RICHARD BLUMENTHAL
ATTORNEY GENERAL

55 Elm Street
P. O. Box 120
Hartford, CT 06141-0120

Office of the Attorney General

State of Connecticut

Dear Candidate:

Thank you for considering employment with the State of Connecticut Office of the Attorney General. If you are offered and accept a position with this Office, you will be bound by the State Code of Ethics for Public Officials and State Employees and will be required to sign a statement acknowledging your receipt of a copy of the Code and your understanding that you are bound by the Code's provisions. A copy of the Code of Ethics for Public Officials and State Employees is attached, and we ask that you become familiar with its provisions. Please sign and return the Acknowledgement of Receipt form attached along with your application package. Before you accept employment with this Office or any state agency, you must be aware of the Code's provisions and should consider whether you are prepared to abide by its provisions or whether you have any possible conflicts of interest. The principal provisions of the Code are as follows:

- **GIFTS.** In general, state employees are prohibited from accepting gifts from anyone doing business with, seeking to do business with, or directly regulated by the state employee's agency or department or from persons known to be a registered lobbyist or lobbyist's representative.

- **FINANCIAL BENEFIT.** A state employee is prohibited from using his/her office for the financial benefit of the individual, certain family members, or that of an associated business.

- **OUTSIDE EMPLOYMENT.** A state employee may not accept outside employment which will impair his/her independence of judgment as to official state duties or which would induce the disclosure of confidential information. Generally, outside employment is barred if the private employer can benefit from the state employee's official actions.

- **FINANCIAL DISCLOSURE.** Certain state employees are required to file a financial disclosure statement with the State Ethics Commission. This statement will be considered public information.

- **POST-STATE EMPLOYMENT.** There may be post-employment restrictions, known as "revolving door" prohibitions. For example, there are restrictions on accepting employment with a party to certain contracts if you were involved in the negotiation or award of the contract; for one year after leaving state service, you may not represent anyone for compensation before your former agency; certain designated individuals in the State's regulatory agencies may not, for one year after leaving state service, accept employment with any business subject to regulation by their former agency.

Please be advised that this is only a general overview. If you have specific questions about the State Code of Ethics, you should ask for the contact information for the agency's Ethics Liaison Officer or call the State Ethics Commission directly at (860) 566-4472.

Very truly yours,

RICHARD BLUMENTHAL

Office of the Attorney General

State Code of Ethics

Acknowledgement of Receipt

I, _____, have received a copy of the State Ethics Code for Public Officials and State Employees. I understand and agree that, if I am offered and accept a position with this office, I would be bound by, and obligated to use my best efforts to comply with, the standards set forth within.

_____ _____

Signature Date

PART I*
CODE OF ETHICS FOR PUBLIC OFFICIALS

*Code of ethics for public officials, Secs. 1-79—1-89 cited. 18 CA 212, 213.

Sec. 1-79. Definitions. The following terms, when used in this part, shall have the following meanings unless the context otherwise requires:
(a) "Blind trust" means a trust established by a public official or state employee or member of his immediate family for the purpose of divestiture of all control and knowledge of assets.
(b) "Business with which he is associated" means any sole proprietorship, partnership, firm, corporation, trust or other entity through which business for profit or not for profit is conducted in which the public official or state employee or member of his immediate family is a director, officer, owner, limited or general partner, beneficiary of a trust or holder of stock constituting five per cent or more of the total outstanding stock of any class, provided, a public official or state employee, or member of his immediate family, shall not be deemed to be associated with a not for profit entity solely by virtue of the fact that the public official or state employee or member of his immediate family is an unpaid director or officer of the not for profit entity. "Officer" refers only to the president, executive or senior vice president or treasurer of such business.
(c) "Candidate for public office" means any individual who has filed a declaration of candidacy or a petition to appear on the ballot for election as a public official, or who has raised or expended money in furtherance of such candidacy, or who has been nominated for appointment to serve as a public official, but shall not include a candidate for the office of senator or representative in Congress.
(d) "Commission" means the State Ethics Commission established in section 1-80.
(e) "Gift" means anything of value, which is directly and personally received, unless consideration of equal or greater value is given in return. "Gift" shall not include:
(1) A political contribution otherwise reported as required by law or a donation or payment as described in subdivision (9) or (10) of subsection (b) of section 9-333b;
(2) Services provided by persons volunteering their time;
(3) A commercially reasonable loan made on terms not more favorable than loans made in the ordinary course of business;
(4) A gift received from (A) an individual's spouse, fiancé or fiancée, (B) the parent, brother or sister of such spouse or such individual, or (C) the child of such individual or the spouse of such child;
(5) Goods or services (A) which are provided to the state (i) for use on state property, or (ii) to support an event or the participation by a public official or state employee at an event, and (B) which facilitate state action or functions. As used in this subdivision, "state property" means (i) property owned by the state, or (ii) property leased to an agency in the Executive or Judicial Department of the state;
(6) A certificate, plaque or other ceremonial award costing less than one hundred dollars;
(7) A rebate, discount or promotional item available to the general public;
(8) Printed or recorded informational material germane to state action or functions;
(9) Food or beverage or both, costing less than fifty dollars in the aggregate per recipient in a calendar year, and consumed on an occasion or occasions at which the person paying, directly or indirectly, for the food or beverage, or his representative, is in attendance;
(10) Food or beverage or both, costing less than fifty dollars per person and consumed at a publicly noticed legislative reception to which all members of the General Assembly are invited and which is hosted not more than once in any calendar year by a lobbyist or business organization. For the purposes of such limit, (A) a reception hosted by a lobbyist who is an individual shall be deemed to have also been hosted by the business organization which he owns or is employed by and (B) a reception hosted by a business organization shall be deemed to have also been hosted by all owners and employees of the business organization who are lobbyists. In making the calculation for the purposes of such fifty-dollar limit, the donor shall divide the amount spent on food and beverage by the number of persons whom the donor reasonably expects to attend the reception;
(11) Food or beverage or both, costing less than fifty dollars per person and consumed at a publicly noticed reception to which all members of the General Assembly from a region of the state are invited and which is hosted not more than once in any calendar year by a lobbyist or business organization. For the purposes of such limit, (A)

