



City of San Antonio Ethics Review Board Annual Report – 2013



City Ordinance 88874, approved on November 19, 1998, created the Ethics Review Board, which met for the first time on April 30, 1999. A City Charter election held in May 2004, and the adoption of a City Campaign Finance Regulation ordinance in August 2004, necessitated the modification of the responsibilities and jurisdiction of the Ethics Review Board. A new ethics ordinance (City Ordinance 100283) was adopted by City Council on January 13, 2005. The Charter amendment formally dissolved the board created by the 1998 ordinance and established an independent board with the ability to deliver binding rulings and impose sanctions and fines. The initial members of this new board were appointed in April 2005.

In the year 2013, the Board met as a body eight times. There were twelve Complaints resulting in ten Determinations/Opinions rendered by the Board (see Attachment A) and two deferrals as the issues were being investigated by OMI, HR, and/or SAPD. The City Attorney's Office rendered four formal Advisory Opinions, the ERB none (see Attachment B). The complete text of each Determination and/or Opinion can be obtained from the Office of the City Clerk; the extracts provided in the attachments to this document are for information purposes only.

As an element of our Annual Report, the Ethics Review Board is charged with submitting recommended changes to the Ethics Code and Campaign Finance Code. On May 9th 2013, City Council unanimously approved a significant list of proposed changes to the City's Ethics Code and Campaign Finance Code, adopting all the changes proposed by the Board, the City Attorney's Office, and the Office of the City Clerk in previous reports. As a result, this report includes few proposed changes (see Attachment C). We will continue to review both codes and future proposed changes will be included in subsequent Annual Reports. The Code changes in May established a new Ethics Compliance Auditor position. The Board established a panel to assist in the selection of the new Compliance Auditor and to develop the necessary rules and procedures to implement this position. The Auditor was hired in December 2013.

A list of registered lobbyists – current as of December 10, 2013 – has been provided by the City Clerk (see Attachment D).

Ethics/Campaign Finance Training in 2013: Training sessions on the City's Ethics Code, the Municipal Campaign Finance Regulations and City's Election Campaign Finance filing system are presented by the Office of the City Clerk and Office of the City Attorney. In March of 2006, the San Antonio City Manager adopted a program of mandatory ethics training for all City employees. As part of this program, refresher training is performed biannually. Ethics training was conducted at three Municipal Leadership Institute sessions. Additionally, other workshops and presentations on Ethics were conducted by the City Attorney's Office in 2013 (see Attachment E). This training needs to receive continued emphasis by the City and should be mandatory for all.

The members of the Board believe that the Code and the ethics review process will continue to create affirmative change in city governance and in our citizens' perception of the same. The Board also feels that the mandatory ethics training for City employees has been very beneficial in reducing ethics violations and combined with the opinions issued by the City Attorney's Office and the Ethics Review Board have resulted in increased awareness of and compliance with the City's Code of Ethics. Ethics must continue to receive emphasis and everyone involved in City government must consider the ethical implications of their actions at all times. Additional training and emphasis on Financial Disclosure and Campaign Finance Reports needs to take place. This is an area of serious concern since complaints alleging incorrect and/or incomplete forms submitted by City Officials continue to be received.

The Ethics Review Board Members – 2013

The following persons were confirmed by the City Council to serve on the Ethics Review Board for the terms indicated.

| <u>NAME</u> | <u>APPOINTED BY</u> | <u>DATE APPOINTED</u> | <u>DATE TERM EXPIRES</u> |
|----------------------------|-------------------------|---------------------------|------------------------------|
| Marisa Bono | Mayor | Mar. 7, 2013 | Apr. 25, 2014 |
| David A. Armendariz | District 1 | Dec. 13, 2012 | Apr. 25, 2015 |
| Dolores Lott | District 2 | Apr. 14, 2005 | Apr. 25, 2011 |
| Michael S. Ariens | District 3 | Jun. 16, 2005 | Apr. 25, 2012 |
| Ruben J. DeLeon | District 3 | Dec. 19, 2013 | Apr. 25, 2014 |
| August Stephen Johnson | District 4 | Apr. 14, 2005 | Apr. 25, 2012 |
| Victor Guevara | District 5 | Feb. 4, 2010 | Apr. 25, 2013 |
| John Salmons | District 6 | Jul. 14, 2012 | Apr. 25, 2014 |
| Linda M. Jackson | District 6 | Nov. 21, 2013 | Apr. 25, 2014 |
| Elizabeth Benavides Melson | District 7 | Apr. 14, 2005 | Apr. 25, 2012 |
| Burke C. Marold | District 7 | Mar. 7, 2013 | Apr. 25, 2014 |
| Charles Saxer | District 8 | Dec. 4, 2008 | Apr. 25, 2013 |
| Arthur J. Downey* | District 9 | Apr. 14, 2005 | Apr. 25, 2011 |
| Robert W. Piatt** | District 10 | Mar. 1, 2012 | Apr. 25, 2013 |

