
\$2,337,159.02	\$654,712.00			\$1,241,178.79	\$620,589.39

Submission Status

Tracks all reports submitted by the agency detail for the fiscal year reporting, per D.C. Official Code 2-218.41, 2-218.53 and Chapter 8 of Title 27 DCMR.

Expendable Budget SBE Goal Indicator		Expendable Budget SBE Goal Status	Goal Not Met	Good Faith Effort Indicator		Good Faith Effort Status							
Procurement line Plan Status	Not Submitted	1st Quarter Report Status	Submitted	2nd Quarter Report Status	Submitted	3rd Quarter Report Status	Submitted	4th Quarter Report Status	Not Submitted				
Procurement line Plan Indicator		1st Quarter Report Indicator		2nd Quarter Report Indicator		3rd Quarter Report Indicator		4th Quarter Report Indicator					
Adjusted Approved SBE Goal	\$620,589.39	SOAR and PCard SBE Exp Expenditure Total	\$543,501.57	SOAR and PCard SBE Expenditure Total	\$551,484.90	Pipeline SBE Expenditure Total		Additional Approved SBE Expenditures	\$14,002.73	Grand Total SBE Expenditure Amount	\$565,487.63	SBE Expenditures as a % of SBE Goal	91.12%
Expendable Budget SBE Goal Indicator													

End of the Year Narrative Status

End of Year Narrative Status	Submitted	End of Year Narrative Indicator	
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Operating Budget Worksheet

In this section, Agencies may request Special Exceptions under other comptroller objects codes not previously excluded by DSLBD, by selecting the LINK (Adjust or Exclude a Line Item) If requested, the agency must provide a justification for the requested exception (27 DCMR 830.4). Please Note: that by selecting the Adjust or Exclude Line Item Link, will reflect an apparent increase in the total budget line item, however, will not affect the overall budget Summary Information, unless and until it has been approved by DSLBD.

No. of Operating Budget Line Items (OCFO)

Budgets > 2...



No. of Approved Exceptions

[16](#)

(A = Automatic Exclusion)

Total \$ Amount Automatically Excluded

\$22,109,861.57

No. of Automatically Excluded Operating Budget

[266](#)

(E = Expendable Budget Line Item)

- Print
- Search & replace in this report...
- Save as a spreadsheet
- Sorting & grouping...
- Show the expanded URL for this report

Full Report	Grid Edit	Email	More	Copy Line Item	Budget Code	Type	Sp Ex	Description	Justification Document	CompSource CompObj2	Program Code & Title	Activity Code & Title	New Budget Change	Proposed Amount	Proposed Exception Amount	Total Revised Amount
E - 2019 20 201 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)																
				Adjust or Exclude a Line Item	SR0	E	No			2019 20 201	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$3,375.00		
				Adjust or Exclude a Line Item	SR0	E	No			2019 20 201	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$22,950.00		
				Adjust or Exclude a Line Item	SR0	E	No			2019 20 201	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$34,425.00		
				Adjust or Exclude a Line Item	SR0	E	No			2019 20 201	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT		\$6,750.00		
TOT															\$0.00	\$0.00
E - 2019 20 201 - 1000 AGENCY MANAGEMENT - 1060 OFFICE OF LEGAL SERVICES (4 Operating budget line items)																
				Adjust or Exclude a Line Item	SR0	E	No			2019 20 201	1000 AGENCY MANAGEMENT	1060 OFFICE OF LEGAL SERVICES		\$500.00		
				Adjust or Exclude a Line Item	SR0	E	No			2019 20 201	1000 AGENCY MANAGEMENT	1060 OFFICE OF LEGAL SERVICES		\$3,400.00		
				Adjust or Exclude a Line Item	SR0	E	No			2019 20 201	1000 AGENCY MANAGEMENT	1060 OFFICE OF LEGAL SERVICES		\$5,100.00		
				Adjust or Exclude a Line Item	SR0	E	No			2019 20 201	1000 AGENCY MANAGEMENT	1060 OFFICE OF LEGAL SERVICES		\$1,000.00		
TOT															\$0.00	\$0.00
E - 2019 20 201 - 100F AGENCY FINANCIAL OPERATIONS - 110F BUDGET OPERATION (1 Operating Budget Line Item)																
				Adjust or Exclude a Line Item	SR0	E	No			2019 20 201	100F AGENCY FINANCIAL OPERATIONS	110F BUDGET OPERATION		\$16,000.00		

Budgets > 2...



E - 2019 34 440 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)

Adjust or Exclude a Line Item	SR0	E	No	2019 34 440	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$130.75	
Adjust or Exclude a Line Item	SR0	E	No	2019 34 440	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$889.10	
Adjust or Exclude a Line Item	SR0	E	No	2019 34 440	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$1,333.65	
Adjust or Exclude a Line Item	SR0	E	No	2019 34 440	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$261.50	
TOT							\$0.00	\$0.00

E - 2019 40 404 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)

Adjust or Exclude a Line Item	SR0	E	No	2019 40 404	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$57.45	
Adjust or Exclude a Line Item	SR0	E	No	2019 40 404	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$390.66	
Adjust or Exclude a Line Item	SR0	E	No	2019 40 404	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$585.99	
Adjust or Exclude a Line Item	SR0	E	No	2019 40 404	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$114.90	
TOT							\$0.00	\$0.00

E - 2019 40 405 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)

Adjust or Exclude a Line Item	SR0	E	No	2019 40 405	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$5,950.00	
Adjust or Exclude a Line Item	SR0	E	No	2019 40 405	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$40,460.00	
Adjust or Exclude a Line Item	SR0	E	No	2019 40 405	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$60,690.00	
Adjust or Exclude a Line Item	SR0	E	No	2019 40 405	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$11,900.00	
TOT							\$0.00	\$0.00

E - 2019 40 405 - 100F AGENCY FINANCIAL OPERATIONS - 110F BUDGET OPERATION (1 Operating Budget Line Item)

Adjust or Exclude a Line Item	SR0	E	No	2019 40 405	100F AGENCY FINANCIAL OPERATIONS	110F BUDGET OPERATION	\$5,000.00	
TOT							\$0.00	\$0.00

E - 2019 40 405 - 2000 INSURANCE - 2080 DC MARKET OPERATIONS INSURANCE (1 Operating Budget Line Item)

Budgets > 2...



Adjust or Exclude a Line Item	SR0	E	No					<u>2019 40 405</u>	2000 INSURANCE	2080 DC MARKET OPERATIONS INSURANCE	\$25,000.00		
TOT											\$0.00	\$0.00	
E - 2019 40 405 - 3000 SECURITIES - 3080 DC MARKET OPERATIONS SECURITIES (2 Operating budget line items)													
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 40 405</u>	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES	\$69,510.00		
Adjust or Exclude a Line Item	SR0	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the ACO Star Maintenance.	ACO Maint.DC DISB_M&S 2018_2019_PE.pdf	<u>2019 40 405</u>	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES	\$69,510.00		
TOT											\$0.00	\$0.00	
E - 2019 40 405 - 4000 ENFORCEMENT - 4080 DC MARKET COMPLIANCE ENFORCEMENT (4 Operating budget line items)													
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 40 405</u>	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$703.00		
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 40 405</u>	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$4,777.00		
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 40 405</u>	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$7,166.00		
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 40 405</u>	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$1,405.00		
TOT											\$0.00	\$0.00	
E - 2019 40 408 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (2 Operating budget line items)													
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 40 408</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$44,000.00		
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 40 408</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$8,000.00	Q3 Revised Agency Budget	\$52,000.00
TOT											\$0.00	\$52,000.00	
E - 2019 40 408 - 2000 INSURANCE - 2080 DC MARKET OPERATIONS INSURANCE (1 Operating Budget Line Item)													
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 40 408</u>	2000 INSURANCE	2080 DC MARKET OPERATIONS INSURANCE	\$20,000.00		
TOT											\$0.00	\$0.00	
E - 2019 40 408 - 5000 BANKING - 5070 MARKET SERVICES (1 Operating Budget Line Item)													
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 40 408</u>	5000 BANKING	5070 MARKET SERVICES	\$35,000.00	Q3 Revised Agency Budget	\$35,000.00
TOT											\$0.00	\$35,000.00	
E - 2019 40 408 - 5000 BANKING - 5080 DC MARKET OPERATIONS BANKING (1 Operating Budget Line Item)													
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 40 408</u>	5000 BANKING	5080 DC MARKET OPERATIONS	\$2,500.00	Q3 Revised Agency Budget	\$2,500.00

Budgets > 2...



TOT										\$0.00	\$2,500.00	
E - 2019 40 410 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (7 Operating budget line items)												
	Adjust or Exclude a Line Item	SR0	E	No				2019 40 410	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$8,360.00	
	Adjust or Exclude a Line Item	SR0	E	No				2019 40 410	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$56,848.00	
	Adjust or Exclude a Line Item	SR0	E	No				2019 40 410	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$85,272.00	
	Adjust or Exclude a Line Item	SR0	E	No				2019 40 410	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$16,720.00	
		SR0	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the Agency's support items (proprietary) that can not be utilized by a CBE/SBE.	410 Exclusions (15).xlsx	2019 40 410	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$8,360.00
		SR0	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the Agency's support items (proprietary) that can not be utilized by a CBE/SBE.	410 Exclusions (15).xlsx	2019 40 410	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$56,848.00
		SR0	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the Agency's support items (proprietary) that can not be utilized by a CBE/SBE.	410 Exclusions (15).xlsx	2019 40 410	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$85,272.00
TOT										\$0.00	\$0.00	
E - 2019 40 410 - 1000 AGENCY MANAGEMENT - 1080 PUBLIC AFFAIRS (4 Operating budget line items)												
	Adjust or Exclude a Line Item	SR0	E	No				2019 40 410	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$3,150.00	
	Adjust or Exclude a Line Item	SR0	E	No				2019 40 410	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$21,420.00	
	Adjust or Exclude a Line Item	SR0	E	No				2019 40 410	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$32,130.00	
	Adjust or Exclude a Line Item	SR0	E	No				2019 40 410	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS	\$6,300.00	
TOT										\$0.00	\$0.00	
E - 2019 40 410 - 4000 ENFORCEMENT - 4080 DC MARKET COMPLIANCE ENFORCEMENT (4 Operating budget line items)												
	Adjust or Exclude a Line Item	SR0	E	No				2019 40 410	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$475.00	
	Adjust or Exclude a Line Item	SR0	E	No				2019 40 410	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$3,230.00	

Budgets > 2...



Adjust or Exclude a Line Item	SR0	E	No	2019 40 410	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$4,845.00		
Adjust or Exclude a Line Item	SR0	E	No	2019 40 410	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$950.00		
TOT							\$0.00	\$0.00	
E - 2019 40 410 - 5000 BANKING - 5070 MARKET SERVICES (1 Operating Budget Line Item)									
Adjust or Exclude a Line Item	SR0	E	No	2019 40 410	5000 BANKING	5070 MARKET SERVICES	Q3 Revised Agency Budget	\$6,000.00	\$6,000.00
TOT							\$0.00	\$6,000.00	
E - 2019 40 411 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)									
Adjust or Exclude a Line Item	SR0	E	No	2019 40 411	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$2,000.00		
Adjust or Exclude a Line Item	SR0	E	No	2019 40 411	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$13,600.00		
Adjust or Exclude a Line Item	SR0	E	No	2019 40 411	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$20,400.00		
Adjust or Exclude a Line Item	SR0	E	No	2019 40 411	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$4,000.00		
TOT							\$0.00	\$0.00	
E - 2019 40 437 - 5000 BANKING - 5070 MARKET SERVICES (1 Operating Budget Line Item)									
Adjust or Exclude a Line Item	SR0	E	No	2019 40 437	5000 BANKING	5070 MARKET SERVICES	Q3 Revised Agency Budget	\$5,000.00	\$5,000.00
TOT							\$0.00	\$5,000.00	
E - 2019 40 494 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)									
Adjust or Exclude a Line Item	SR0	E	No	2019 40 494	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$5,616.00		
Adjust or Exclude a Line Item	SR0	E	No	2019 40 494	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$38,189.00		
Adjust or Exclude a Line Item	SR0	E	No	2019 40 494	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$57,283.00		
Adjust or Exclude a Line Item	SR0	E	No	2019 40 494	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$11,232.00		
TOT							\$0.00	\$0.00	
E - 2019 41 409 - 1000 AGENCY MANAGEMENT - 1060 OFFICE OF LEGAL SERVICES (4 Operating budget line items)									
Adjust or Exclude a Line Item	SR0	E	No	2019 41 409	1000 AGENCY MANAGEMENT	1060 OFFICE OF LEGAL	\$750.00		

Budgets > 2...



Adjust or Exclude a Line Item	SR0	E	No					<u>2019 41 409</u>	1000 AGENCY MANAGEMENT	1060 OFFICE OF LEGAL SERVICES		\$5,100.00	
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 41 409</u>	1000 AGENCY MANAGEMENT	1060 OFFICE OF LEGAL SERVICES		\$7,650.00	
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 41 409</u>	1000 AGENCY MANAGEMENT	1060 OFFICE OF LEGAL SERVICES		\$1,500.00	
TOT												\$0.00	\$0.00
E - 2019 41 409 - 1000 AGENCY MANAGEMENT - 1080 PUBLIC AFFAIRS (4 Operating budget line items)													
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 41 409</u>	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS		\$15,600.00	
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 41 409</u>	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS		\$106,080.00	
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 41 409</u>	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS		\$159,120.00	
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 41 409</u>	1000 AGENCY MANAGEMENT	1080 PUBLIC AFFAIRS		\$31,200.00	
TOT												\$0.00	\$0.00
E - 2019 41 409 - 2000 INSURANCE - 2080 DC MARKET OPERATIONS INSURANCE (3 Operating budget line items)													
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 41 409</u>	2000 INSURANCE	2080 DC MARKET OPERATIONS INSURANCE		\$400,000.00	
Adjust or Exclude a Line Item	SR0	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the Health Insurance Review Project. - Currently in Option Year 1; vendor is a non-SBE	409.Market Reforms Appeals and Preventative Services.Insurance.pdf	<u>2019 41 409</u>	2000 INSURANCE	2080 DC MARKET OPERATIONS INSURANCE		\$400,000.00	
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 41 409</u>	2000 INSURANCE	2080 DC MARKET OPERATIONS INSURANCE	Q3 Revised Agency Budget	\$277,958.59	\$277,958.59
TOT												\$0.00	\$277,958.59
E - 2019 41 409 - 2000 INSURANCE - 2090 HEALTH INSURANCE REVIEW (1 Operating Budget Line Item)													
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 41 409</u>	2000 INSURANCE	2090 HEALTH INSURANCE REVIEW	Q3 Revised Agency Budget	\$716,236.00	\$716,236.00
TOT												\$0.00	\$716,236.00
E - 2019 41 409 - 3000 SECURITIES - 3080 DC MARKET OPERATIONS SECURITIES (2 Operating budget line items)													
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 41 409</u>	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES		\$114,870.00	
Adjust or Exclude a Line Item	SR0	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds allotted for MicroPact Star System- hosting.	MicroPact.DC DISB Sole Source ltr 2018.pdf	<u>2019 41 409</u>	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES		\$114,870.00	

Budgets > 2...



E - 2019 41 409 - 4000 ENFORCEMENT - 4080 DC MARKET COMPLIANCE ENFORCEMENT (4 Operating budget line items)

Adjust or Exclude a Line Item	SR0	E	No					<u>2019 41 409</u>	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$965.00
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 41 409</u>	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$6,562.00
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 41 409</u>	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$9,843.00
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 41 409</u>	4000 ENFORCEMENT	4080 DC MARKET COMPLIANCE ENFORCEMENT	\$1,930.00

TOT **\$0.00** **\$0.00**

E - 2019 41 409 - 5000 BANKING - 5070 MARKET SERVICES (2 Operating budget line items)

Adjust or Exclude a Line Item	SR0	E	No					<u>2019 41 409</u>	5000 BANKING	5070 MARKET SERVICES	\$985,500.00
Adjust or Exclude a Line Item	SR0	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Contract with Housing Counseling Service -Services is proprietary	Housing Counseling Sys.pdf	<u>2019 41 409</u>	5000 BANKING	5070 MARKET SERVICES	\$985,500.00

TOT **\$0.00** **\$0.00**

E - 2019 41 409 - 5000 BANKING - 5080 DC MARKET OPERATIONS BANKING (2 Operating budget line items)

Adjust or Exclude a Line Item	SR0	E	No					<u>2019 41 409</u>	5000 BANKING	5080 DC MARKET OPERATIONS BANKING	\$1,275,000.00
Adjust or Exclude a Line Item	SR0	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds allotted for various banking initiatives. Itemized spreadsheet attached. (SBEs can not be utilized)	409.Banking.(1).xlsx	<u>2019 41 409</u>	5000 BANKING	5080 DC MARKET OPERATIONS BANKING	\$1,275,000.00

TOT **\$0.00** **\$0.00**

E - 2019 41 409 - 6000 RISK FINANCE - 6080 DC MARKET OPERATIONS RISK FINANCE (2 Operating budget line items)

Adjust or Exclude a Line Item	SR0	E	No					<u>2019 41 409</u>	6000 RISK FINANCE	6080 DC MARKET OPERATIONS RISK FINANCE	\$100,000.00
Adjust or Exclude a Line Item	SR0	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds n reserve of initiatives for the Captives Bureau , to include marketing. Services proprietary	SOW-Captive Materials-DISB (1).doc	<u>2019 41 409</u>	6000 RISK FINANCE	6080 DC MARKET OPERATIONS RISK FINANCE	\$100,000.00

TOT **\$0.00** **\$0.00**

E - 2019 50 506 - 5000 BANKING - 5070 MARKET SERVICES (2 Operating budget line items)

Adjust or Exclude a Line Item	SR0	E	No					<u>2019 50 506</u>	5000 BANKING	5070 MARKET SERVICES	\$2,000,000.00
Adjust or Exclude a Line Item	SR0	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds placed in reserved for financial Agency initiatives facilitated by the Banking Bureau - specifically the DC	506.Banking.2000000.docx	<u>2019 50 506</u>	5000 BANKING	5070 MARKET SERVICES	\$2,000,000.00

Budgets > 2...



TOT										\$0.00	\$0.00	
E - 2019 70 701 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)												
	Adjust or Exclude a Line Item	SR0	E	No				2019 70 701	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$3,750.00	
	Adjust or Exclude a Line Item	SR0	E	No				2019 70 701	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$25,500.00	
	Adjust or Exclude a Line Item	SR0	E	No				2019 70 701	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$38,250.00	
	Adjust or Exclude a Line Item	SR0	E	No				2019 70 701	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$7,500.00	
TOT										\$0.00	\$0.00	
E - 2019 70 704 - 100F AGENCY FINANCIAL OPERATIONS - 110F BUDGET OPERATION (1 Operating Budget Line Item)												
	Adjust or Exclude a Line Item	SR0	E	No				2019 70 704	100F AGENCY FINANCIAL OPERATIONS	110F BUDGET OPERATION	\$10,000.00	
TOT										\$0.00	\$0.00	
E - 2019 70 706 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (9 Operating budget line items)												
	Adjust or Exclude a Line Item	SR0	E	No				2019 70 706	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$7,250.00	
	Adjust or Exclude a Line Item	SR0	E	No				2019 70 706	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$49,300.00	
	Adjust or Exclude a Line Item	SR0	E	No				2019 70 706	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$73,950.00	
	Adjust or Exclude a Line Item	SR0	E	No				2019 70 706	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$14,500.00	
		SR0	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Lease - Xerox Machine	Xerox Modification 02_CW55307 Fully Executed Xerox.pdf	2019 70 706	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$7,250.00
		SR0	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Lease - Xerox Machine	Xerox Modification 02_CW55307 Fully Executed Xerox.pdf	2019 70 706	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$49,300.00
		SR0	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Xerox Lease	Xerox Modification 02_CW55307 Fully Executed Xerox.pdf	2019 70 706	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$14,500.00
		SR0	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Xerox Lease	Xerox Modification 02_CW55307 Fully Executed Xerox.pdf	2019 70 706	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$73,950.00
		SR0	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the Agency's support items (proprietary) that can not be utilized by a CBE/SBE.	410 Exclusions (15).xlsx	2019 70 706	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$14,500.00
TOT										\$0.00	\$0.00	

Budgets > 2...



