



FACT

FOUNDATION FOR
ACCOUNTABILITY
AND CIVIC TRUST

January 8, 2016

Director Walter M. Shaub, Jr.
U.S. Office of Government Ethics
1201 New York Avenue NW, Suite 500
Washington, DC 20005

Re: Request to Investigate Donors Special Access to the State Department

Dear Director Shaub:

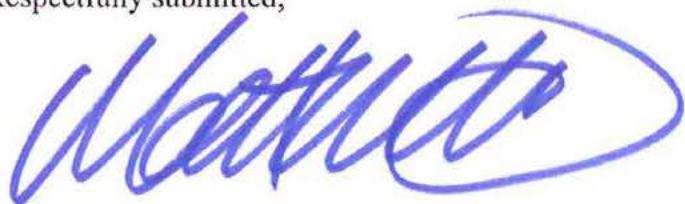
The Foundation for Accountability and Civic Trust (FACT) is a nonprofit organization dedicated to promoting accountability, ethics, and transparency in government and civic arenas. We achieve this mission by hanging a lantern over public officials who put their own interests over the interests of the public good. As evidenced from recently released emails, it appears that then Secretary of State Hillary Clinton routinely gave Clinton Foundation and political donors special access to the State Department to advocate for or discuss policy issues before the Department. It is a clear violation of the ethics rules for a government official to grant this type of preferential treatment, but further a possible criminal violation if this special access led to a change in government policy. We write today to request a full investigation into the facts and circumstances surrounding this apparent unethical behavior and a determination of whether any laws were violated.

According to news reports and evidenced by her own correspondence, Secretary Clinton had a pattern and practice of giving preferential treatment to individuals with which she had financial ties. *See, e.g., Isaac Arnsdorf, How Secretary of State Hillary Clinton Cared for Democratic Donors, Jan. 6, 2016* (Attached as Exhibit A); Tom Hamburger, *How Hillary Clinton Kept Her Wealthy Friends Close While At State Department*, The Washington Post, Oct. 5, 2015 (Attached as Exhibit B). This was not a single incident, but rather Clinton Foundation and political donors were regularly granted access to Secretary Clinton or one of her aides to discuss issues before the State Department. *Id.* In fact, one of these donors indicated he was “impressed” with the level of access he was given—he could always meet with or call Secretary Clinton to discuss policy issues. Sarah Westwood, *Emails Show George Soros ‘Impressed’ By His Access to Clinton*, Washington Examiner, Jan. 1, 2016 (Attached as Exhibit C). Although not a complete list, an example of the donors that obtained special meetings include Bill and Melinda Gates whose family foundation has donated more than \$25 million, Victor Pinchuk whose foundation has donated more than \$13 million, Susie Buell whose community foundation has donated over \$10 million, and Haim Saban whose family foundation has donated more than \$10 million, and George Soros who has donated between \$500,001 to \$1 million, all to the Clinton Foundation though 2015. Exhibits A-B. In addition to donating to the Clinton Foundation, some of these donor were also political donors. *Id.*

The ethics laws require that all citizens be treated equally and fairly by government officials. In order to ensure this and further that citizens are confident in the impartiality and integrity of the government, the ethics rules prohibit government officials from giving preferential treatment to anyone for any reason and require that government officials do not have conflicts of interest that do or could appear to affect their actions. *Code of Ethics*, U.S. Office of Govt. Ethics; 5 CFR § 2635.101. The basic ethical requirements also prohibit government officials from using their position for their own private gain or the private gain of others, including those with which they have a personal or business relationship. 5 CFR § 2635.101(b). The ethics rules are expansive, and require that government officials avoid any actions that create the appearance they are violating ethical rules or the law. 5 CFR § 2635.101(b).

