BEFORE THE
STATE OF FLORIDA
COMMISSION ON ETHICS

In re ALISA CALLAHAN, ) Financial Disclosure Appeal No. FD 18-083
 ) Final Order No.
Appellant. )

FINAL ORDER

This matter came before the Commission on Ethics, meeting in public session on October 25, 2019, on the timely appeal of Appellant, pursuant to Section 112.3145(8)(g), Florida Statutes, (formerly, Section 112.3145(7)(f)), which assesses an automatic fine of $25 per day on a person who fails to timely file a required CE Form 1, Statement of Financial Interests. The Commission may waive the fine in whole or in part for good cause shown, based on "unusual circumstances" surrounding the failure to file by the designated date. There are no matters in dispute. Appellant did not request a hearing before the Commission.

Findings of Fact

1. According to information provided to the Commission, Appellant served as a City Appointed Trustee on the General Employees' Pension Fund Board for Cape Coral, Florida, a position requiring the filing of a CE Form 1, Statement of Financial Interests, for the year 2017. In 2018, the designated due date for submitting a 2017 CE Form 1 annual filing was July 2, 2018, with a grace period ending on September 4, 2018.

2. On September 17, 2018, the Lee County Supervisor of Elections received Appellant's 2017 CE Form 1, Statement of Financial Interests.

3. On April 2, 2019, an automatically accrued fine was levied against Appellant due to her failure to timely file her 2017 CE Form 1.
4. The total amount of the automatic fine levied against Appellant was $325.

5. On June 4, 2019, the Commission received Appellant's Appeal of Automatic Fine for Form Year 2017. In part B of her appeal form, Appellant checked "left public position prior to December 31, 2017" and "other unusual circumstances" as the general reasons for her appeal. In part C of her appeal form which calls for an appellant to provide a detailed explanation of his or her appeal, including why each option they selected in Part B is applicable to their situation, Appellant directed the Commission to see her attached explanation of appeal letter. In her explanation of appeal letter, Appellant explained that she had served as a volunteer trustee on the Cape Coral General Employees' Pension Board. She advised the Commission that the position required her to be a resident of the city of Cape Coral and therefore she notified the Chairman in August of 2017 that she would no longer be able to serve in the position as she and her family were moving to Miami. Appellant believes she had provided written notice to the plan administrators shortly after advising them she was relocating to Miami. Appellant said she believes the last meeting of the Pension Board that she attended was in April of 2017, although she can't totally recall at this point. Appellant advised the Commission that from early May through late September of 2017 and again from May 1st to August 15th of 2018, she had been in Newport, Rhode Island. Appellant advised the Commission that had she moved with her family to Miami at the end of October of 2018. Appellant acknowledged that although she filed her form on September 17, 2018, she had previously received a certified letter notifying her that she needed to file her 2017 CE Form 1 before September 4th. She claimed to not recall receiving any other notices prior to receiving the certified letter presumably due to her recent change of address. Appellant advised the Commission that upon receiving the certified letter she called the Cape Coral City Clerk because she thought the notice had been sent to her by mistake considering she not only no longer
served on the board but she had not done so for over a year. However, the City Clerk informed her that not only was she required to file a financial disclosure form for 2017, she was also required to submit her financial disclosure form to their office in person. Appellant advised the Commission that she was currently living more than three hours away and had a full time job with twin boys and a quadriplegic husband making it difficult for her to find the time to drop off her form at the Cape Coral Clerk of Courts' office in person, as they had claimed she was required to do. Appellant explained that in light of the circumstances she drove over to the Cape Coral City Clerk's office to file her 2017 CE Form 1 at the very first opportunity she had to do so, which was on September 17, 2018. Appellant concluded her explanation of appeal letter by asking the Commission to waive her $325 fine in light of the unusual circumstances present in the instant matter.

Conclusions of Law

6. The Commission has jurisdiction over the subject matter of this proceeding pursuant to Section 112.3145, Florida Statutes.

7. Financial disclosure is required of public officials and employees because it enables the public to evaluate potential conflicts of interest, deters corruption, and increases public confidence in government.