Adjust or Exclude a Line Item	SR0	E	No					<u>2019 70 710</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$4,850.00	
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 70 710</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$32,980.00	
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 70 710</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$49,470.00	
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 70 710</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$9,700.00	
TOT											\$0.00	\$0.00
E - 2019 70 710 - 100F AGENCY FINANCIAL OPERATIONS - 110F BUDGET OPERATION (1 Operating Budget Line Item)												
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 70 710</u>	100F AGENCY FINANCIAL OPERATIONS	110F BUDGET OPERATION	\$10,000.00	
TOT											\$0.00	\$0.00
E - 2019 70 711 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)												
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 70 711</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$1,080.00	
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 70 711</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$7,344.00	
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 70 711</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$11,016.00	
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 70 711</u>	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$2,160.00	
TOT											\$0.00	\$0.00
E - 2019 70 711 - 3000 SECURITIES - 3080 DC MARKET OPERATIONS SECURITIES (2 Operating budget line items)												
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 70 711</u>	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES	\$153,900.00	
Adjust or Exclude a Line Item	SR0	E	Yes	Agency Compliance - Exclude a Line	Proprietary Goods	Funds Reserved for ACO STAR Sytems	MicroPact.DC DISB Sole Source Ltr 2018.pdf	<u>2019 70 711</u>	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES	\$153,900.00	
TOT											\$0.00	\$0.00
E - 2019 70 711 - 5000 BANKING - 5080 DC MARKET OPERATIONS BANKING (1 Operating Budget Line Item)												
Adjust or Exclude a Line Item	SR0	E	No					<u>2019 70 711</u>	5000 BANKING	5080 DC MARKET OPERATIONS BANKING	\$64,600.00	
TOT											\$0.00	\$0.00
TOT											\$0.00	\$1,094,694.59

MY NEW OPERATING BUDGET LINE ITEMS STATUS

Budgets > 2...



Recommend Approval - 2019 40 405 - 3000 SECURITIES - 3080 DC MARKET OPERATIONS SECURITIES (1 Operating Budget Line Item)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2019 40 405	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the ACO Star Maintenance.	ACO Maint.DC DISB_M&S 2018_2019_PE.pdf	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES	\$69,510.00
TOT															
\$69,510.00															
\$0.00															
Recommend Approval - 2019 40 410 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (1 Operating Budget Line Item)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2019 40 410	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the Agency's support items (proprietary) that can not be utilized by a CBE/SBE.	410 Exclusions (15).xlsx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$8,360.00
TOT															
\$8,360.00															
\$0.00															
Recommend Approval - 2019 41 409 - 2000 INSURANCE - 2080 DC MARKET OPERATIONS INSURANCE (1 Operating Budget Line Item)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2019 41 409	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the Health Insurance Review Project. - Currently in Option Year 1; vendor is a non-SBE	409.Market Reforms Appeals and Preventative Services.Insurance.pdf	2000 INSURANCE	2080 DC MARKET OPERATIONS INSURANCE	\$400,000.00
TOT															
\$400,000.00															
\$0.00															
Recommend Approval - 2019 41 409 - 3000 SECURITIES - 3080 DC MARKET OPERATIONS SECURITIES (1 Operating Budget Line Item)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2019 41 409	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds allotted for MicroPact Star System-hosting.	MicroPact.DC DISB Sole Source Ltr 2018.pdf	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES	\$114,870.00
TOT															
\$114,870.00															
\$0.00															
Recommend Approval - 2019 41 409 - 5000 BANKING - 5070 MARKET SERVICES (1 Operating Budget Line Item)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2019 41 409	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Contract with Housing Counseling Service - Services is proprietary	Housing Counseling Svcs.pdf	5000 BANKING	5070 MARKET SERVICES	\$985,500.00
TOT															
\$985,500.00															
\$0.00															
Recommend Approval - 2019 41 409 - 5000 BANKING - 5080 DC MARKET OPERATIONS BANKING (1 Operating Budget Line Item)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2019 41 409	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds allotted for various banking initiatives. Itemized spreadsheet attached. (SBEs can not be utilized)	409.Banking(1).xlsx	5000 BANKING	5080 DC MARKET OPERATIONS BANKING	\$1,275,000.00
TOT															
\$1,275,000.00															
\$0.00															
Recommend Approval - 2019 41 409 - 6000 RISK FINANCE - 6080 DC MARKET OPERATIONS RISK FINANCE (1 Operating Budget Line Item)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2019 41 409	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds n reserve of initiatives for the Captives Bureau , to include marketing	SOW-Captive Materials-DISB (1).doc	6000 RISK FINANCE	6080 DC MARKET OPERATIONS RISK FINANCE	\$100,000.00

Budgets > 2...



TOT													\$100,000.00	\$0.00	
Recommend Approval - 2019 50 506 - 5000 BANKING - 5070 MARKET SERVICES (1 Operating Budget Line Item)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2019 50 506	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds placed in reserved for financial Agency initiatives facilitated by the Banking Bureau - specifically the DC Business Capital Program.	506.Banking,2000000.docx	5000 BANKING	5070 MARKET SERVICES	\$2,000,000.00
TOT													\$2,000,000.00	\$0.00	
Recommend Approval - 2019 70 706 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (4 Operating budget line items)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2019 70 706	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Lease - Xerox Machine	Xerox Modification 02_CW55307 Fully Executed Xerox.pdf	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$7,250.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2019 70 706	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Lease - Xerox Machine	Xerox Modification 02_CW55307 Fully Executed Xerox.pdf	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$49,300.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2019 70 706	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Xerox Lease	Xerox Modification 02_CW55307 Fully Executed Xerox.pdf	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$14,500.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2019 70 706	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Xerox Lease	Xerox Modification 02_CW55307 Fully Executed Xerox.pdf	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$73,950.00
TOT													\$145,000.00	\$0.00	
Recommend Approval - 2019 70 711 - 3000 SECURITIES - 3080 DC MARKET OPERATIONS SECURITIES (1 Operating Budget Line Item)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2019 70 711	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds Reserved for ACO STAR Sytems	MicroPact_DC DISB Sole Source Ltr 2018.pdf	3000 SECURITIES	3080 DC MARKET OPERATIONS SECURITIES	\$153,900.00
TOT													\$153,900.00	\$0.00	
Additional Docs Required - 2019 40 410 - 1000 AGENCY MANAGEMENT - 1040 OFFICE OF INFO. TECH. AND SUPPORT (2 Operating budget line items)															
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2019 40 410	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the Agency's support items (proprietary) that can not be utilized by a CBE/SBE.	410 Exclusions (15).xlsx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$56,848.00
			Department of Insurance, Securities, and Banking	SRO	E	Yes	2019 40 410	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the Agency's support items (proprietary) that can not be utilized by a CBE/SBE.	410 Exclusions (15).xlsx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$85,272.00

Budgets > 2...



			Department of Insurance, Securities, and Banking	SRO	E	Yes	2019 70 706	Approved	Agency Compliance - Exclude a Line	Proprietary Goods	Funds reserved for the Agency's support items (proprietary) that can not be utilized by a CBE/SBE.	410 Exclusions (15).xlsx	1000 AGENCY MANAGEMENT	1040 OFFICE OF INFO. TECH. AND SUPPORT	\$14,500.00	
TOT															\$14,500.00	\$0.00
TOT															\$5,408,760.00	\$0.00

Capital Budget Worksheet

No. of Capital Budget Line Items (OCFO)

[0](#)

No. of New/Adjusted Capital Budget Line Items

[0](#)

No. of New Approved Capital Budget Line Items

[0](#)

(A = Automatic Exclusion)

Total Current Fiscal Year \$ Amount Automatically Excluded

No. of Automatically Excluded Capital Budget Line Items

[0](#)

(E = Expendable Budget Line Item)

Copy Line Item	Implementing Agency Name	Owner Agency2	Type	Special Exception	Comp Source Group	Justification	Reason	Explanation	JustificationDocument	Project No.	Project Title	Fund Detail	Comp GL Acct Title	Current Fiscal Year	Proposed Exception Amount
No capital budget line items found															

MY NEW CAPITAL BUDGET LINE ITEMS - STATUS

Agency Procurement Plan

If your Agency does not procure through OCP, please upload your Agency's Procurement Plan Spreadsheet

Per Chapter 8 of Title 27 DCMR, section 832, each agency detail shall submit to the Department the Agency Procurement Plan (APP) as described in section 832.5 for the fiscal year, on a form designated by the Department. Click the eye to view the plans.

AGENCY PROCUREMENT LINES

Enter quarterly report expenditures here. (D.C. Official Code 2-218.41).

Expenditures

Please upload the Quarterly Expenditure Report Spreadsheet. If you are uploading multiple spreadsheets for the quarter, please ensure that each file has a unique descriptive name. After each spreadsheet is uploaded, you must select the SAVE button in the upper right corner before uploading the next spreadsheet.

▼ Expenditures Summary

This area summarizes all Q3 data entered for quarterly expenditures.

The Grand Total SBE Expenditure Amount includes the Additional Approved SBE and/or CBE Expenditures (if this amount exists).

END OF QUARTER GOAL SUMMARY	Adjusted Approved SBE Goal	\$620,589.39	SBE Expenditures as a % of SBE Goal	91.12%
------------------------------------	----------------------------	--------------	-------------------------------------	--------

Q1 SOAR and PCard SBE Expenditure Amount	\$43,311.62	Q1 Pipeline SBE Expenditure Amount		Q1 Grand Total SBE Expenditure Amount	\$47,003.24	Are you in agreement with the Q1 SBE Expenditure Amounts?	Yes	Q1 Expenditure Agreement Date	03-22-2019
Q2 SOAR and PCard SBE Expenditure Amount	\$12,771.44	Q2 Pipeline SBE Expenditure Amount		Q2 Grand Total SBE Expenditure Amount	\$17,548.05	Are you in agreement with the Q2 SBE Expenditure Amounts?	Yes	Q2 Expenditure Agreement Date	05-20-2019
Q3 SOAR and PCard SBE Expenditure Amount	\$97,114.42	Q3 Pipeline SBE Expenditure Amount		Q3 Grand Total SBE Expenditure Amount	\$102,648.92	Are you in agreement with the Q3 SBE Expenditure Amounts?	Yes	Q3 Expenditure Agreement Date	10-10-2019

▼ DSLBD Only Expenditure Adjustments

Independent Agency

Q1 Direct Expenditures	\$3,691.62	Q1 Indirect Expenditures		Q1 Approved Justification Documents for Direct Expenditures	DISB-1st Quarter Missed SBE Spend Credit.pdf		Q1 Approved Subcontracting VVF Documents for Indirect Expenditures		Q1 DSLBD Correspondence
Q2 Direct Expenditures	\$4,776.61	Q2 Indirect Expenditures		Q2 Approved Justification Documents for Direct Expenditures	DISB- 2nd Quarter Missed SBE Spend-Credit.pdf		Q2 Approved Subcontracting VVF Documents for Indirect Expenditures		Q2 DSLBD Correspondence
Q3 Direct Expenditures	\$5,534.50	Q3 Indirect Expenditures		Q3 Approved Justification Documents	DISB-3rd Quarter Missed SBE Spend Credit1.pdf		Q3 Approved Subcontracting VVF Documents		Q3 DSLBD Correspondence
EOY Direct Expenditures		EOY Indirect Expenditures		EOY Approved Justification Documents for Direct Expenditures			EOY Approved Subcontracting VVF Documents for Indirect Expenditures		EOY DSLBD Correspondence DISB-UNSPENT FUND1.pdf



Budgets > 2...



Recommendation to encourage SBE Spending

AGENCY PROGRESS REPORT

Did the Agency Budget change significantly this year compared to last year?	No
Compared to last year's spending, is the Agency on target with achieving their SBE Goal for (Q1)?	
Compared to last year's spending, is the Agency on target with achieving their SBE Goal for (Q2)?	
Compared to last year's spending, is the Agency on target with achieving their SBE Goal for (Q3)?	
Compared to last year's spending, is the Agency on target with achieving their SBE Goal for (Q4)?	

Agency Detail End Of Year Narrative

Per D.C. Official Code § 2-218.53, Agency details are required to provide an end of year narrative.

Did the Agency Spend all allocated funds in the fiscal year (Yes or No)	IF NO provide shortfall explanation	Description of the FY activities, including programs/projects performed to achieve goals	Description of Changes the Agency Intends to Make to Achieve Goal Next Year

Narrative Complete

Supporting Documents Library

Provide any additional information here regarding operating budget line items' request(s) as well as receive update notices from DSLBD.

of Agency users

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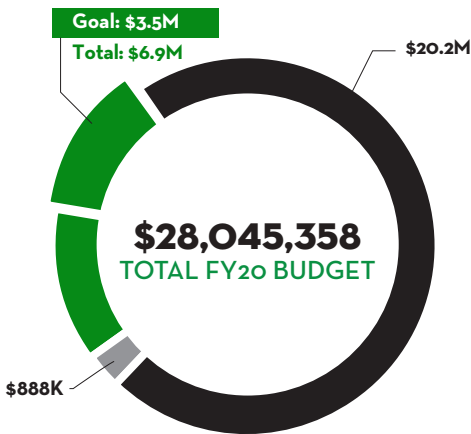
DEPARTMENT OF INSURANCE, SECURITIES, AND BANKING

DEPARTMENT BUDGET CODE: **SRØ**

website: disb.dc.gov | **email:** disb@dc.gov | **phone:** 202.727.8000 | **address:** 810 First Street NE, Suite 701, Washington DC 20002

The mission of the Department of Insurance, Securities, and Banking (DISB) is two-fold: (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.

\$3,458,703 FY20 SBE SPENDING GOAL



- Personnel and Fixed Costs (not subject to SBE spending goal)
- Expenditures that are not SBE eligible
- Planned Acquisitions: SBE Eligible (50% = Goal)

Review SBE goal calculation formula and agency budget details at CBEconnect.dc.gov.

FY20 PLANNED ACQUISITIONS (SELECT HIGHLIGHTS)

This agency's FY20 Planned Acquisitions total approximately **\$6,917,405**, which may include potential opportunities for SBEs. Review all FY20 Planned Acquisitions at CBEconnect.dc.gov. New planned acquisitions only.

PRODUCT/SERVICE	NIGP CODES	PRODUCT/SERVICE	NIGP CODES
COMMUNICATIONS		EDUCATIONAL SERVICES	
Advertising, Outdoor	915-04-00	Training, Professional Development	924-35-59
CONSTRUCTION		PROFESSIONAL SERVICES	
Flight & Aerial Photography	905-05-40	Administrative Support, Consulting Services	918-06-10
DOCUMENT MANAGEMENT		SUPPLIES	
Document for Copying/Reproduction Services	966-18-18	Addressing Machines and Accessories	600-08-00
Print-On-Demand Printing Services	966-76-00		

POTENTIAL BUSINESS GROWTH OPPORTUNITIES

These are examples of "Expenditures that are not SBE eligible" (special exceptions depicted in the gray slice of FY20 chart to the left) where contracts are currently in place or the agencies determined that SBE capacity was not available.

PRODUCT/SERVICE	TOTAL	PRODUCT/SERVICE	TOTAL
Hardware Accessories: Mounts, Patches, Plates, Etc.	\$90,000	Tax Preparation Services	\$125,000
Public Information Services	\$18,700		



SPENDING WITH SBEs



The Fiscal Year 2019 SBE Expenditures are based on transactions recorded to the Office of the Chief Financial Officer's System of Accounting Record (SOAR) as of November 1, 2019. These expenditures are preliminary and unaudited and are subject to change. To view the final audited amounts and additional details about FY16, FY17, FY18 and FY19 SBE spending, visit CBEconnect.dc.gov.

For definitions and details about the information on this page, please refer to pages 33-39.

Visit the companion web site CBEconnect.dc.gov for the most current data, reports and contracting assistance resources.

Dollar figures displayed have been rounded accordingly.

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

Department of Insurance, Securities and Banking FY2020

Agency Department of Insurance, Securities and Banking

Agency Code SRO

Fiscal Year 2020

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.

Strategic Objectives

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

Key Performance Indicators

Measure	Directionality	FY 2017 Actual	FY 2018 Actual	FY 2019 Actual	FY 2020 Target
1 - Provide high quality and efficient consumer protection services to District residents and businesses. (2 Measures)					
Percent increase in number of cyber fraud enforcement investigations initiated	Up is Better	50%	18%	47.8%	5%
Percent of insurance, securities and banking complaints closed within 45 days of receipt	Up is Better	96.1%	98.7%	97%	95%
2 - Establish the District as a premier destination for financial services firms to increase the number of financial services industry jobs available for District residents, and to generate additional revenue for the District. (1 Measure)					
Number of District laws, regulations and policies reviewed for possible modernization	Up is Better	New in 2020	New in 2020	New in 2020	New in 2020
3 - Provide high quality services to financially empower residents and create pathways to the middle class. (1 Measure)					
Percent increase in number of Financially Fit DC events	Up is Better	New in 2020	New in 2020	New in 2020	New in 2020
4 - 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	100%	100%	100%	95%
Number of outreach events for small businesses, financial institutions, or business organizations	Up is Better	New in 2019	31	21	18

Core Business Measures

Measure	Directionality	FY 2017 Actual	FY 2018 Actual	FY 2019 Actual
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Measure	Directionality	FY 2017 Actual	FY 2018 Actual	FY 2019 Actual
5 - Create and maintain a highly efficient, transparent, and responsive District government. (10 Measures)				
Contracts and Procurement - Percent of Small Business Enterprise (SBE) annual goal spent	Up is Better	New in 2019	New in 2019	Waiting on Data
Financial Management - Percent of local budget de-obligated to the general fund at the end of year	Down is Better	New in 2019	New in 2019	Waiting on Data
Financial Management - Quick Payment Act (QPA) Compliance - Percent of QPA eligible invoices paid within 30 days	Up is Better	New in 2019	New in 2019	100%
Human Resource Management - Average number of days to fill vacancy from post to offer acceptance	Down is Better	New in 2019	New in 2019	Waiting on Data
Human Resource Management - Percent of eligible employees completing and finalizing a performance plan in PeopleSoft	Up is Better	New in 2019	New in 2019	100%
IT Policy and Freedom of Information Act (FOIA) Compliance - Percent of "open" data sets identified by the annual Enterprise Dataset Inventory published on the Open Data Portal	Up is Better	New in 2019	New in 2019	100%
IT Policy and Freedom of Information Act (FOIA) Compliance - Percent of FOIA Requests Processed in more than 25 business days - statute requirements allow 15 business days and a 10 day extension	Down is Better	New in 2019	New in 2019	Waiting on Data
Human Resource Management - Percent of new hires that are DC residents (excludes temporary workers and contractors) (Updated by OCA)	Up is Better	New in 2020	New in 2020	New in 2020
Human Resource Management - Percent of employees that are DC residents (excludes temporary workers and contractors) (Updated by OCA)	Up is Better	New in 2020	New in 2020	New in 2020
Human Resource Management - Percent of eligible employee performance evaluations completed and finalized in PeopleSoft	Up is Better	Not Available	Waiting on Data	Waiting on Data

*The above measures were collected for all mayoral agencies in FY2019. The 2019 open data inventory includes data for calendar year 2018. Due to data lags, FY2019 data for the following core business measures will be available in March 2020: Contracts and Procurement - Percent of Small Business Enterprise (SBE) annual goal spent; Financial Management - Percent of local budget de-obligated to the general fund at the end of year; Human Resource Management - Average number of days to fill vacancy from post to offer acceptance; Human Resource Management - Percent of eligible employee performance evaluations completed and finalized in PeopleSoft; and IT Policy and Freedom of Information Act (FOIA) Compliance - Percent of FOIA Requests Processed in more than 25 business days - statute requirements allow 15 business days and a 10 day extension.