* Chair

** Vice-Chair

Attachment A

Ethics Determinations – 2013

| Number | Date | Complaint & Opinion |
|-------------------|------------------|--|
| Opinions 13-01/02 | January 23, 2013 | <p>On the 15th day of January 2013, a panel of the whole of the Ethics Review Board of the City of San Antonio convened to consider and conduct a hearing on two complaints filed under the City’s Ethics Ordinance. On October 10, 2012 Michael Cuellar filed a Complaint against eight City employees, two elected officials and unnamed Capital Improvements Management Services Department (CIMS) staff. The Complaint was accepted regarding to former Deputy City Manager Pat DiGiovanni and David Zachry (Respondent(s)), CEO Zachry Corporation, (Respondent(s)), and it was dismissed regarding to the remaining City employees and elected officials because the Complaint failed to provide evidence of any rule violations to forward to the Board. The complaint was dismissed against the unnamed CIMS staff, as the Ethics Code requires identification of individuals who are alleged to have violated the Code. On October 19, 2012, Reynaldo S. Rocha filed a Complaint against Pat DiGiovanni and City Manager Sheryl Sculley regarding the award of the Convention Center Expansion project. The Complaint was accepted regarding Pat DiGiovanni and it was dismissed regarding Ms. Sculley because the Complaint failed to provide any evidence of any rule violations to forward to the Ethics Review Board. Upon consideration of the application and of the evidence presented, the Ethics Review Board concluded that the allegations set forth in the Complaints of violations by Respondent Pat DiGiovanni regarding Sections 2-47, 2-49 and 2-72 of the Ethics Code should be DISMISSED for the reason that no person may be held to have violated the Ethics Code unless a majority of the members of the Board hearing the matter so finds by a preponderance of the evidence. It was further the opinion of the Board that Respondent DiGiovanni did violate Section 2-43 (a) (9) of the Ethics Code, in the manner described above, and the order of the Board that a LETTER OF ADMONITION as provided in Section 2-87(f)(7) of the Ethics Code be issued to the Respondent DiGiovanni regarding this violation.</p> <p>It was also the opinion and order of the Board that the allegations set forth in the Complaint by Mr. Cuellar of violations by Respondent David Zachry regarding Sections 2-60, and 2-61 of the Ethics Code should be DISMISSED for the reason that no person may be held to have violated the Ethics Code unless a majority of the members of the Board hearing the matter so finds by a preponderance of the evidence.</p> |
| Opinion 13-03 | March 5, 2013 | <p>On January 28, 2013, Ms. Elena Guajardo filed an Ethics complaint alleging that Diego Bernal had accepted campaign contributions exceeding the campaign contribution limits set by the Municipal Campaign Finance Regulations as reported in the candidate’s campaign finance report “30 Day Before Election 2011 Report”. If proven to be true, these allegations could indicate a violation of Sections 2-302 and 2-307 of the Municipal Campaign Finance Regulations. On February 18, 2013, the Ethics Review Board convened as a panel of the whole to review the allegations filed by</p> |

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| | | Ms. Guajardo. The board reviewed the complaint filed by Ms. Guajardo. Mr. Bernal did not submit a response to the complaint, but the Office of the City Clerk provided a copy of Mr. Bernal’s campaign finance reports and his revised/corrected reports for the respective reporting periods. Based on the sworn complaint and information provided by the Office of the City Clerk, the Board concluded the following: That contributions exceeding the limits had not been accepted and that the purported violations were actually inadvertent administrative errors. These errors were corrected promptly when discovered with an amended report within the time limits set by the Code; therefore there was no violation of the Ethics Code or of the Municipal Campaign Finance Regulation. The complaint was DISMISSED. |
| Opinion 13-04 | March 5, 2013 | On January 28, 2013, Ms. Elena Guajardo filed an Ethics complaint alleging that Cris Medina had failed to report either expenditures or in-kind donations for a fund-raising event as reported in the candidate’s campaign finance report “January 15 Semi-Annual 2013 Report”. He also failed to list a contribution to the Jefferson Neighborhood Association. If true, these allegations could indicate a violation of Sections 2-302(a) and 2-307(e) of the Municipal Campaign Finance Regulations. Additionally this campaign finance report contained mathematical errors or omissions. On February 18, 2013, the Ethics Review Board convened as a panel of the whole to review the allegations filed by Ms. Guajardo. The board reviewed the complaint filed by Ms. Guajardo. Mr. Medina did not submit a response to the complaint, but the Office of the City Clerk provided a copy of Mr. Medina’s campaign finance reports and his revised/corrected reports for the respective reporting periods. Based on the sworn complaint and information provided by the Office of the City Clerk, the Board concluded the following: That contributions exceeding the limits had not been accepted and that the purported violations were actually inadvertent administrative errors. These errors were corrected promptly when discovered with an amended report within the time limits set by the Code; therefore, there was no violation of the Municipal Campaign Finance Regulations. The complaint was DISMISSED. |
| Opinion 13-05 | March 5, 2013 | On January 28, 2013, Ms. Elena Guajardo filed a complaint alleging that David Medina had accepted campaign contributions exceeding the campaign contribution limits set by the Municipal Campaign Finance Regulation as reported in the candidate’s campaign finance report “8 th Day Before Election Report”. If proven true, these allegations could indicate a violation of Sections 2-302 and 2-207 of the Municipal Campaign Finance Regulations. Additionally this campaign finance report contained mathematical errors or omissions. On February 18, 2013, the Ethics Review Board convened as a panel of the whole to review the allegations filed by Ms. Guajardo. The board reviewed the complaint filed by Ms. Guajardo. Mr. Medina did not submit a response to the complaint, but the Office of the City Clerk provided a copy of Mr. Medina’s campaign finance reports and his revised/corrected reports for the respective reporting periods. Based on the sworn complaint and information provided by the Office of the City Clerk, the Board concluded the following: That contributions exceeding the limits had not been accepted and that the purported violations were actually inadvertent administrative errors. These errors were corrected promptly when discovered with an |

