

# Office of the Attorney General

## MISSION

The Office of the Attorney General (OAG) represents the State in all legal matters. The Attorney General acts as legal counsel to the Governor, General Assembly, Judiciary and State agencies, boards and commissions.

## VISION

The Office of the Attorney General provides superior legal representation and promotes public safety by providing the highest quality of legal services from a staff that is dedicated to excellence and professionalism. The Office of the Attorney General demonstrates integrity by being ethical and accountable and making principled decisions. The Office of the Attorney General embraces diversity as well as teamwork.

## KEY GOALS, OBJECTIVES, AND PERFORMANCE MEASURES

### Goal 1. To complete bill review in a timely manner.

**Obj. 1.1** Complete the Attorney General's review of bills waiting on the Governor's signature no later than seven days prior to the last bill signing.

Performance Measures	2012 Act.	2013 Act.	2014 Act.	2015 Act.	2016 Act.	2017 Est.	2018 Est.
Number of bills for review	791	763	811	692	834	834	834
Average number of bills reviewed per day/number of calendar days	18.8 / 42	20.6 / 37	21.3 / 38	23.9 / 29	22 / 38	22 / 38	22 / 38

### Goal 2. Handle all Securities Division matters.

**Obj. 2.1** To handle all Securities Division matters effectively.

Performance Measures	2012 Act.	2013 Act.	2014 Act.	2015 Act.	2016 Act.	2017 Est.	2018 Est.
Broker/dealer (firm) registration and renewals	2,114	2,065	2,032	2,008	1,987	1,950	1,850
Registered agents (stockbrokers)	179,283	179,254	186,272	193,159	201,233	195,000	195,000
Investment adviser/financial planner (firm) registrations and renewals	610	633	671	624	618	600	600
Federal Covered Adviser notice filings	1,774	1,717	1,851	1,910	1,993	1,900	1,900
Investment adviser/financial planner representative (individual) registration, renewals and notice filings	10,381	10,759	11,491	11,626	12,193	12,000	12,000
Securities registrations, renewals, and exemption and notice filings	26,744	27,303	29,995	30,191	31,301	30,500	30,500
Franchise registration and renewals	1,463	1,489	1,498	1,604	1,624	1,600	1,600
Active cases, investigations and inquiries	1,132	1,047	1,104	929	1,313	1,100	1,100
Registration fees (\$)	25,912,751	25,107,209	26,475,585	27,929,267	28,770,692	27,500,000	27,500,000
Fines imposed, restitution and rescission (\$)	83,779,821	2,263,872	2,376,078	75,833,977	914,505	1,000,000	1,000,000

# Office of the Attorney General

**Goal 3. Handle all Consumer Protection Division (CPD) matters, including inquiries, complaints, arbitration, and hearings.**

**Obj. 3.1** Handle consumer protection matters in a timely manner to achieve beneficial outcome to consumers.

**Obj. 3.2** Maintain an average time of no more than 110 days between the receipt of a consumer complaint and its disposition.

<b>Performance Measures</b>	<b>2012 Act.</b>	<b>2013 Act.</b>	<b>2014 Act.</b>	<b>2015 Act.</b>	<b>2016 Act.</b>	<b>2017 Est.</b>	<b>2018 Est.</b>
Inquiries	50,872	48,273	45,691	44,062	46,808	46,000	46,000
Complaints	11,648	11,335	10,415	10,522	11,456	11,500	11,700
Arbitrations	83	75	57	62	56	70	70
Cease and Desist Orders and Settlements	85	104	110	106	54	50	50
Recoveries for consumers (\$ millions)	240.175	1,037.540	8.686	14.902	12.820	6.000	6.000
Average days to complaint disposition	53	52	55	65	66	80	80

**Goal 4. Handle all antitrust matters.**

**Obj. 4.1** Handle all antitrust matters for beneficial outcome for the State of Maryland and its citizens.

<b>Performance Measures</b>	<b>2012 Act.</b>	<b>2013 Act.</b>	<b>2014 Act.</b>	<b>2015 Act.</b>	<b>2016 Act.</b>	<b>2017 Est.</b>	<b>2018 Est.</b>
Investigations, inquiries and advice	592	578	630	580	576	550	550
Enforcement actions	25	19	19	18	19	19	18
Parens patriae	8	5	5	4	4	4	4
Other civil	17	14	14	14	15	15	14
Criminal	0	0	0	0	0	0	0
Antitrust defense	0	0	0	1	0	1	0
Amicus briefs	1	2	2	2	2	2	2
Debarments	79	79	79	85	91	102	105
Funds recovered for State (\$)	568,000	600,400	38,250	477,628	691,705	550,000	650,000
Funds recovered for Maryland subdivisions (\$)	0	0	0	0	0	350,154	0
Funds recovered for consumers (\$)	3,000,000	4,000,000	3,800,000	1,710,000	9,456,773	2,650,000	200,000

# Office of the Attorney General

**Goal 5. Handle all Medicaid Fraud Control Unit (MFCU) matters.**

**Obj. 5.1** Handle all MFCU matters to protect the integrity of the Medicaid program and to help protect vulnerable adults.