a reception hosted by a lobbyist who is an individual shall be deemed to have also been hosted by the business organization which he owns or is employed by, and (B) a reception hosted by a business organization shall be deemed to have also been hosted by all owners and employees of the business organization who are lobbyists. In making the calculation for the purposes of such fifty-dollar limit, the donor shall divide the amount spent on food and beverage by the number of persons whom the donor reasonably expects to attend the reception. As used in this subdivision, "region of the state" means the established geographic service area of the organization hosting the reception;
(12) A gift, including but not limited to, food or beverage or both, provided by an individual for the celebration of a major life event;
(13) Gifts costing less than one hundred dollars in the aggregate or food or beverage provided at a hospitality suite at a meeting or conference of an interstate legislative association, by a person who is not a registrant or is not doing business with the state of Connecticut;
(14) Admission to a charitable or civic event, including food and beverage provided at such event, but excluding lodging or travel expenses, at which a public official or state employee participates in his official capacity, provided such admission is provided by the primary sponsoring entity;
(15) Anything of value provided by an employer of (A) a public official, (B) a state employee, or (C) a spouse of a public official or state employee, to such official, employee or spouse, provided such benefits are customarily and ordinarily provided to others in similar circumstances; or
(16) Anything having a value of not more than ten dollars, provided the aggregate value of all things provided by a donor to a recipient under this subdivision in any calendar year shall not exceed fifty dollars.
(f) "Immediate family" means any spouse, children or dependent relatives who reside in the individual's household.
(g) "Individual" means a natural person.
(h) "Member of an advisory board" means any individual (1) appointed by a public official as an advisor or consultant or member of a committee, commission or council established to advise, recommend or consult with a public official or branch of government or committee thereof, (2) who receives no public funds other than per diem payments or reimbursement for his actual and necessary expenses incurred in the performance of his official duties and (3) who has no authority to expend any public funds or to exercise the power of the state.
(i) "Person" means an individual, sole proprietorship, trust, corporation, limited liability company, union, association, firm, partnership, committee, club or other organization or group of persons.
(j) "Political contribution" has the same meaning as in section 9-333b except that for purposes of this part, the provisions of subsection (b) of that section shall not apply.
(k) "Public official" means any state-wide elected officer, any member or member- elect of the General Assembly, any person appointed to any office of the legislative, judicial or executive branch of state government by the Governor or an appointee of the Governor, with or without the advice and consent of the General Assembly, any public member or representative of the teachers' unions or state employees' unions appointed to the Investment Advisory Council pursuant to subsection (a) of section 3-13b, any person appointed or elected by the General Assembly or by any member of either house thereof, and any member or director of a quasi-public agency, but shall not include a member of an advisory board, a judge of any court either elected or appointed or a senator or representative in Congress.
(l) "Quasi-public agency" means the Connecticut Development Authority, Connecticut Innovations, Incorporated, Connecticut Health and Education Facilities Authority, Connecticut Higher Education Supplemental Loan Authority, Connecticut Housing Finance Authority, Connecticut Housing Authority, Connecticut Resources Recovery Authority, Connecticut Hazardous Waste Management Service, Lower Fairfield County Convention Center Authority, Capital City Economic Development Authority and Connecticut Port Authority.
(m) "State employee" means any employee in the executive, legislative or judicial branch of state government, whether in the classified or unclassified service and whether full or part-time, and any employee of a quasi-public agency, but shall not include a judge of any court, either elected or appointed.
(n) "Trust" means a trust in which any public official or state employee or member of his immediate family has a present or future interest which exceeds ten per cent of the value of the trust or exceeds fifty thousand dollars, whichever is less, but shall not include blind trusts.
(o) "Business organization" means a sole proprietorship, corporation, limited liability company, association, firm or partnership, other than a client lobbyist, which is owned by, or employs, one or more individual lobbyists.