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| | | amended report within the time limits set by the Code; therefore there was no violation of the Municipal Campaign Finance Regulations. The complaint was DISMISSED |
| Opinion 13-06 | March 26, 2013 | On January 28, 2013, Ms. Elena Guajardo filed an Ethics complaint alleging that Ivy Taylor had shown two separate \$500 donations from the same individual as reported in the candidate’s campaign finance report “January 15 Semi-Annual 2011 Report”. Additionally this campaign finance report contained mathematical errors or omissions. If true, these allegations could indicate a violation of Sections 2-302(a) and 2-307(e) of the Municipal Campaign Finance Regulations. On March 19, 2013, the Ethics Review Board convened as a panel of the whole to review the allegations filed by Ms. Guajardo. The board reviewed the complaint filed by Ms. Guajardo. Ms. Taylor did not submit a response to the complaint, but the Office of the City Clerk provided a copy of Ms. Taylors’s campaign finance reports and her revised/corrected reports for the respective reporting periods. Based on the sworn complaint and information provided by the Office of the City Clerk, the Board concluded the following: That contributions exceeding the limits had not been accepted and that the purported violations were actually inadvertent administrative errors. These errors were corrected when discovered with an amended report but not in a timely fashion; therefore, there was a violation of the Municipal Campaign Finance Regulations and the Board ordered she be sanctioned by issuing a Letter of Notification. A Letter of Notification was issued on March 26, 2013. |
| Opinion 13-07 | May 21, 2013 | On March 13, 2013 and April 13, 2013, two Sworn Complaints of Ethics Violations were filed by Marlene Hawkins and Heidi Mummau, citizens of the City of San Antonio against Dan Martinez, Zoning Commissioner for City Council District 2. These complaints alleged various violations of the City’s Ethics Code during his service on the City’s Zoning Commission. On May 20, 2013, a panel of the whole of the Ethics Review Board of the City of San Antonio convened in a formal hearing to consider these complaints. At that hearing, the Ethics Review Board found that the allegations of violations of Section 2-47 of the Ethics Code, as contained in the Complaints, were not supported by a preponderance of the evidence; however the Board did find by a preponderance of the evidence, that Section 2-44 (a), Ethics Code dated June 25, 2009 was violated by Mr. Martinez. The Board determined that a Letter of Admonition be sent as a result of this finding. A Letter of Admonition was issued on May 21, 2013. |
| Opinion 13-08 | August 9, 2013 | On April 29, 2013, William Hurley filed a sworn complaint of Ethics Violations alleging that, while Rolando Briones was a member of the City of San Antonio Planning Commission, his engineering firm solicited and accepted several contracts with the City. If true, these allegations could indicate a violation of Sections 2-52 and 2-58 of the Ethics Code and the City Charter, Section 141. On July 10, 2013, the Ethics Review Board convened in a formal hearing as a panel of the whole to review the allegations filed by Mr. Hurley. After considering the Complaint, the sworn testimony, and the exhibits, the Board concluded that Briones knowingly violated Section 2-52 and Section 2-58 of the Ethics Code and Section 141 of the City Charter. Notwithstanding its conclusion, the Board voted not to impose sanctions, but to defer to the discretion of the City |

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| | | Manager or City Council on this matter. |
| Opinion 13-09 | August 13, 2013 | <p>On April 29, 2013, Arthur Yoggerst filed a sworn complaint of Ethics Violations against Ron Nirenberg, Bonnie Connor and Eliot Garza alleging that certain publications and materials issued by NSIDE Publishing, owned by Eliot Garza, constituted campaign advertising for Ron Nirenberg, a candidate for City Council, District 8. The Complaint alleged the purported advertisements constituted impermissible campaign contributions in excess of the maximum allowable under campaign finance regulations and that Nirenberg and Connor, his Campaign Treasurer, failed to report these contributions. The allegations against Connor were dismissed and not forwarded to the Board since the Texas Election Code states that a Campaign Treasurer is not liable for a candidate’s failure to report donations.</p> <p>On July 30, 2013, the Ethics Review Board convened in a formal hearing as a panel of the whole to review the allegations filed by Mr. Yoggerst. After considering the Complaint, the sworn testimony, and the exhibits, the Board concluded that the publications and materials issued by NSIDE Publishing did not constitute “contributions” as that term has been interpreted and applied under applicable Texas legal authority. Therefore it was the opinion of the Board that the allegations set forth in the Complaint against Ron Nirenberg, Eliot Garza and NSIDE Publishing were not supported by the preponderance of the evidence and were DISMISSED.</p> |
| Opinion 13-10 | December 30, 2013 | <p>On November 13, 2013, Gloria Rodriguez filed a Sworn Complaint of Ethics Violations alleging that Cresencio “Cris” Medina had incorrectly reported assets and liabilities, employer identification, and other errors in his Personal Financial Statements and Addendum. If true, these allegations could indicate violations of the City’s Ethics Code. On December 17, 2013, a Panel of the Ethics Review Board, consisting of Chairman Arthur Downey, District 2 Representative Dolores Lott, District 8 Representative Chuck Saxer, and District 10 Representative Robert Piatt, convened to review the allegations filed by Ms. Rodriguez, in response to which Mr. Medina submitted corrected reports and affidavits. The Panel found by a preponderance of the evidence that the reports and addenda did in fact contain errors and misfiling, that Mr. Medina corrected the errors in his reports and addenda, and that said errors were unintentional and most likely due to a misunderstanding of the directions on the forms. The Panel concluded that the violations were made in good faith, and corrected in good faith. The unanimous opinion and order of the Panel was that the complaint against Cresencio “Cris” Medina be DISMISSED.</p> |

Attachment B

| Ethics Advisory Opinions – 2013 (City Attorney’s Office) | | |
|---|-------------------|--|
| Number | Date | Questions |
| 13-01 | June 14, 2013 | <i>May a former City officer lease or purchase real property from a City-created governmental entity within one year of leaving public office?</i> |
| 13-02 | October 24, 2013 | <i>May civilian and uniformed employees engage in outside employment with another entity performing work dissimilar to that which they provide to the City?</i> |
| 13-03 | November 18, 2013 | <i>May a zoning applicant make a contribution to a City Councilmember during the "blackout" period contained in Section 2-309 of the City's Municipal Campaign Finance Code? May a lobbyist representing a zoning applicant make such a contribution during this time frame?</i> |
| 13-04 | December 3, 2013 | <i>May a member of a City advisory board advocate before the City Council on a matter that is related to the official duties of the board member</i> |

Attachment C

Proposed Amendments to the Ethics Code – 2013

As an element of our annual report, the Ethics Review Board is charged to submit recommended changes to the Ethics Code and Campaign Finance Code. As noted in the Introduction section, all of the changes previously proposed by the Ethics Review Board were adopted by the City Council on May 9, 2013. As a result, there are very few additional amendments proposed at this time. Red-lined copies of the Code and Campaign Finance Regulations are attached (Attachments F & G) with all proposed changes/corrections, both administrative and substantive. Listed below are the more substantive changes for your consideration.

ETHICS CODE

DIVISION 1. DECLARATION OF POLICY

Sec. 2-42. Definitions.

- (v) *Official*. Except in Division 5 (Lobbyists), the term "official" or "City official" includes the following persons:

The Mayor;
Members of the City Council;
Municipal Court Judges and Magistrates;
The City Manager;
Deputy City Manager;
Assistant City Managers;
Assistants to the City Manager;
City Clerk;
Deputy City Clerk;
Assistant to the City Clerk;
Senior Deputy Court Clerk;
Deputy Court Clerk;
All department heads and assistant department heads;
Internal Auditor and all Assistant Internal Auditors;
Compliance Auditor;
Assistant to City Council;
Assistant to Mayor;
Executive secretaries;
Public Utilities Supervisor; and
Members of all boards, commissions (except the Youth Commission whose members are minors), committees, and other bodies created by the City Council pursuant to federal or state law or City ordinance, including entities that may be advisory only in nature, who are appointed by the Mayor, the City Council, or who are designated in the by-laws or organization papers of the entity to serve on behalf of the City; and board members of any entity who are appointed by the Mayor or City Council to such board membership.