<b>Performance Measures</b>	<b>2012 Act.</b>	<b>2013 Act.</b>	<b>2014 Act.</b>	<b>2015 Act.</b>	<b>2016 Act.</b>	<b>2017 Est.</b>	<b>2018 Est.</b>
Cases pending beginning of year	151	255	328	295	369	435	485
New cases	167	262	261	369	345	350	350
Total	318	517	589	664	714	785	835
Fraud cases opened	130	145	103	140	115	125	125
Patient abuse cases opened	215	212	221	336	230	225	225
Investigations completed	243	189	294	295	279	300	335
Cases pending end of fiscal year	255	329	295	370	435	485	500
Criminal charges	22	9	17	8	12	15	18
Civil settlements	15	20	30	13	15	15	18
Fines, settlements, restitution, and/or overpayments identified (\$)	9,716,666	20,583,916	42,160,499	7,992,335	10,119,868	4,000,000	5,000,000

**Goal 6. To conduct investigations and request the Maryland Insurance Commissioner to initiate actions or proceedings to protect the interests of insurance consumers.**

**Obj. 6.1** Research matters thoroughly and advocate for an appropriate judicial or legislative resolution that will serve the interests of insurance consumers.

<b>Performance Measures</b>	<b>2012 Act.</b>	<b>2013 Act.</b>	<b>2014 Act.</b>	<b>2015 Act.</b>	<b>2016 Act.</b>	<b>2017 Est.</b>	<b>2018 Est.</b>
Review of Maryland Insurance Commissioner actions	1,241	1,321	1,314	932	1,043	1,100	1,100
Investigations conducted	116	109	151	111	86	100	100
Requests for Commissioner action	11	9	27	39	87	70	70
Legislative activity	21	9	11	11	9	10	10

**Goal 7. To ensure that its attorneys, and all attorneys in the Office of the Attorney General who litigate, provide uniformly high quality litigation services to our clients, Maryland's state agencies, officers and employees.**

**Obj. 7.1** Litigating those cases most important to the core functions and governmental policies of the State of Maryland, and to the rights and interests of its citizens, or that are of a complexity and size that require special expertise, resources, or attention, and supervising the litigation of other significant cases.

<b>Performance Measures</b>	<b>2012 Act.</b>	<b>2013 Act.</b>	<b>2014 Act.</b>	<b>2015 Act.</b>	<b>2016 Act.</b>	<b>2017 Est.</b>	<b>2018 Est.</b>
Total number of matters litigated by court jurisdiction	159	136	145	109	125	120	120
State Courts	95	87	89	68	83	80	80
Federal Courts	45	28	37	26	31	30	30
Miscellaneous	19	21	19	15	11	10	10

# Office of the Attorney General

**Goal 8. Handle all Criminal Appeals Division matters and represent the State in criminal appeals.**

**Obj. 8.1** To competently and efficiently handle all matters assigned to the Division.

**Obj. 8.2** To achieve the highest level of affirmances in criminal convictions.

<b>Performance Measures</b>	<b>2012 Act.</b>	<b>2013 Act.</b>	<b>2014 Act.</b>	<b>2015 Act.</b>	<b>2016 Act.</b>	<b>2017 Est.</b>	<b>2018 Est.</b>
Federal cases filed and assigned	59	91	76	84	86	87	87
State cases filed and assigned	1,016	1,018	1,183	1,151	1,122	1,150	1,150
Dispositions from State court: cases handled by the Division	840	657	928	797	749	799	799
Successful cases	712	601	844	715	653	700	700
Percent successful	85%	91%	91%	90%	87%	88%	88%

**Goal 9. Thoroughly and conscientiously evaluate, investigate and, where appropriate, prosecute significant criminal conduct referred to or otherwise identified by the Criminal Investigation Division (CID), including but not necessarily limited to fraud within or affecting State government, health care fraud, identity fraud, securities fraud, non-State employee misconduct, tax fraud, embezzlement and other business crimes, computer crimes, firearms offenses, gang violence, referrals from local State's Attorneys, consumer fraud and multi-jurisdictional criminal conduct.**

**Obj. 9.1** Properly identify, evaluate, investigate and, where appropriate prosecute CID matters so as to maximize effective and ethical delivery of Division investigative, criminal justice and prosecutorial resources.