8. Section 112.3145(8)(g), Florida Statutes, states:

Any reporting person may appeal or dispute a fine, based upon unusual circumstances surrounding the failure to file on the designated due date, and may request and is entitled to a hearing before the commission, which may waive the fine in whole or in part for good cause shown. Any such request must be in writing and received by the commission within 30 days after the notice of payment due is transmitted. In such a case, the reporting person must, within the 30-day period, notify the person designated to review the timeliness of reports in writing of his or her intention to bring the matter before the commission. For purposes of this subparagraph, the term "unusual circumstances" does not include the failure to monitor an e-mail account or failure to receive notice if the person has not notified the commission of a change in his or her e-mail address.
9. Appellant received the Notice of Delinquency the Lee County Supervisor of Elections sent her on July 25, 2018, as she called the City of Cape Coral's City Clerk's office in response to receiving it. During this phone call between the City Clerk's office and Appellant they confirmed that she was required to file a 2017 CE Form 1, as she had technically been in her position as of December 31, 2017, so Appellant did have adequate timely notice that she needed to file prior to the September 4, 2018, deadline. However, when Appellant called the City Clerk's office in response to receiving the Notice of Delinquency she received anomalous instructions when personnel thereof advised her that she was required to hand deliver her 2017 CE Form 1 to their Cape Coral office, as opposed to simply mailing or emailing it to them or to the Lee County Supervisor of Elections office. There is no legal basis for the City Clerk's office to require Appellant to hand deliver her 2017 CE Form 1, thereby forcing her to allocate additional time and effort to drive three hours away from her current residence (as she no longer resided in Cape Coral). Therefore, her being inexplicably and erroneously instructed that she was required to hand deliver her 2017 CE Form 1 to the Cape Coral City Clerk's office, thereby making the required filing of her financial disclosure form much more difficult and time consuming than it should have been or needed to be; is the kind of unusual circumstance which in this instance justifies waiving her automatic fine.
Order

Based on the foregoing facts and conclusions of law, the Commission hereby waives the assessed fine of $325.

ORDERED by the State of Florida Commission on Ethics meeting in public session on Friday, October 25, 2019.

Date Rendered

Kimberly B. Rezanka
Chair, Florida Commission on Ethics

THIS ORDER CONSTITUTES FINAL AGENCY ACTION. ANY PARTY WHO IS ADVERSELY AFFECTED BY THIS ORDER HAS THE RIGHT TO SEEK JUDICIAL REVIEW UNDER SECTION 120.68, AND SECTION 112.3241, FLORIDA STATUTES, BY FILING A NOTICE OF ADMINISTRATIVE APPEAL PURSUANT TO RULE 9.110 FLORIDA RULES OF APPELLATE PROCEDURE, WITH THE CLERK OF THE COMMISSION ON ETHICS, AT EITHER 325 JOHN KNOX ROAD, BUILDING E, SUITE 200, TALLAHASSEE, FLORIDA 32303 OR P.O. DRAWER 15709, TALLAHASSEE, FLORIDA 32317-5709; AND BY FILING A COPY OF THE NOTICE OF APPEAL ATTACHED TO WHICH IS A CONFORMED COPY OF THE ORDER DESIGNATED IN THE NOTICE OF APPEAL ACCOMPANIED BY THE APPLICABLE FILING FEES WITH THE APPROPRIATE DISTRICT COURT OF APPEAL. THE NOTICE OF ADMINISTRATIVE APPEAL MUST BE FILED WITHIN 30 DAYS OF THE DATE THIS ORDER IS RENDERED.

KBR: cmk
Ms. Alisa B. Callahan
1st Grove Isle Drive #909
Miami, Florida 33133
APPEAL OF AUTOMATIC FINE FOR FORM YEAR 2017

DIRECTIONS: The information you provide in this form is critical for processing your appeal in a timely manner.

In Part A, please provide current contact information. If your contact information changes while your appeal is being processed, please notify us.

In Part B, please check any boxes that specify the general reason(s) for your appeal.

In Part C, please explain in detail the reason(s) for your appeal. In addition to your written explanation in Part C, you may attach any documents that support your appeal.

IMPORTANT: TO PRESERVE YOUR RIGHT TO APPEAL, THIS FORM OR OTHER WRITTEN APPEAL (AND ANY ATTACHMENTS) MUST BE FILED WITH (RECEIVED BY) THE COMMISSION ON ETHICS WITHIN THIRTY (30) DAYS OF THE DATE THE NOTICE OF ASSESSMENT OF AUTOMATIC FINE WAS MAILED TO YOU.

PLEASE SEND YOUR COMPLETED FORM TO ONE OF THE FOLLOWING:
Mailing Address: Commission on Ethics
P.O. Drawer 15709
Tallahassee, FL 32317-5709

Physical Address: Commission on Ethics
325 John Knox Road
Building E, Suite 200
Tallahassee, FL 32303

Fax: (850) 488-3077
Email: disclosure@leg.state.fl.us

PART A: YOUR INFORMATION

Name: Alisa Callahan

Address: 1 Grove Isle Drive #909 Miami FL 33133

Daytime Tel.: 401-487-4139 Cell: 401-487-4139

Email: alisabcallahan@gmail.com

Public Employer: n/a

Public Position: Volunteer: Trustee, Gen. Employees Pension Board, Cape Coral, FL

CONTINUED ON REVERSE SIDE
PART B: GENERAL REASON(S) FOR YOUR APPEAL
Please choose any/all reasons that apply to your appeal.