(p) "Client lobbyist" means a person on behalf of whom lobbying takes place and who makes expenditures for lobbying and in furtherance of lobbying.
(q) "Necessary expenses" means a public official's or state employee's expenses for an article, appearance or speech or for participation at an event, in his official capacity, which shall be limited to necessary travel expenses, lodging for the nights before, of and after the appearance, speech or event, meals and any related conference or seminar registration fees.
(r) "Lobbyist" and "registrant" shall be construed as defined in section 1-91.
(P.A. 77-600, S. 1, 15; 77-605, S. 14, 21; P.A. 79-493, S. 1, 9; P.A. 81-395, S. 6, 9; P.A. 82-423, S. 1, 8; P.A. 83-249, S. 1, 14; P.A. 84-335, S. 1, 4; P.A. 86-99, S. 29, 34; P.A. 88-139, S. 1; 88-225, S. 1, 14; P.A. 89-245, S. 1; 89-360, S. 8, 45; 89-369, S. 1; June Sp. Sess. P.A. 91-8, S. 54, 63; June 12 Sp. Sess. P.A. 91-1, S. 1, 20, 22; P.A. 92-149, S. 7, 12; P.A. 93-413, S. 13, 16; P.A. 95-79, S. 3, 4, 189; June 18 Sp. Sess. P.A. 97-5, S. 17, 19; June 18 Sp. Sess. P.A. 97-6, S. 1, 14; P.A. 98-179, S. 13, 30; P.A. 99-56; P.A. 00-43, S. 16, 19; 00-99, S. 13, 154; P.A. 01-143, S. 4, 8.)
History: P.A. 77-605 redefined "political contribution"; P.A. 79-493 redefined "candidate for public office", "gift", "immediate family", "member of an advisory board" and "public official" and included treasurers as officers of businesses in Subdiv. (a); P.A. 81-395 substituted reference to Sec. 9-335(18) for reference to Sec. 9-348q(a) in Subdiv. (i); P.A. 82- 423 amended Subdiv. (d) to change food and beverage exception from under twenty-five dollars to under fifty dollars; P.A. 83-249 amended Subdiv. (i) to broaden the definition of "political contribution"; P.A. 84-335 amended Subdiv. (j) to include sheriffs and deputy sheriffs in definition of "public official"; P.A. 86-99 amended definition of "political contribution" to reflect technical changes made in chapter 150; P.A. 88-139 added definitions of "blind trust" and "trust", redefined "business with which he is associated" to include references to sole proprietorships, firms, corporations, trusts and other profit or nonprofit entities, and redefined "person" to include sole proprietorships and trusts, relettering Subdivs. as necessary; P.A. 88-225 included "any member or director of a quasi-public agency" in definition of "public official", included "any employee of a quasi-public agency" in definition of "state employee" and inserted new Subdiv. defining "quasi-public agency", relettering former Subdivs. as necessary; P.A. 89-245 amended the definition of "quasi-public agency" in Subdiv. (l) to rename Connecticut Product Development Corporation as Connecticut Innovations, Incorporated; P.A. 89-360 redefined "quasi-public agency" to include the New Haven Family Alliance; P.A. 89-369 limited exception in definition of "gift" for food or beverage costing less than fifty dollars per person and consumed on a single occasion to an occasion "at which the person paying, directly or indirectly, for the food or beverage, or his representative, is in attendance"; June Sp. Sess. P.A. 91-8 deleted reference to New Haven Family Alliance in definition of "quasi-public agency"; June 12 Sp. Sess. P.A. 91-1 added exception to definition of "business with which he is associated" in Subdiv. (b), substantially amended definition of "gift" and exceptions to "gift" in Subdiv. (e), redefined "quasi-public agency" in Subdiv. (l) by adding Lower Fairfield County Convention Center Authority and Connecticut Convention Center Authority, and added Subdivs. (o) to (r), inclusive, defining "business organization", "client lobbyist", "necessary expenses" and "lobbyist" and "registrant"; P.A. 92-149 redefined "client lobbyist"; P.A. 93-413 included Connecticut Coastline Port Authority in definition of "quasi-public agency" in Subdiv. (l), effective July 1, 1993; P.A. 95-79 redefined "person" and "business organization" to include a limited liability company, effective May 31, 1995; June 18 Sp. Sess. P.A. 97-5 amended Subsec. (e)(1) by changing Sec. 9-333b(b) Subdiv. reference from (11) to (10), effective July 1, 1997, and applicable to elections and primaries held on or after January 1, 1998; June 18 Sp. Sess. P.A. 97-6 amended Subsec. (e) by expanding Subdiv. (5), by changing limit to fifty dollars in Subdiv. (9), inserting new Subdiv. (11) re food or beverage consumed at a publicly noticed reception, adding new Subdiv. (14) re admission to charitable or civic event, adding new Subdiv. (15) re anything of value provided by employer and adding new Subdiv. (16) re anything of value of not more than ten dollars, effective January 1, 1998 (Revisor's note: In Subdiv. (11) of Subsec. (e) a hyphen between "publicly" and "noticed" was deleted editorially by the Revisors for consistency with customary statutory usage); P.A. 98-179 amended Subsec. (l), defining "quasi-public agency", by deleting the Connecticut Convention Center Authority and adding the Capital City Economic Development Authority, effective June 1, 1998; P.A. 99-56 amended Subsec. (k) by adding an appointee of the Governor to the definition of "public official"; P.A. 00-43 amended Subsec. (k) to include members of the Investment Advisory Council as "public officials", effective May 3, 2000; P.A. 00-99 deleted reference to sheriff and deputy sheriff in Subsec. (k), effective December 1, 2000; P.A. 01-143 amended Subsec. (l) by changing Connecticut Coastline Port Authority to