The ethics rules simply do not allow a government official to give this type of preferential treatment. Whether it was because of past donations made or a hope of future donations, providing Clinton Foundation and political donors direct access to high ranking State Department officials is a violation of the ethics rules. The donors were able to meet with high-ranking State Department officials, voice their opinions, and advocate for certain government policies. While there is no doubt this special access had an effect as the donors opinions and voices were heard and given more weight than the general public, and was an ethics violation standing alone. It is an additional concern that the preferential treatment had an effect on State Department actions or policy, and must be thoroughly investigated. We request a full investigation into these communications and apparent breach of ethics rules, along with a determination of whether any laws were broken.

Respectfully submitted,



Matthew G. Whitaker
Executive Director, Foundation for Accountability & Civic Trust

How Secretary of State Hillary Clinton cared for Democratic donors

As top diplomat, Clinton found time to nurture supporters like Soros and Spielberg.

By ISAAC ARNSDORF | 01/06/16 05:19 AM EST



While handling diplomatic issues as Secretary of State, Hillary Clinton took time to meet with billionaire George Soros (left), now one of her presidential campaign's top donors. | Getty

Hillary Clinton kept a hectic schedule as the nation's top diplomat, juggling international crises, public appearances and high-level meetings.

But eight batches of Clinton emails released thus far by the State Department-- with an additional limited release expected later this week -- illustrate another priority during her years as Secretary of State: tending to wealthy supporters who backed her campaigns and family foundation.

While handling diplomatic issues, she took time to meet with billionaire George Soros, now one of her presidential campaign's top donors. She gave briefings to mega-donor and Hollywood director Steven Spielberg, sent birthday wishes to billionaire Haim Saban, and lunched with supporter and philanthropist Jill Iscol.

After a day of meetings with the Czech, Tunisian and Pakistani foreign ministers, Clinton flew to New York for the birthday party of her friend Susie Tompkins Buell, co-founder of the clothing line Esprit who has given more than \$400,000 to Bill and Hillary Clinton's campaigns. Hillary Clinton's chief of staff Cheryl Mills helped Mack McLarty, once Bill Clinton chief of staff and now a major donor, get into a U.S.-China event where he could promote his business interests, another e-mail in the latest batch revealed.



2016

Clinton's tenuous grasp on Iowa

By STEVEN SHEPARD and KATIE GLUECK

Clinton's donor care and feeding has been a recurring criticism from Republicans opponents and conservative watchdog groups as she seeks the Democratic presidential nomination.

Tom Fitton, president of Judicial Watch, a conservative activist group that sued to obtain Clinton's records, said the emails offer "further confirmation that fundraising and politicking was something that was among her significant duties and responsibilities as she saw it. It comes up time and time again and she has a demonstrated record of providing access in exchange for campaign contributions."

Soros sent an urgent email to Secretary of State Hillary Clinton after political unrest in Albania claimed three lives in January 2011. He wanted her to marshal international pressure to convince the prime minister and opposition leader in Albania to bring protests under control, according to emails released by the State Department. He also suggested three names of diplomats whom Clinton should consider to mediate the crisis.

Clinton's response is not included, but the State Department swiftly followed exactly the course Soros suggested: American diplomats implored an end to demonstrations, and one of Soros's candidates was named envoy.

Soros's Open Society Foundations spend hundreds of millions promoting democracy around the world. His warm relationship with Hillary Clinton contrasted with his strained relationship with President Obama: he once complained that he couldn't get a meeting he wanted with the president, even after all the money he'd given to Democrats. But he had at least two audiences with Clinton, in 2010 and 2012, in addition to the correspondence over Albania, State Department records show.

Such superior access did not go unnoticed, or unrewarded: In May 2012, a few months after Soros and Clinton met the second time, he told a Clinton associate that he appreciated her open door and regretted supporting Obama in the 2008 primary, according to emails released on New Year's Eve. Soros has given at least \$2 million to super PACs supporting Clinton.

The emails offer a glimpse into Clinton's formidable fundraising skills, which helped her collect more than \$100 million in the first year of her presidential campaign. In the years between her service in the Obama administration and the launch of her presidential race, Clinton also raised millions for the Clinton Foundation, including many donations from wealthy supporters of her political campaigns.