I hereby appeal the Notice of Assessment of Automatic Fine on the following basis:

a. [ ] Sickness or injury (Explain in Part C and attach a statement from attending physician, including dates and nature of illness or injury)

b. [ ] Lack of notification – Failure to receive notice (Explain in Part C and provide documentation that supports your assertion that you never received certified mail delinquency notice: for example, incorrect address; misdelivered mail; change in employment; extended absence from home, etc.)

c. [ ] Claim of timely filing of financial disclosure (Explain in Part C and provide copy of certified mail receipt and/or copy of completed form which had been previously filed, along with a sworn notarized statement that you filed prior to the deadline)

d. [✓] Left public position prior to December 31, 2017 (Explain in Part C and provide confirmation from agency that your office-holding/employment ended before 12/31/2017)

e. [✓] Other unusual circumstance (Explain in Part C and provide documentation explaining uncommon, rare, or sudden occurrence that prevented timely filing prior to deadline)

f. [ ] Not required to file (Explain in Part C and provide documentation that supports reason for not required to file)

PART C: DETAILED EXPLANATION OF YOUR APPEAL
Please provide a detailed explanation of your appeal, including why each option you selected in Part B is applicable to you. You may use the space provided and/or attach additional pages.

SEE ATTACHED.

OPTIONAL REQUEST FOR HEARING
[ ] In addition to this written appeal, I specifically request to appear before the Commission in a hearing pursuant to Section 112.3144(5)(e)3 or Section 112.3145(7)(f)3, Florida Statutes. Commission meetings occur in Tallahassee.

SIGNATURE
I have received and read the Notice of Assessment of Automatic Fine and its instructions on How to Appeal and I understand my options. I am requesting disposition of this matter as indicated.

6/14/19
Aline B. Callahan
DATE SIGNATURE
APPEAL EXPLANATION:

I was a volunteer trustee on the General Employees' Pension Board in Cape Coral. This position requires that I am a resident of the city. I notified the Chairman, Brian Fenske in Aug. 2017 that I was moving out of the area to Miami. I believe I provided a written notice to the plan administrators shortly thereafter. I believe my last meeting attended was in April 2017, but I really can't recall. I do know that I was in Newport, RI from early May through late September that summer, and I was again in Newport, RI from May 1 through August 15 the summer of 2018.

I moved from Cape Coral with my family at the end of October to Miami. I am now being penalized $325 for the late filing of the Form 1, Financial Disclosure which I filed on 9/17/18. I received a certified letter that I needed to file the form. I do not recall receiving other notices prior to the certified letter presumably due to my recent change in address when I moved across the state.

Upon receipt of the certified letter, I then called the City Clerk because I thought it was a mistake because I hadn't served on the board in over a year at that point, but they said I did AND the form had to be submitted in person. By this point, I'm living 3 hours away with a full time job, twin boys, and a quadriplegic husband. I did drive over at my first opportunity to drop off the form to the City of Cape Coral, but apparently it was 13 days after the deadline. I spoke with Diana in your office who informed me that the form was filed on 9/17/18.

Given the extenuating circumstances, I hereby request to be relived of the $325 fine. Should you require additional information or have any questions, please do not hesitate to contact me.

Alisa B. Callahan
6/4/19
### FORM 1

**STATEMENT OF FINANCIAL INTERESTS**

**2017**

**FOR OFFICE USE ONLY:**

**LAST NAME - FIRST NAME - MIDDLE NAME:**
Callahan  Aliisa  B.

**MAILING ADDRESS:**
1 Grove Isle Dr. A909  
Miami  FL  33133  Dade

**CITY:**
Cape Coral  General  Employees' Pension Fund

**ZIP:**
33133

**COUNTY:**
Trustee

**NAME OF AGENCY:**

**NAME OF OFFICE OR POSITION HELD OR SOUGHT:**

You are not limited to the space on the lines on this form. Attach additional sheets, if necessary.

CHECK ONLY IF  □  CANDIDATE  OR  □  NEW EMPLOYEE OR APPOINTEE

---

#### BOTH PARTS OF THIS SECTION MUST BE COMPLETED ####

**DISCLOSURE PERIOD:**
THIS STATEMENT REFLECTS YOUR FINANCIAL INTERESTS FOR THE PRECEDING TAX YEAR, WHETHER BASED ON A CALENDAR YEAR OR ON A FISCAL YEAR. PLEASE STATE BELOW WHETHER THIS STATEMENT IS FOR THE PRECEDING TAX YEAR ENDING EITHER (must check one):

- **X** DECEMBER 31, 2017
- □ SPECIFY TAX YEAR IF OTHER THAN THE CALENDAR YEAR:

**MANNER OF CALCULATING REPORTABLE INTERESTS:**
Filers have the option of using reporting thresholds that are absolute dollar values, which requires fewer calculations, or using comparative thresholds, which are usually based on percentage values (see instructions for further details). CHECK THE ONE YOU ARE USING (must check one):

- □ COMPARATIVE (PERCENTAGE) THRESHOLDS
- □ DOLLAR VALUE THRESHOLDS

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#### PART A -- PRIMARY SOURCES OF INCOME [Major sources of income to the reporting person - See instructions]
(If you have nothing to report, write "none" or "n/a")