Operations

Operations Header	Operations Title	Operations Description	Type of Operations
1 - Provide high quality and efficient consumer protection services to District residents and businesses. (3 Activities)			
CONSUMER SERVICES	Complaint Activity	Review complaint activity to identify trends that are adverse to the interests of consumers	Daily Service
FINANCIAL EXAMS	Exams	Conduct examinations of non-depository financial institutions, domestic insurance companies, and investment firms scheduled during the fiscal year	Daily Service
CONSUMER SERVICES	Market and Internet surveillance	Conduct market and Internet surveillance and investigations to curtail illegal cyber activity, including Internet-based investment scams and unregistered securities offerings	Daily Service
2 - Establish the District as a premier destination for financial services firms to increase the number of financial services industry jobs available for District residents, and to generate additional revenue for the District. (1 Activity)			

Operations Header	Operations Title	Operations Description	Type of Operations
AGENCY MANAGEMENT	Legislative and Regulatory Review	Review District insurance, securities, and banking laws/regulations/policies and prepare recommendations for amendment or revision, as necessary to modernize the District's financial services regulatory regime	Daily Service
3 - Provide high quality services to financially empower residents and create pathways to the middle class. (2 Activities)			
PUBLIC AFFAIRS	Financial Services Curriculum, Guides and Alerts and Financial Literacy	Deliver financial services curriculum that contains topics of interest and importance to all population segments in the District; provide District residents with information about financial products and services; and provide residents with information on financial services and engage in comprehensive efforts to provide financial literacy	Key Project
BANKING	Financially Fit DC program	Reduce the number of unbanked and underbanked residents in the District	Key Project
4 - Provide valuable assistance and support to District based small businesses and entrepreneurs that will create or retain jobs. (1 Activity)			
DC MARKET OPERATIONS BANKING	DC BizCap	Administer DISB's DC BizCap program to provide financial support to District-based small businesses and entrepreneurs	Daily Service

Workload Measures

Measure	FY 2017 Actual	FY 2018 Actual	FY 2019 Actual
1 - Exams (1 Measure)			
Number of examinations of non-depository financial institutions, domestic insurance companies, and investment firms completed during the fiscal year	New in 2020	New in 2020	New in 2020
1 - Complaint Activity (1 Measure)			
Number of residents who receive in-person fraud abuse prevention, financial literacy training and/or consumer protection information	17,935	13,877	10,010
1 - Market and Internet surveillance (2 Measures)			
Number of fraud alerts issued	6	20	17
Number of cyber fraud enforcement cases initiated	New in 2020	New in 2020	New in 2020
2 - Legislative and Regulatory Review (1 Measure)			
Number of laws, regulations and policies reviewed	New in 2020	New in 2020	New in 2020
3 - Financially Fit DC program (2 Measures)			
Number Financially Fit DC events held	140	230	164
Number of new bank accounts opened	New in 2020	New in 2020	New in 2020
4 - DC BizCap (1 Measure)			
Number of outreach events for small businesses, financial institutions, or business organizations, including small business assistance clinics	New in 2020	New in 2020	New in 2020

Strategic Initiatives

Strategic Initiative Title	Strategic Initiative Description	Proposed Completion Date
Complaint Activity (2 Strategic initiatives)		
Consumer Complaint Resolution Program	Draft legislation to establish a new Consumer Complaint Resolution Program to better assist and empower consumers who have complaints with licensees.	06-30-2020
Increase public engagement	Improve the distribution and availability of information by publishing a series of infomercials to help address District residents' financial concerns and improve public engagement.	06-30-2020
DC BizCap (1 Strategic Initiative)		
DC BizCap	Launch and conduct a new DC BizCap campaign to increase the reach and use of the program, including a Bankers' Summit.	09-30-2020
Financial Services Curriculum, Guides and Alerts and Financial Literacy (3 Strategic initiatives)		
Financial Services Owners Manual	Issue the Financial Services Owner's Manual in FY2020 to provide important information to help residents better use financial services to create, build and protect their wealth.	09-30-2020
District of Columbia Financial Empowerment Center	Open a Financial Empowerment Center (FEC) to provide financial empowerment services to Ward 7 and 8 residents to increase the delivery of financial education and financial services available in Wards 7 and 8. (EOTRS Initiative)	09-30-2020
Financial Services Academy	Revise strategy for the Financial Services Academy to expand opportunities for District university students to be trained for jobs in the financial services industry.	03-31-2020
Legislative and Regulatory Review (2 Strategic initiatives)		
Resilient DC	Review current insurance laws and develop legislative or regulatory amendments, as needed, to support the awareness and availability of relevant insurance products (with emphasis on flood insurance) and other risk mitigation services for District residents. (Resilient DC Initiative)	09-30-2020
Financial Services Regulatory Sandbox and Innovation Council	Support the Financial Services Regulatory Sandbox and Innovation Council	09-30-2020
Market and Internet surveillance (1 Strategic Initiative)		
Senior Financial Exploitation Survey	Conduct a survey of District seniors who have been the victim of financial exploitation to better target investigation and enforcement services.	09-15-2020

Department of Insurance, Securities and Banking (SRO)

List of Employees with Salaries over \$100,000

Name	Posn Nbr	Title	Program	Program Title	Activity	Vac Stat	Grade	Step	FTEs	Annual Salary	Annual Benefits	Overtime Paid	Bonus
Ahaiwe,Bright A	00012491	CONTROLLER	100F	Agency Fiscal Operations	130F	F	16	10	1	190,773.00	40,253.10		
Sheppard,Dana G	00036539	Director of Risk Finance	6000	Risk Finance Bureau	6020	F	16	0	1	185,966.45	39,238.92		
Miles,Theodore A	00015183	DIR OF SECURITIES	3000	Securities Bureau	3010	F	16	0	1	185,961.37	39,237.85		
bramble,jocelyn	00041785	SUPERVISOR TRIAL ATTORNEY	1000	Agency Management Program	1060	F	2	0	1	185,042.18	39,043.90		
Taylor,Stephen C.	00039088	Commissioner Ins Sec&Banking	1000	Agency Management Program	1090	F	E5	0	1	177,942.94	37,545.96		
Parker,Charlotte W	00041786	ATTORNEY ADVISOR	1000	Agency Management Program	1060	F	15	10	1	177,661.00	37,486.47		3,490.40
Bressman,Brian	00075430	DIR OF FRAUD	4000	Enforcement Program	4060	F	16	0	1	167,728.29	35,390.67		
O'Donnell,Patrick S.	00035765	Supervisory Financial Examiner	8000	Market Examinations Division	8040	F	15	0	1	167,586.40	35,360.73		
Levi,Adam	00042200	ATTORNEY ADVISOR	1000	Agency Management Program	1060	F	15	7	1	167,014.00	35,239.95		3,281.22
Blackstone,Liliah R	00041789	Deputy General Counsel	1000	Agency Management Program	1060	F	1	0	1	165,945.36	35,014.47		3,022.24
Vaidyanathan,Shankar	00027840	Chief Information Officer	1000	Agency Management Program	1040	F	15	0	1	154,935.74	32,691.44		
Tanhehco,Efren L	00073445	Supervisory Health Actuary	2000	Insurance Bureau	2090	F	14	0	1	146,152.00	30,838.07		
Meaza,Senayet	00075391	Director of Market Examination	3000	Securities Bureau	3080	F	15	0	1	145,603.94	30,722.43		
Mcmamus,James M.	00008873	ASST DIR	3000	Securities Bureau	3010	F	15	0	1	144,479.78	30,485.23		
Brown,Nathaniel Kevin	00009191	Supvy Ins Oper Exam (Auditing)	8000	Market Examinations Division	8010	F	14	0	1	142,350.84	30,036.03		
LI,Xiangchun	00075076	Financial Examiner & Analyst	8000	Market Examinations Division	8040	F	14	9	1	140,847.00	29,718.72		
Christhif,David	00085202	ACTUARY	2000	Insurance Bureau	2015	F	14	8	1	137,255.00	28,960.81		
Washington,Christian A	00041792	Chief of Staff	1000	Agency Management Program	1090	F	9	0	1	134,864.37	28,456.38		
Ellis,Gregory	00025123	Administrative Services Progra	1000	Agency Management Program	1040	F	14	0	1	134,473.71	28,373.95		
Schleit,David	00036363	FINANCIAL EXAMINER OFFICER	6000	Risk Finance Bureau	6010	F	14	7	1	133,663.00	28,202.89		
Purdie,Katrice Diana	00034872	Chief of Policy and Administra	1000	Agency Management Program	1040	F	16	0	1	132,830.41	28,027.22		
Williams,Brian	00034846	Associate Commiss. for Banking	5000	Banking Bureau	5060	F	16	0	1	132,829.98	28,027.13	496.00	
Goff,Maurice V	00000483	ASST DIR SEC LICENSING	3000	Securities Bureau	3030	F	14	0	1	132,291.92	27,913.60		
Fuller,Samuel V	00075388	Lead Bank Examiner	8000	Market Examinations Division	8030	F	14	6	1	130,071.00	27,444.98		
Liebers,Howard M	00004205	SUPV INSURANCE EXAM GEN	2000	Insurance Bureau	2010	F	14	0	1	130,070.46	27,444.87		
Caesar,Camille	00075396	Program Manager (SSBCI)	5000	Banking Bureau	5070	F	14	0	1	129,854.16	27,399.23		
Hammonds,Michelle	00037577	Program Manager (Financial Emp	5000	Banking Bureau	5070	F	14	0	1	124,630.00	26,296.93		
Ross,Michael	00013699	Assistant Dir for Enforcement	4000	Enforcement Program	4060	F	15	0	1	124,630.00	26,296.93		
Nkojo,Robert I	00008351	ACTUARY MGR	2000	Insurance Bureau	2015	F	14	0	1	123,895.48	26,141.95		
Belen,Carmen	00026346	INSURANCE EXAMINER	2000	Insurance Bureau	2010	F	13	10	1	122,227.00	25,789.90		
Dyson,Monica L	00003501	ACTUARY	2000	Insurance Bureau	2015	F	13	10	1	122,227.00	25,789.90	85.58	
King,Angela Jenice	00036494	Insurance Examiner (Property a	2000	Insurance Bureau	2015	F	13	10	1	122,227.00	25,789.90	2,870.04	
Rielley,John M	00035565	INSURANCE EXAMINER	2000	Insurance Bureau	2010	F	13	10	1	122,227.00	25,789.90		
Rouse,Brian A	00075387	Sr. Banking Licensing Speciali	5000	Banking Bureau	5060	F	13	10	1	122,227.00	25,789.90		
Shipp,Sharon	00075393	Director, Compliance Analysis	9000	Compliance Division	9010	F	15	0	1	120,819.00	25,492.81		
Barlow,Philip A	00036295	Associate Commissioner For Ins	2000	Insurance Bureau	2010	F	16	0	0.67	120,780.87	25,484.76		
Irwin,Trey	00075551	Supervisory Bank Examiner	8000	Market Examinations Division	8030	F	15	0	1	119,704.97	25,257.75		
Anderson II,Lloyd J	00035768	INFO TECH SPEC	1000	Agency Management Program	1040	F	13	9	1	119,186.00	25,148.25		
Adu,George	00039603	Secur Finan Exam (Rpt & Discl)	3000	Securities Bureau	3010	F	13	9	1	119,186.00	25,148.25		
Johnson,Colin B	00015197	INSURANCE EXAMINER	2000	Insurance Bureau	2050	F	13	9	1	119,186.00	25,148.25	163.18	
Merlo,Samuel A	00011195	FINANCIAL EXAMINER INS	2000	Insurance Bureau	2015	F	13	9	1	119,186.00	25,148.25		
Negash,Yohaness	00012196	FINANCIAL EXAMINER INS	2000	Insurance Bureau	2015	F	13	9	1	119,186.00	25,148.25		
Vanhorne,Lashawn M	00043252	ACCOUNTS PAYABLE SUPV	100F	Agency Fiscal Operations	120F	F	13	8	1	116,146.00	24,506.81		1,000.00
Bryant,Tanya D	00003290	Public Affairs Specialist	1000	Agency Management Program	1080	F	13	8	1	116,145.00	24,506.60	2,114.32	
Morgan,John	00005439	ACTUARY	2000	Insurance Bureau	2090	F	13	8	1	116,145.00	24,506.60		
Shirley,Darniece L	00073451	ACTUARY	2000	Insurance Bureau	2090	F	13	8	1	116,145.00	24,506.60		
Drehoff,Paul	00036294	Public Information Officer	1000	Agency Management Program	1080	F	14	0	1	115,566.00	24,384.43		

Name	Posn Nbr	Title	Program	Program Title	Activity	Vac Stat	Grade	Step	FTEs	Annual Salary	Annual Benefits	Overtime Paid	Bonus
Tengen,Juliana N	00034870	Investigator Fraud	4000	Enforcement Program	4060	F	13	7	1	113,104.00	23,864.94		
Abdullah,Idriys J	00043792	CONSUMER PROTECTION ADVOCATE	1000	Agency Management Program	1080	F	13	10	1	113,002.00	23,843.42		
Onifade,Oluwatosin B	00001761	BUDGET OFFICER	100F	Agency Fiscal Operations	110F	F	14	1	1	112,110.00	23,655.21		
Bright,Eva M	00075386	Senior Bank Examiner	8000	Market Examinations Division	8030	F	13	6	1	110,063.00	23,223.29		
Bunyasrie,Surayuth	00038485	FINANCIAL EXAMINER INS	8000	Market Examinations Division	8040	F	13	6	1	110,063.00	23,223.29		
Mathis,Michelle D.	00075544	Operations Manager	1000	Agency Management Program	1060	F	13	6	1	110,063.00	23,223.29	385.31	
Ryan Jr.,Francis J	00031831	Financial Examiner	2000	Insurance Bureau	2050	F	13	6	1	110,063.00	23,223.29		
Johnson-Parker,Sheila A	00009105	Insurance Licensing Spec Mgr	2000	Insurance Bureau	2010	F	14	0	1	107,843.06	22,754.89		
Kerr,Monique Melissa	00037714	Licensing Manager	5000	Banking Bureau	5060	F	14	0	1	107,843.04	22,754.88		
Wadley,Debbra	00038798	Manager, Consumer Services	9000	Compliance Division	9020	F	14	0	1	107,843.04	22,754.88		
Jefferson,Ricardo R.	00001945	Student Loan Ombudsman	5000	Banking Bureau	5070	F	14	0	1	107,843.00	22,754.87		
Jones,Robbin	00034868	Supervisory Banking Examiner	5000	Banking Bureau	5060	F	14	0	1	107,842.80	22,754.83		
Afolabi,Christine	00046076	Insurance Operations Examiner	8000	Market Examinations Division	8040	F	13	5	1	107,022.00	22,581.64		
Davis,Rebecca	00038470	FINANCIAL EXAMINER (CAPTIVE)	8000	Market Examinations Division	8040	F	13	5	1	107,022.00	22,581.64		
Guishard,Michael	00015485	Information Technology Special	1000	Agency Management Program	1040	F	13	5	1	107,022.00	22,581.64		
Ibrahim,Yesuf	00085225	SENIOR ACCOUNTANT	100F	Agency Fiscal Operations	120F	F	13	5	1	107,022.00	22,581.64		
Beard,Andre	00077717	ATTORNEY ADVISOR	1000	Agency Management Program	1060	F	12	9	1	106,663.00	22,505.89		
Coles,Karen	00001990	INVEST FRAUD	4000	Enforcement Program	4060	F	12	10	1	105,339.00	22,226.53		
Dickens,Marionnetta	00010013	INSURANCE OPERATIONS SPEC	9000	Compliance Division	9010	F	12	10	1	105,339.00	22,226.53	4,560.98	
Drafton-Lowery,Lucille	00034860	Public Affairs Specialist	1000	Agency Management Program	1080	F	12	10	1	105,339.00	22,226.53	12,925.41	
Matthews,Sylvia D	00015980	INS OPERATIONS SPEC	9000	Compliance Division	9010	F	12	10	1	105,339.00	22,226.53		
Moore,David	00075087	Consumer Services Specialist	9000	Compliance Division	9010	F	12	10	1	105,339.00	22,226.53	405.63	
Parker,Denise M	00016131	INSURANCE LICENSE SPEC	2000	Insurance Bureau	2010	F	12	10	1	105,339.00	22,226.53		
Wade,Alicia M	00034803	EXECUTIVE ASST	1000	Agency Management Program	1090	F	13	7	1	104,569.00	22,064.06		
Collins,Thedford L	00017095	Special Assistant	1000	Agency Management Program	1090	F	13	7	1	104,567.23	22,063.69		
Jordan-Robinson,Lucynthia D	00022192	INSURANCE LICENSE SPEC	2000	Insurance Bureau	2010	F	12	9	1	102,782.00	21,687.00		
Felder,Wendell E	00075599	Special Assistant	1000	Agency Management Program	1060	F	7	0	1	101,759.01	21,471.15		
Butler,Lisa D.	00082338	HEARING EXAMINER	1000	Agency Management Program	1090	F	13	6	1	101,758.00	21,470.94		
Davis,LaTasha	00078117	FINANCIAL EXAMINER INS	9000	Compliance Division	9020	F	13	3	1	100,940.00	21,298.34		
Loproto,Robert B	00020539	FRAUD INVEST	4000	Enforcement Program	4060	F	12	8	1	100,225.00	21,147.48		
Wade,Cheryl R	00075077	Compliance Analyst	9000	Compliance Division	9020	F	12	8	1	100,225.00	21,147.48		
Branham,Valencia M	00022530	Accounts Payable Specialis	100F	Agency Fiscal Operations	120F	F	12	8	1	100,219.00	21,146.21		

Department of Insurance, Securities and Banking (SR0)
Fiscal Year 2019 and 2020: Top 25 Overtime Earners