Specified City employees: any City employee holding any personnel position who issue permits or licenses, who give recommendations to decision-making bodies concerning requests or business before the City, or whose actions can otherwise financially affect citizens. It is

recognized that personnel in these positions may be subject to attempts to influence their judgment.

This list is updated annually by the Human Resources Department. All updates are incorporated into this Code without further action by the City Council. The Human Resources staff shall provide the list annually to the City Council and City Clerk. The City Clerk shall promptly post it on the City's ethics webpage.

The term "official" has a different meaning in Division 5 (Lobbyists), which is defined in Subsection 2-62(a) of that division. The term "officer" is defined in Subsection 2-52(e)(2) (Prohibited interests in contracts) and Subsection 2-58(c)(2) (Discretionary contracts) and is not synonymous with any use of the term "official" in this code.

DIVISION 7. FINANCIAL DISCLOSURE

Sec. 2-79. Violation of reporting requirements.

Failure to timely file a report required by this Ethics Code is a violation hereof, as is the knowingly filing of a report with incorrect, misleading, or incomplete information. If an individual inadvertently files an incorrect, misleading, or incomplete report, it is his or her responsibility to file an amended report as soon as possible, though no later than ten (10) business days after notification or learning of the error.

To file a late or amended report, the person shall use the required report form provided by the City Clerk and mark in the appropriate box whether the report is late-filed or an amended report

An amended report, properly filed and verified by the City Clerk as corrected, does not constitute a violation of this Code. The Compliance Officer shall notify the Ethics Review Board of any amended reports or complaints filed regarding such reports by the next meeting of the Board.

Attachment D

**Registered Lobbyists as of December 30, 2013
City of San Antonio**

AMERICAN ASSOCIATION OF LAW LIBRARIES

105 W. ADAM STREET, SUITE #3300
CHICAGO IL 60603-
Telephone: (312) 939-4764
Nature of Business: PROFESSIONAL ASSOCIATION
Registered: 9/4/2013
STEVEN ANDERSON
105 W. ADAMS STREET, SUITE 3300
CHICAGO IL 60603
Telephone: 312-939-4767
Nature of Business: Professional Association
Registered: 9/4/2013
Agent of AMERICAN ASSOCIATION OF LAW LIBRARIES

AQR CAPITAL MANAGEMENT, LLC

2 GREENWICH PLAZA, 3RD FLOOR
GREENWICH CT 06830-
Telephone: (203) 742-3600
Nature of Business:
Registered: 8/23/2012
GREGOR ANDRADE
2 GREENWICH PLAZA, 3RD FLOOR
GREENWICH CT 06830
Telephone: 203-742-3600
Nature of Business: Investment Services
Registered: 8/23/2012
Agent of AQR CAPITAL MANAGEMENT, LLC
WILLIAM LATIMER
2 GREENWICH PLAZA, 3RD FLOOR
GREENWICH CT 06830
Telephone: 203-742-3600
Nature of Business: Investment Services
Registered: 8/23/2012
Agent of AQR CAPITAL MANAGEMENT, LLC
JOEY LEE
2 GREENWICH PLAZA, 3RD FLOOR
GREENWICH CT 06830
Telephone: 203-742-3600
Nature of Business: Investment Services
Registered: 8/23/2012
Agent of AQR CAPITAL MANAGEMENT, LLC
DANIEL VILLALON
2 GREENWICH PLAZA, 3RD FLOOR
GREENWICH CT 06830
Telephone: 203-742-3600
Nature of Business: Investment Services
Registered: 1/16/2013
Agent of AQR CAPITAL MANAGEMENT, LLC

Attachment D (Cont.)

AT&T

105 AUDITORIUM CIRCLE, SUITE 107
SAN ANTONIO TX 78205-
Telephone: (210) 294-4325
Nature of Business: TELECOMMUNICATIONS
Registered: 8/30/2013
PATTI LARSEN
105 AUDITORIUM CIRCLE, SUITE 107
SAN ANTONIO TX 78205
Telephone: 210-294-4325
Nature of Business: Telecommunications
Registered: 8/30/2013
Agent of AT&T

BALTAZAR R. SERNA, JR.

126 VILLITA
SAN ANTONIO TX 78205-
Telephone: (210) 225-6700
Nature of Business: ATTORNEY AT LAW
Registered: 1/10/1999
BALTAZAR SERNA
126 VILLITA
SAN ANTONIO TX 78205
Telephone: 210-225-6700
Nature of Business: Attorney
Registered: 1/10/1999
Agent of BALTAZAR R. SERNA, JR.

BOBBY PEREZ

600 NAVARRO SUITE 500
SAN ANTONIO TX 78205-
Telephone: (210) 581-5580
Nature of Business: ATTORNEYS AT LAW
Registered: 6/1/2005
ROBERT "BOBBY" PEREZ
600 NAVARRO, SUITE 500
SAN ANTONIO TX 78205
Telephone: 210-349-0515
Nature of Business: Attorney
Registered:
Agent of BOBBY PEREZ

BREVAN HOWARD US, LLC

590 MADISON AVE, 9TH FLOOR
NEW YORK NY 10022-
Telephone: (212) 418-8207
Nature of Business: WEALTH MANAGEMENT AND FINANCIAL SERVICES
Registered: 3/15/2012
ANGY HERRERA
590 MADISON AVE., 9TH FL
NEW YORK NY 10022
Telephone: 212-418-8207
Nature of Business:
Registered: 3/15/2012
Agent of BREVAN HOWARD US, LLC
JUSTIN OPALENSKI
590 MADISON AVE., 9TH FL
NEW YORK NY 10022
Telephone: 212-418-8207
Nature of Business:
Registered: 3/15/2012
Agent of BREVAN HOWARD US, LLC

Attachment D (Cont.)