Connecticut Port Authority, effective July 6, 2001.
See Sec. 1-79a re calculation of dollar limit on gifts.

Sec. 1-79a. Calculation of dollar limit on gifts. For purposes of calculating the dollar limits under the exceptions to the term "gift" under sections 1-79 and 1-91 any expenditure provided by a lobbyist who is an individual shall be deemed to have also been provided by the business organization which he owns or by which he is employed, and any expenditure provided by a business organization shall be deemed to have also been provided by all owners and employees of the business organization who are lobbyists.
(P.A. 92-149, S. 6, 12; June 18 Sp. Sess. P.A. 97-6, S. 9, 14.)
History: June 18 Sp. Sess. P.A. 97-6 deleted provision that, for purposes of calculating dollar limit, gifts costing less than ten dollars per occasion or transaction are not considered and added provision that, for purposes of calculating dollar limit, expenditures provided by a lobbyist shall be considered to be provided by the business organization by which he is employed and vice versa, effective January 1, 1998.

Sec. 1-80. State Ethics Commission. Members; appointment; qualifications; vacancies; compensation. Hearings. (a) There shall be a State Ethics Commission consisting of seven members to be appointed with the advice and consent of the General Assembly. One member shall be appointed by the speaker of the House, one member by the president pro tempore of the Senate, one member by the minority leader of the Senate, one member by the minority leader of the House of Representatives and three members by the Governor. Members of the commission shall serve for four-year terms which shall commence on October first, except that members first appointed shall have the following terms: The Governor shall appoint two members for a term of three years and one member for a term of four years; the minority leader of the House of Representatives and the speaker of the House of Representatives shall each appoint one member for a term of two years; the president pro tempore of the Senate and the minority leader of the Senate shall each appoint one member for a term of four years. No individual shall be appointed to more than one four-year term as a member of such commission, provided that members may continue in office until a successor has been appointed and qualified. No more than four members shall be members of the same political party.
(b) All members shall be electors of the state. No member or employee of such commission shall (1) hold or campaign for any public office; (2) have held public office or have been a candidate for public office for a three-year period prior to appointment; (3) hold office in any political party or political committee or be a member of any organization or association organized primarily for the purpose of influencing legislation or decisions of public agencies; or (4) be an individual who is a registrant as defined in subsection (q) of section 1-91.
(c) Any vacancy on the commission shall be filled for the unexpired portion of the term by the appointing authority having the power to make the original appointment. An individual selected by the appointing authority to fill a vacancy shall be eligible for appointment to one full four-year term thereafter. Any vacancy occurring on the commission shall be filled within thirty days.
(d) The commission shall elect a chairperson who shall, except as provided in subsection (b) of section 1-82 and subsection (b) of section 1-93, preside at meetings of the commission and a vice-chairperson to preside in the absence of the chairperson. Five members of the commission shall constitute a quorum. Except as provided in subdivision (3) of section 1-81, subsections (a) and (b) of section 1-82, subsection (b) of section 1- 88, subdivision (5) of section 1-92, subsections (a) and (b) of section 1-93 and subsection (b) of section 1-99, a majority vote of the quorum shall be required for action of the commission. The chairperson or any four members may call a meeting.