Fiscal Year	Employee Name	Position No.	Position Title	Program Code	Program Title	Activity Code	Salary	Fringe Benefits	Overtime Amount Paid
2019	CLEVELAND,VAUN B	00041791	Public Affairs Specialist	1000	Agency Management Program	1080	82,412.00	18,213.05	13,907.51
	Drafton-Lowery,Lucille	00034860	Public Affairs Specialist	1000	Agency Management Program	1080	105,339.00	22,226.53	12,925.41
	Dickens,Marionnetta	00010013	INSURANCE OPERATIONS SPEC	9000	Compliance Division	9010	105,339.00	22,226.53	4,118.47
	McBride,Keenan R.	00076896	LEGAL ASST	1000	Agency Management Program	1060	52,074.00	10,987.61	2,372.45
	King,Angela Jenice	00036494	Insurance Examiner (Property a	2000	Insurance Bureau	2015	122,227.00	25,789.90	2,289.13
	Bryant,Tanya D	00003290	Public Affairs Specialist	1000	Agency Management Program	1080	116,145.00	24,506.60	2,114.32
	Hicks,Willie C	00017344	INSURANCE LICENSE SPEC	2000	Insurance Bureau	2050	97,668.00	20,607.95	1,609.23
	Simmons,Marlene O	00016013	Human Resources Specialist	1000	Agency Management Program	1010	83,209.00	17,557.10	1,136.04
	Rouse,Brian A	00075387	Sr. Banking Licensing Speciali	5000	Banking Bureau	5060	122,227.00	25,789.90	1,045.10
	Iglesias Alves Pereira,Aristi	00041791	Public Affairs Specialist	1000	Agency Management Program	1080	94,858.00	20,015.04	962.99
	Benitez,Carla M	00085528	PROGRAM SUPPORT ASSISTANT	5000	Banking Bureau	5070	47,307.00	9,981.78	916.41
	Goines,Robsine M	00035837	Banking Licensing Specialist	5000	Banking Bureau	5060	72,956.00	15,393.72	789.42
	Pedroso,Tamisha S.	00025163	Staff Assistant	1000	Agency Management Program	1040	58,758.00	12,397.94	577.27
	Williams,Brian	00034846	Associate Commiss. for Banking	5000	Banking Bureau	5060	132,829.98	28,027.13	496.00
	Moore,David	00075087	Consumer Services Specialist	9000	Compliance Division	9010	105,339.00	22,226.53	405.63
	Mathis,Michelle D.	00075544	Operations Manager	1000	Agency Management Program	1060	110,063.00	23,223.29	385.31
	Alula,Makondi Claudine	00075376	Paralegal Specialist	1000	Agency Management Program	1060	92,554.00	19,528.89	336.06
	Richards,Shaun	00025163	CLERICAL ASSISTANT	1000	Agency Management Program	1040	45,030.00	9,501.33	334.01
	Pettigrew,Alice VonEva	00022252	Management Liaison Specialist	1000	Agency Management Program	1010	71,406.00	15,066.67	199.98
	Johnson,Colin B	00015197	INSURANCE EXAMINER	2000	Insurance Bureau	2050	119,186.00	25,148.25	163.18
Dyson,Monica L	00003501	ACTUARY	2000	Insurance Bureau	2015	122,227.00	25,789.90	85.58	
2019 Total							1,959,153.98	414,205.61	47,169.50
2020	Goines,Robsine M	00035837	Banking Licensing Specialist	5000	Banking Bureau	5060	72,956.00	15,393.72	817.28
	Rouse,Brian A	00075387	Sr. Banking Licensing Speciali	5000	Banking Bureau	5060	122,227.00	25,789.90	752.07
	King,Angela Jenice	00036494	Insurance Examiner (Property a	2000	Insurance Bureau	2015	122,227.00	25,789.90	580.91
	Tippett,Eleanor	00005191	BANK EXAMINER	8000	Market Examinations Division	8030	82,326.00	17,370.79	474.96
	Walton,Brittany	00034862	Banking Licensing Specialist	5000	Banking Bureau	5060	82,326.00	17,370.79	461.13
	Dickens,Marionnetta	00010013	INSURANCE OPERATIONS SPEC	9000	Compliance Division	9010	105,339.00	22,226.53	442.51
	McBride,Keenan R.	00076896	LEGAL ASST	1000	Agency Management Program	1060	52,074.00	10,987.61	291.68
2020 Total							639,475.00	134,929.23	3,820.54
Grand Total							2,598,628.98	549,134.83	50,990.04

**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.

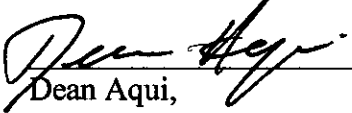
Compensation Units One and Two Collective Bargaining Agreement

Signed: July, 2013

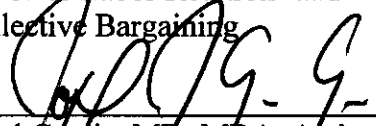
**FOR THE DISTRICT OF COLUMBIA
GOVERNMENT**



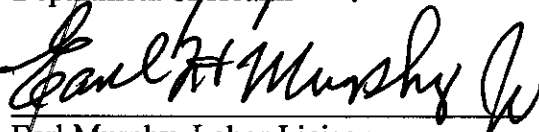
Natasha Campbell, Director
Office of Labor Relations and
Collective Bargaining



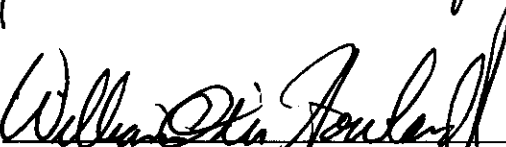
Dean Aquino,
Supervisory Attorney Advisor
Office of Labor Relations and
Collective Bargaining



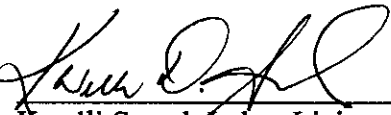
Joxel Garcia, MD, MBA, Acting Director
Department of Health



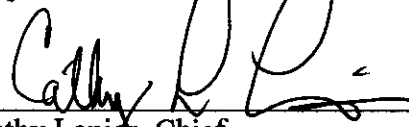
Earl Murphy, Labor Liaison
Department of Health



William Howland, Director
Department of Public Works




Kwelli Sneed, Labor Liaison
Department of Public Works




Cathy Lanier, Chief
Metropolitan Police Department

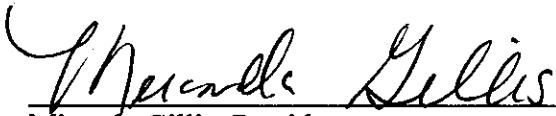
FOR THE UNIONS



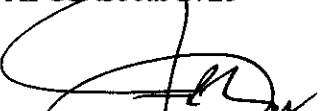
Geo T. Johnson, Chief Negotiator
Compensation Units 1 and 2




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

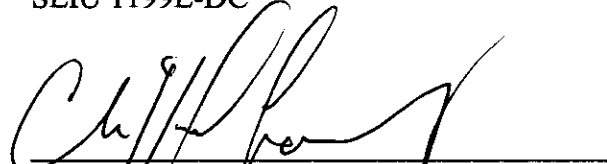
Mark Viehmeyer, Labor Liaison
Metropolitan Police Department



Lisa Wallace, Vice President
SEIU 1199E-DC



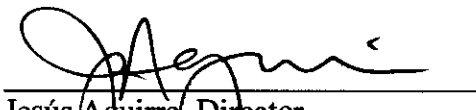
Kenneth Ellerbe, Chief
DC Fire and Emergency Medical Services



Clifford Lowrey, President
AFGE Local 1975


Brian Lee
DC Fire and Emergency Medical Services

Sabrina Brown, President
AFSCME Local 2401




Jesús Aguirre, Director
Department of Parks and Recreation


Reginald Walker, President
AFSCME Local 1200



Jamarj Johnson, Labor Liaison
Department of Park and Recreation



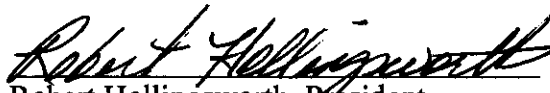
Cliff Dedrick, President
AFSCME Local 2743



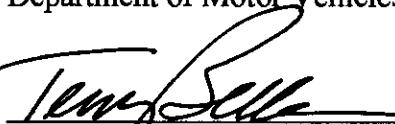
Lucinda Babers, Director
Department of Motor Vehicles

Kenneth Lyons, President
AFGE Local 3721

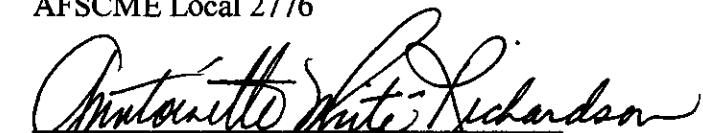
Odessa Nance, Labor Liaison
Department of Motor Vehicles



Robert Hollingsworth, President
AFSCME Local 2776



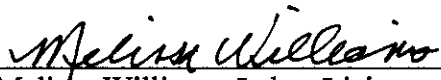
Terry Bellamy, Director
Department of Transportation




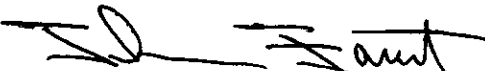
Antoinette White-Richardson, President
AFSCME Local 1808


Compensation Units One and Two Collective Bargaining Agreement


Signed: July, 2013

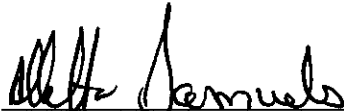

Melissa Williams, Labor Liaison
Department of Transportation



Robert Mayfield, President
AFGE Local 2978



Thomas Faust, Director
Department of Corrections

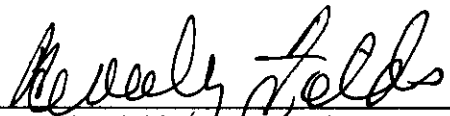

Timothy Traylor, President
AFGE Local 383

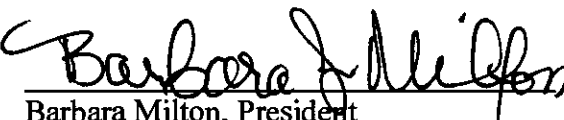

Paulette Johnson-Hutchings,
Labor Liaison
Department of Corrections



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

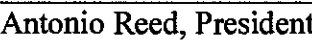

Marie Lydie Merre-Louis
Chief Medical Examiner
Office of the Chief Medical Examiner

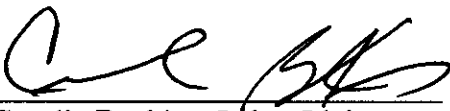

Walter Jones, President
AFSCME Local 2087


Beverly Fields, Labor Liaison
Office of the Chief Medical Examiner



Barbara Milton, President
AFGE Local 631

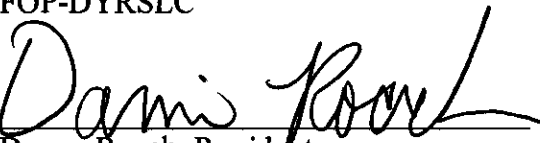

Brian Hanlon, Director
Department of General Services


Antonio Reed, President
NAGE R3-05


Cecelia Banks, Labor Liaison
Department of General Services


Cedric Crawley
FOP-DYRSLC


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



Darren Roach, President
AFSCME Local 877

Compensation Units One and Two Collective Bargaining Agreement

Signed: July, 2012

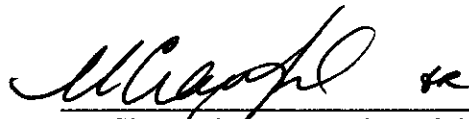
Amy Mauro, Labor Liaison
Office of Risk Management

Sheila Bailey-Wilson, President
AFSCME Local 709

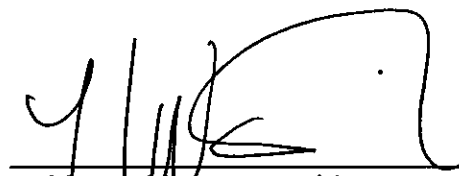


Emily Duso, Interim State
Superintendent of Education
Office of the State Superintendent
Of Education

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

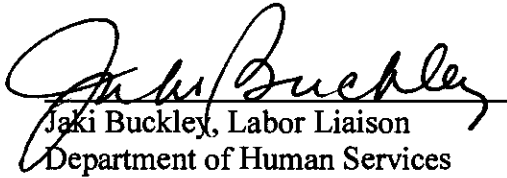
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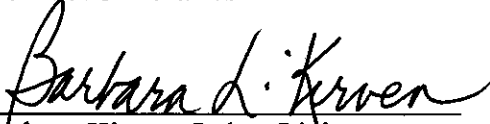
Portia Shorter, Labor Liaison
Department of Health Care Finance



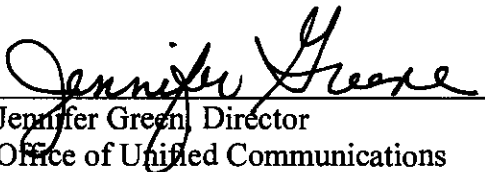
David Berns, Director
Department of Human Services

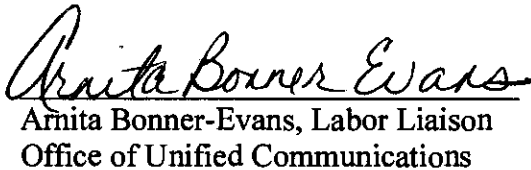

Jaki Buckley, Labor Liaison
Department of Human Services

Ginnie Cooper, Executive Director
DC Public Libraries



Barbara Kirven, Labor Liaison
DC Public Libraries


Jennifer Green, Director
Office of Unified Communications

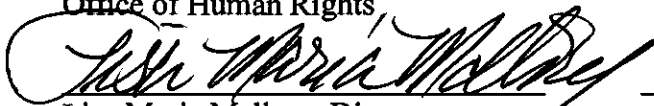

Armita Bonner-Evans, Labor Liaison
Office of Unified Communications

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 Schwender, Labor Liaison
Department of Insurance, Securities
And Banking



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

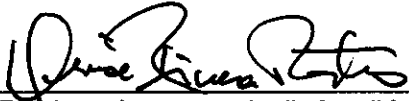


Donald Tatum, Labor Liaison
Department of Consumer and
Regulatory Affairs

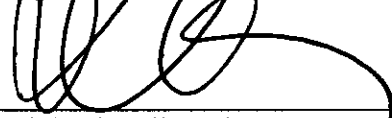
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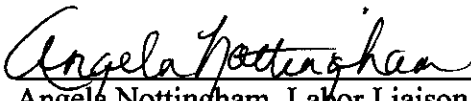
Keith Anderson, Director
Department of the Environment



Denise Rivera-Portis, Labor Liaison
Department of the Environment



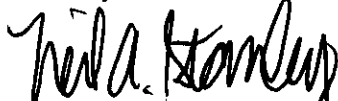
Michael Kelly, Director
Department of Housing and
Community Development



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



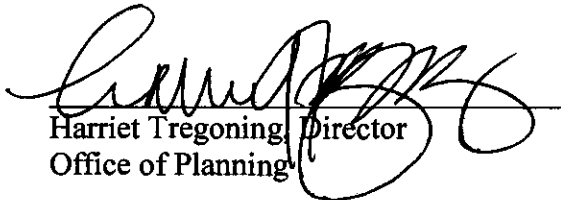
Wikkie Garay, Labor Liaison
Department of General Services

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

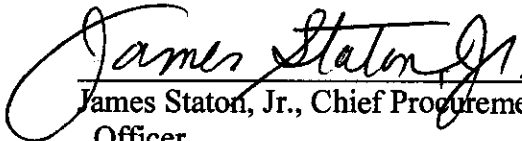
Compensation Units One and Two Collective Bargaining Agreement

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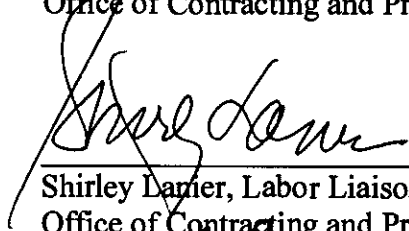


Laura L. Nuss, Director
Department of Disability Services

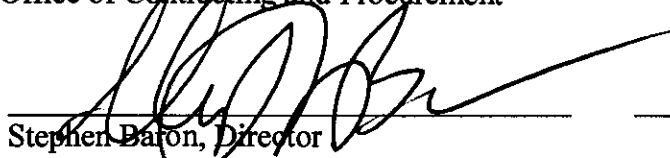
Kehinde Asuelimen, Labor Liaison
Department of Disability Services



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



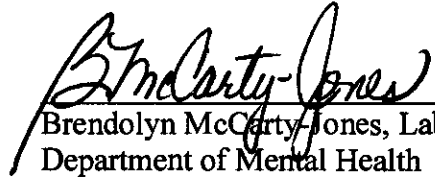
Shirley Danner, Labor Liaison
Office of Contracting and Procurement



Stephen Baron, Director
Department of Mental Health



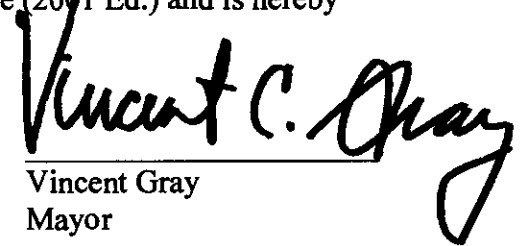
Frankie T. Wheeler, Director,
Human Resources
Department of Mental Health



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.

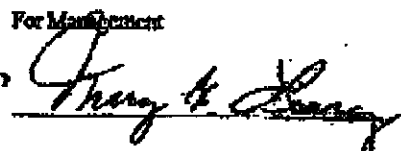
In order to support the training, classification and compensation joint labor-management initiatives, it is understood that the District shall retain the services of The Segal Company to assume the role of the lead consultant with these projects."

For Labor



David J. Schlein

For Management



Henry H. Harvey

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.

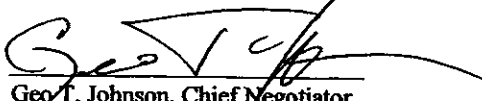
Further, the contracting parties agree that amounts hereafter designated through collective bargaining for classification and compensation collaborative review under the terms of the FY 2004 to FY2006 Compensation Units 1 and 2 Agreement, shall be accorded similar treatment for purposes of implementation. 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. Neary, Director
Office of Labor Relations
and Collective Bargaining

FOR COMPENSATION UNITS 1 & 2


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

Union Proposal
2/1/06

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

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

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

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

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

COMPENSATION AGREEMENT

BETWEEN

THE OFFICE OF THE ATTORNEY GENERAL

AND

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

EFFECTIVE OCTOBER 1, 2013 THROUGH SEPTEMBER 30, 2017

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PREAMBLE

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

ARTICLE 1 -- RECOGNITION

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

ARTICLE 2 -- WAGES

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

SECTION A – FY 2014

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

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

SECTION B -- FY 2015

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

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

SECTION C -- FY 2016

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

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

SECTION D -- FY 2017

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

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

SECTION E – Saturday and Holiday Pay

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

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

ARTICLE 3 -- BENEFITS COMMITTEE

SECTION A – General

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

SECTION B – Purpose

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

SECTION C -- Responsibilities

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

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

SECTION D – Maintenance of Benefits

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

SECTION E – Additional Benefits

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

ARTICLE 4 -- BENEFITS

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

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

SECTION A -- Life Insurance

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

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

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

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

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

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

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

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

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

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

SECTION B -- Health Insurance

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

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

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

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

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

SECTION C – Optical and Dental

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

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

SECTION D – Short and Long Term Disability

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

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

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

SECTION E – AFLAC

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

SECTION F -- Annual Leave

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

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

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

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

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

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

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

SECTION G – Sick Leave

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

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

3. An employee may use sick leave to

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

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

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

(d) Make any other use allowed by law.