<table>
<thead>
<tr>
<th>NAME OF SOURCE OF INCOME</th>
<th>SOURCE'S ADDRESS</th>
<th>DESCRIPTION OF THE SOURCE'S PRINCIPAL BUSINESS ACTIVITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salary - Professor</td>
<td>FL SW State College 8009 College Ave, Ft Myers, FL</td>
<td></td>
</tr>
<tr>
<td>Salary - Spouse</td>
<td>Sail to Prevail Newport R1</td>
<td></td>
</tr>
</tbody>
</table>

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#### PART B -- SECONDARY SOURCES OF INCOME
[Major customers, clients, and other sources of income to businesses owned by the reporting person - See instructions]
(If you have nothing to report, write "none" or "n/a")

<table>
<thead>
<tr>
<th>NAME OF BUSINESS ENTITY</th>
<th>NAME OF MAJOR SOURCES OF BUSINESS' INCOME</th>
<th>ADDRESS OF SOURCE</th>
<th>PRINCIPAL BUSINESS ACTIVITY OF SOURCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investment Income</td>
<td>Stocks</td>
<td>n/a</td>
<td>Investing</td>
</tr>
</tbody>
</table>

---

#### PART C -- REAL PROPERTY [Land, buildings owned by the reporting person - See Instructions]
(If you have nothing to report, write "none" or "n/a")

FILING INSTRUCTIONS for when and where to file this form are located at the bottom of page 2.

INSTRUCTIONS on who must file this form and how to fill it out begin on page 3.

(Continued on reverse side)
PART D — INTANGIBLE PERSONAL PROPERTY [Stocks, bonds, certificates of deposit, etc. - See instructions]
(If you have nothing to report, write "none" or "n/a")

<table>
<thead>
<tr>
<th>TYPE OF INTANGIBLE</th>
<th>BUSINESS ENTITY TO WHICH THE PROPERTY RELATES</th>
</tr>
</thead>
<tbody>
<tr>
<td>none</td>
<td></td>
</tr>
</tbody>
</table>

PART E — LIABILITIES [Major debts - See instructions]
(If you have nothing to report, write "none" or "n/a")

<table>
<thead>
<tr>
<th>NAME OF CREDITOR</th>
<th>ADDRESS OF CREDITOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>none</td>
<td></td>
</tr>
</tbody>
</table>

PART F — INTERESTS IN SPECIFIED BUSINESSES [Ownership or positions in certain types of businesses - See instructions]
(If you have nothing to report, write "none" or "n/a")

<table>
<thead>
<tr>
<th>NAME OF BUSINESS ENTITY</th>
<th>BUSINESS ENTITY #1</th>
<th>BUSINESS ENTITY #2</th>
</tr>
</thead>
<tbody>
<tr>
<td>none</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ADDRESS OF BUSINESS ENTITY</th>
<th>PRINCIPAL BUSINESS ACTIVITY</th>
<th>POSITION HELD WITH ENTITY</th>
<th>I OWN MORE THAN A 5% INTEREST IN THE BUSINESS</th>
<th>NATURE OF MY OWNERSHIP INTEREST</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

PART G — TRAINING
For elected municipal officers required to complete annual ethics training pursuant to section 112.3142, F.S.

☐ I CERTIFY THAT I HAVE COMPLETED THE REQUIRED TRAINING.

IF ANY OF PARTS A THROUGH G ARE CONTINUED ON A SEPARATE SHEET, PLEASE CHECK HERE ☐

SIGNATURE OF FILER:
Signature: Alisa B. Callahan
Date Signed: 9/4/18

CPA or ATTORNEY SIGNATURE ONLY
If a certified public accountant licensed under Chapter 473, or attorney in good standing with the Florida Bar, prepared this form for you, he or she must complete the following statement:
I, __________________________, prepared the CE Form 1 in accordance with Section 112.3145, Florida Statutes, and the instructions to the form. Upon my reasonable knowledge and belief, the disclosure herein is true and correct.
CPA/Attorney Signature: __________________________
Date Signed: __________________________

FILING INSTRUCTIONS:
If you were mailed the form by the Commission on Ethics or a County Supervisor of Elections for your annual disclosure filing, return the form to that location. To determine what category your position falls under, see page 3 of instructions.

Local officers/employees file with the Supervisor of Elections of the county in which they permanently reside. (If you do not permanently reside in Florida, file with the Supervisor of the county where your agency has its headquarters.) Form 1 files who file with the Supervisor of Elections may file by mail or email. Contact your Supervisor of Elections for the mailing address or email address to use. Do not email your form to the Commission on Ethics. It will be returned.

State officers or specified state employees who file with the Commission on Ethics may file by mail or email. To file by mail, send the completed form to P.O. Drawer 15709, Tallahassee, FL 32317-5709; physical address: 325 John Knox Rd, Bldg E, Ste 200, Tallahassee, FL 32303. To file with the Commission by email, scan your completed form and any attachments as a pdf (do not use any other format) and send it to CEForm1@LEG.state.FL.us. Do not file by both mail and email. Choose only one filing method. Form 1 files will not be accepted via email.

Candidates file this form together with their filing papers.

MULTIPLE FILING UNNECESSARY: A candidate who files a Form 1 with a qualifying officer is not required to file with the Commission or Supervisor of Elections.