BREVAN HOWARD US, LLC

GABRIEL OVANESSIAN
590 MADISON AVE., 9TH FL
NEW YORK NY 10022
Telephone: 212-418-8207
Nature of Business:
Registered: 3/15/2012
Agent of BREVAN HOWARD US, LLC

BROWN & ORTIZ , P.C.

112 E. PECAN, SUITE 1360
SAN ANTONIO TX 78205-
Telephone: (210) 299-3704
Nature of Business: LAW FIRM
Registered: 11/18/2004
KENNETH BROWN
112 PECAN, STE. 1360
SAN ANTONIO TX 78205
Telephone: (210) 299-3704
Nature of Business: Agent
Registered: 2/10/2004
Agent of BROWN & ORTIZ , P.C.
JAMES GRIFFIN
112 PECAN, STE. 1360
SAN ANTONIO TX 78205
Telephone: (210) 299-3704
Nature of Business: Agent
Registered: 1/16/2008
Agent of BROWN & ORTIZ , P.C.
PAUL JUAREZ
112 PECAN, STE. 1360
SAN ANTONIO TX 78205
Telephone: (210) 299-3704
Nature of Business: Agent
Registered: 1/17/2006
Agent of BROWN & ORTIZ , P.C.
JAMES MCKNIGHT
112 PECAN, STE. 1360
SAN ANTONIO TX 78205
Telephone: 210-299-3704
Nature of Business: Agent
Registered: 1/9/2012
Agent of BROWN & ORTIZ , P.C.
DANIEL ORTIZ
112 PECAN, STE. 1360
SAN ANTONIO TX 78205
Telephone: (210) 299-3704
Nature of Business: Agent
Registered: 11/18/2004
Agent of BROWN & ORTIZ , P.C.
NINA PRADO
112 PECAN, STE. 1360
SAN ANTONIO TX 78205
Telephone: 210-299-3704
Nature of Business: Agent
Registered: 3/27/2013
Agent of BROWN & ORTIZ , P.C.

Attachment D (Cont.)

CASANDRA C. ORTIZ

600 NAVARRO STREET, SUITE 500
SAN ANTONIO TX 78205-
Telephone: (210) 349-0515
Nature of Business: LAW FIRM
Registered: 8/27/2013
CASANDRA ORTIZ
600 NAVARRO STREET, SUITE 500
SAN ANTONIO TX 78205
Telephone: 210-349-0515
Nature of Business: Law Firm
Registered: 8/20/2013
Agent of CASANDRA C. ORTIZ

CHRISTOPHER JORDAN KEFFER

408 W. 14TH ST.
AUSTIN TX 77380-
Telephone: (512) 615-1119
Nature of Business: PUBLIC AFFAIRS
Registered: 1/7/2013
CHRISTOPHER KEFFER
408 W. 14TH ST
AUSTIN TX 78701
Telephone: 512-615-1119
Nature of Business: Public Affairs
Registered: 1/7/2013
Agent of CHRISTOPHER JORDAN KEFFER

CITIGROUP ALTERNATIVE INVESTMENTS, LLC

399 PARK AVE, 7TH FLOOR
NEW YORK NY 10022-
Telephone: (716) 730-6185
Nature of Business: FINANCIAL SERVICES
Registered: 2/6/2012
DONALD LUCARDI
399 PARK AVE. 7TH FLOOR
NEW YORK NY 10022
Telephone: 716-730-6185
Nature of Business: Financial Services
Registered: 2/6/2012
Agent of CITIGROUP ALTERNATIVE INVESTMENTS, LLC

CREDIT SUISSE SECURITIES, LLC

ONE MADISON AVENUE
NEW YORK NY 10010-
Telephone: (212) 538-7997
Nature of Business: ASSET MANAGEMENT
Registered: 6/22/2011
Telephone:
Nature of Business:
Registered:
Agent of CREDIT SUISSE SECURITIES, LLC
RYAN SCHLITT
ONE MADISON AVENUE
NEW YORK NY 10010
Telephone: 212-325-8656
Nature of Business: Asset Management
Registered: 7/18/2011
Agent of CREDIT SUISSE SECURITIES, LLC

Attachment D (Cont.)

DAILEY AND WELLS COMMUNICATIONS, INC.

3440 E. HOUSTON ST.
SAN ANTONIO TX 78219-
Telephone: (210) 893-6500
Nature of Business: TWO-WAY RADIOS
Registered: 5/22/2013
HAIDAR HIJAZI
3440 E. HOUSTON ST.
SAN ANTONIO TX 78219
Telephone: 2108936500
Nature of Business: Two-way Radios
Registered: 5/21/2013
Agent of DAILEY AND WELLS COMMUNICATIONS, INC.

EARL & ASSOCIATES, P.C.

15303 HUEBNER ROAD, BILG. 15
SAN ANTONIO TX 78248-
Telephone: (210) 222-1500
Nature of Business: ATTORNEY AT LAW
Registered: 1/17/1999
MEGAN CLAY
EARL & ASSOCIATES, A PROFESSIONAL CORP.
15303 HUEBNER ROAD, BILG. 15
SAN ANTONIO TX 78248
Telephone: (210) 222-1500
Nature of Business: Agent To The Registrant
Registered: 1/24/2012
Agent of EARL & ASSOCIATES, P.C.
DAVID EARL
EARL & ASSOCIATES, A PROFESSIONAL CORP.
15303 HUEBNER ROAD, BILG. 15
SAN ANTONIO TX 78248
Telephone: (210) 222-1500
Nature of Business: Agent To The Registrant
Registered: 1/22/2004

EMSO PARTNERS LIMITED

399 PARK AVE
NEW YORK NY 10022-
Telephone: (212) 559-9231
Nature of Business: FINANCIAL SERVICES
Registered: 4/12/2013
DONALD LUCARDI
399 PARK AVE
NEW YORK NY 10022
Telephone: 212-599-9231
Nature of Business: Financial Services
Registered: 4/12/2013
Agent of EMSO PARTNERS LIMITED

FULBRIGHT & JAWORSKI, L.L.P.