Progressive New York mayor backs Clinton's Wall Street package

By ANNIE KARNI

For Clinton, after two and half decades near the pinnacle of power, political alliances, friendships and fundraising contacts are co-mingled, and Clinton's allies say there is nothing unethical or unusual about responding to requests from loyal donors.

"If you're muckraking, there's no muck to rake," said Michael Vachon, a Soros spokesman.

The subject of the Clinton and Soros meeting in 2010 was his offer to match increased government funding for the American University of Central Asia. The State Department's Bureau of South and Central Asian Affairs supported the proposal, although some parts of the email explaining the reasoning were withheld.

Their meeting in the secretary's office came right after one with Sanford Weill, the retired Citigroup chairman who's also given thousands to her Senate and presidential

campaigns. Clinton also planned to call Weill in April 2010 because he had some "feedback" for her "on how people there feel, where they want to go and how that affects the relationship between the US and countries in the Middle East" after visiting the region. The request came via Lisa Caputo, a Citi executive and former press secretary to the first lady who has raised at least \$100,000 for her latest campaign.)

A 2009 e-mail forwarded to Clinton registered concern about how Soros could react to a leadership change in Haiti.

"You can bet that the PM will repeat all this verbatim to George Soros when she sees him today. Not sure what - if anything - that will provoke," wrote Kenneth H. Merten, special coordinator for Haiti.

The emails also show Clinton planned to call Soros in July 2011 and wanted to meet him the following March.

"George Soros is anxious to see you before he leaves for Europe next Tuesday," an aide wrote, just after 6 a.m. "Could I fit him in for tomorrow?"

"Yes," Clinton replied.

Clinton rolls out plan to tackle autism

By SARAH KARLIN

They discussed Burma and U.S. contributions to The Global Fund, according to Vachon, the Soros spokesman. He added that the billionaire's access to the secretary of state stems from his foundation network's overseas projects, not the money he gives to Democrats.

Another email showed that Jonathan Mantz, who had raised more than \$235 million for Hillary Clinton as the national finance director of her 2008 presidential bid, told Clinton in February 2009 that he had "great news from Walter Shorenstein," the real estate billionaire. Clinton quickly asked an assistant to put him to her call list.

Mantz had just become a lobbyist at BGR Group, with clients including the Kurdistan Regional Government, the Iraqi province that was around that time lobbying the

State Department in its quest for greater autonomy.

The email, posted last month, offers no details of Clinton's conversation with Mantz or even whether she actually reached him. But he contacted Clinton around the same time that BGR was talking with State on the Kurds' behalf about "visa issues," according to Justice Department disclosures. Two months later, the Kurdish leader met President Obama in Baghdad and then visited Clinton's State Department.

Before he died in 2010, Shorenstein contributed more than \$1 million to the Clinton foundation and gave more than \$400,000 to Democrats, according to campaign finance records. This year, Mantz gave the individual maximum of \$2,700 to Clinton's campaign, and he advises Priorities USA, the super PAC supporting her. He didn't answer a request for comment.

Another note from Mantz was forwarded to Clinton in 2010, highlighting charitable work in Haiti by Claudio Osorio. The Clinton foundation later returned a donation from Osorio after he pleaded guilty to three conspiracies of wire fraud and money laundering.

Mantz helped Clinton find funding for a U.S. pavilion at the 2010 Shanghai Expo, from his lobbying client, Delos Living. The company later partnered with the Clinton Global Initiative on a soccer stadium in Haiti.

In October 2011, Clinton met with and entertained a proposal from loyal family supporter Bernard Schwartz, an investor and former CEO of Loral Corp., a major defense contractor, the emails show. Schwartz has given at least \$393,000 to Clinton and PACs supporting her, plus \$1 million to the Clinton foundation and at least \$3.2 million to other Democrats.

While Clinton was wrapping up her tenure, Schwartz floated a proposal to name a school after her at Baruch College, assuring her that he could raise private funds to finance it, according to an email in Clinton's files. Schwartz and Baruch College president Mitch Wallerstein proposed naming it the Hillary Rodham Clinton School of Public and International Affairs.