WHEN TO FILE: Initially, each local officer/employee, state officer, and specified state employee must file within 30 days of the date of his or her appointment or of the beginning of employment. Appointees who must be confirmed by the Senate must file prior to confirmation, even if that is less than 30 days from the date of their appointment.

Candidates must file at the same time they file their qualifying papers.

Thereafter, file by July 1 following each calendar year in which they hold their positions.

Finally, file a final disclosure form (Form 1F) within 60 days of leaving office or employment. Filing a CE Form 1F (Final Statement of Financial Interests) does not relieve the filer of filing a CE Form 1 if the filer was in his or her position on December 31, 2017.
Ticket Details

**Status**
Closed

**Priority**
Low

**Source**
Email

**Type**
Annual Disclosures

**Agent**
Tammy Lipa

by **Alisa Callahan** on **Mon, Sep 17 at 12:07 PM** via Email

**Stmt. of Financial Int, Form 1 2017 - Alisa Callahan**

To Whom It May Concern,

Attached please find my Statement of Financial Interest for 2017. Please note that I have since resigned from the position that required Form 1.

Thank you so much.

Sincerely,

Alisa Callahan

Scanned with TurboScan.

Sent from my iPhone
BEFORE THE
STATE OF FLORIDA
COMMISSION ON ETHICS

In re Alisa Callahan
City Appointed Trustee
General Employees Pension Fund Board
Cape Coral

PID#: 254447

NOTICE OF ASSESSMENT OF AUTOMATIC FINE

The Commission on Ethics hereby gives notice of an assessment of a fine against you pursuant to Section 112.3145(7)(f), Florida Statutes, due to your failure to timely file your 2017 CE Form 1, Statement Of Financial Interests. Under the law, your 2017 CE Form 1, Statement of Financial Interests, was due by July 2, 2018. The law provided for a penalty-free grace period extending the due date to September 4, 2018. After that date, you accrued fines of $25.00 per day for each day your financial disclosure was late, pursuant to Section 112.3145(7)(f), Florida Statutes.

Inasmuch as your 2017 CE Form 1 was filed September 17, 2018 with the Supervisor of Elections for Lee County, you are fined the amount of $325.00 ($25.00 per day for 13 day(s) late). This fine must be paid to the Commission on Ethics within 30 days of the date of this notice unless you appeal the fine to the Commission. The Commission has the authority to consider the appeal and waive the fine in whole or in part if your failure to file on time was due to "unusual circumstances" surrounding the failure to file.

HOW TO APPEAL

1. Read these instructions carefully before submitting your appeal.

2. LEGAL AUTHORITY: Appeals are governed by Section 112.3145(7)(f)3., Florida Statutes, and Commission Rule 34-8.215, Florida Administrative Code.

3. FORMAT: Your appeal must be in writing and mailed to Florida Commission on Ethics, P. O. Drawer 15709, Tallahassee, FL 32317-5709, or delivered to Florida Commission on Ethics, 325 John Knox Road, Building E, Suite 200, Tallahassee, FL 32303. The appeal may take the form of a letter or you may use the appeal form included in this mailing. The appeal form also is available at the Commission's website: www.ethics.state.fl.us. Click on "Financial Disclosure" and then the link to the sample appeal form.

4. DUE DATE: Your appeal must be received by the Commission on Ethics on or before May 6, 2019. NOTE: Failure to timely file an appeal will constitute a waiver of your right to appeal and will result in the entry of a default order against you.

5. UNUSUAL CIRCUMSTANCES: An appeal must demonstrate that you submitted your CE Form 1 after the extended due date because of "unusual circumstances." "Unusual circumstances" is defined in Commission Rule 34-8.215(4), Florida Administrative Code, as "uncommon, rare, or sudden events over which the reporting individual had no control and which directly result in the failure to act in accordance with the filing requirements." Therefore, circumstances that allowed for time to take steps necessary to file on time do not constitute "unusual circumstances" that will allow the Commission to waive the fine. You have the burden to establish "unusual circumstances." Your appeal must specifically state the circumstances that led to your not filing by September 4, 2018, and must include any documentation or evidence supporting your appeal, such as:
   a. SICKNESS/INJURY: a statement from attending physician, including dates and nature of the illness or injury;
   b. LACK OF NOTICE (WRONG ADDRESS): documentation that you did not reside at the address to which notice was sent;
   c. LACK OF NOTICE (ABSENCE FROM HOME): documentation establishing the period of time of your absence covering the notification period;
d. **CLAIM OF TIMELY FILING OF FINANCIAL DISCLOSURE:** (1) an affidavit from you attesting under oath or affirmation that you filed your financial disclosure and your recollection of when and how you filed and (2) a copy of a certified mail receipt and/or a copy of the completed form which was filed. If you have witnesses to your filing, we also will need an affidavit from each witness. **NOTE:** A claim of having filed the CE Form 1F for the current year does not satisfy the CE Form 1 filing requirement or excuse a late filing;
e. **LEFT PUBLIC POSITION BEFORE DECEMBER 31, 2017:** confirmation of your last date of office or employment by your former agency, showing the last date to be before December 31, 2017; or
f. **UNCLAIMED CERTIFIED MAIL:** if delinquency notice was addressed correctly but not received, you must explain why.