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

SECTION H – Other Forms of Leave

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

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

3. **Funeral Leave:**

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

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

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

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

SECTION I -- Pre-Tax Benefits

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

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

SECTION J – Retirement

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

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

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

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

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

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

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

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

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

SECTION K – Holidays

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

- (a) New Year's Day, January 1st of each year;
- (b) Dr. Martin Luther King, Jr.'s Birthday, the 3rd Monday in January of each year;
- (c) Washington's Birthday, the 3rd Monday in February of each year;
- (d) D.C. Emancipation Day, April 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 25th 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 &
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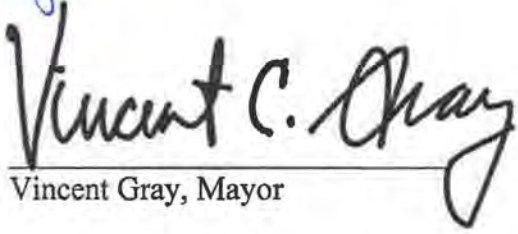
**FOR THE AMERICAN FEDERATION
OF GOVERNMENT EMPLOYEES
LOCAL 1403**

Shana Frost, Acting President
AFGE, Local 1403

Robert A. DeBerardinis, Vice President
AFGE, Local 1403

APPROVAL

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


Vincent Gray, Mayor

DRAFT COLLECTIVE BARGAINING WORKING CONDITIONS AGREEMENT

BETWEEN

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

AND

THE DISTRICT OF COLUMBIA,

AND

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

EFFECTIVE OCTOBER 1, 2013 THROUGH SEPTEMBER 30, 2017

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ARTICLE 1 RECOGNITION

Section 1 - Recognition

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

Section 2 – Coverage

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

Section 3 – New Units

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

Section 4 – Unit Clarification(s)

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

Section 5 - Exclusions from Coverage

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

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

ARTICLE 2
LABOR-MANAGEMENT RELATIONS

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

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

Section 2 - Subcommittees

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

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

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

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

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

Section 5 - Labor-Management Meetings

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

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

Section 6 - Organizational Changes

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

Section 7 – Risk Assessment

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

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

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

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

ARTICLE 3
ADMINISTRATION OF LEAVE

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

ARTICLE 4
ALTERNATIVE WORK SCHEDULE

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

ARTICLE 5
EMPLOYEE ASSISTANCE PROGRAM

Section 1 - General

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

Section 2 - Use of Sick Leave

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

ARTICLE 6
UNION STEWARDS/OFFICIAL TIME

Section 1 - Number of Stewards

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

Section 2 - Designation of Representatives

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

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

Section 3 - Performance Appraisals

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

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

Section 4 - Official Time for Representational Activity

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

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

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

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

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

Section 5 - Requesting Official Time

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

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

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

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

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

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

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

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

Section 6

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

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

Section 7

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

ARTICLE 7
UNION USE OF EMPLOYER FACILITIES AND SERVICES

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

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

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

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

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

ARTICLE 8 PERSONNEL FILES

Section 1 - Official Files - Definition

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

Section 2 - Right to Examine

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

Section 3 - Right to Respond

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

Section 4 - Right to Copy

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

Section 5 - Access by Union

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

Section 6 – Employee to Receive Copies

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

ARTICLE 9
JOB DESCRIPTIONS

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

ARTICLE 10
LATE ARRIVAL/EARLY DISMISSAL

Section A -- Late Arrival

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

Section B -- Early Dismissal

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

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

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

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

ARTICLE 11
STRIKES AND LOCKOUTS

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

ARTICLE 12
CONTRACTING OUT/PRIVATIZATION

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

ARTICLE 13 UNION RIGHTS AND SECURITY

Section 1 – Exclusive Agent

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

Section 2 – Access to Employees

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

Section 3 – Dues Check off

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

Section 4 – Annual Notification of Annual Dues Amount

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

Section 5 – Service Fees

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

Section 6 – Cost of Processing

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

Section 7 – Hold Harmless

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

Section 8

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

Section 9

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

Section 10

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

ARTICLE 14
TERM EMPLOYEES

Section 1

- A. Term employees in the bargaining unit shall be given not less than two (2) pay period's notice of the termination of their appointment.
- B. Term bargaining unit employees shall be fully informed in their offer letter prior to their entrance on duty that the offer of employment is a term position. Term employees shall be provided a copy of their official position description.
- C. To the extent not inconsistent with District or Federal law and regulations, the Employer shall use its best efforts, subject to funding, to convert term bargaining unit employees ("NTE employees") to permanent ("FTE") status by the end of each fiscal year, when the term bargaining unit employee: 1) performs services for which OAG has a continuous need, 2) is in a pay status as of September 30, 2013, and continuing on an ongoing basis any term bargaining unit employee in a pay status by September 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



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



Training	Training Subject	Trainer Information	Agency Employees Trained
DCHR			
Reasonable Suspicion	Principles related to indentifying and acting on potential instances of controlled substance use	DCHR Staff	Senior and mid-level management
Cyber Security	Principles related to cybersecurity safety	DCHR Staff	Agency wide availability
Sexual Harrassment Officer	Standards required to perform duties of agency Sexual Harassment Officer	DCHR Staff	Agency Sexual Harassment Officer and Staff
Sexual Harrassment	Training on sexual harassment issues	DCHR Staff	Agency wide
Americans with Disabilities Act	Training on ADA issues	DCHR Staff	Policy-Administration/Human Resources staff
Introduction to Management	Core principles in managing people	DCHR Staff	Mid-level management

Building High Performing Teams	Best practices in team building	DCHR Staff	Mid-level management
Performance Management	Understanding the District's performance management system	DCHR Staff	Senior management
Ethics	Issues and topics related to ethics in government service	DCHR Staff	Agency wide availability
CyberSecurity	Key principles of cybersecurity in the office setting	DCHR Staff	Agency wide availability
PASS Buyer	District government procurement procedures	DCHR Staff	Procurement staff
Contracting and Procurement	District government procurement procedures	DCHR Staff	Procurement staff
Principles of Management	Core principles in managing people	DCHR Staff	Senior and mid-level management
Leadership Essentials	Elements of effective leadership	DCHR Staff	Senior and mid-level management
Project Management	Best practices in project management	DCHR Staff	Mid-level management
Strategic Communication	Communications strategies to maximize impact of outreach	DCHR Staff	Communications staff

NAIC			
NAIC Fall National Meeting	Various topics in insurance regulation	Various trainers including NAIC staff	Insurance Bureau/CAD
NASAA			
Cyber Investigations	Investigation of securities cyber crime	NASAA staff	Securities Bureau/ECPD
PRSA			
2020 World Captive Forum	Discussion of issues and topics affecting the captive insurance industry	Captive insurance professionals	Risk Finance Bureau management
FINRA Senior Investor Protection Conference	Senior investor protection issues and solutions discussed	FINRA staff	Securities Bureau management and staff
2019 Financial Services Conference	Various topics in financial services generally	Financial services professionals	CAD management
Administrative Law Conference	Discussion of administrative law issues at the national level	American Bar Association staff and administrative law professionals	OGC staff
CSBS			
National Mortgage Policy Summit	Discussion of mortgage policy issues at the national level	CSBS staff and mortgage professionals	Senior management and OGC staff

Appendix 18 : DISB Outreach for FY 2019 and FY 2020 to date

EVENT TITLE	EVENT DATE	LOCATION	WARD	TIME	TYPE OF EVENT	SPONSOR	# OF ATTENDEES	BANK ON DC ATTENDEES	BANK ON DC ACCOUNTS	FIN FIT DC ATTENDEES	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	4:30-5:30pm	Financial Education	DCHR	-	8	-	-	0
Penn Quarter FRESHFARM Market	10/04/18	801 F Street, NW, DC 20004	2	3 p.m. - 7 p.m.			4	-	-	-	-
So Others Might Eat- Health & Financial Wellness Fair	10/08/18	Conway Center- 4430 Benning Road NE	7	3:00 pm - 6:00 pm	Community Outreach Event	SOME	-	-	-	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	8	11:00 am-12:00 pm	Consumer Protection	DISB, EAPC, UPO	150	-	-	-	-
Capital Guardian Youth ChalleNge Academy- Financial Education Session	10/12/18	Oak Hill Campus- 3201 Oak Hill Dr. Laurel MD 20724	MD	3:00PM-4:30PM	Financial Education	CGYCA	-	43	43	0	0
H Street Festival 2018	10/13/18	H Street (between 4th & 14th Street, NE, DC 20005	6	11 a.m. - 7 p.m.			1000	-	-	-	-
Disaster Insurance and Preparedness Seminar	10/15/18	HSEMA, 2720 Martin Luther King Jr. Avenue, SE, DC 20032	8	4 p.m. - 6 p.m.	Business	DISB, HSEMA	8	-	-	-	-
Excel Automotive Academy	10/17/18	1235 Kenilworth Avenue NE	7	9:00AM-12:30PM	Financial Education	Excel Academy/ Bank on DC	-	-	0	11	0
DC Financial Literacy Council Meeting	10/18/18	DISB-1050 First St., NE 20002	6	3:00-5:00 pm	Financial Literacy	DC Financial Literacy Council, DISB	-	-	-	-	-
United Medical Center Financial Education Workshop	10/18/18	United Medical Center, 1310 Southern Avenue, SE.	8	12:00PM-1:00PM	Financial Education	United Medical Center	-	-	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	9:30 a.m. - 2 p.m.	Seniors	DACL	33	-	-	-	-
Capital Harvest Farmers Market	10/19/18	Ronald Regan Building, 1300 Pennsylvania Avenue, NW	2	11a .m. - 3 p.m.			28	-	-	-	-
Health Fair	10/19/18	1200 Clifton St NW DC 20009	1	11:00AM-2:00PM	Financial Education	Dep. Behavioral Health	-	-	-	-	-
Excel Automotive Academy	10/24/18	1235 Kenilworth Avenue NE	7	9:00AM-12:30PM	Financial Education	Excel Academy/ Bank on DC	-	-	-	-	-
Reverse Mortgages	10/24/18	Shiloh Baptist Church, 1500 9th Street N.W. ((9th and P Streets)	6	: 1 p.m. to 3:30 p.m	Consumer Protection	DISB, Shiloh Senior Citizens Club Shiloh Baptist Church	36	-	-	-	-
State of the Ward 4 Senior Address (Councilmember Brandon Todd's event)	10/25/18	Riggs-LaSalle Recreation Center, 501 Riggs Road, NE	4	10 a.m. - 2 p.m. (Arrive by 8:45)	Senior	Councilmember Brandon Todd's Office	-	-	-	-	-
H Street, NE FRESHFARM Market	10/27/18	800 13th Street, NE, (between H Street NE and Florida Avenue, NE) DC, 20005	6	9 a.m. - 12:30 p.m.			4	-	-	-	-
FRESHFARM Capital Riverfront Market	10/28/18	200 M Street, SE, DC 20003	6	9 a.m. - 1 p.m.			6	-	-	-	-
Professional Development: Writing for the Business World	10/30/18	1200 Clifton St NW, Washington, DC 20009	1	1:00PM-2:00PM	Bank on DC Programming	DOES, DCPS, Bank on DC	-	5	3	0	0
Banking Day Eastern Senior High School	10/31/18	1700 East Capitol St NE, Washington, DC 20002	5	11:50AM-12:35PM	Bank on DC Programming	DOES, DCPS, Bank on DC	-	4	4	0	0
Excel Automotive Academy	10/31/18	1235 Kenilworth Avenue NE	7	9:00AM-12:30PM	Financial Education	Excel Academy/ Bank on DC	-	-	-	10	0
NOVEMBER 2018											

EVENT TITLE	EVENT DATE	LOCATION	WARD	TIME	TYPE OF EVENT	SPONSOR	# OF ATTENDEES	BANK ON DC ATTENDEES	BANK ON DC ACCOUNTS	FIN FIT DC ATTENDEES	FINANCIALLY FIT DC (SIGNED UP)
DC Health Link Open Enrollment Kick-off	11/01/18	Freedom Plaza, 1400 Pennsylvania Avenue, NW, Washington, DC 20004		9 a.m. to 10:30 a.m.	DISB Resources	HBX	20	-	-	-	-
Naylor Gardens Cooperative Event-Money Smart for Older Adults	11/05/18	2725 30th Street, SE Washington, DC 20018	7	10:30 a.m. - 12 noon		DCOA and Naylor Gardens Cooperative	35	-	-	-	-
Hayes Senior Wellness Center Community Health, Wellness & Resource Fair	11/07/18	500 K Street, NE Washington, DC 20002	6	10 a.m. - 2 p.m.		DCOA	22	-	-	-	-
Renter's Insurance Workshop-Housing Up, Inc.	11/07/18	6040 13TH. PL., NW	4	6:30-7:30 p.m.	Consumer Protection	DISB, Housing Up, Inc.	8	-	-	-	-
Banking Day Columbia Heights Educational Campus	11/08/18	3101 16th St NW, Washington, DC 20010	1	1:00PM-2:00PM	Bank on DC Programming		-	16		0	0
Money Smart for Older Adults-Asbury Dwellings Tenant Association	11/09/18	1616 Marion St., NW	6	6:30-7:30 p.m.	Consumer Protection	DISB, Asbury Dwellings Tenant Association	23	-	-	-	-
DC Health Link Fair	11/10/18	Anacostia Public Library, 1800 Good Hope Road, SE, Washington, DC 20020	8	11 a.m. to 2 p.m.	DISB Resources	HBX	27	-	-	-	-
Open Enrollment 2019 Benefits Fairs	11/13/18	Office of the Chief Financial Officer 1101 4th Street, SW Washington, DC 20024	6	10:00AM-3:00PM	Bank on DC Programming	DCHR	-	-	-	127	0
Capital Guardian Youth ChalleNge Academy- Financial Education Session	11/13/18	Oak Hill Campus- 3201 Oak Hill Dr. Laurel MD 20724	II (DC Ward	3:00PM-4:30PM	Financial Education	CGYCA	-	48	48	0	0
Open Enrollment 2019 Benefits Fairs	11/14/18	John A. Wilson Building 1350 Pennsylvania Avenue, NW Washington, DC 20004	2	10:00AM-3:00PM	Bank on DC Programming	DCHR	-	46		46	0
Roosevelt Banking Day	11/14/18	4301 13th St NW, Washington, DC 20011	4	1:00PM-2:00PM	Bank on DC Programming		-	12		0	0
Open Enrollment 2019 Benefits Fairs	11/15/18	Dept. of Behavioral Health 64 New York Avenue, NE Washington, DC 20002	5	10:00AM-3:00PM	Bank on DC Programming	DCHR	-	0		0	0
Money Smart for Adults- Train the Trainer	11/15/18	DISB- 1050 First St NE First FI Conference Center	6	10:00AM - 12:00PM	Agency Hosted Event	FDIC; DISB	-	10	0	0	0
Banking Day Dunbar High School	11/19/18	101 N St NW, Washington, DC 20001	2	2:00PM-3:00PM	Bank on DC Programming		-	-	-	0	0
Open Enrollment 2019 Benefits Fairs	11/27/18	DC Public Schools Central Office 1200 First Street, NE Washington, DC 20002	6	1:00PM-6:30PM	Bank on DC Programming	DCHR	-	33	0	0	33
Banking Day Ballou HS	11/27/18	3401 4th St SE, Washington, DC 20032	8	2:00PM-3:00PM	Bank on DC Programming		-	-	-	0	0
Open Enrollment 2019 Benefits Fairs	11/29/18	Child & Family Services Agency 200 I Street, SE Washington, DC 20003	6	10:AM-3:00PM	Bank on DC Programming	DCHR	-	102	0	0	102
Renter's Insurance Workshop-Housing Up, Inc.	11/29/18	5078 Benning Rd, SE	7	6:30-7:30 p.m.	Consumer Protection	DISB, Houisng Up, Inc.	8	-	-	-	-
DECEMBER 2018											
Workplace Finance Workshop Excel Automotive Academy	12/03/18	1235 Kenilworth Avenue NE Washington, DC 2019	7	9:00AM-12:00PM	Financial Education	Excel Automotive Academy	-	13		0	0
Open Enrollment 2019 Benefits Fairs	12/04/18	Saint Elizabeths Hospital 1100 Alabama Avenue, SE Washington, DC 20032	8	10:00AM-3:00PM	Bank on DC Programming	DCHR	-	-	-	-	-
Open Enrollment 2019 Benefits Fairs	12/05/18	DC Housing Authority 1133 N. Capitol Street, NE Washington, DC 20002	5	10:00AM-3:00PM	Bank on DC Programming	DCHR	-	58		0	0

EVENT TITLE	EVENT DATE	LOCATION	WARD	TIME	TYPE OF EVENT	SPONSOR	# OF ATTENDEES	BANK ON DC ATTENDEES	BANK ON DC ACCOUNTS	FIN FIT DC ATTENDEES	FINANCIALLY FIT DC (SIGNED UP)
WDCEP Annual Meeting and Econ Showcase	12/05/18	The Anthem, The Wharf		10 a.m. - 2 p.m.	Small Business		200	-	-	-	-
Career Bridge DOES/Banking Enrollment	12/05/18	101 N St NW, Washington, DC 20001	1	2:00PM-3:00PM	Bank on DC Programming	DCPS	-	9	6	0	0
Career Bridge DOES/Banking Enrollment	12/05/18	101 N St NW, Washington, DC 20001	1	2:00PM-3:00PM	Bank on DC Programming	DCPS	-	9	6	0	0
Open Enrollment 2019 Benefits Fairs	12/06/18	Frank D. Reeves Center 2000 14th Street, NW Washington, DC 20009	1	10:00AM-3:00PM	Bank on DC Programming	DCHR	-	108		0	0
Banking 101/ Financial Literacy Session	12/06/18	100 42nd St NE Washington DC 20019	7	9:00AM-12:00PM	Financial Education	DC Office of Neighborhood Safety and Engagement	-	28	21	28	0
Library Express: financial literacy	12/08/18	1990 K Street NW (entrance on 20th street) Washington DC, 20006	2	1:00PM-3:00PM	Financial Education	DC Public Library	-	-	-	3	0
Senior Holiday Celebration	12/12/18	DC Armory, 2001 E Capitol St SE, Washington, DC 20003	6	10 a.m. - 2 p.m.	Senior	Mayor's Office on Aging	2000	-	-	-	-
Brown Bag Lunch on Personal Safety and Security	12/13/18	DISB, Room 802	6	Noon - 1 p.m.			35	-	-	-	-
Renters Insurance	12/13/18	Webster Gardens Apts., 126 Webster St., NW	4	6:00-7:00 pm	Consumer Protection	DISB, HousingUp, Inc.	8	-	-	-	-
PYAP @ Community College Preparatory Academy- HOPE Project	12/17/18	3301 Wheeler Rd. SE Washington, DC 20032 CC Prep Campus	8	1:00pm to 2:00pm	Financial Education	DOES- OYP	0	28	0	0	0
Great Streets Grantee Orientation	12/19/18	1015 Half Street, SE, 6th Floor Washington, DC 20003	6	10 a.m. - 11:30 a.m.	Small Business	DMPED	60	-	-	-	-
PYAP @ Nai Xander	12/27/18	139 Kennedy Street NW DC 20011	4	1:00pm to 2:00pm	Financial Education	DOES- OYP	0	8	0	0	0
PYAP@ Toni Thomas and Associates		101 Xenia Street, S.W. – First Floor, Washington, D.C. 20032	8	1:00pm to 2:00pm	Financial Education	DOES- OYP	0	-	-	-	-
JANUARY 2019											
DC Department on Disability Services	01/07/19	250 E Street SW Washington, DC 20024	6	3:30PM-5:30PM	Bank on DC Programming	DC Department on Disability Services	0	6		0	0
DC Department on Disability Services	01/08/19	One Independence Square 250 E Street SW Washington, DC 20024	6	4:00PM-6:00PM	Bank on DC Programming	DC Department on Disability Services	0	13		0	0
ONES - Credit Workshop	01/09/19	ONES- 100 42nd Street NE DC 20019	7	12:00PM-2:00PM	Bank on DC Programming	Office of Neighborhood Engagement & Safety	-	-	-	15	
PYAP @ Contemporary Family Services	01/10/19	603 50th Street NE Washington, DC 20019	7	1:00pm to 2:00pm	Financial Education	DOES- OYP	-	-	-	-	-
DCPS- Career Bridge financial literacy	01/11/19	2000 14th St NW Washington, DC 20009	1	8:30AM-3:00PM	Bank on DC Programming	DCPS	-	-	-	-	-
DC Department on Disability Services	01/17/19	One Independence Square 250 E Street SW Washington, DC 20024	6	4:00PM-8:00PM	Bank on DC Programming	DC Department on Disability Services	0	61		0	0
The LEAP Academy- 2019 Cohort	01/18/19	1015 Half St SE, Washington, DC 20003	6	9:00AM-1:00PM	Financial Education	LEAP Academy/ Bank on DC	0	63	0	0	0
DC EITC Awareness Day	01/25/19	UPO- 2907 Martin Luther King Jr. Ave SE	8	8:30AM - 11:00AM	Bank on DC Programming		-	40		0	0
The Legendary Jazz Musicians Health Fair	01/26/19	200 I Street, SE		11:00 a.m. - 4 p.m.	DISB Resources		20	-	-	-	-
Elevate 2019: CBE Procurement Opportunity Forum	01/28/19	Capitol Riverfront, 1015 Half Street, SE, 9th Floor Washington, DC 20003	6	1 p.m. to 3:30 p.m.	Small Business/CBE	DGS	-	-	-	-	-
Excel Academy: Orientation Money Talk:	01/28/19	1235 Kenilworth Avenue NE Washington, DC 2019	7	1:00PM-2:45PM	Financial Education	Excel Automotive Academy	-	12		0	0

