PUBLIC DISCLOSURE COMMISSION
711 CAPITOL WAY RM 206
PO BOX 40908
OLYMPIA WA 98504-0908
(360) 753-1111
TOLL FREE 1-877-601-2828

PDC FORM **L-5** (Rev 1/09)

LOBBYING BY STATE AND LOCAL GOVERNMENT AGENCIES

2020-04-23

3623

Agency or Governmental Entity Name and Address	Date prepared	Report for calendar quarter ending
DEPT. OF FINANCIAL INSTITUTIONS PO BOX 41200 OLYMPIA WA 98504-1200	2020-04-23 County THURSTON	MAR 2020 Month Year

PERSONS WHO LOBBIED THIS QUARTER

Name	Job title	Annual salary	% of time spent lobbying during quarter
CHARLES CLARK	DIRECTOR	$166,104.0	0.58%

Bill/WAC number: SB 6131 — General description of lobbying activities or objectives: MET WITH SENATOR SCHOESLER REGARDING AGENCY REQUEST LEGISLATION, SB 6131 - DEBENTURE COMPANIES, AND SGA 9287, AGENCY DIRECTOR CONFIRMATION.

Bill/WAC number: SB 6131 — General description of lobbying activities or objectives: MET WITH SENATOR HASEGAWA REGARDING SB 6131, DEBENTURE COMPANIES, AND SGA 9287, AGENCY DIRECTOR CONFIRMATION.

☐ Check if person spent more than $15 of non-public funds in lobbying

Name	Job title	Annual salary	% of time spent lobbying during quarter
WILLIAM BEATTY	DIRECTOR OF SECURITIES	$137,808.0	0.29%

Bill/WAC number: SB 6131 — General description of lobbying activities or objectives: TESTIFIED BEFORE THE SENATE COMMITTEE ON FINANCIAL INSTITUTIONS REGARDING AGENCY REQUEST LEGISLATION - SB 6131, DEBENTURE COMPANIES.

Bill/WAC number: HB 2407 — General description of lobbying activities or objectives: TESTIFIED BEFORE THE HOUSE COMMITTEE ON CONSUMER PROTECTION AND BUSINESS REGARDING AGENCY REQUEST LEGISLATION - HB 2407, DEBENTURE COMPANIES.

☐ Check if person spent more than $15 of non-public funds in lobbying

Name	Job title	Annual salary	% of time spent lobbying during quarter
DREW BOUTON	POLICY DIRECTOR	$132,540.0	1.25%

Bill/WAC number: HB 2407 — General description of lobbying activities or objectives: MET WITH REPRENTATIVE KIRBY'S LEGISLATIVE ASSISTANT REGARDING AGENCY REQUEST LEGISLATION, HB 2407, DEBENTURE COMPANIES.

Bill/WAC number: HB 2407 — General description of lobbying activities or objectives: MET WITH REPRESENTATIVE VICK REGARDING HB 2407, DEBENTURE COMPANIES.

☐ Check if person spent more than $15 of non-public funds in lobbying

EXPENDITURES FOR LOBBYING THIS QUARTER

Report only the separately identifiable and measurable expenditures incurred for lobbying purposes

Salaries Of Persons Who Lobbied (Include only portion of quarterly salary attributable to lobbying)	$1,042.50
Travel (Include food, lodging, per diem payments and cost of transportation used)	$0.00
Brochures And Other Publications Whose Principal Purpose Is To Influence Legislation	$0.00
Consultants Or Other Contractual Services	$0.00
Total This Quarter	$1,042.50
Total To Date This Year	$0.00

CERTIFICATION: I certify that to the best of my knowledge the above is a true, complete and correct statement in accordance with RCW 42.17.190.

Name of employee completing report: SUSAN PUTZIER

Signature of agency head: CHARLES CLARK

Work telephone Number: 360-902-8707

Work E-mail: SUSAN.PUTZIER@DFI.WA.GOV

LOBBYISTS CONTINUATION

L-5 P. 2

Agency or Governmental Entity Name: DEPT. OF FINANCIAL INSTITUTIONS

Report for calendar quarter ending: MAR 2020 (Month Year)

PERSONS WHO LOBBIED THIS QUARTER

Name	Job Title	Annual Salary	% Time Spent Lobbying
CATHERINE MELE-HETTER	DEPUTY DIRECTOR	$147,804.0	0.53%

Bill/WAC #	Description
SB 6131	MET WITH SENATOR SCHOESLER REGARDING AGENCY REQUEST LEGISLATION, SB 6131 - DEBENTURE COMPANIES, AND SGA 9287, AGENCY DIRECTOR CONFIRMATION.
SB 6131	MET WITH SENATOR WILSON REGARDING SB 6131, DEBENTURE COMPANIES, AND SGA 9287, AGENCY DIRECTOR CONFIRMATION.

☐ Check if person spent more than $15 of non-public funds in lobbying.

Name	Job Title	Annual Salary	% Time Spent Lobbying
FAITH ANDERSON	SECURITIES PROGRAM MANAGER	$130,272.0	0.29%

Bill/WAC #	Description
SB 6131	TESTIFIED BEFORE THE SENATE COMMITTEE ON FINANCIAL INSTITUTIONS REGARDING AGENCY REQUEST LEGISLATION - SB 6131, DEBENTURE COMPANIES.
HB 2407	TESTIFIED BEFORE THE HOUSE COMMITTEE ON CONSUMER PROTECTION AND BUSINESS REGARDING AGENCY REQUEST LEGISLATION - HB 2407, DEBENTURE COMPANIES.