6. **YOUR RIGHT TO A HEARING:** You have the right to have your appeal heard by the Commission and to appear before the Commission at the hearing, but, to exercise this right, you must specifically request a hearing in your appeal. If you do not request a hearing, you will waive your right to a hearing, the Commission will determine the outcome of your appeal based upon the written record (including the documentation you provide and any documentation in your case file), and you will receive no further notice until after the Commission decides your appeal.

**FAILURE TO PAY FINE OR FILE APPEAL WITHIN 30 DAYS**

If you do not timely file an appeal or pay the assessed fine within 30 days of this Notice, a default order will be entered against you and the Commission will take the steps provided by law to collect the fine, including:
- Referral to the CFO of the Department of Financial Services, if you are a salaried state officer or employee, for withholding of a portion of your salary until the fine is satisfied; or
- Referral to your agency's governing body for withholding of a portion of your salary until the fine is satisfied;
- Referral to a collection agency, which can seek garnishment of your wages; and/or
- An additional civil penalty, not limited by this automatic fine, may be imposed if your disclosure statement is filed more than 60 days late and a complaint is filed against you pursuant to Section 112.324, Florida Statutes.

Please contact our office if you have any questions about this matter.

**CERTIFICATE OF MAILING**

I certify that a copy of the foregoing Notice of Assessment of Automatic Fine was furnished to:

Alisa Callahan  
1 Grove Isle Dr #909  
Miami, FL 33133

by Certified Mail on this **Friday, April 05, 2019.**

[Signature]

KIMBERLY R. HOLMES  
Program Administrator

Florida Commission on Ethics  
P. O. Drawer 15709 -or- 325 John Knox Road, Building E, Ste. 200  
Tallahassee, FL 32317-5709  
Tallahassee, FL 32303

Tel.: (850) 488-7864  
Fax: (850) 488-3077  
Email: disclosure@leg.state.fl.us
254447
ALISA CALLAHAN
1 GROVE ISLE DR APT 809
MIAMI, FL 33133-4108

URGENT - Open immediately!
Mail Piece Details

Recipient Address
ALISA CALLAHAN
1 GROVE ISLE DR APT 509
MIAMI, FL 33133-4109

Record / Case Number:
254447

Return Address
STATE OF FLORIDA
COMMISSION ON ETHICS
PO DRAWER 15709
TALLAHASSEE, FL 32317-5709

Entry Point ZIP:
32317

Mail Piece Information

Tracking Number: 92148901065154000136846752
Date Created: 04/05/2019 09:49:47 AM
Mail Class: USPS First Class Mail
Special Services: Certified Mail
Return Receipt Electronic
Memo: --
Created By: Kimberly Holmes - Commission on Ethics

Signature Information

Signed For By: ALISA CALLAHAN
Signature Status: Available (Click Here)

Tracking Information

Mailed, April 05, 2019, 09:49:47 AM, TALLAHASSEE,FL 32317
Pre-Shipment Info Sent To Usps, Usps Awaiting Item, April 05, 2019, 12:00:00 AM
Pre-Shipment Info Sent Usps Awaits Item, April 05, 2019, 09:07:00 AM, TALLAHASSEE,FL 32317
Accepted At Usps Origin Facility, April 05, 2019, 07:24:00 PM, TALLAHASSEE,FL 32317
Origin Acceptance, April 05, 2019, 07:24:00 PM, TALLAHASSEE,FL 32317
Arrived At Usps Regional Origin Facility, April 05, 2019, 08:39:00 PM
Processed Through Usps Facility, April 05, 2019, 09:45:00 PM
Departed Usps Regional Facility, April 05, 2019, 09:45:00 PM
Depart Usps Facility, April 05, 2019, 09:45:00 PM, TALLAHASSEE,FL 32301
In Transit, Arriving On Time, April 06, 2019, 12:00:00 AM
Arrived At Usps Regional Destination Facility, April 06, 2019, 09:29:00 PM
Processed Through Usps Facility, April 06, 2019, 09:29:00 PM, MIAMI,FL 33152
In Transit, Arriving On Time, April 07, 2019, 12:00:00 AM
Departed Usps Regional Destination Facility, April 07, 2019, 11:36:00 PM
Processed Through Usps Facility, April 07, 2019, 11:36:00 PM, MIAMI,FL 33152
In Transit, Arriving Late, April 08, 2019, 12:00:00 AM
In Transit, Arriving Late, April 09, 2019, 12:00:00 AM
In Transit, Arriving Late, April 10, 2019, 12:00:00 AM
Delivered, Front Desk/Reception/Mail Room, April 10, 2019, 05:41:00 PM, MIAMI,FL 33133

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For the latest version of Adobe® Reader®, click here.
April 11, 2019

Dear MAIL MAIL:

The following is in response to your request for proof of delivery on your item with the tracking number: 9214 8901 0661 5400 0136 8467 52.