<b>Performance Measures</b>	<b>2012 Act.</b>	<b>2013 Act.</b>	<b>2014 Act.</b>	<b>2015 Act.</b>	<b>2016 Act.</b>	<b>2017 Est.</b>	<b>2018 Est.</b>
Matters litigated: Maryland Court of Special Appeals	0	0	0	0	0	0	0
<sup>1</sup> Total Division referrals and general unit activity	4,529	4,439	2,433	9,012	298	298	298
Organized Crime Unit							
Indictments	N/A	N/A	N/A	N/A	66	66	66
Conviction Rate	N/A	N/A	N/A	N/A	94%	94%	94%
Fraud and Corruption Unit							
Indictments	N/A	N/A	N/A	N/A	13	13	13
Conviction Rate	N/A	N/A	N/A	N/A	100%	100%	100%

# Office of the Attorney General

**Goal 10. Increase knowledge and expertise in new areas such as bankruptcy, tech transfers and labor law.**

**Obj 10.1** Assist clients to resolve bankruptcy and labor issues and to bring scientific discoveries to market.

<b>Performance Measures</b>	<b>2012 Act.</b>	<b>2013 Act.</b>	<b>2014 Act.</b>	<b>2015 Act.</b>	<b>2016 Act.</b>	<b>2017 Est.</b>	<b>2018 Est.</b>
Federal Cases	32	27	30	37	27	30	30
State Cases	98	69	72	83	59	60	60
Administration	135	118	107	60	67	70	70
Advice	3,440	3,538	2,354	1,950	2,400	2,700	2,700
Contracts drafted/reviewed	2,421	2,282	1,480	1,200	1,300	1,400	1,400

**Goal 11. To help communities damaged by predatory lending and high numbers of foreclosures by acquiring and renovating homes, demolishing homes that are abandoned and cannot be renovated, and by providing assistance to homeowners moving into vacant or foreclosed housing.**

**Obj 11.1** Acquire, rehabilitate and maintain occupancy of affordable housing by owners and tenants.

**Obj 11.2** Create open space and opportunities for new development where housing is abandoned and in serious disrepair.

**Obj 11.3** Assist homebuyers to obtain affordable housing.

**Obj 11.4** Provide affordable housing for tenants.

<b>Performance Measures</b>	<b>2012 Act.</b>	<b>2013 Act.</b>	<b>2014 Act.</b>	<b>2015 Act.</b>	<b>2016 Act.</b>	<b>2017 Est.</b>	<b>2018 Est.</b>
Houses acquired, rehabilitated and preserved	N/A	N/A	18	72	68	0	N/A
Houses demolished/stabilized	N/A	N/A	57	113	230	65	N/A
New homeowners assisted with purchase	N/A	N/A	247	204	420	67	N/A
Tenants provided affordable housing	N/A	N/A	0	11	0	0	N/A
Estimated grant budget breakdown: Baltimore City (\$)	N/A	N/A	1,377,811	832,826	6,001,910	1,787,453	N/A
Prince George's County (\$)	N/A	N/A	510,022	2,772,897	6,243,069	474,012	N/A
Total (\$)	N/A	N/A	1,887,833	3,605,723	12,224,979	2,261,465	N/A

# Office of the Attorney General

**Goal 12. To investigate potential housing and mortgage-related unfair and deceptive practices and bring enforcement actions where violations of the law are found.**

**Obj 12.1** Address inquiries from consumers and investors who complain about fraud in mortgage lending, foreclosure and mortgage securitization practices.

**Obj 12.2** Investigate possible abuses in the housing and securitization markets, including inappropriate actions in connection with properties in default, court filings, unfair and illegal treatment of tenants, and misleading disclosures to investors about mortgage-backed securities.

**Obj 12.3** Take enforcement action to protect consumers and investors.

<b>Performance Measures</b>	<b>2012 Act.</b>	<b>2013 Act.</b>	<b>2014 Act.</b>	<b>2015 Act.</b>	<b>2016 Act.</b>	<b>2017 Est.</b>	<b>2018 Est.</b>
Complaints/inquiries addressed	N/A	390	273	194	69	50	N/A
Investigations: Consumer Protection investigations	N/A	26	34	21	23	25	N/A
Securities investigations	N/A	2	2	1	3	3	N/A
Transactions involved in investigations/actions	N/A	84,000	32,240	14,565	37,627	35,000	N/A
Actions/settlements	N/A	1	6	15	9	10	N/A

**NOTES**

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<sup>1</sup> This number is calculated differently beginning in fiscal year 2016 to exclude Firearms Trafficking Unit referral numbers. Because of an end to the grant funding and a reorganization of the Division, those referrals will not be counted in future years.