300 CONVENT, SUITE #2200
SAN ANTONIO TX 78205-
Telephone: (210) 270-7142
Nature of Business: ATTORNEY
Registered: 2/16/1999
JANE MACON
300 CONVENT STREET, SUITE 2200
SAN ANTONIO TX 78205
Telephone: (210)224-5575
Nature of Business: Lobbyist
Registered: 7/26/2004
Agent of FULBRIGHT & JAWORSKI, L.L.P.

Attachment D (Cont.)

FULBRIGHT & JAWORSKI, L.L.P.

JAMES PLUMMER
300 CONVENT STREET, SUITE 2200
SAN ANTONIO TX 78205
Telephone: (210)224-5575
Nature of Business: Lobbyist
Registered: 7/26/2004
Agent of FULBRIGHT & JAWORSKI, L.L.P.
JAMES SUMMERS
300 CONVENT STREET, SUITE 2200
SAN ANTONIO TX 78205
Telephone: (210)224-5575
Nature of Business: Lobbyist
Registered: 2/1/2006
Agent of FULBRIGHT & JAWORSKI, L.L.P.

GOLDEN STEVES COHEN & GORDON, LLP

300 CONGRESS STREET, SUITE 2600
SAN ANTONIO TX 78205-
Telephone: (210) 745-3700
Nature of Business: LAW FIRM
Registered: 1/19/2006
KARL BAKER
300 CONVENT SUITE 2600
SAN ANTONIO TX 78205
Telephone: 210-745-3700
Nature of Business:
Registered: 1/31/2012
Agent of GOLDEN STEVES COHEN & GORDON, LLP
GRANT JACOBSON
300 CONVENT SUITE 2600
SAN ANTONIO TX 78205
Telephone: 210-745-3700
Nature of Business:
Registered: 7/21/2010
Agent of GOLDEN STEVES COHEN & GORDON, LLP

HARRY JEWETT ASSOCIATES

307 W. RHAPSODY DRIVE
SAN ANTONIO TX 78216-
Telephone: (210) 737-3417
Nature of Business: ENGINEERS, ARCHITECTS AND PLANNERS
Registered: 3/25/2011
Telephone:
Nature of Business:
Registered:
Agent of HARRY JEWETT ASSOCIATES
HARRY JEWETT
307 W. RHAPSODY DRIVE
SAN ANTONIO TX 78216
Telephone: 210-737-3417
Nature of Business: Engineers, Architects And Planners
Registered: 3/25/2011
Agent of HARRY JEWETT ASSOCIATES

Attachment D (Cont.)

HUMAN RIGHTS CAMPAIGN

1640 RHODE ISLAND AVENUE, NW
WASHINGTON DC 20036-
Telephone: (202) 216-1531
Nature of Business:
Registered: 2/14/2013
KARIN QUIMBY
1640 RHODE ISLAND AVENUE, NW
WASHINGTON DC 20036
Telephone: 202-216-1531
Nature of Business:
Registered: 2/14/2013
Agent of HUMAN RIGHTS CAMPAIGN

JOE A. GARCIA

919 CONGRESS AVE., SUITE 1500
AUSTIN TX 78233-
Telephone: (210) 650-8666
Nature of Business: LOBBYIST
Registered: 7/8/2011
JOE GARCIA
919 CONGRESS AVE., SUITE 1500
AUSTIN TX 78701
Telephone: 512-476-0616
Nature of Business:
Registered: 7/8/2011
Agent of JOE A. GARCIA

JOSEPH L. LESSARD

202 WALTON WAY, STE. 192-217
CEDAR PARK TX 78213-
Telephone: (512) 626-3296
Nature of Business: MANAGEMENT, ECONOMIC, AND URBAN/LAND DEVELOPMENT
Registered: 6/3/2013
JOSEPH LESSARD
202 WALTON WAY, STE. 192-217
CEDAR PARK TX 78613
Telephone: 5126263296
Nature of Business: Management, Economic, And Urban/land Development
Registered: 6/3/2013
Agent of JOSEPH L. LESSARD

KAUFMAN & KILLEN, INC.

100 W. HOUSTON, SUITE 1250
SAN ANTONIO TX 78205-
Telephone: (210) 227-2000
Nature of Business: LAW FIRM
Registered: 2/11/1999
ASHLEY FARRIMOND
KAUFMAN & ASSOCIATES, INC
100 W. HOUSTON, SUITE 1250
SAN ANTONIO TX 78205
Telephone: (210) 227-2000
Nature of Business: Agent Of The Registrant
Registered: 9/15/2010
Agent of KAUFMAN & KILLEN, INC.
WILLIAM T. KAUFMAN
KAUFMAN & ASSOCIATES, INC.
100 W. HOUSTON, SUITE 1250
SAN ANTONIO TX 78205-
Telephone: (210) 227-2000
Nature of Business: Agent Of The Registrant
Registered: 2/2/2004
Agent of KAUFMAN & KILLEN, INC.

Attachment D (Cont.)

KAUFMAN & KILLEN, INC.

ROB KILLEN
KAUFMAN & ASSOCIATES, INC.
100 W. HOUSTON, SUITE 1250
SAN ANTONIO TX 78205
Telephone: (210) 227-2000
Nature of Business: Agent Of The Registrant
Registered:
Agent of KAUFMAN & KILLEN, INC.
MITSUKO RAMOS
KAUFMAN & ASSOCIATES, INC
100 W. HOUSTON, SUITE 1250
SAN ANTONIO TX 78205
Telephone: 210-227-2000
Nature of Business: Agent Of The Registrant
Registered: 2/18/2013
Agent of KAUFMAN & KILLEN, INC.

LAND USE SOLUTIONS

10003 NW MILITARY HWY, STE 2205
SAN ANTONIO TX 78231-
Telephone: (210) 812-2222
Nature of Business: CONSULTING FIRM
Registered: 9/6/2013
MICHELE HAUSSMANN
10003 NW MILITARY HWY., STE. 2205
SAN ANTONIO TX 78231
Telephone: 210-812-2222
Nature of Business: Consulting Firm
Registered: 9/6/2013
Agent of LAND USE SOLUTIONS

MARTIN & DROUGHT, P.C.

