



NORTH CAROLINA STATE ETHICS COMMISSION

1324 MAIL SERVICE CENTER
RALEIGH, NC 27699-1324
WWW.ETHICSCOMMISSION.NC.GOV

ROBERT L. FARMER
CHAIRMAN

PERRY Y. NEWSON
EXECUTIVE DIRECTOR

NOTICE OF COMMISSION INVESTIGATION, ALLEGATIONS AND OPPORTUNITY TO RESPOND

May 21, 2012

Jessica Boyce Hayes
2908 Plaza Place
Raleigh, North Carolina 27612

RE: State Ethics Commission v. Jessica Boyce Hayes; 12-C-0013(L)

Dear Ms. Hayes:

This is formal notification that the State Ethics Commission ("Commission") has determined that there is reason to believe that you, a lobbyist, may have violated Chapter 120C of the North Carolina General Statutes (N.C.G.S.) ("Lobbying Law"). Accordingly, the Commission is initiating an investigation into this matter pursuant to its authority under N.C.G.S. § 120C-601(a). This investigation will address allegations raised in the attached documentation.

This investigation concerns whether you violated the gifts ban of N.C.G.S. § 120C-303 and the reporting requirements of N.C.G.S. §§ 120C-401 and -402. This investigation may also address other statutory provisions within the Commission's jurisdiction that may have been violated. Should it be found that you violated the gifts ban and/or the reporting requirements, punishment would be pursuant to N.C.G.S. § 120C-602 and could include criminal charges and civil fines.

At this stage of the proceedings you may file a written response with the Commission and provide any additional information you deem pertinent. **You should provide your written response and additional pertinent materials no later than June 22, 2012.**

You are advised to retain all potentially relevant information, including documents, correspondence, notes, electronic communications, electronically stored information and emails. During the course of the investigation, the Commission may request additional information from you and other sources to make a violation determination. Should this information not be easily made available, the Commission may petition the Superior Court of Wake County for the approval to issue subpoenas and subpoena duces tecum. Upon completion of the investigation you will receive notice of the investigative determinations.

Jessica Boyce Hayes
May 21, 2012
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Pursuant to N.C.G.S. § 120C-601(c), complaints, investigations, and all records accumulated in conjunction with the complaint and investigation are confidential records and may only be released by order of the court.

Please feel free to contact my office if you have any questions.

Sincerely,


Susan R. Lundberg
Lobbying Director/Complaints Attorney

Cc:



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CONFIDENTIAL

NOTICE OF COMMISSION INVESTIGATION, SPECIFIC ALLEGATIONS AND OPPORTUNITY TO RESPOND

May 21, 2012

J. Michael Carpenter
Executive Vice President and General Counsel
NC Home Builders Association
5580 Centerview Dr., Suite 415
Raleigh, NC 27606

Re: State Ethics Commission v. NC Home Builders Association; 12-C-0015(L)

Dear Mr. Carpenter:

This is formal notification that the State Ethics Commission ("Commission") has determined that there is reason to believe that lobbyist principal North Carolina Home Builders Association ("Association") may have violated Chapter 120C of the North Carolina General Statutes (N.C.G.S.) ("Lobbying Law"). Accordingly, the Commission is initiating an investigation into this matter pursuant to its authority under N.C.G.S. § 120C-601(a). This investigation will address allegations raised in the attached documentation.

This investigation concerns whether the Association violated the gifts ban of N.C.G.S. § 120C-303 and the reporting requirements of N.C.G.S. §§ 120C-401 and -403. This investigation may also address other statutory provisions within the Commission's jurisdiction that may have been violated. Should it be found that the Association violated the gifts ban and/or the reporting requirements, punishment would be pursuant to N.C.G.S. § 120C-602 and could include criminal charges and civil fines.

At this stage of the proceedings the Association may file a written response with the Commission and provide any additional information it deems pertinent. **The Association should provide its written response and additional pertinent materials no later than June 22, 2012.**

The Association is advised to retain all potentially relevant information, including documents, correspondence, notes, electronic communications, electronically stored information and emails. During the course of the investigation, the Commission will request information from parties and other sources to make a violation determination. Should this information not be easily made available, the Commission may petition the Superior Court of Wake County for the approval to issue subpoenas and

J. Michael Carpenter
May 21, 2012
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subpoena duces tecum. Upon completion of the investigation the Association will receive notice of the investigative determinations.

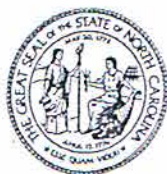
Pursuant to N.C.G.S. § 120C-601(c), complaints, investigations, and all records accumulated in conjunction with the complaint and investigation are confidential records and may only be released by order of the court.

Please feel free to contact my office if you have any questions.

Sincerely,

A handwritten signature in cursive script that reads "Susan R. Lundberg". The signature is written in dark ink and is positioned above the typed name and title.

Susan R. Lundberg
Lobbying Director/Complaints Attorney



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NOTICE OF COMMISSION INVESTIGATION, ALLEGATIONS AND OPPORTUNITY TO RESPOND

May 21, 2012

Dean Plunkett
1951 Clark Avenue
Raleigh, North Carolina 27605

RE: **State Ethics Commission v. Dean Plunkett; 12-C-0014(L)**

Dear Mr. Plunkett:

This is formal notification that the State Ethics Commission ("Commission") has determined that there is reason to believe that you, a lobbyist, may have violated Chapter 120C of the North Carolina General Statutes (N.C.G.S.) ("Lobbying Law"). A number of legislators have also voiced this same concern and have asked the Commission to investigate such. A copy of the legislators' request is attached hereto. Accordingly, the Commission is initiating an investigation into this matter pursuant to its authority under N.C.G.S. § 120C-601(a).

This investigation stems from your relationship with a legislative employee and concerns whether you violated the gifts ban of N.C.G.S. § 120C-303 and the reporting requirements of N.C.G.S. §§ 120C-401 and -402. This investigation may also address other statutory provisions within the Commission's jurisdiction that may have been violated. Should it be found that you violated the gifts ban and/or the reporting requirements, punishment would be pursuant to N.C.G.S. § 120C-602 and could include criminal charges and civil fines.

At this stage of the proceedings you may file a written response with the Commission and provide any additional information you deem pertinent. **You should provide your written response and additional pertinent materials no later than June 22, 2012.**

You are advised to retain all potentially relevant information, including documents, correspondence, notes, electronic communications, electronically stored information and emails. During the course of the investigation, the Commission may request additional information from you and other sources to make a violation determination. Should this information not be easily made available, the Commission may petition the Superior Court of Wake County for the approval to issue

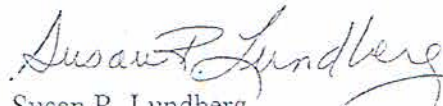
Dean Plunkett
May 21, 2012
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subpoenas and subpoena duces tecum. Upon completion of the investigation you will receive notice of the investigative determinations.

Pursuant to N.C.G.S. § 120C-601(c), complaints, investigations, and all records accumulated in conjunction with the complaint and investigation are confidential records and may only be released by order of the court.

Please feel free to contact my office if you have any questions.

Sincerely,


Susan R. Lundberg
Lobbying Director/Complaints Attorney