A follow-up email from Wallerstein suggested that Clinton thought it was "premature." Clinton's answer wasn't shown — she merely asked her top aide, Cheryl

Mills, to print the email.

"There's nothing to it," Susan Torricelli, a spokeswoman for Schwartz, told POLITICO. "There was no decision, it just dropped." She declined to elaborate on Schwartz's interest in the project. A Baruch College spokeswoman declined to comment.

Schwartz's involvement with the Clintons dates back to the Bill Clinton's administration, when his White House ties appeared to help Loral gain access to the Chinese market.

Haim Saban and his wife, Cheryl, are the Clintons' all-time biggest donors (according to the Washington Post's comprehensive analysis), and the secretary's e-mails show them in regular contact, such as reporting on a trip to Africa and recommending an article about Mort Zuckerman. In 2011, Thomas Nides, who was Clinton's deputy secretary of state and now works at Morgan Stanley, wrote to Clinton in 2011, "In my attempt to 'reach out' I spoken to many of your 'friends.' One person in particular wanted to know if you ask for me to call...Haim Saban. I said of coarse." [sic]

Saban's support includes millions to the Clinton Foundation. Also in 2011, aide Huma Abedin told Clinton she called her because "doug was trying to reach wjc to connect him to haim but he wasn't answering so I tried you." (WJC is the former president's monogram.)

Saban didn't answer a request for comment.

How Hillary Clinton kept her wealthy friends close while at State Department

By Tom Hamburger October 5, 2015

The note to Secretary of State Hillary Rodham Clinton from liberal financier George Soros demanded “urgent attention from the highest levels of the U.S. government.” Clinton swiftly alerted a top aide to what she described as a “very forceful message which is good — and needed.”

The e-mail exchange, in which Soros warned of growing unrest in Albania, illustrates how Clinton interacted with major donors to her family’s causes during her tenure at the State Department, staying in touch with her political network before her 2016 run for the Democratic presidential nomination. And they show how these donors, some of them with interests before the U.S. government, gained high-level access to press their policy concerns inside the Clinton-led State Department.

Soros, a top contributor to the Clinton Foundation, was one of several major donors whose messages were disclosed by the State Department last week as part of the ongoing release of the former secretary’s e-mails. Other exchanges included references to entertainment mogul Haim Saban, who has said he would pay “whatever it takes” to propel Clinton to the White House in 2016, as well as other major Clinton Foundation donors such as Microsoft’s Bill Gates, fashion industry executive Susie Tompkins Buell and Ukrainian steel magnate Viktor Pinchuk.

The e-mails that mention donors — numbering a few dozen out of the thousands of pages of messages released so far — do not show that financial supporters were able to alter policy decisions. But the dynamic points to one of the unusual aspects of Clinton’s record at the State Department. Because she and her family have raised so much money over the years from wealthy individuals and major corporations — for political campaigns as well as the sprawling global charity founded by her husband, former president Bill Clinton — her public business as secretary inevitably brought her in contact with private interests that helped boost her family’s philanthropy and income.

Republicans have accused Hillary Clinton of potential conflicts of interest in mixing her public and private work.

Clinton aides declined to comment for this article but have waved away such suggestions in the past. They have said that interactions with prominent players in the world of finance and politics are to be expected of a secretary of state and that there is no indication of any impropriety.

The e-mails show that, in some cases, donors were granted face-to-face contact with top officials.

Soros secured a meeting with Clinton in 2010 to discuss U.S. government funding for the American University of Central Asia, an educational institution that Soros helped support in the former Soviet Union.

Pinchuk, who has pledged more than \$10 million to the Clinton Foundation in recent years, met with a top Clinton aide to speak on behalf of Ukraine's strongman president and to try to soothe tensions with Washington over that country's human rights record and its growing closeness with Russian President Vladimir Putin while resisting Europe.

"I wanted to tell you that I met with Pinchuk who was asked by [then-Ukrainian President Viktor] Yanukovych to convey his strong continuing interest in integrating with Europe," Melanne Verveer, the Clinton aide, wrote on Sept. 26, 2011, in an e-mail to Clinton.