☐ Check if person spent more than $15 of non-public funds in lobbying.

Name	Job Title	Annual Salary	% Time Spent Lobbying

Bill/WAC # Description

☐ Check if person spent more than $15 of non-public funds in lobbying.

Name	Job Title	Annual Salary	% Time Spent Lobbying

Bill/WAC # Description

☐ Check if person spent more than $15 of non-public funds in lobbying.

Name	Job Title	Annual Salary	% Time Spent Lobbying

Bill/WAC # Description

☐ Check if person spent more than $15 of non-public funds in lobbying.

Name	Job Title	Annual Salary	% Time Spent Lobbying

Bill/WAC # Description

☐ Check if person spent more than $15 of non-public funds in lobbying.

ACTIVITIES CONTINUATION

L-5 P. 3

Agency or Governmental Entity Name

DEPT. OF FINANCIAL INSTITUTIONS

Report for calendar quarter ending

MAR 2020
Month Year

Name of Lobbyist: CHARLES CLARK

Bill/WAC #	Description
SB 6131	MET WITH SENATOR WILSON REGARDING SB 6131, DEBENTURE COMPANIES, AND SGA 9287, AGENCY DIRECTOR CONFIRMATION.
OTHE N/A	AGENCY DIRECTOR CONFIRMATION HEARING BEFORE THE SENATE COMMITTEE ON FINANCIAL INSTITUTIONS.

ACTIVITIES CONTINUATION

L-5 P. 4

Agency or Governmental Entity Name

DEPT. OF FINANCIAL INSTITUTIONS

Report for calendar quarter ending

MAR 2020

Month Year

Name of Lobbyist: WILLIAM BEATTY

Bill/WAC #	Description
SB 6131	TESTIFIED BEFORE THE HOUSE COMMITTEE ON CONSUMER PROTECTION & BUSINESS REGARDING SB 6131, DEBENTURE COMPANIES.

ACTIVITIES CONTINUATION

L-5 P. 5

Agency or Governmental Entity Name

DEPT. OF FINANCIAL INSTITUTIONS

Report for calendar quarter ending

MAR 2020
Month Year

Name of Lobbyist: DREW BOUTON

Bill/WAC #	Description
SB 6131	MET WITH SENATOR SCHOESLER REGARDING AGENCY REQUEST LEGISLATION, SB 6131 - DEBENTURE COMPANIES, AND SGA 9287, AGENCY DIRECTOR CONFIRMATION.
SB 6131	MET WITH SENATOR HASEGAWA REGARDING SB 6131, DEBENTURE COMPANIES, AND SGA 9287, AGENCY DIRECTOR CONFIRMATION.
SB 6131	MET WITH SENATOR WILSON REGARDING SB 6131, DEBENTURE COMPANIES, AND SGA 9287, AGENCY DIRECTOR CONFIRMATION.
OTHE N/A	MET WITH REPRESENTATIVE JESSE JOHNSON, PROVIDING AN INTRODUCTION TO DFI.
SB 6131	TESTIFIED BEFORE THE SENATE COMMITTEE ON FINANCIAL INSTITUTIONS REGARDING AGENCY REQUEST LEGISLATION - SB 6131, DEBENTURE COMPANIES.
OTHE N/A	AGENCY DIRECTOR CONFIRMATION HEARING BEFORE THE SENATE COMMITTEE ON FINANCIAL INSTITUTIONS.
HB 2407	TESTIFIED BEFORE THE HOUSE COMMITTEE ON CONSUMER PROTECTION AND BUSINESS REGARDING AGENCY REQUEST LEGISLATION - HB 2407, DEBENTURE COMPANIES.
HB 2407	ATTENDED EXECUTIVE SESSION OF HOUSE COMMITTEE ON CONSUMER PROTECTION & BUSINESS ON HB 2407, DEBENTURE COMPANIES.
SB 6131	ATTENDED EXECUTIVE SESSION OF SENATE COMMITTEE ON FINANCIAL INSTITUTIONS REGARDING SB 6131, DEBENTURE COMPANIES.
SB 6131	TESTIFIED BEFORE THE HOUSE COMMITTEE ON CONSUMER PROTECTION & BUSINESS REGARDING SB 6131, DEBENTURE COMPANIES.

ACTIVITIES CONTINUATION

L-5 P. 6

Agency or Governmental Entity Name

DEPT. OF FINANCIAL INSTITUTIONS

Report for calendar quarter ending

MAR 2020

Month Year

Name of Lobbyist: CATHERINE MELE-HETTER

Bill/WAC #	Description
OTHE N/A	AGENCY DIRECTOR CONFIRMATION HEARING BEFORE THE SENATE COMMITTEE ON FINANCIAL INSTITUTIONS.

ACTIVITIES CONTINUATION

L-5 P. 7

Agency or Governmental Entity Name

DEPT. OF FINANCIAL INSTITUTIONS

Report for calendar quarter ending

MAR 2020

Month Year

Name of Lobbyist: FAITH ANDERSON

Bill/WAC #	Description
SB 6131	TESTIFIED BEFORE THE HOUSE COMMITTEE ON CONSUMER PROTECTION & BUSINESS REGARDING SB 6131, DEBENTURE COMPANIES.