EVENT TITLE	EVENT DATE	LOCATION	WARD	TIME	TYPE OF EVENT	SPONSOR	# OF ATTENDEES	BANK ON DC ATTENDEES	BANK ON DC ACCOUNTS	FIN FIT DC ATTENDEES	FINANCIALLY FIT DC (SIGNED UP)
DC ECON UNPLUGGED - Connecting YOU to DC's Economy	01/31/19	Ronald Regan Building (Atrium Hall, 1300 Pennsylvania Ave NW,)	2	4 p.m. - 7 p.m.	DISB Resources, Services and Programs	Deputy Mayor for Planning and Economic Development	46	-	-	-	-
FEBRUARY 2019											
Marshall Heights Community Development Organization-First Fridays	02/01/19	3939 Benning Road NE, WDC 20019	7	6:00pm - 8:00pm	Community Outreach Event	MHCDO	-	25	0	-	-
Reverse Mortgage Presentation	02/04/19	Bernece Fonteneau Senior Wellness Center, 3531 Georgia Avenue, NW Washington, DC 20010	1	10:00 am-11:00 am	Consumer Protection	DISB	16	-	-	-	-
Mayor's Open House	02/04/19	John A. Wilson Building, 1350 Pennsylvania Ave. NW, Washington, DC 20004	2	5 p.m. to 8 p.m.	DISB Resources, Services and Programs	EOM	-	-	-	-	-
Elder Housing Resource Forum	02/07/19	Hattie Holmes Senior Wellness Center, 324 Kennedy Street, NW	4	9:30 a.m. - 1 p.m.	Senior		120	-	-	-	-
Woodson Financial Literacy	02/07/19	540 55th St NE, Washington, DC 20019	7	12:00PM-1:00PM	Financial Education		-	-	-	-	-
Young Men's Empowerment Summit	02/09/19	KIPP: 1405 Brentwood Pkwy NE, Washington, DC 20002	5	9:00am - 4:00pm	Financial Education		-	18	-	23	-
Money Smart for Older Adults-Rescheduled	02/11/19	Calvary Episcopal Church, 6th and I St., NE	6	11:0 am-12:00 pm	Consumer Protection	DISB, EAPC, Calvary Church	-	-	-	0	-
Hattie Holmes Senior Wellness Center Community Health & Resource Fair	02/13/19	Hattie Holmes Senior Wellness Center, 324 Kennedy Street, NW	4	10:30 - 2 p.m.	Senior	Hattie Holmes Senior Wellness Center	32	-	-	0	-
The LEAP Academy- 2019 Cohort	02/15/19	1015 Half St SE, Washington, DC 20003	2	9:00AM-1:00PM	Financial Education	LEAP Academy/ Bank on DC	-	52	-	0	0
Money Management Workshop	02/20/19	1235 Kenilworth Avenue NE Washington, DC 2019	7	9:00AM-12:00PM	Financial Education		-	-	-	0	0
UPO Tax Site	02/25/19	2907 Martin Luther King Jr Ave, SE Washington DC	8	6:30PM-7:00PM	Bank on DC Programming	UPO	-	21	-	-	-
Financial Literacy Ballou high school	02/26/19	3401 4th St SE, Washington, DC 20032	8	2:00PM-3:00PM	Financial Education	DCPS	-	-	-	0	0
Military Resource Fair	02/26/19	One Judiciary Square 441 4th Street, NW – Suite 1107 South Washington, DC 20001	2	1:00PM-6:30PM	Financial Education	MOVA	-	8	-	-	-
Financial Literacy Anacostia HS	02/27/19	1601 16th St SE, Washington, DC 20020	8	11:30AM-12:30PM	Financial Education	DCPS	-	-	-	0	0
Roosevelt*	02/27/19	4301 13th St NW, Washington, DC 20011	4	1:00PM-2:00PM	Financial Education	DCPS	-	4	-	0	0
America Saves Week: Financially Fit DC - Preparing for Retirement and Beyond	02/28/19	DISB	6	Noon - 1 p.m.		DISB	22	-	-	-	-
MARCH 2019											
Resource Fair and Free Tax Prep	03/02/19	2000 14th St NW, Washington, DC 20009	1	10:00AM-2:00PM	Financial Education	MOAA, DC Credit Union	-	16	-	0	0
Money Smart for Older Adults	03/05/19	Samuel Kelsey Senior Apartments,3322 14th Street, NW, Washington, DC 20010	1	1:00-2:00 pm	Consumer Protection	DISB, EAPC, WinnCompanies	14	-	-	-	-
YWCA: Empower Girls Financial Education Session	03/05/19	Eastern High School- 1700 East Capitol St NE	6	11:00am - 2:00pm	Financial Education	YWCA/ Bank on DC	-	17	-	0	0
MBSYEP Certification	03/05/19	4058 Minnesota Ave NE, Washington, DC 20019	7	4:00PM-7:00PM	Bank on DC Programming	DOES	-	40	-	0	0
YWCA: Empower Girls Financial Education Session	03/06/19	Eastern High School- 1700 East Capitol St NE	6	11:00am - 2:00pm	Financial Education	YWCA/ Bank on DC	-	17	-	0	0
Managers Summit	03/06/19	Entertainment and Sports Arena, 1100 Oak Drive SE	8	1 p.m. - 4 p.m.		DC Department of Human Resources	22	-	-	-	-

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YWCA: Empower Girls Financial Education Session	03/07/19	McKinley Tech High School	5	10:30am - 1:30 pm	Financial Education	YWCA/ Bank on DC	-	-	-	-	-
YWCA: Empower Girls Financial Education Session	03/07/19	McKinley Tech High School	5	10:30am - 1:30 pm	Financial Education	YWCA/ Bank on DC	-	23	-	0	0
MBSYEP Certification	03/07/19	4058 Minnesota Ave NE, Washington, DC 20019	7	10:00AM-4:00PM	Bank on DC Programming	DOES	-	11	-	0	0
Money Smart for Older Adults	03/08/19	Hayes Senior Wellness Center 500 K Street, NE, Washington, DC 20002	5	10:30-11:30 am	Consumer Protection	DISB, EAPC, Hayes Senior Wellness Center	18	-	-	-	-
March Madness	03/09/19	801 Mt Vernon PI NW, Washington, DC 20001	1	9:00AM-8:00PM	Bank on DC Programming	DOES	-	110	-	-	-
Making a District Difference	03/11/19	DCHR- 1015 Half St SE, 9th Floor	6	11:00 am - 4:00 pm	Financial Education	DCHR	-	22	-	-	-
Banking Day & Reality Fair	03/12/19	McKinley Tech HS- 51 & St NE	5	3:00 pm to 5:30 pm	Financial Education	Bank on DC/ NAF Academy	-	13	-	-	-
Making a District Difference	03/12/19	DCHR, 1015 Half Street, SE, 9th Floor	6	9 a.m. - 4 p.m.		DCHR	-	-	-	-	-
Making a District Difference	03/13/19	DCHR, 1015 Half Street, SE, 9th Floor	6	9 a.m. - 3 p.m.		DCHR	10	-	-	-	-
Cardozo Community College & Career Fair	03/14/19	1200 Clifton St NW, Washington, DC 20009	1	1:00PM-2:00PM	Bank on DC Programming	DCPS	-	71	-	-	-
Money Smart for Older Adults	03/19/19	Emery Heights AARP Chapter, Peoples Congregational Church, 4704 13th St NW, Washington, DC 20011	4	1:00 pm-2:00 pm	Consumer Protection	DISB, EAPC, Emery Heights AARP Chapter	23	-	-	-	-
Excel Automotive Academy	03/20/19	1235 Kenilworth Avenue NE Washington, DC 2019	7	9:00AM-12:00PM	Financial Education	Excel	-	11	-	-	-
DC Job Fair	03/21/19	DC Armory, 2001 East Capitol Street SE, 20003	6	10 a.m. - 3 p.m.			120	-	-	-	-
Reality Fair UDC Community College	03/21/19	801 North Capitol Street, NE, Washington DC 20002, Room 810	5	5:30PM-7:00PM	Financial Education	UDC	-	20	-	-	-
Columbia Heights Education Campus financial literacy session	03/22/19	3101 16th St NW Washington, DC 20010	1	1:00PM-2:00PM	Financial Education	DCPS	-	7	-	-	-
Automobile Insurance Hearing	03/25/19	One Judiciary Square, Old Council Chambers, 441 4th Street, NW, Washington, DC 20001	2		Automobile Insurance	DISB	-	-	-	-	-
DISB Coffee & Capital	03/26/19	DCRA's Small Business Resource Center, 1100 4th Street, SW, Room E-200, Washington, DC 20024	6	10 a.m. to Noon	Small Business	DISB	26	-	-	-	-
DMPED's March Madness	03/26/19	Entertainment and Sports Arena, 1100 Oak Drive, SE, Washington, DC 20032	8	1 p.m. to 4 p.m.	Business	DMPED	32	-	-	-	-
DISB Brown Bag Workshop on Stress Management	03/27/19	DISB, 8th Floor, Large Conference Room	6	Noon - 1 p.m.	Workshop	DISB	31	-	-	-	-
Money Smart for Older Adults	03/28/19	Capitol Hill Towers, 900 G St NE, Washington, DC 20002	6	1:00 pm-2'00 pm	Workshop	DISB, EAPC, ABC Management	6	-	-	-	-
OSSE Office Equality Conference	03/28/19	800 Florida Ave NE, Washington, DC 20002	5	9:00AM-4:00PM	Financial Education	OSSE	-	68	0	0	0
Hattie Holmes Senior Wellness Center Community Health & Resource Fair*	03/29/19	Washington Convention Center, 801 Mt. Vernon Street, NW	6	9 a.m. - 5 p.m.	Small Business	Greater Washington Hispanic Chamber of Commerce	29	-	-	-	-
Free Tax Return Preparation*	03/30/19	2000 14th St NW Floor 2 Washington DC 20009	1	10:00AM-2:00PM	Community Outreach Event	OLA, DC Credit Union	-	20	0	0	0

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2019 NCRC Just Economy Conference	03/11-13/19	Washington Hilton, 1919 Connecticut Avenue, NW	Other		Financial Education Consumer Protection	National Community Reinvestment Coalition	-	-	-	-	-
April 2019											
Reality Fair UDC Community College Friendship HS	04/02/19	2705 Martin Luther King, Jr. Ave, SE, Washington DC 20032	8	9:30am-10:30am	Financial Education	UDC	-	25			
Youth Creating Change Reality Fair	04/02/19	5002 Hayes St NE Washington DC 20019	7	5:00PM-7:00PM	Financial Education	Metropolitan Police Department	-	29			
Money Smart for Older Adults	04/03/19	US Drug Enforcement Agency, 700 Army Navy Drive, Arlington, VA,	Virginia	11:15 am-12:15 pm	Consumer Protection	DISB, US DEA	10				
35th Annual Capital City Charter of the Links, Inc. Senior Luncheon	04/06/19	UDC New Student Center, 4200 Conn. Avenue, NW - Ballroom A & B	3	10:30 a.m. - 3:30 p.m.	Seniors	Capital Chapter of the Links, Inc.	46				
James Apartments Community Health, Wellness & Resource Fair	04/08/19	1425 N Street, NW	5	11 a.m. - 1 p.m.	Seniors	DCOA & The DC Housing Authority	13				
MBSYEP Orientation	04/10/19	4058 Minnesota Ave NE, Washington, DC 20019	7	10:00AM-3:00PM	Bank on DC Programming	DOES	-	6		0	0
DDOT Financial Wellness Series 2019	04/10/19	DDOT 55 M Street Washington DC 20003	6	11:00AM-2:00PM	Financial Education	DDOT	-	55			
Money Smart for Older Adults	04/11/19	Ft. Stanton Recreation Center, 1812 Erie St SE, Washington, DC 20020	8	11:00 am-1:00 pm	Consumer Protection	DISB, EAPC, DPR	20				
DDOT Financial Wellness Series 2019	04/12/19	1338 G Street SE Washington DC 20003	6	7:30AM-9:30AM	Bank on DC Programming	DDOT	-	36			
CHEC/Rotary College and Career Fair*	04/12/19	3101 16th St NW Washington, DC 20010	1	10:00AM-1:00PM	Bank on DC Programming	DCPS	-	170			
Achieving Financial Security: Retirement Planning and Aging Parent Forum	04/13/19	Metropolitan AME Church, 1518 M Street, NW	2	8:30 a.m. - 12:30 p.m.	Seniors	National Capital Chapter f the Society of Financial Service Professionals	28				
Far Southeast Family Strengthening Collaborative Annual Business Meeting and Community Conference	04/13/19	2400 Shannon PI SE, Washington, DC 20020	8	10:00AM	Financial Education	FSFSC	-	11		11	
MBSYEP Orientation	04/13/19	4058 Minnesota Ave NE, Washington, DC 20019	7	10:00AM-3:00PM	Bank on DC Programming	DOES	-	22			
Renters Insurance	04/17/19	Highland Dwellings Housing, 622 Atlantic Street, SE	8	6:30-7:30 pm	Consumer Protection	DISB, Highland Dwellings Housing Resident Council	17				
5th Annual Chevy Chase Community Center Health Resource Fair	04/18/19	Chevy Chase Community Center, 5601 Connecticut Avenue, NW	3	10:30 a.m. - 2:30 p.m.	Senior		11				
DCHR: High School Leadership Institute	04/18/19	1015 Half Street SE, 9th floor	6	12:00 pm to 2:30 pm	Bank on DC Programming	DCHR	-				
Access to Capital, Insurance and Bonding Event	04/18/19	One Judiciary Square, 441 4th Street, NW	6	9 a.m. - 12 p.m.	Small Business	DSL B	30	-	-		
The LEAP Academy- 2019 Cohort	04/19/19	1015 Half St SE, Washington, DC 20003	6	9:00AM-1:00PM	Financial Education	LEAP Academy/ Bank on DC	-	23	-	0	0
Safeway on Alabama Avenue, SE Pop-up	04/20/19	845 Alabama Ave SE, 20020	8	10 a.m. - 2 p.m..			40	-	-	-	-
Administrative Professional Week	04/22/19	1015 Half Street, SE	6	8:30 a.m. - 5 p.m.		DCHR	82	-	-	-	-
Money Smart for Older Adults	04/23/19	Deanwood Recreation Center, 1350 49th St NE, Washington, DC 20019	7	11:00 am-12:00 pm	Consumer Protection	DISB, EAPC, DPR	18	-	-	-	-
Career Bridge Reality Fair	04/23/19	1050 First street, NE, Washington, DC 20002	5	12:30PM-2:30PM	Financial Education	DCPS	-	-	-	-	-

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DISB Coffee & Capital	04/24/19	Capitol Hill Business Session, 700 Pennsylvania Avenue, SE	6	8:30 a.m. to 9:30 a.m.	DC BizCAP	Eastern Market Main Street and CHAMPS	4	-	-	-	-
Reality Fair UDC Community College	04/24/19	801 North Capitol Street, NE, Washington DC 20002, Room 810	5	2:00PM-3:30PM	Financial Education	UDC Community College	-	30	-	-	-
DDOT Financial Wellness Series 2019	04/25/19	Warehouse 1735 15th ST SE Washington DC	6	12:30PM-2:30PM	Bank on DC Programming	DDOT	-	-	-	-	-
DISB Workshop on Retirement, ICMA-RC	04/25/19	DISB	6				28	-	-	-	-
DHCD Lunch and Learn Financially Fit DC	04/25/19	1800 Martin Luther King Ave SE		11:00 am- 12:30pm	Financial Education	DHCD	-	29		30	
Money Smart for Older Adults-Rescheduled	04/26/19	Chevy Chase Community Center, 5601 Connecticut Avenue, NW	3	1:00-2:00 pm	Consumer Protection	DISB, EAPC, DPR	-	-	-	-	-
FreshFarm H Street, NE	04/27/19	800 13th Street, NE		9 a.m. - 12:30 p.m.			15	-	-	-	-
Spring 2019 Job Fair	04/27/19	Mary Virginia Merrick Center, 4275 4th Street, SE		10 a.m. - 2 p.m.	Job and Health Fair	The Temple of Praise Employment Ministry	10	-	-	-	-
Money Smart for Older Adults-POSTPONED	04/30/19	Columbia Heights Recreation Center, 1480 Girard St NW, Washington, DC 20009	1	6:00 pm - 7:00 pm	Consumer Protection	DISB, EAPC, DPR	n/a	-	-	-	-
DDOT Financial Wellness Series 2019	04/30/19	414 farragut st NE washington dc 20011	4	1:30PM-3:00PM	Bank on DC Programming	DDOT	-	-	-	-	-
MAY 2019											
DDOT Financial Wellness Series 2019	05/01/19	1735 15TH St., NE DC 20002	5	9:00AM-11:00AM	Bank on DC Programming	DDOT	-	-	-	-	-
Money Smart for Older Adults	05/02/19	Columbia Heights Village, 2900 14th St NW	1	1:00-2:00 pm	Consumer Protection	DISB, Terrific, Inc.	16				
DDOT Financial Wellness Series 2019	05/02/19	1735 15TH St., NE DC 20002	5	9:00AM-11:00AM	Bank on DC Programming	DDOT	-	-	-	-	-
PowerUP DC	05/07/19	Ronald Reagan Trade Center, 1300 Pennsylvania Avenue, NW	2	8 a.m. - 2 p.m.	Small Business	HBX	52	-	-	-	-
Money Smart for Older Adults	05/09/19	Paul Laurence Dunbar Apartments, 2001 15th St NW	1	1:00-2:00 pm	Consumer protection	DISB, Terrific, Inc., EAPC	16	-	-	-	-
2019 Small Business & Economic Development Summit	05/10/19	Convention Center, 801 Mount Vernon Place, NW	2	8 a.m. - 11:30 a.m.	Small Business	DC Chamber of Commerce	30	-	-	-	-
Fourth Annual Homeownership Town Hall and Housing Fair	05/11/19	Ron Brown High School, 4800 Meade Street, NE	8	12 p.m. - 3 p.m.	Financial Literacy	Manna	32	-	-	-	-
Money Smart for Older Adults	05/13/19	Calvary Episcopal Church, 820 6th St., NE	5	11:00 am-12:00 pm	Consumer Protection	DISB, EAPC, Calvary Senior Group	20	-	-	-	-
Renters Insurance-POSTPONED	05/13/19	St. John's Episcopal Church, 3240 O St., NW	3	1:15-2:15 pm	Consumer Protection	DISB, Georgetown Senior Center	n/a	-	-	-	-
Build It In DC	05/14/19	Washington Convention Center, 801 Mt. Vernon Pl., Washington, DC 20001	2	8 a.m. - noon	Small Business	WDCEP, DSLBD	20	-	-	-	-
DCHR: High School Leadership Institute	05/14/19	1015 Half Street SE, 9th floor	6	3:00PM-5:00PM	Bank on DC Programming	DCHR	-	-	-	-	-
Elder Housing Forum	05/15/19	Washington Senior Wellness Center, 3001 Alabama Avenue, SE	7	9 a.m. - 1 p.m.	Senior	DISB	82	-	-	-	-
District of Columbia Retail Summit	05/15/19	The Line Hotel DC, 1770 Euclid Street, NW	1	9 a.m. - 4:30 p.m.	Small Business		30	-	-	-	-
MBSYEP Orientation	05/15/19	4058 Minnesota Ave NE, Washington, DC 20019	7	10:00AM-3:00PM	Bank on DC Programming	DOES	-	22			