The message acknowledged that the Ukrainian leader had "antagonized all sides in the last few weeks," partly because of an upcoming trial of an opposition political leader. Verveer wrote after her conversation with Pinchuk that the Ukrainians are "looking for a way to get beyond" the human rights fallout from the trial.

It is not clear from the e-mails whether Clinton replied to Verveer. But the State Department pressed Yanukovych for changes until 2014, when he fled Kiev after uniformed marksmen fired on hundreds of demonstrators protesting his coziness with Putin and his refusal to join the European Union.

A spokesman for Pinchuk said the e-mail simply showed how the Ukrainian industrialist "tried to keep Ukraine's European integration hopes alive during difficult times by talking to a wide range of Western diplomats, including Melanne Verveer," whom he had known for some time.

Verveer was one of several close deputies who helped then-Secretary Clinton keep tabs on supporters. She had been Clinton's chief of staff when she was first lady and was named by Secretary Clinton to be ambassador at large for global women's issues.

Verveer told Clinton in 2010 about upcoming meetings with Gates, who along with his wife, Melinda Gates, is one of the biggest overall donors to the Clinton Foundation, providing more than \$25 million.

In a November 2010 e-mail to Clinton, Verveer relayed details of an event held by designer Diane von Furstenberg, who along with her husband, Barry Diller, have provided about \$80,000 to Clinton causes, according to a review of campaign and foundation records.

Verveer suggested that Clinton accept an award and speaking invitation offered from the couple's foundation.

"I have no doubt you would be very warmly embraced and DVF and Barry are so fond of you," Verveer wrote. The following year, Clinton received a "lifetime leadership award" from von Furstenberg's foundation.

Other Verveer e-mails described support that Wal-Mart provided for a women's entrepreneurship initiative that the Clinton-led State Department promoted. The Walton family, which founded the retail giant, is famously conservative. But it has always had a soft spot for Bill and Hillary Clinton, who served as governor and first lady when the Arkansas-based firm took off as an international retail power. Hillary Clinton was named to the Wal-Mart board in the 1980s, and the family and the company have supported Clinton campaigns and projects over the years.

Randy Hargrove, a Wal-Mart spokesman, said that the women's empowerment forum was a "signature, priority initiative" for the company and that executives' contacts with the Obama administration have extended well beyond Clinton.

Verveer wrote to Clinton in June 2011 to tell her that Buell, who has contributed more than \$10 million to Clinton causes, had donated \$200,000 to support a future international trade meeting in San Francisco.

"She's thrilled it's in SF and that you're keynoting," Verveer wrote. "She wants it to be wonderful for you (as we all do). I will go out in a few weeks and plan with her, but wanted you to know."

The e-mails show that some communication with donors occurred through Thomas Nides, a senior aide who was deputy secretary for management and resources at the State Department.

"In my attempt to reach out," Nides wrote in a September 2011 note to Clinton, he had "spoken to many of your friends."

Nides's message focused on Saban, the billionaire entertainment mogul and fierce pro-Israel advocate who has

provided more than \$2 million to Clinton campaigns through the years and more than \$10 million to the Clinton Foundation.

"One person in particular wanted to know if you ask for me to call, Haim Saban," Nides wrote. "I said of coarse [sic]."

An e-mail from Saban's wife, Cheryl, with the subject line "Oh my GOD," was forwarded in May 2011 to Clinton by aide Huma Abedin. The e-mail, originally addressed to an aide to former president Clinton and copied to Abedin, was entirely redacted in the copy released to the public last week, except for the words "We got back from Africa Thursday night." Hillary Clinton responded with a one-word e-mail to Abedin: "nice."

On Oct. 15, 2011, Abedin wrote an e-mail to Hillary Clinton about a call from "Haim," apparently seeking her help in connecting him with Bill Clinton. "WJC wasn't answering so I tried you," Abedin wrote.

Nides declined to comment for this article. Neither Verveer nor Saban responded to requests for comment.