300 CONVENT ST., #2500
SAN ANTONIO TX 78205-
Telephone: (210) 220-1339
Nature of Business: LEGAL SERVICES
Registered: 1/6/2003
FRANK BURNEY
MARTIN & DROUGHT, P.C.
300 CONVENT, 25TH FLOOR
SAN ANTONIO TX 78205-
Telephone: (210) 220-1339
Nature of Business: Agent Of The Registrant
Registered: 1/1/2004
Agent of MARTIN & DROUGHT, P.C.
RYAN SWEENEY
MARTIN & DROUGHT, P.C.
300 CONVENT, 25TH FLOOR
SAN ANTONIO TX 78205
Telephone: 210-220-1339
Nature of Business: Agent
Registered: 1/25/2013
Agent of MARTIN & DROUGHT, P.C.
MARTIN & DROUGHT, P.C.
300 CONVENT, 25TH FLOOR
SAN ANTONIO TX 78205
Telephone: 210-220-1339
Nature of Business: Agent
Registered: 1/25/2013
Agent of MARTIN & DROUGHT, P.C.

Attachment D (Cont.)

NIELSEN MERKSAMER PARRINELLO GROSS & LEONI, LLP

2350 KERNER BLVD., STE. 250
SAN RAFAEL CA 94901-
Telephone: (415) 389-6800
Nature of Business: ARCHITECTURE AND ENGINEERING
Registered: 7/1/2010

TOM O'GRADY
2350 KERNER BLVD., STE. 250
SAN RAFAEL CA 94901
Telephone: 415-389-6800
Nature of Business: Architecture And Engineering
Registered: 3/4/2010
Agent of NIELSEN MERKSAMER PARRINELLO GROSS & LEONI, LLP

JEFF SCHEICK
2350 KERNER BLVD., STE. 250
SAN RAFAEL CA 94901
Telephone: 415-389-6800
Nature of Business: Architecture And Engineering
Registered: 9/3/2013

Agent of NIELSEN MERKSAMER PARRINELLO GROSS & LEONI, LLP
THOMAS WENDORF
2350 KERNER BLVD., STE. 250
SAN RAFAEL CA 94901
Telephone: 415-389-6800
Nature of Business: Architecture And Engineering
Registered: 7/1/2010
Agent of NIELSEN MERKSAMER PARRINELLO GROSS & LEONI, LLP

PAPE-DAWSON ENGINEERS, INC

555 E. RAMSEY
SAN ANTONIO TX 78216-
Telephone: (210) 375-9000
Nature of Business: CIVIL ENGINEERS, INC
Registered: 3/31/2009

GENE DAWSON
555 E. RAMSEY
SAN ANTONIO TX 78216
Telephone: 210-375-9000
Nature of Business:
Registered: 3/30/2009
Agent of PAPE-DAWSON ENGINEERS, INC

SAM DAWSON
555 E. RAMSEY
SAN ANTONIO TX 78216
Telephone: 210-375-9000
Nature of Business:
Registered: 3/30/2009
Agent of PAPE-DAWSON ENGINEERS, INC

DENNIS RION
555 E. RAMSEY
SAN ANTONIO TX 78216
Telephone: 210-375-9000
Nature of Business:
Registered: 3/30/2009
Agent of PAPE-DAWSON ENGINEERS, INC

Attachment D (Cont.)

PULLMAN CAPPUCCIO PULLEN & BENSON, LLP

2161 NW MILITARY HIGHWAY, SUITE 400
SAN ANTONIO TX 78213-
Telephone: (210) 222-9494
Nature of Business: ATTORNEYS & COUNSELORS
Registered: 1/31/2007
BUCK BENSON
PULLMAN, CAPPUCCIO, PULLEN & BENSON, LLP
2161 NW MILITARY HIGHWAY, SUITE 400
SAN ANTONIO TX 78213
Telephone: 210-222-9494
Nature of Business: Law Firm
Registered: 1/31/2007
Agent of PULLMAN CAPPUCCIO PULLEN & BENSON, LLP
SHARI PULMAN
PULLMAN, CAPPUCCIO, PULLEN & BENSON, LLP
2161 NW MILITARY HIGHWAY, SUITE 400
SAN ANTONIO TX 78213
Telephone: 210-222-9494
Nature of Business: Law Firm
Registered: 4/3/2013
Agent of PULLMAN CAPPUCCIO PULLEN & BENSON, LLP

PW CHRISTENSEN, PC

1777 NE LOOP 410, SUITE 600
SAN ANTONIO TX 78217-
Telephone: (210) 320-2540
Nature of Business: LAW FIRM
Registered: 2/11/2011
PATRICK CHRISTENSEN
1777 NE LOOP 410, SUITE 600
SAN ANTONIO TX 78217
Telephone: 210-320-2540
Nature of Business: Law Firm
Registered: 2/11/2011
Agent of PW CHRISTENSEN, PC

REDFLEX TRAFFIC SYSTEMS, INC

23751 N. 23RD AVE. SUITE 150
PHOENIX AZ 85085-
Telephone:
Nature of Business: AUTOMATED TRAFFIC ENFORCEMENT PRODUCTS
Registered: 9/24/2013
DARREN KOLACK
23751 N. 23RD AVE., SUITE 150
PHOENIX AZ 85085
Telephone:
Nature of Business: Automated Traffic Enforcement Products
Registered: 9/17/2013
Agent of REDFLEX TRAFFIC SYSTEMS, INC
CAROLYN WALSH
23751 N. 23RD AVE., SUITE 150
PHOENIX AZ 85085
Telephone:
Nature of Business: Automated Traffic Enforcement Products
Registered: 9/17/2013
Agent of REDFLEX TRAFFIC SYSTEMS, INC

Attachment D (Cont.)

RICHIE & GUERINGER, P.C.

112 E. PECAN ST., SUITE 1420
SAN ANTONIO TX 78205-
Telephone: (210) 220-1080
Nature of Business: ATTORNEY
Registered: 3/28/2013

GAY GUERINGER
112 E. PECAN ST., SUITE 1420
SAN ANTONIO TX 78205
Telephone: 210-220-1080
Nature of Business: Attorney
Registered: 3/28/2013

TEXAS MASONRY COUNCIL

P.O. BOX 4578
WACO TX 76708-
Telephone: (254) 300-4544
Nature of Business: MASONRY PLANNING POLICY PROGRAM
Registered: 5/13/2013

LEILA SIQUEIROS
P.O. BOX 4278
WACO TX 76708
Telephone: 2543004544
Nature of Business: Masonry Planning Policy Program
Registered: 5/9/2013
Agent of TEXAS MASONRY COUNCIL

THE FRANCIS LAW FIRM, P.C.