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The 2nd Annual Ward 4 Small Business Summit:	05/16/19	Peoples Congregational Church, 4704 13th St., NW	4	9 a.m. - 1 p.m.	Small Business	Councilmember Todd's Office	108	-	-	-	-
ONES - Money Management Session	05/16/19	ONES- 100 42nd Street NE DC 20019	7	10:00AM-12:00PM	Bank on DC Programming	Office of Neighborhood Engagement & Safety	-	16	-	15	-
Terrific, Inc. Older Americans Month Celebration - 2019 Heal and Resource Fair	05/17/19	Nineteenth Street Baptist Church, 4606 16th Street, NW	4	10 a.m. - 1:30 p.m.	Consumer Protection		60	-	-	-	-
Career Bridge Reality Fair	05/17/19	1050 First street, NE, Washington, DC 20002	5	10:00AM-12:00PM	Financial Education	DCPS	-	23	-	-	-
MBSYEP Orientation	05/18/19	4058 Minnesota Ave NE, Washington, DC 20019	7	10:00AM-3:00PM	Bank on DC Programming	DOES	-	22	-	-	-
Money Smart for Older Adults	05/19/19	Albright Memorial Methodist Episcopal Church, 411 Rittenhouse St., NW, Washington, DC 20011	4	4:00-5:30 pm	Consumer Protection	DISB, EAPC, Albright Memorial Methodist Church	5	-	-	-	-
Money Smart for Older Adults-RESCHEDULED	05/21/19	Chevy Chase Community Center,5601 Connecticut Avenue, NW	3	1:00-2:00 pm	Consumer Protection	DISB, EAPC	-	-	-	-	-
Capital Guardian Youth ChalleNge Academy	05/21/19	Oak Hill Campus- 3201 Oak Hill Dr. Laurel MD 20724	II (DC Ward	3:00PM-4:30PM	Financial Education	CGYCA	-	48	48	0	0
SEC Older Americans Month	05/22/19	Model Cities Senior Wellness Center, 1901 Evarts St. N.E. Washington, DC, 20018	5	1:00 pm-2:00 pm	Consumer Protection	DISB, SEC	26	-	-	-	-
Excel Automotive Credit Class	05/22/19	1235 Kenilworth Ave NE	7	9:30AM-12:00PM	Financial Education	EXCEL	-	5	0	0	0
Money Smart for Older Adults-RESCHEDULED	05/23/19	Harvard Towers Apartmnets, 1845 Harvard St NW	1	1:00-2:00 pm	Consumer Protection	Consumer Protection	-	-	-	-	-
Money Smart for Older Adults-	05/29/19	Model Cities Senior Wellness Center, 1901 Evarts St. N.E. Washington, DC, 20018	5	1:00 pm-2:00 pm	Consumer Protection	DIDB, EAPC, Model Cities	32	-	-	-	-
Money Smart for Older Adults-RESCHEDULED	05/30/19	Garfield Terrace Apts, 2301 11th St NW	1	1:00-2:00 pm	Consumer Protection	DISB, EAPC, Terrific, Inc.	-	-	-	-	-
JUNE 2019											
30th Annual Glover Park Day	06/01/19	Guy Mason Recreation Center, 3600 Calvert Street, NW	3	11 a.m. - 5 p.m. Set-up 10 a.m.			36	-	-	-	-
Mayor's Office on Latino Affairs* Summer Community Fair	06/01/19	Iglesia La Luz del Mundo - 1222 Rhode Island Avenue NE, Washington DC 20018	5	10:00AM-2:00PM	Community Outreach Event	MOLA	0	-	-	-	-
Home Coming Celebration	06/02/19	First SDA Church 810 Shepherd Street NW, Washington, DC 20011	4	3:00 pm - 5:00pm	Community Outreach Event	First SDA Church	-	27	-	-	-
Senior Town Talk, " Protecting Yourself and Your Pocket."	06/06/19	Berniece Fonteneau Senior Wellness Center, 3531 Georgia Ave NW	1	12:00 pm-1:00 pm	Consumer Protection	Executive Office of the Mayor, Department of Aging and Community Living	41	-	-	-	-
Dept. of Aging & Community Living-Nineteenth Street Baptist Church Senior Ministry Presentation	06/07/19	Nineteenth Street Baptist Church,4606 16th Street, NW	4	1:00-3:00 pm	Consumer Protection	DACL, 19th St. Baptist Church Senior Ministry	26	-	-	-	-
Capital Pride 2019 Festival	06/09/19	Pennsylvania Avenue, NW, (between 3rd and 7th Streets)	2	12 p.m. - 7 p.m.			350	-	-	-	-

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Proposed 2020 Health Rates Public Hearing	06/10/19	Old Council Chambers, One Judiciary, 441 4th St. NW, Washington, DC 20001	6	5:30 p.m. to 8:30 p.m.		DISB	51	-	-	-	-
DISB Coffee & Captial	06/11/19	1100 4th St. SW, E-200, Washington, DC 20024	6	10 a.m. to Noon	Small Business	DISB & DCRA	13	-	-	-	-
ONES - Credit	06/12/19	ONES- 100 42nd Street NE DC 20019	7	10:00AM-12:00PM	Bank on DC Programming	Office of Neighborhood Engagement & Safety	-	14			
DC Buys: OCP's Reverse Trade Fair	06/14/19	Ronald Reagan Building and International Trade Center, 1300 Pennsylvania Ave. NW, Washington, DC 20004	2	9 a.m. to 3 p.m.	Small Business and Doing Business with DISB	OCP	60	-	-	-	-
11th Annual DC Housing Expo & Home Show	06/15/19	Washington Convention Center, 801 Mt. Vernon Place, NW, 20001	6	10 am - 3 pm		DHCD	42 - Workshop Information table - 340	-	-	-	-
Chinatown Community Fair	06/15/19	Chinatown Park, 5th & I Street, NW		11 a.m. - 2 p.m.			55	-	-	-	-
Teen Financial Literacy Summit	06/15/19	Boys & Girls Club, TBD		10 a.m. - 2 p.m.		How to invest and research stocks	-	-	-	-	-
DC Housing Expo	06/15/19	Washington Convention Center	2	9:00 am to 5:00pm	Community Outreach Event	DHCD	-	542			
Money Smart for Older Adults-POSTPONED	06/17/19	Garfield Terrace Apartments 2301 11th St NW	1	1:00-2:00 pm	Consumer Protection	DISB, Terrific, Inc. EAPC	-	-	-	-	-
Money Smart for Older Adults-POSTPONED	06/18/19	Chevy Chase Community Center,5601 Connecticut Avenue, NW	3	1:00-2:00 pm	Consumer Protection	DISB, EAPC,DCPR	-	-	-	-	-
GZEP- Staff Training for Financial Education	06/18/19	Rise Center- 2730 Martin Luther King Jr Ave SE, Washington, DC 20032	8	1:00PM-2:30PM	Community Outreach Event	DOEE	-	70			
DC DAFL Senior Symposium	06/19/19	Ballou High School, 3401 4th St SE,20032	8	8:30 a.m. - 3 p.m.		Department on Aging and Community Living	230-44 workshop attendees	-	-	-	-
Congresswoman Norton's Small Business Fair	06/19/19	Washington Convention Center, 801 Mt. Vernon Place, NW	2	9 a.m. - 2 p.m.			110	-	-	-	-
SYEP Transportation Distribution	06/19/19	Capital One Center	2	9:00am to 3:00pm	Bank on DC Programming	DOES	-	120			
Money Smart for Older Adults-Faith Leaders Economic Empowerment Summit-	06/20/19	Trinity Plaza Apartments, 21 Atlantic St. S, Washington, DC 20032	8	10:00 am-11:00 am	Consumer Protection	DISB, Lydia's House	10	-	-	-	-
Money Smart for Older Adults	06/20/19	Harvard Towers Apartments, 1845 Harvard St NW	1	1:00-2:00 pm	Consumer Protection	DISB, Terrific, Inc, EAPC	25	-	-	-	-
Financial Education Session-CNHED	06/21/19	727 15th St NW #600, Washington, DC 20005	2	2:00PM-4:30PM	Financial Education	CNHED	-	12			
SYEP Transportation Distribution	06/22/19	DOES- 4058 Minnesota Avenue, NE Washington DC 20019	7	10:00AM-3:00PM	Bank on DC Programming	DOES	-	80			
FreshFarm Capitol Riverfront	06/23/19	200 M Street, SE	6	9 a.m.- 1 p.m.			45	-	-	-	-
19th Annual Ward 4 Family Fun Day	06/23/19	Kingsbury Day School, 5000 14th Street, NW, 20011	4	2 p.m. - 4 p.m.			75	-	-	-	-
Dept of Motor Vehicles	06/24/19	95 M St SW DC 20024	6	10:00am-12:00PM	Financial Education	MBSYEP	-	15	0	0	0
Department of Health - Office of Health Equity	06/26/19	899 North Capitol Street, NE, Washington DC 20002	5	10:00AM-12:00PM	Financial Education	MBSYEP	-	19	0	0	0
Paul Public Charter School	06/26/19	5800 8th St NW, Washington, DC 20011	4	10:00AM-12:00PM	Financial Education	MBSYEP	-	5	0	0	0

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Senior Fest	06/28/19	900 Wheeler Road & Valley Avenue, SE, 20032	8	10 a.m. - 2 p.m.		Dept. of Recreation	320	-	-	-	-
DC Africa Fashion Show and Culture Expo	06/29/19	Reeves Center, 2000 14th Street, NW	1	3 p.m. - 7 p.m.			28	-	-	-	-
HBCU Alumni Alliance 5K	06/29/19	Howard University- 2400 Sixth St NW, Washington, DC 20059	1	8:00AM- 11:00AM	Community Outreach Event	HBCU Alumni Alliance	-	200			
July 2019											
DISB-SEC "Investing for Older Americans"	07/08/19	Knollwood Military Retirement Community, 6200 Oregon Avenue, NW	4	3:00-5:00 pm	Consumer Protection	DISB, SEC	24	-	-	-	-
DISB Behavioral Health Parity Town Hall	07/09/19	DISB Eleanor Holmes Norton Room 3	6	3 p.m. - 5 p.m.	Insurance	DISB	43	-	-	-	-
Capital Harvest on the Plaza	07/12/19	Ronald Regan Building and International Trade Center, 13th and Penn. Ave., NW, 20004	2	11 a.m. - 3p.m.			10	-	-	-	-
FreshFarm Noma	07/14/19	200 K Street, NE, 20002	6	9 a.m. - 1 p.m.		FreshFarm	15	-	-	-	-
Samuel Kelsey Senior Apartments Resource Fair	07/24/19	Samuel Kelsey Senior Apartments, 3322 14th Street, NW, 20010	1	11 a.m. - 2 p.m.			105	-	-	-	-
AUGUST 2019											
Congresswoman Norton's 2019 Jobs Fair*	08/01/19	Walter E. Washington Convention Center, 801 Mt. Vernon Place, NW, 20001	2	10 a.m. - 3 p.m.		Job Fair	90	-	-	-	-
Community Health & Family Fun Day	08/03/19	Israel Baptist Church, 1251 Saratoga Avenue, NE, 20018	5	11 a.m. - 3 p.m.	Israel Baptist Church Health Ministry, S.T.E.M. Ministry & United Health Care Brentwood Health Center		35	-	-	-	-
National Night Out	08/06/19	Benning Park Community Center, 5100 Southern Avenue, SE, Ward 7, Guy Mason Rec. Ctr., 3600 Calvert St., NW, Ward 3, Lincoln Park, 1100 East Capital Street, NE, Ward 6	7	Kick-off -3 p.m. - 7 p.m Guy Mason - 5 - 8 p.m., Lincoln Park - 5 - 9 p.m.		National Association of Town Watch	1.Benning 75- 2.Guy Mason - 50 3. Lincoln Park - 60	-	-	-	-
Community Health Resource Fun Fair at Plaza West	08/10/19	Plaza West, 1035 4th Street NW, Washington, DC 20001		10:30 a.m. - 4 p.m.		Plaza West Apartments	25	-	-	-	-
Money Smart for Older Adults-Palsades Senior Village-POSTPONED	08/20/19	5428 MacArthur Blvd. NW, Washington, DC 20001	2	11:00 am-12:00 pm-	Consumer Protection	DISB, Palisades Senior Village, EAPC	-	-	-	-	-
Money Smart for Older Adults-Seabury	08/21/19	Ft.Lincoln I, 3400 Bannaker Dr. NE, Washington, DC 20018	5	12:00-1:00 pm	Consumer Protection	DISB, EAPC, Seabury	46	-	-	-	-
River Terrace Information Fair	08/21/19	River Terrace Education Campus, 405 Anacostia Avenue NE, (24th Street NE entrance) Washington, DC 20019		5 p.m. - 7 p.m.		River Terrace Community Organization	15	-	-	-	-
Money Smart for Older Adults-Seabury	08/23/19	Delta Towers, 1400 Florida Ave. NE, Washington, DC 20002	5	12:00 p.m.	Consumer Protection	DISB, EAPC, Seabury	12	-	-	-	-
DISB Proposed 2020 Health Insurance Rates Public Hearing	08/22/19	One Judiciary Square, 441 4th Street NW, Washington, DC 20001	2	5:30 p.m. - 10:30 p.m.	Hearing	DISB	-	-	-	-	-
Langston Day 2019 Block Party & Health Fair	08/24/19	667 24th Street, NE, 20002		10 a.m. - 4 p.m.	Tent, Table, (2) Chairs	Langston Community Resident Council	35	-	-	-	-

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Money Smart for Older Adults-Seabury-POSTPONED	08/27/19	Greenvalley Apartments 2412 Franklin st NE, Washington, DC 20017	5	12:00-1:00 p.m.	Consumer Protection	DISB, EAPC, Seabury	-	-	-	-	-
Money Smart for Older, Adults Train the Trainer	08/28/19	DISB, 1050 First St., NE , Room 107	6	2:00-4:00 p.m.	Consumer Protection	Consumer Financial Protection Bureau, DC Financial Literacy Council, DISB	20	-	-	-	-
Money Smart-Seabury-Seabury	08/29/19	Cabar Halal,1519 4th St. NW, Washington, DC 20001	5	12:00-1:00 p.m.	Consumer Protection	DISB, EAPC, Seabury	15	-	-	-	-
FreshFarm Mt. Vernon Triangle	08/31/19	499 I Street, NW, 20001	6	9 a.m. - 1 p.m.	Need Tent, table, Chairs & weights w/bungees		13	-	-	-	-
SEPTEMBER 2019											
Fresh Farm Dupont Circle	09/01/19	1500 Dupont Circle NW, Washington, DC 20036	2	8:30 a.m. - 1:30 p.m.	Need Tent, table, chairs & weights w/bungees		20	-	-	-	-
Congresswoman Norton's Senior Fair	09/04/19	Deanwood Recreation Center, 1350 49th Street NE, 20019	7	10 a.m. - 3 p.m.			65	-	-	-	-
Ward 7 Community Day	09/07/19	Redeeming Love Outreach Center, 4611 Nannie Helen Burrough Avenue, NE, 20019	7	1 p.m. - 5 p.m.	Need tent (Set-up between 11 am)	Redeeming Love Outreach Center	45	-	-	-	-
10th Annual DC State Fair	09/08/19	Gateway DC at Saint Elizabeths East, 2700 MLK Avenue SE, Washington, DC 20032	8	11 a.m. - 7 p.m.	Need tent.		100	-	-	-	-
Money Smart for Older Adults-Seabury	09/10/19	Asbury Dwellings, 1616 Marion St. NW	5	11:00 a.m.-1:00 p.m.	Consumer Protection	DISB, EAPC, Seabury	15	-	-	-	-
Behavioral Health Parity Consumer Workshop	09/16/19	Department of Behavioral Health, 64 New York Avenue NE, WDC 20002	5	4 p.m. to 5 p.m.	Behavioral Health	DISB, DBSA, Royhas Communications	-	-	-	-	-
Money Smart for Older Adults-Seabury	09/12/19	Greenleaf Apartments Senior Bldg. 1200 Delaware Ave SW	5	11:00 p.m.-1:00 p.m	Consumer Protection	DISB, EAPC, Seabury	20	-	-	-	-
								-	-	-	-
Behavioral Health Parity Consumer Workshop	09/13/19	Giant Food, 1535 Alabama Avenue SE, WDC 20032	8	Noon to 1 p.m.	Behavioral Health	DISB, DBSA, Royhas Communications	8	-	-	-	-
Money Smart for Older Adults-UPO Foster Grandparent Program	09/13/19	Mathews Memorial Baptist Church,2616 Martin Luther King Jr Ave SE, Washington, DC 20032	8	11:00 am-1:00 pm	Cosumer Protection	DISB, EAPC, UPO	127	-	-	-	-
Gethsemane Baptist Church Annual Summer Cookout	09/14/19	Gethsemane Baptist Church,5119 4th Street NW, Washington, DC 20011	5	Noon - 5 p.m.	Will provide table and two chairs (outdoors)	Gethsemane Baptist Church	60	-	-	-	-
Ward 5 Day	09/14/19	Langdon Park, 2901 20th Street, NE, Washington, DC 20018	5	11 a.m. - 3 p.m.	Need Tent.		70	-	-	-	-
Latino Economic Development Center's First Annual Homeowners Fair	09/14/19	1640 Columbia Road, NW, 20009	1	11 a.m. - 3 p.m.			15	-	-	-	-
DISB Coffee & Capital @DCRA's Small Business Resource Center	09/16/19	DCRA, 1100 4th St. SW, Washington, DC 20024	6	5 p.m. to 7 p.m.	Small Business	DCRA	17	-	-	-	-
Money Smart for Older Adults-Seabury	09/17/19	Sibley Plaza, 1140 North Capitol St NW, Washington, DC 20002	5	11:00 p.m.-1:00 p.m	Cosumer Protection	DISB, EAPC, Seabury	13	-	-	-	-
Money Smart for Older Adults-UDC Gerontology Institutue-Companion Respite Program	09/18/19	UDC, 4200 Connecticut Avenue, NW Washington, DC 20008	3	11:0-0 am to 12:00 pm	Consumer Protection	DISB EAPC, UDC Gerontology Institute	59	-	-	-	-