On Oct. 15, 2011, Nides passed along an e-mail from Andrew Tisch, an heir to the Loews fortune, who applauded a recent speech Clinton had made to the New York Economic Club and for which Tisch gave the introduction. "I heard nothing but praise for your remarks," he wrote, telling Clinton that he and his family "became huge fans of yours at ... Lynn de Rothschild's parties."

Over time, the Tisch and de Rothschild families provided six-figure contributions to Clinton causes, according to a review of Federal Election Commission and Clinton Foundation donor reports.

Anu Narayanswamy contributed to this report.

Emails show George Soros 'impressed' by his access to Clinton

By SARAH WESTWOOD (@SARAHWESTWOOD) • 1/16 12:20 PM

An email made public by the State Department Thursday suggests a major Democratic donor may have had second thoughts about his decision to back then-Sen. Barack Obama over Hillary Clinton in the 2008 Democratic primary.

The [email](#), which was released alongside thousands of pages of Clinton's private emails, indicated billionaire activist George Soros had told a Clinton insider that he "regretted his decision in the primary" just as President Obama's reelection campaign was heating up in 2012.

Neera Tanden, a longtime Clinton friend and president of the Center for American Progress, recounted to Clinton the scene from a dinner in May 2012 during which she had shared a table with Soros.

"I told him I worked for you in the primaries and he said he's been impressed that he can always call/meet with you on an issue of policy," Tanden wrote to Clinton.

Indeed, Clinton appears to have met with Soros personally in her State Department office just two months earlier, according to a [schedule](#) included in the new batch of records.

Tanden said Soros had complained of his lack of access to the president, telling her he had never actually met with Obama.

"He then said he regretted his decision in the primary - he likes to admit mistakes when he makes them and that was one of them," Tanden said. "He then extolled his work with you from your time as First Lady on."

Soros bundled for Obama's campaigns in 2008 and 2012. This year, he has opened his checkbook to support Clinton's presidential bid.



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December 11, 2015

Director Walter M. Shaub, Jr.
U.S. Office of Government Ethics
1201 New York Avenue, NW.
Suite 500
Washington, DC 20005

Re: Request to Investigate Special Access to the State Department

Dear Director Shaub:

The Foundation for Accountability and Civic Trust (FACT) is a nonprofit organization dedicated to promoting accountability, ethics, and transparency in government and civic arenas. We achieve this mission by hanging a lantern over public officials who put their own interests over the interests of the public good. As evidenced from her recently released emails, it appears that then Secretary Hillary Clinton gave a private company special access to the State Department based upon the company's relationships with Secretary Clinton's family members and donors to the Clinton Foundation. *See Stephen Braun, Clinton Intervened for Firm after Request to Son-In-Law*, Associated Press, December 8, 2015 (attached as Exhibit A and Email attached as Exhibit B). The ethics rules simply do not permit government employees to give this type of preferential treatment. We write today to request a full investigation into the facts and circumstances surrounding these apparent unethical communications and a determination of whether any laws were violated.

According to news reports, Secretary Clinton's recently released emails indicate that Neptune Materials, Inc. obtained special access to the State Department. *Id.* The special access stems from an August 2012 email from Harry Siklas, an investor in Neptune Materials, to Secretary Clinton's son-in-law, Marc Mezvinsky. *Id.* Siklas asked if either Mezvinsky or Chelsea Clinton could provide him with "a contact in Hillary's office" to discuss current mining laws and regulations, but also indicated a desire to discuss the issues directly with Secretary Clinton. *Id.*

Further, in addition to his request, Siklas also specifically pointed out Neptune Material's relationship with Goldman Sachs. Siklas was not only an investor in Neptune Materials, but was also an employee of Goldman Sachs, of which Neptune Materials was a client. *Id.* This information may have been relevant because of certain financial ties—Goldman Sachs's members had donated to Hillary Clinton's unsuccessful 2008 presidential campaign, and Goldman Sachs had directly donated to the Clinton Foundation. *Id.*

Ultimately, Secretary Clinton obtained a copy of the email, and then acted on the request by directing her Deputy Secretary of State to follow-up on it. *Id.* Ethics rules require that a

government employee “shall act impartially and shall not give preferential treatment to any private individual or organization” when performing government duties. *Code of Ethics*, U.S. Office of Govt. Ethics. Further, government employees are prohibited from using their office for private gain or giving preferential treatment to others, including friends, relatives, nonprofit organizations with which the employee is affiliated, and other people with whom the employee has or seeks a business relationship. 5 C.F.R. § 2635.702. This rule prohibits a government employee from acting to benefit someone based on personal and business relationships.

Contrary to these rules, these emails indicate that not only did Neptune Materials seek special access to the State Department based upon relationships with Secretary Clinton’s daughter and son-in-law, but it also raised its relationship to Goldman Sachs—an entity that is a Clinton Foundation donor and members of which donated to Clinton’s 2008 presidential campaign. Unfortunately, it appears that these relationships led to access not available to the general public, and a violation of the ethics rules. We request a full investigation into these communications and a determination of whether any laws were broken.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Matthew G. Whitaker". The signature is fluid and cursive, with a large, stylized "M" at the beginning.

Matthew G. Whitaker
Executive Director, Foundation for Accountability & Civic Trust

Clinton intervened for firm after request to son-in-law

By STEPHEN BRAUN, Associated Press
18 Hours Ago

[5 COMMENTS](#) Join the Discussion

WASHINGTON (AP) — As secretary of state, Hillary Clinton intervened in a request forwarded by her son-in-law on behalf of a deep-sea mining firm to meet with her or other State Department officials after one of the firm's investors asked Chelsea Clinton's husband for help setting up such contacts, according to the most recently released Clinton emails.

The lobbying effort on behalf of Neptune Minerals Inc. came while Clinton — now the leading Democratic presidential candidate — was advocating for an Obama administration push to win Senate approval for a sweeping law of the sea treaty. The pact would have aided U.S. mining companies scouring for minerals in international waters, but the Republican-dominated Senate blocked it.

Clinton ordered a senior State Department official in August 2012 to look into the request. Her action came three months after an investor in the mining firm emailed Marc Mezvinsky, Chelsea Clinton's husband and a partner in Eaglevale Partners LP, a New York hedge fund, asking for his help in setting up State Department contacts.

Clinton relayed a copy of the investor's email to Mezvinsky to Thomas Nides, then a deputy secretary of state and now vice chairman at Morgan Stanley, a major New York financial services firm. "Could you have someone follow up on this request which was forwarded to me?" Clinton asked Nides. He replied: "I'll get on it."

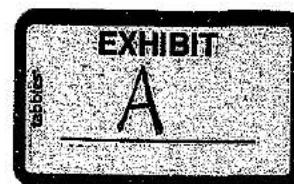
The emails do not show whether Clinton or other State Department officials met with Harry Siklas, the investor who contacted Mezvinsky, or with executives from the Florida-based firm. Clinton's official calendars, recently obtained by The Associated Press, also do not show any meetings between Clinton and Neptune representatives.

Clinton's campaign declined through a spokesman to discuss the issue, despite AP asking detailed questions about the matter since Nov. 30. The AP attempted to reach Siklas and a Neptune executive, Josh Adam, by phone, email and in-person visits to their homes last week, but received no replies.

In the email, Siklas also said that his then-employer, Goldman Sachs, was representing Neptune.

"I introduced them to GS and the bankers took them on as a client," Siklas told Mezvinsky in the email.

Before joining Eaglevale, Mezvinsky had also worked for eight years at Goldman, partly during Siklas' tenure there between 2004 and 2007.



12/9/2015

Clinton intervened for firm after request to son-in-law

Members of the influential New York firm were one of Clinton's top funders in her 2008 presidential race, giving more than \$225,000 that cycle. The firm has also been a major donor to the Clinton Foundation, giving between \$1 million and \$5 million.

A spokesman for EagleVale said Mezvinsky would not comment on his role. Emails to a spokeswoman for Chelsea Clinton went unreturned. Morgan Stanley officials did not respond to an AP request to interview Nides.

The AP also left three phone messages with Neptune Minerals' office in St. Petersburg, Florida and also left several phone and email messages with Hans Smit, the firm's current president, also with no reply.

Federal ethics guidelines warn government employees to "not give preferential treatment to any private organization or individual," but there are no specific provisions prohibiting officials from considering requests prompted by relatives.

Clinton's willingness to intercede as a result of her son-in-law's involvement is the latest example of how the Clinton family's interests cut across intersecting spheres of influence in American politics, commerce and charity.

One provision of the Law of the Sea Treaty, backed by corporate interests, would allow nations, including the U.S., to sponsor mining companies seeking to scour deep seas for minerals. Clinton told senators in May 2012 that American mining firms would only be able to freely compete against foreign rivals under standards set by the treaty.

Clinton's public push for a U.S. role in securing deep sea mining rights quickly hit home at Neptune Mining. Three days after her Senate appearance, Siklas, who described himself as a "passive investor" in Neptune, emailed Mezvinsky.

"Hey bud," Siklas wrote, telling Mezvinsky that Neptune was pursuing sea-floor massive sulfide (SMS) mining in the South Pacific and had just bought out two other mining firms. Siklas said that he and Adam needed "a contact in Hillary's office: someone my friend Josh (and I perhaps) can reach out via email or phone to discuss SMS mining and the current legal issues and regulations." Siklas, then registered as a stockbroker at Goldman Sachs in New York, had contributed \$2,000 to Hillary Clinton's 2008 unsuccessful presidential bid.

The emails do not show how Clinton became directly aware of Siklas' email to Mezvinsky or why it took three months for her to act after Mezvinsky became involved. The emails do not show a reply from Mezvinsky, but Hillary Clinton eventually obtained a copy and sent it to Nides that August, ordering a follow-up.

Associated Press writers Rachelle Blidner and William Mathis in New York contributed to this report.

RELEASE IN PART B6

From: H <hrod17@clintonemail.com>
Sent: Wednesday, August 22, 2012 2:03 PM
To: 'NidesTR@state.gov'
Subject: Request

Tom---

Could you have someone follow up on this request which was forwarded to me?

-----Original Message-----

From: Harry Siklas [mailto:
Sent: Friday, May 25, 2012 1:07 PM
To: Marc Mezvinsky
Subject: Hey

B6

Hey bud,

On the professional front, I've been involved, as a passive investor, with a privately held deep sea mining company, Neptune Minerals, Inc., a Nevada corporation founded on January 5th, 2011 for the purpose of engaging in the business of Sea floor Massive Sulfide (SMS) Mining - they have the second most extensive prospective tenement position in the South Pacific after rolling up the number 2 and 3 players in the industry, Neptune Minerals Plc. and Dorado Ocean Resources Ltd.-(<http://www.neptuneminerals.com>)

The next phase for me may be working with them directly in some capacity. A very close friend of mine, Josh Adam, started the company. I introduced them to GS and the bankers took them on as a client.

We can go into further detail at anytime, but there is a favor I need to ask, and hopefully it will not put you out, as I'm not one to ask for favors typically.

I need a contact in Hillary's office: someone my friend Josh (and I perhaps) can reach out via email or phone to discuss SMS mining and the current legal issues and regulations. They may be very interested in this, as Secretary Clinton just went in front of the Senate Foreign Relations Committee on May 23rd, urging to ratify the Law of the Sea Convention, and spent a good third of her time talking about deep sea mining.

Josh Adam, my friend, co-founder and SVP of Finance for the company, is one of the smartest, logical, understated and honest people I know. He (we) would feel very fortunate to have someone's ear on this topical issue, with the hope that at some point we get in front of the Secretary herself. However, for now, if you, or your better half, know someone in her office who would at least READ an email or take a fifteen minute call, it would be a huge boon.

Again, if this is not possible or you cannot get involved: NO PROBLEM at all.

I just wanted to get this out in writing since it may be easier. Would love to chat about it as well if you need further detail.

Thanks man,

Harry

