STATE OF NEW YORK
JOINT COMMISSION ON PUBLIC ETHICS

540 Broadway
Albany, New York 12207

IN THE MATTER OF

Arnaldo Lopez (Respondent).

SUBSTANTIAL BASIS INVESTIGATION REPORT
AND SETTLEMENT AGREEMENT

Case No. 14-140

WHEREAS, the Joint Commission on Public Ethics (the "Commission") has authority pursuant to Executive Law §94 to conduct an investigation to determine whether a substantial basis exists to conclude that a violation of Section 73-a of the Public Officers Law has occurred, to issue a report of its finding of a substantial basis to conclude that a violation has occurred, and to impose penalties for such violation as provided for in the Public Officers Law;

WHEREAS, this Settlement Agreement ("Agreement") is entered into by and between the Commission and 14-140 (the "Respondent");

WHEREAS, in 2012, Respondent was required to comply with the reporting requirements set forth in Section 73-a of the Public Officers Law;

WHEREAS, the Commission has found that the Respondent was required to file the 2012 Financial Disclosure Statement(s) (the "Statement(s)") by the statutory due date(s) pursuant to Public Officers Law §73-a;

WHEREAS, the Respondent was notified by Commission staff that his/her filing was overdue, that he/she was subject to late fees, and was given an opportunity to submit the required filings and avoid administrative enforcement procedures and applicable penalties, but still failed to file the required Statement;

WHEREAS, on December 31, 2013, a Notice of Failure to File was issued which afforded Respondent fifteen (15) days to file;

WHEREAS, on November 7, 2014, a formal Notice of Delinquency was issued which afforded Respondent fifteen (15) days to respond;

WHEREAS, in lieu of appearing in an adjudicatory proceeding that could result in the assessment of a civil penalty, the parties to this Agreement have agreed to resolve their dispute in a manner that avoids further administrative proceedings;

NOW THEREFORE, in consideration of the mutual covenants made herein, as the final settlement of the violation set forth herein, the parties stipulate and agree that:

I. The Respondent admits that he/she knowingly and willfully failed to file the Statement(s) in violation of the Public Officers Law §73-a.

II. The Respondent has filed an accurate and complete 2012 Financial Disclosure Statement(s) before the execution of this Agreement.

III. The Respondent agrees to pay to the Commission the amount of $200 in settlement of said violation within 15 days of the execution of this Agreement. If full payment is not received within 15 days of the execution of this Agreement, this Agreement shall become null and void in its entirety.

IV. Notwithstanding the provisions of this Agreement, the Respondent understands and acknowledges that the Commission may investigate other violations, if any, by the Respondent, of the Public Officers Law.

V. Respondent waives the right to assert any defenses or any challenges to this Agreement, as well as any right to appeal or challenge the determination or conduct of the Commission relating to this matter in any forum.

VI. This Agreement and any dispute related thereto shall be governed by the laws of the State of New York without regard to any conflict of laws principles.

VII. It is understood that this Agreement is not confidential and will be made public within 45 days of its execution in accordance with Executive Law §§94(14) & (19).

VIII. This Agreement constitutes the entire agreement between the parties and supersedes any prior communication, understanding, or agreement, whether oral or written, concerning the subject matter of this Agreement. No representation, inducement, promise, understanding, condition or warranty not set forth in this Agreement has been relied upon by any party to this Agreement.

IX. Any amendment or modification to this Agreement shall be in writing and signed by both parties.

X. This Agreement shall become effective upon execution by the Commission or its designee.

XI. In the event that one or more provisions contained in this Agreement shall for any reason be held to be invalid, illegal, or unenforceable in any respect, such invalidity, illegality, or unenforceability shall not affect any other provision of this Agreement.

Dated: December 29, 2014

11/27/2014 Letizia Tagliafierro

New York State
Joint Commission on Public Ethics

ACCEPTED AND AGREED TO
THIS 27 DAY OF NOVEMBER, 2014

Arnaldo Lopez

Approved: Daniel J. Horwitz
Chair
Paul Casteleiro
Hon. Joseph Covello
Marvin E. Jacob
Seymour Knox, IV
Gary J. Lavine
Hon. Mary Lou Rath
David A. Renzi
Michael A. Romeo, Sr.
Renee R. Roth
George Weissman

Absent: David Arroyo
Members