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Money Smart for Older Adults-Seabury-POSTPONED	09/19/19	Edgewood Commons, 635 Edgewood St NE,	5	12:00 p.m.-1:00 p.m.	Consumer Protection	DISB, EAPC, Seabury	-	-	-	-	-
Behavioral Health Parity Consumer Workshop	09/24/19	Psychiatric Institute of Washington, 4228 Wisconsin Avenue NW, Washington, DC 20016	3	noon to 1 p.m.	Mental Health Parity	DISB, DBSA and Royhas Communications	-	-	-	-	-
H Street Festival	09/21/19	3rd St. NE to 14 St. NE, Washington, DC, 20002	6	noon - 7 p.m.			500	-	-	-	-
Money Smart for Oder Adults-Capitol Hill Village	09/20/19	NCB, 316 Pennsylvania Avenue, SE, Washington, DC 20003	6	11:30 -1:30	Consumer Protection	DISB, EAPC, Capitol Hill Village	25	-	-	-	-
Fiesta DC	09/22/19	Pennsylvania Ave NW, from 3rd St to 7th ST NW, Washington, DC 20004	2	11 a.m. - 7 p.m.			450	-	-	-	-
Elder Housing Forum	09/25/19	Bernice Elizabeth Fontenau Senior Wellness Center, 3531 Georgia Avenue, NW, Washington, DC 20010	1	9:00 a.m. - 11:30 a.m.			53	-	-	-	-
Mayor Muriel Bowser Presents District Connect	09/25/19	Kellogg Conference Hotel, 800 Florida Avenue NE, Washington, DC 20002	5	8:30 a.m. to 3 p.m.	Small Business	DSLBD	-	-	-	-	-
Employee Workshop on Estate Planning	09/26/19	DISB	6	noon - 1 p.m.			-	-	-	-	-
Money Smart for Older Adults-Seabury	09/26/19	Friendship Terrace Retirement Community, 4201 Butterworth Place, N.W.	3	11:00 a.m.-12:00 p.m.	Consumer Protection	DISB, EAPC, Seabury	7	-	-	-	-
Money Smart for Older Adults-Seabury	09/27/19	The Vicksburg 3005 Bladensburg Rd NE, Mgr, Darlene Saunders	5	12:00 p.m.-1:00 p.m.	Consumer Protection	DISB, EAPC, Seabury	15	-	-	-	-
Barracks Row Fall Festival	09/28/19	8th & I Street, SE, 20019		10 a.m. - 5 p.m.	Tent	Barracks Row Main Street	128	-	-	-	-
Hillcrest Community Day	09/28/19	Hillcrest Recreation Center, 3100 Denver St SE, 20020	7	11 a.m. - 3 p.m.			22	-	-	-	-
Preparedness Day at Nationals Park	09/29/19	1500 S. Capitol Street SE, Washington, DC 20003	6	3 p.m. to 4 p.m.	Business Insurance and DC BizCAP	HSEMA	80	-	-	-	-
DC Latino Conference on Disabilities	09/30/19	St. Stephen and the Incarnation Episcopal Church, 1525 Newton Street, NW, 20010	1	- 3 p.m. (table 12:30 - 1:30 p.m.)			23	-	-	-	-
OCTOBER 2019											
Department of Commerce- 2nd Annual D&I Employee Engagement Expo Day	10/02/19	Dept of Commerce- 1401 Constitution Ave. NW Washington, DC 20230	6	10:00 am - 1:00pm	Community Outreach Event	Department of Commerce	-	45			
DC Housing Authority Benning Terrace Health and Resource Fair	10/05/19	4450 G Street, SE, 20019	7	11 a.m. 3 p.m.	Indoors, 50-70 ppl.		15	-	-	-	-
Money Smart for Oder Adults	10/07/19						-	-	-	-	-
Sibley Plaza Town Houses Fall Safety Festival	10/11/19	1100 Block of First Place, NW	6	12 p.m. - 4 p.m.	Need Tent, Table and Chairs		-	-	-	-	-
Sibley Plaza Town Houses Fall Safety Festival	10/11/19	1100 Block of First St NW,	6	12:00pm - 4:00pm	Community Outreach Event		-	80			
Retired Educators Annual Meeting & Community Health, Fun & Resource Fair	10/17/19	Nineteenth Street Baptist Church, 4606 16th Street, NW, 20011	4	10:30 a.m. - 2 p.m. (Set-up from 10 a.m.)		DC Retired Educators	35	-	-	-	-
ONSE- Pathways Program	10/17/19	Office of Neighborhood Safety and Engagement- 100 42nd Street NE	7	10:00am - 12:00 pm	Bank on DC Programming	ONSE	-	21			

EVENT TITLE	EVENT DATE	LOCATION	WARD	TIME	TYPE OF EVENT	SPONSOR	# OF ATTENDEES	BANK ON DC ATTENDEES	BANK ON DC ACCOUNTS	FIN FIT DC ATTENDEES	FINANCIALLY FIT DC (SIGNED UP)
Hattie Holmes Senior Wellness Center's Annual Community Health, Resources and Fun Fair	10/18/19	Hattie Holmes Senior Wellness Center, 324 Kennedy Center, NW, 20011	4	10:30 a.m. - 2 p.m. (Set-up 10 am.)		Hattie Holmes Senior Wellness Center	45	-	-	-	-
Financially Fit DC Workshop Series	10/19/19	Woodridge Library- 1801 Hamlin St NE	5	11:00am to 2:00pm	Financial Education	MOAAA, DISB, DCPL, Industrial Bank	-	61			
Park Hyatt Washington 2019 Health and Wellness Fair	10/21/19	Park Hyatt Washington, 1201 24th Street, NW 20037	2	2 p.m. - 4 p.m. (Set-up 1 p.m. - 1:30 p.m.)			25	-	-	-	-
Captive Insurance Conference	10/22/19	Marriott at Metro Center		all-day	Captive Insurance	CIC-DC	65	-	-	-	-
Senior Day - State of Ward 4 Seniors	10/24/19	Riggs LaSalle Recreation Center, 501 Riggs Road, NE	4	10 a.m. - 2 p.m.			350	-	-	-	-
ANC 4D Community Fun Day	10/26/19	Larry's Park, Illinois Avenue NW and 9th and Gallatin Street NW, 20011	4	2 p.m. - 5 p.m.	Need Tent, Table, Chairs (Sylvia - DISB banner returned)	ANC 4D	-	-	-	-	-
October Career Fair-DOES	10/29/19	DOES- Career Fair	7	10:00am to 3:00pm	Bank on DC Programming	DOES	-	85			
NOVEMBER 2019											
DC Health Link Open Enrollment Community Day & Health Fair (postponed)	11/02/19	Woodbridge Neighborhood Library, 1801 Hamlin Street, NE	5	10 a.m. - 2 p.m.	Health Insurance	Health Fair	-	-	-	-	-
DISB Coffee & Capital	11/04/19	1100 4th Street SW, Washington, DC 20024	6	10.a.m. to noon	small business TB return returned DISB Banner	DISB & DCRA	17	-	-	-	-
Hyatt Regency Washington 2019 Wellness Fair	11/05/19	Hyatt Regency Washington, 400 New Jersey Avenue NW, 20001	6	12 p.m.- 4 p.m.(Set-up 11 a.m. - 11:30 a.m.)	Id returned DISB Banner	Employee Fair	28	-	-	-	-
Grand Hyatt Washington 2019 Wellness Fair	11/08/19	Grand Hyatt Washington, 1000 H Street NW 20001	2	12 p.m.- 4 p.m.(Set-up 11 a.m. - 11:30 a.m.)		Employee Fair	33	-	-	-	-
National Veteran Small Business Week	11/05/19	441 4th Street, NW old chamber council room	2	9:00am to 2:00pm	Financial Education	Mayor's Office of Veteran Affairs	-	5			
Cardozo's College and Career Fair	11/07/19	1200 Clifton St NW, Washington DC 20009	1	10:00am to 1:00pm	Financial Education	Cardozo High School	-	85			
Open Enrollment Day 2020 Benefits Fairs	11/12/19	Frank D. Reeves Center 2000 14th St NW	1	10:00am- 3:00pm	Bank on DC Programming		-	86			
Open Enrollment Day 2020 Benefits Fairs	11/13/19	DC Public Schools Central Office 1200 First Street, NE	6	1:00pm- 6:30pm	Bank on DC Programming		-	133			
ONSE- Pathways Program	11/13/19	Office of Neighborhood Safety and Engagement- 100 42nd Street NE	7	1:30pm- 3:30pm	Bank on DC Programming	ONSE	-	15			
Ward 4 Mini-Commission on Aging	11/14/19	Ward 4 Mini-Commission on Aging, 6001 Georgia Avenue, N.W	4	10:00-11:00 am	Consumer Protection	DISB, Ward 4 Mini-Commission on Aging	-	-	-	-	-
Open Enrollment Day 2020 Benefits Fairs	11/14/19	John A. Wilson Building 1350 Pennsylvania Avenue, NW	2	10:00am to 3:00pm	Bank on DC Programming		-	-	-	-	-
Annual Meeting + ECON Showcase	11/14/19	Washington Convention Center, 801 Mt. Vernon Place, Washington, DC 20001	1	10 a.m. to Noon	Small Business	Washington DC Economic Partnership	25	-	-	-	-
Financially Fit DC Workshop Series	11/16/19	Anacostia Library- 1800 Good Hope Rd SE	8	11:00am to 2:00pm	Financial Education	MOAAA, DISB, DCPL, Industrial Bank	-	50			
Open Enrollment Day 2020 Benefits Fairs	11/19/19	Office of the Chief Financial Officer 1101 4th Street, SW	6	11:00am- 3:00pm	Bank on DC Programming		-	116			
Capital Guardian Youth Challenge Academy	11/19/19	3201 Oak Hill Dr. Laurel MD 20724		9:30 am to 12:00pm	Financial Education	DC National Guard/ Capital Youth Challenge Academy	-	126			

EVENT TITLE	EVENT DATE	LOCATION	WARD	TIME	TYPE OF EVENT	SPONSOR	# OF ATTENDEES	BANK ON DC ATTENDEES	BANK ON DC ACCOUNTS	FIN FIT DC ATTENDEES	FINANCIALLY FIT DC (SIGNED UP)
Open Enrollment Day 2020 Benefits Fairs	11/20/19	Dept. of Behavioral Health 64 New York Avenue, NE	5	10:00am to 3:00pm	Bank on DC Programming			126			
DECEMBER 2019											
DHS Entrepreneurship Expo	12/10/19	Reeves Center, 2000 14th Street, NW	1	10 a.m. - 3 p.m.	Small Business	Department of Human Services	-	-	-	-	-
Money Smart for Older Adults	12/12/19	Capitol Hill towers, 900 G St., NE	6	1:00-2:00 pm	Consumer Protection	DISB, EAPC	-	-	-	-	-
Mayor's Senior Holiday Party	12/19/19	DC Armory, 2001 E Capitol St SE, 20003	6	10 a.m. - 2 p.m.	Senior	DC Office on Aging and Community Living	1800	-	-	-	-

Appendix 19
Bank Branches by Ward

<u>Bank Name</u>	<u>Address</u>	<u>Ward</u>
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	3100 14th Street N.W.	1
Bank of America, National Association	3131 Mt. Pleasant 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
Capital One, National Association	1947 14th Street, N.W.	1
Citibank, National Association	3241 14th St N W	1
Industrial Bank	2000 11th Street, N.W.	1
JPMorgan Chase Bank, National Association	3100 14th Street N.W., Suite 118	1
PNC Bank, National Association	1779 Columbia Road, N.W.	1
PNC Bank, National Association	3300 14th Street, N.W.	1
United Bank	1301 U Street, N.W.	1
Wells Fargo Bank, National Association	1901 7th St 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
	Totals for Ward 1	16
Amalgamated Bank	1825 K Street, N.W.	2
Bank of America, National Association	901 K Street, N.W. Ste 101	2
Bank of America, National Association	1001 Pennsylvania Avenue, N.W.	2
Bank of America, National Association	1090 Vermont Avenue, N.W.	2
Bank of America, National Association	700 13th Street, N.W.	2
Bank of America, National Association	2001 Pennsylvania Ave N.W. Frnt 1	2
Bank of America, National Association	1800 K Street N.W.	2
Bank of America, National Association	1801 K Street, N.W.	2
Bank of America, National Association	888 17th 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
BNY Mellon, National Association	1250 H Street, N.W.	2
Branch Banking and Trust Company	1099 New York Ave N.W. Ste 100	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 St 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	1200 F Street N.W.	2
Capital One, National Association	1700 K Street, N.W.	2

Appendix 19
Bank Branches by Ward

<u>Bank Name</u>	<u>Address</u>	<u>Ward</u>
Capital One, National Association	1800 M Street, N.W.	2
CIBC National Trust Company	1201 F Street, N.W. Suite 900	2
Citibank, National Association	1101 Pennsylvania Ave N.W., 9th Floor	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	1218 Connecticut Avenue N.W.	2
Citibank, National Association	1717 K St N.W.	2
Citibank, National Association	1000 Connecticut Avenue, N.W.	2
Citibank, National Association	2221 I Street, N.W.	2
City First Bank of D.C., National Association	1432 U Street, N.W.	2
City National Bank	2001 M Street N.W.	2
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	2
EagleBank	1228 Connecticut Avenue N.W.	2
FVCbank	1301 9th Street 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. Suite 702	2
JPMorgan Chase Bank, National Association	1401 New York Ave, N.W.	2
Manufacturers and Traders Trust Company	555 12th Street N.W.	2
Manufacturers and Traders Trust Company	1350 I Street, Northwest, Suite 200	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 Penn 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	800 17th Street, N.W.	2
PNC Bank, National Association	1919 Pennsylvania Avenue, 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

Appendix 19
Bank Branches by Ward

<u>Bank Name</u>	<u>Address</u>	<u>Ward</u>
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
Premier Bank, Inc.	1130 Connecticut Avenue, N.W., #200	2
Presidential Bank, FSB	1660 K Street	2
Sandy Spring Bank	1299 Pennsylvania Avenue, N.W.	2
Sandy Spring Bank	1025 Connecticut Avenue, N.W., 1st Floor	2
Sandy Spring Bank	1146 19th Street, N.W.	2
SunTrust Bank	1445 New York Avenue, N.W.	2
SunTrust Bank	1100 G Street, N.W.	2
SunTrust Bank	1275 K Street, N.W.	2
SunTrust Bank	900 17th St N.W.	2
SunTrust Bank	1800 Columbia Road, N.W.	2
SunTrust Bank	1369 Connecticut Avenue, N.W.	2
SunTrust Bank	1150 Connecticut Avenue, N.W.	2
SunTrust Bank	2250 M Street N.W.	2
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., Suite 200	2
United Bank	1001 G Street, N.W.	2
United Bank	1776 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	1301 Pennsylvania Avenue N.W.	2
Wells Fargo Bank, National Association	1350 New York Avenue, N.W.	2
Wells Fargo Bank, National Association	1510 K Street, N.W.	2
Wells Fargo Bank, National Association	1447 P Street, N.W.	2
Wells Fargo Bank, National Association	1300 I 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	2001 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

Appendix 19
Bank Branches by Ward

<u>Bank Name</u>	<u>Address</u>	<u>Ward</u>
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
Wilmington Trust, National Association	1350 I Street, N.W.	2
	Totals for Ward 2	104
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	4400 Massachusetts Avenue N.W.	3
Capital One, National Association	4860 Massachusetts Avenue, N.W.	3
Citibank, National Association	1901 Wisconsin Ave., N.W.	3
Citibank, National Association	5700 Connecticut Avenue, N.W.	3
Citibank, National Association	5250 Macarthur Boulevard, N.W.	3
Citibank, National Association	5001 Wisconsin Avenue, N.W.	3
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	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 Ave 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

Appendix 19
Bank Branches by Ward

<u>Bank Name</u>	<u>Address</u>	<u>Ward</u>
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	3314 Wisconsin Ave, N.W.	3
Wells Fargo Bank, National Association	5201 Macarthur Boulevard, N.W.	3
	Totals for Ward 3	39
Industrial Bank	4812 Georgia Avenue N.W.	4
Manufacturers and Traders Trust Company	6434 Georgia Avenue, N.W.	4
PNC Bank, National Association	7601 Georgia Avenue, N.W.	4
SunTrust Bank	6422 Georgia Avenue, N.W.	4
The National Capital Bank of Washington	5228 44th Street, N.W.	4
	Totals for Ward 4	5
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
	Totals for Ward 5	10
Bank of America, National Association	722 H Street, N.E.	6
Bank of America, National Association	55 M Street Southeast, Suite 101	6
Bank of America, National Association	201 Pennsylvania Ave S.E.	6
Branch Banking and Trust Company	360 H St N.E.	6
Branch Banking and Trust Company	317 Pennsylvania Avenue S.E.	6
Capital One, National Association	336 Pennsylvania Avenue S.E.	6
Citibank, National Association	600 Pennsylvania Avenue, S.E.	6
JPMorgan Chase Bank, National Association	130 M Street S.E.	6
PNC Bank, National Association	800 H Street, N.E.	6
PNC Bank, National Association	650 Pennsylvania Avenue, S.E.	6
Premier Bank, Inc.	1160 First Street, N.E.	6
SunTrust Bank	Two Massachusetts Avenue, N.W.	6
SunTrust Bank	100 M St, S.E.	6
SunTrust Bank	300 Pennsylvania Ave S.E.	6
TD Bank, National Association	1275 First Street N.E., Suite A	6
The National Capital Bank of Washington	316 Pennsylvania Avenue, S.E.	6
Wells Fargo Bank, National Association	490 L Street N.W.	6
Wells Fargo Bank, National Association	444 North Capitol Street, N.W.	6

Appendix 19
Bank Branches by Ward

<u>Bank Name</u>	<u>Address</u>	<u>Ward</u>
Wells Fargo Bank, National Association	215 Pennsylvania Avenue, S.E.	6
Wells Fargo Bank, National Association	600 Maryland Avenue, S.W.	6
	Totals for Ward 6	20
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
JPMorgan Chase Bank, National Association	3900 Minnesota Avenue, 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
	Totals for Ward 7	8
Bank of America, National Association	2100 Martin Luther King Jr. Avenue, S.E.	8
Industrial Bank	1800 Martin Luther King Jr. Ave, S.E.	8
JPMorgan Chase Bank, National Association	800 Connecticut Avenue	8
JPMorgan Chase Bank, National Association	2200 Martin Luther King, Jr., Avenue, S.E.	8
PNC Bank, National Association	2000 Martin Luther King, Jr. Avenue, S.E.	8
PNC Bank, National Association	4100 South Capitol Street, S.E.	8
SunTrust Bank	1340 Good Hope Rd S.E.	8
Wells Fargo Bank, National Association	1545 Alabama Avenue S.E.	8
	Totals for Ward 8	8