Item Details

Status: Delivered, Front Desk/Reception/Mail Room
Status Date / Time: April 10, 2019, 5:41 pm
Location: MIAMI, FL 33133
Postal Product: First-Class Mail®
Extra Services: Certified Mail™
Return Receipt Electronic
Recipient Name: ALISA CALLAHAN

Recipient Signature

Signature of Recipient: 
Address of Recipient: 

Note: Scanned image may reflect a different destination address due to Intended Recipient's delivery instructions on file.

Thank you for selecting the United States Postal Service® for your mailing needs. If you require additional assistance, please contact your local Post Office™ or a Postal representative at 1-800-222-1811.

Sincerely,
United States Postal Service®
475 L’Enfant Plaza SW
Washington, D.C. 20260-0004

The customer reference information shown below is not validated or endorsed by the United States Postal Service. It is solely for customer use.

Reference ID: 92148901066154000136846752
254447
ALISA CALLAHAN
1 Grove Isle Dr Apt 909
Miami, FL 33133-4108
August 16, 2019

Ms Alisa Callahan
1 Grove Isle Dr #909
Miami FL 33133

RE:  In re Alisa Callahan 254447, Financial Disclosure Appeal No.: FD 18-083

The Commission has received your appeal. We will send all future correspondence in this matter to you at the above-listed address unless you notify us of a change in your address.

The following information is to help you understand the process your appeal will follow. Please note: If you are currently being investigated for willfully failing to file financial disclosure, your appeal may not be heard until that process is complete. If we received your appeal more than 30 days after we sent you the notice of your right to appeal, it may be denied on that basis. Otherwise, the following will apply:

Initially, Commission staff will review your appeal and any documentation you submitted. We may contact you for more information. A draft order will then be prepared and agendaded for a Commission meeting. The Commission meets approximately every six weeks. How soon your appeal will be heard depends on a number of things, including when it was received and the Commission's workload. If you requested a hearing before the Commission when you filed your appeal, you will be provided with a copy of the draft order and will be notified of the date and time at which your appeal will be heard. At this meeting, the Commission will rule on your appeal. A final order will be entered and provided to you, usually within a week of the Commission meeting. If the fine is not waived, we will consider flexible payment options.

If you have any questions about this appeal or the appeal process, please feel free to contact me.

Sincerely,

Kimberly R. Holmes
Program Administrator
The filer has fines for: **2018 (Appeal)**

### 2018 Fines and Appeals

#### Form Year 2017 Filed Forms

<table>
<thead>
<tr>
<th>Received Date</th>
<th>Form Type</th>
<th>Form Signed</th>
<th>Filed by Email</th>
<th>Filing Location</th>
<th>Updated</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>09/17/18</td>
<td>Form 1</td>
<td>Yes</td>
<td>No</td>
<td>SOE</td>
<td>HOLMESK(SOE IMPORT) on 12/04/2018</td>
<td>Lee</td>
</tr>
</tbody>
</table>

#### 2018 Fine Information

- **Fine Balance**: $325.00
- **Fine Status**: Appeal
- **Fine Date**: 4/2/2019
- **Original Assessment**: $325.00
- **Fine Amount**: $325.00
- **Last Payment Date**: 12/04/2018
- **Payment Plan Start Date**: None
- **Payment Plan Amount**: None

**Fine Address**: 1 Grove Isle Dr #909 Miami FL 33133

**Org/Suborg**: Cape Coral-General Employees Pension Fund Board

#### 2018 Fine Payment History

<table>
<thead>
<tr>
<th>Date Posted</th>
<th>Description</th>
<th>Amount</th>
<th>Method</th>
<th>Payment ID</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>4/2/2019</td>
<td>Fine Levied</td>
<td>+ $325.00</td>
<td></td>
<td></td>
<td>Fined $325.00</td>
</tr>
</tbody>
</table>

**Current Balance**: $325.00
2018 Fine Year Event
Chronology

<table>
<thead>
<tr>
<th>Date</th>
<th>Type</th>
<th>Description</th>
<th>Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>08/16/2018</td>
<td>Postcard Sent</td>
<td>Courtesy Postcard Reminder</td>
<td>Print</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Queue: 8/16/2018</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Printing Confirmed:</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>8/16/2018</td>
</tr>
</tbody>
</table>

Letter Sent To:
Ms Alisa Callahan
3930 Se 18th Pl
Cape Coral, FL 33904-5091

08/31/2018 Filer Communication: From: France, Staci Sent: Friday, August 31, 2018 9:54 AM To: Staci France
Email: 'alisacallahan@embarqmail.com'
Subject: CE Form 1 Earlier this year you were notified of your obligation to file a CE Form 1, Statement of Financial Interests, for the year ending December 31, 2017. The grace period for filing this form will expire on September 4th 2018 at 5 pm. According to our records, you still have not filed your CE Form 1. Pursuant to State Law, an automatic fine of $25 per day for each day late (maximum fine $1,500) will be assessed against you if your CE Form 1 is not received by September 4, 2018. Failure to file can result in removal from public office or employment. Please file your CE Form 1 immediately with your county Supervisor of Elections! If you have any questions please contact 800-262-8824 or 850-488-7864.

