

WASHINGTON UTILITIES AND TRANSPORTATION COMMISSION

PENALTY ASSESSMENT TV-160647

PLEASE NOTE: You must complete and sign this document, and send it to the Commission within 15 days after you receive the penalty assessment. Use additional paper if needed.

I have read and understand RCW 9A.72.020 (printed below), which states that making false statements under oath is a class B felony. I am over the age of 18, am competent to testify to the matters set forth below and I have personal knowledge of those matters. I hereby make, under oath, the following statements.

[ ] 1. Payment of penalty. I admit that the violations occurred. I have:

[ ] Enclosed \$ \_\_\_\_\_ in payment of the penalty

[ ] Submitted my payment of \$ \_\_\_\_\_ online at www.utc.wa.gov. My confirmation number is \_\_\_\_\_.

[ ] 2. Request for a hearing. I believe that one or more of the alleged violations did not occur, for the reasons I describe below, and I request a hearing based on those reasons for a decision by an administrative law judge:

[X] 3. Application for mitigation. I admit the violations, but I believe that the penalty should be reduced for the reasons set out below:

Please see attached.

[ ] a) I ask for a hearing to present evidence on the information I provide above to an administrative law judge for a decision

OR

[X] b) I ask for a Commission decision based solely on the information I provide above.

I declare under penalty of perjury under the laws of the State of Washington that the foregoing, including information I have presented on any attachments, is true and correct.

Dated: 6/30/2016 [month/day/year], at Seattle, WA [city, state]

Trefethen and Co., Inc. Name of Respondent (company) - please print

[Signature] Signature of Applicant

RCW 9A.72.020:

"Perjury in the first degree. (1) A person is guilty of perjury in the first degree if in any official proceeding he makes a materially false statement which he knows to be false under an oath required or authorized by law. (2) Knowledge of the materiality of the statement is not an element of this crime, and the actor's mistaken belief that his statement was not material is not a defense to a prosecution under this section. (3) Perjury in the first degree is a class B felony."

2016 JUL -5 AM 10:09 RECEIVED INFORMATION MANAGEMENT

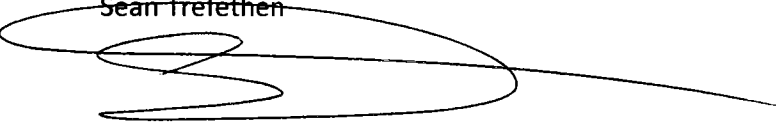
Hello Commission,

6/30/2016

I fully admit to not filing on-time and apologize sincerely! This was an absolute mistake. I simply filed the report into my WUTC file and never completed it or sent it in. Trefethen and Co., Inc. and Bader and Olson have been filing for over 30 years. This is the first time I have made this error and would appeal to you to please grant me some leniency on the \$1000.00 fine based on our past record of reports being completed on-time and a solid promise never to file late again. The regulatory fee was \$148.68 and I submitted 5.95 in penalties and interest with my return.

Again, I am truly sorry and wait to hear from you on your decision.

Sean Trefethen



Trefethen and Co., Inc.

Bader and Olson

601 S Andover St

Seattle, WA 98108