112 E. PECAN ST. SUITE 550
SAN ANTONIO TX 78205-
Telephone: (210) 222-1100
Nature of Business: LAW FIRM
Registered: 3/26/1999

BEBB FRANCIS
112 E. PECAN ST. SUITE 200
SAN ANTONIO TX 78205
Telephone: (210) 222-1100
Nature of Business:
Registered: 3/26/1999
Agent of THE FRANCIS LAW FIRM, P.C.

TIM TUGGEY

3707 N. ST. MARY'S ST., SUITE 200
SAN ANTONIO TX 78212-
Telephone: (210) 538-9933
Nature of Business:
Registered: 9/17/2012

BLAKELY FERNANDEZ
3707 N. ST. MARYS ST., SUITE 200
SAN ANTONIO TX 78212
Telephone: 210-538-9933
Nature of Business:
Registered: 9/17/2012
Agent of TIM TUGGEY

TIM TUGGEY
3707 N. ST. MARYS ST., SUITE 200
SAN ANTONIO TX 78212
Telephone: 210-538-9933
Nature of Business:
Registered: 9/17/2012
Agent of TIM TUGGEY

Attachment D (Cont.)

WAL-MART STORES, INC

702 SW 8TH ST., MS 0350
BENTONVILLE AR 72716-
Telephone: (479) 204-8119
Nature of Business: RETAIL

Registered: 5/9/2012
KELLIE DUHR

702 SW 8TH ST.,
BENTONVILLE AR 72716
Telephone: 479-204-8119
Nature of Business: Retail
Registered: 7/26/2012

Agent of WAL-MART STORES, INC
DANIEL MORALES

702 SW 8TH ST.,
BENTONVILLE AR 72715
Telephone: 479-201-8618
Nature of Business: Retail
Registered: 4/15/2013

Agent of WAL-MART STORES, INC

WINSTEAD PC

401 CONGRESS AVENUE, SUITE 2100
AUSTIN TX 78701-
Telephone: (512) 370-2973

Nature of Business: LAW
Registered: 10/14/2011

MICHAEL DENUCCIO
401 CONGRESS AVENUE, SUITE 2100
AUSTIN TX 78701

Telephone: 512-370-2973
Nature of Business: Law

Registered: 2/2/2012
Agent of WINSTEAD PC

JOHN DONISI
401 CONGRESS AVENUE, SUITE 2100
AUSTIN TX 78701

Telephone: 512-370-2973
Nature of Business: Law

Registered: 10/14/2011
Agent of WINSTEAD PC

STEPHEN DRENNER
401 CONGRESS AVENUE, SUITE 2100
AUSTIN TX 78701

Telephone: 512-370-2973
Nature of Business: Law

Registered: 10/14/2011
Agent of WINSTEAD PC

ZACHRY CORPORATION

P. O. BOX 33240
SAN ANTONIO TX 78265-
Telephone: (210) 871-3363

Nature of Business: CONSTRUCTION SERVICES AND PROJECT DEVELOPMENT
Registered: 4/30/1999

RENE GARCIA
ZACHRY, INC

P.O. BOX 240130
SAN ANTONIO TX 78265
Telephone: 210-871-3360

Nature of Business: Agent Of The Registrant
Registered: 1/11/2012

Agent of ZACHRY CORPORATION

Attachment D (Cont.)

ZACHRY CORPORATION

TARA SNOWDEN
ZACHRY, INC.
P.O. BOX 240130
SAN ANTONIO TX 78224-0130
Telephone: (210) 258-2662
Nature of Business: Agent Of The Registrant
Registered: 1/15/2009
Agent of ZACHRY CORPORATION
VICTORIA WADDY
ZACHRY, INC.
P.O. BOX 240130
SAN ANTONIO TX 78224-0130
Telephone: (210) 258-2662
Nature of Business: Agent To The Registrant
Registered: 1/15/2002
Agent of ZACHRY CORPORATION
DAVID ZACHRY
ZACHRY, INC
P.O. BOX 240130
SAN ANTONIO TX 78265
Telephone: 210-871-3360
Nature of Business: Agent Of The Registrant
Registered: 1/11/2012
Agent of ZACHRY CORPORATION

Attachment E

2013 Ethics & Campaign Finance Training

| Name of Training | Hrs | General Category | Date |
|---|------------|--|-------------|
| Council Candidate Training | 2.0 | Ethics, Campaign Finance | 01-14-13 |
| Council Aide Lunch and Learn | 1.0 | Ethics, Campaign Finance | 01-24-13 |
| HR Managers' Training | .50 | Ethics | 01-25-13 |
| 2PLP AIA Ethics Training | 2.5 | Ethics, Lobbying | 04-05-13 |
| Library Board Refresher | 1.0 | Ethics, Open Meetings | 04-25-13 |
| City/County Joint Commission on Elderly Affairs Refresher | 1.0 | Ethics, Open Meetings | 05-14-13 |
| Zoning BOA Refresher | 1.0 | Ethics, Camp. Fin., Public Info. | 06-03-13 |
| Mayor's Fitness Council Training | 1.0 | Ethics, Open Meetings | 06-18-13 |
| Municipal Leadership Institute | 1.0 | Ethics, Campaign Finance, Open Records | 06-28-13 |
| Council Aide Orientation | 1.0 | Ethics, Open Meetings, PIA | 07-23-13 |
| CAO Continuing Legal Education | 1.5 | Ethics, Campaign Finance | 09-20-13 |
| Land Entitlements Division Training | 1.0 | Ethics, Public Information | 09-16-13 |
| Zoning Commissioner Refresher | .50 | Ethics | 09-16-13 |
| Land Entitlements Division Training | 1.0 | Ethics, Fraud, Waste, Abuse | 09-24-13 |
| Planning Commission Refresher | .50 | Ethics, Open Meetings | 09-25-13 |
| Municipal Leadership Institute | 1.0 | Ethics, Campaign Finance, Open Records | 11-22-13 |
| Zoning Commissioner Orientation | .50 | Ethics | 12-17-13 |
| Total: 18 hours | | | |