09/6/2018 Letter Sent Courtesy Notice of Fines Accruing
Print Queue:
9/17/2018 Form Received  Form 1 Received, Signed  Form 1 Received by Lee SOE

Form Received By: Lee County SOE
Filing Location: Lee County SOE
Record Created By: HOLMESK(SOE IMPORT) on 12/04/2018

09/17/2018 Filer From: Holmes, Kim Sent: Monday, September 17, 2018 3:22 PM To: Kim Holmes
Communication: Tammy Lipa Cc: Bernie Feliciano ; financial.disclosures@miamidade.gov; Prine.Emily Subject: RE: ALISA CALLAHAN - PID #254447 [CAPE CORAL - GENERAL EMPLOYEES PENSION FUND BOARD] Hi Tammy,
Per our telephone conversation, the county change will occur after our office has assessed the fine for Ms. Callahan. Please provide copies of any returned mail, the certified receipt, and copy of email submitting the form with the delinquency certification. If you have any questions, please do not hesitate to contact me. Thanks! Kim Kimberly R. Holmes Program Administrator Financial Disclosure Section Florida Commission on Ethics P.O. Drawer 15709 Tallahassee, FL 32317-5709 (850) 488-7864 (850) 488-3077 (Fax) www.ethics.state.fl.us ---From:

http://fdms/admin/protected/content/coe/filer_fines_appeals.cfm?filer_id=254447 8/19/2019
Tammy Lipa Sent: Monday, September 17, 2018 12:27 PM To: Holmes, Kim ; Prine.Emily Cc: Bernie Feliciano ; financial.disclosures@miamidade.gov
Subject: ALISA CALLAHAN - PID #254447 [CAPE CORAL - GENERAL EMPLOYEES PENSION FUND BOARD]

Good Afternoon, Today, our office received the 2017 Form 1 for Alisa Callahan with an address change of: 1 Grove Isle Dr #909, Miami, FL 33133

The new address has been updated in the COE portal. Please add this listing to the Miami-Dade County list of filers. Thank you, Tammy Lipa
Administration Support Specialist
Post Office Box 2545 Fort Myers, FL 33902-2545 Main Number: 239-533-8683 Direct Number: 239-533-6329
tlipa@lee.vote

09/17/2018 Filer Ms. Callahan filed by email on 9/17/2018 to the Lee County SOE office. Since Lee County sent notices to file and form was received late, county will be changed after the fine has been levied as Lee County will send copies of certified mailing etc. with delinquency certification for filer.

04/2/2019 Fine Levied Fined $325.00 Journal:
4/2/2019
10:25 AM

04/5/2019 Notice of Assessed Fine Initial Fine Notice Journal:
4/5/2019
8:42 AM

04/5/2019 Letter Sent Notice of Assessed Fine - Filer 1st Fine Letter Print Queue:
4/5/2019
Printing
Letter Sent To:
Ms Alisa Callahan
1 Grove Isle Dr #909
Miami, FL 33133

05/21/2019 Final Notice of Assessed Fine
Journal:
5/21/2019
4:39 PM

05/22/2019 Letter Sent Final Notice of Assessed Fine - Second Fine Notice
Print Queue:
5/22/2019
Printing
Confirmed:
5/22/2019

Letter Sent To:
Ms Alisa Callahan
1 Grove Isle Dr #909
Miami, FL 33133

06/4/2019 Filer Communication: Phone
Ms. Callahan called. Confused about fine. I told her that she was 13 days late in filing her Form 1 2017. She had a change of address and spends summers in Rhode Island, and claims not to have received some of the earlier notices. I confirmed that we currently had correct address on file, and advised her that she can try to appeal the fine. I told her on website where to find the Appeal Form and she said she would submit it for review.

06/6/2019 Fine Appeal FD 18-083
Journal:
6/6/2019
6:23 PM

08/16/2019 Letter Sent Fine Appeal
Print Queue:
Letter Sent To:
Ms Alisa Callahan
1 Grove Isle Dr #909
Miami, FL 33133

<table>
<thead>
<tr>
<th>2018 Fine Appeal</th>
<th>Update Appeal</th>
<th>Withdraw Appeal</th>
</tr>
</thead>
<tbody>
<tr>
<td>FD 18-083</td>
<td></td>
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</tr>
</tbody>
</table>

Appeal Status: No Hearing Requested

- Active
- Appeal Receipt Date: 06/04/2019
- Timely Filed: No
- Print Appeal Letter: Yes
- Hearing Requested: No
- Appeal Reason: Other, Left Public Position
- Appeal Notes: 
- Appeal Number: FD 18-083
- Appeal Analyst Assigned:
- Final Order Number:
- Final Order Date: