

STATE OF MAINE  
KENNEBEC, SS.

PETER KOZLOWSKI

)

ASSURANCE OF DISCONTINUANCE

Pursuant to the Unfair Trade Practices Act, 5 M.R.S.A. §§ 206-214 (1979 & Supp. 1986), the Attorney General has examined the practices of Peter Kozlowski with respect to his association with William Trainor in connection with Trainor's attempts to develop landfills in the State of Maine. Peter Kozlowski, without admitting any violations of the Unfair Trade Practices Act, voluntarily enters the following the Assurance of Discontinuance with the Department of the Attorney General.

FINDINGS OF THE ATTORNEY GENERAL

The Attorney General, after examining the practices of Peter Kozlowski has found the following:

1. Peter Kozlowski is an individual residing in Dover, Massachusetts.
2. At all times relevant to this Assurance, Peter Kozlowski was employed as a broker/trader (stockbroker) for the firm of Kidder Peabody. Kozlowski worked out of Kidder Peabody's Boston offices.
3. In late 1985 and early 1986 Kozlowski was associated with William Trainor in connection with William Trainor's attempts to develop landfills in the State of Maine.

4. On at least two occasions, as described below, Trainor prepared letters for Kozlowski's signature;

a. On February 11, 1986, Kozlowski caused to be mailed under his name a letter, drafted by Trainor, to W. Tom Sawyer which stated that Kozlowski as an "investment banker" for William Trainor with respect to Trainor's efforts to purchase certain businesses which were then owned and operated by W. Tom Sawyer; and

b. On March 11, 1986, Kozlowski caused to be delivered to William Trainor, Sr. a letter, drafted by Trainor, under Kozlowski's name, which stated that Kidder Peabody had agreed to handle the public offering of stock for a corporation known as Eastern States Management Co., Inc.

5. The statements contained in these two letters described in the preceding paragraph are false, misleading and deceptive.

6. The conduct of Kozlowski in making misrepresentations concerning his relationship with Trainor and the relationship between Trainor and Peabody constitutes an unfair and deceptive trade practice in violation of 5 M.R.S.A. § 207.

WHEREFORE, Peter Kozlowski, pursuant to 5 M.R.S.A. § 210, and without making any admission as to any issue of law or fact set forth in the above Findings of the Attorney General, enter into the following Assurances:

1. That Peter Kozlowski shall not engage in any unfair or deceptive practice in the State of Maine.

2. That Peter Kozlowski shall pay the Department of the Attorney General \$409.50 for the cost of this investigation.

DATED: *L?*

*Peter Kozlowski*  
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PETER KOZLOWSKI.

STATE OF MAINE

KENNEBEC, SS.

*Peter Kozlowski* *PK*

Personally appeared before me the above-named ~~Alva Achorn~~ and made oath to the truth of the foregoing statements.

DATED: *6/9/87*

*Mary E. Manning*  
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NOTARY PUBLIC  
MARY E. MANNING  
Notary Public  
M. Commission Expires *July 5 1988*

DATED:

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STEPHEN L. WESSLER  
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Attorney for the State of Maine