(e) Any matter before the commission, except hearings held pursuant to the provisions of subsection (b) of section 1-82 or subsection (b) of section 1-93, may be assigned by the commission to two of its members to conduct an investigation or hearing, as the case may be, to ascertain the facts and report thereon to the commission with a recommendation for action.
(f) Members of the commission shall be compensated at the rate of fifty dollars per day for each day they attend a meeting or hearing and shall receive reimbursement for their necessary expenses incurred in the discharge of their official duties.
(g) The commission shall not be construed to be a board or commission within the meaning of section 4-9a.
(h) The members and employees of the State Ethics Commission shall adhere to the following code of ethics under which the members and employees shall: (1) Observe high standards of conduct so that the integrity and independence of the State Ethics Commission may be preserved; (2) respect and comply with the law and conduct

themselves at all times in a manner which promotes public confidence in the integrity and impartiality of the commission; (3) be faithful to the law and maintain professional competence in the law; (4) be unswayed by partisan interests, public clamor or fear of criticism; (5) maintain order and decorum in proceedings of the commission; (6) be patient, dignified and courteous to all persons who appear in commission proceedings and with other persons with whom the members and employees deal in their official capacities; (7) refrain from making any statement outside of a commission proceeding, which would have a likelihood of prejudicing a commission proceeding; (8) refrain from making any statement outside of a commission proceeding that a reasonable person would expect to be disseminated by means of public communication if the member or employee should know that such statement would have a likelihood of materially prejudicing or embarrassing a complainant or a respondent; (9) preserve confidences of complainants and respondents; (10) exercise independent professional judgment on behalf of the commission; and (11) represent the commission competently.
(P.A. 77-600, S. 2, 15; 77-605, S. 2, 21; P.A. 79-493, S. 2, 9; P.A. 83-249, S. 2, 3, 14; 83-586, S. 1, 14; P.A. 84-52, S. 5; 84-334, S. 1, 3; P.A. 86-390, S. 3, 4; 86-403, S. 93, 132; P.A. 88-139, S. 4; P.A. 92-149, S. 9, 12.)
History: P.A. 77-605 changed method for making initial appointments and qualifications for members and placed commission in the office of secretary of the state for administrative purposes only; P.A. 79-493 changed provisions concerning quorum, introduced provisions for fact-finding investigations and hearings and excluded commission from Sec. 4-9a; P.A. 83-249 amended Subsec. (a) to clarify that terms commence on October first and that members may continue in office until successors are appointed and qualify and made technical changes in Subsec. (d); P.A. 83-586 added Subsec. (h) allowing appointment of executive director and general counsel upon concurring vote of five members and dismissal upon concurring vote of four members; P.A. 84-52 made technical changes in Subsecs. (d) and (e) to reflect relettering of subsections in sections 1-82 and 1-93; P.A. 84-334 increased members' compensation from twenty-five to fifty dollars per day; P.A. 86-390 deleted provision in Subsec. (a) placing commission within the office of the secretary of the state for administrative purposes only; P.A. 86-403 made technical change in Subsec. (d); P.A. 88-139, S. 4 which was codified as Subsec. (i) established a code of ethics for members and employees of the ethics commission; P.A. 92-149 amended Subsec. (d) to make technical corrections, deleted Subsec. (h) re appointment of executive director and general counsel, but see Sec. 1-18(b), and relettered remaining Subsec. accordingly.

Sec. 1-80a. Statements filed with commission. Restrictions on use. Section 1- 80a is repealed, effective October 1, 2002.
(P.A. 78-169, S. 1, 2; S.A. 02-12, S. 1.)

Sec. 1-81. Duties of the commission. Employment of executive director, general counsel and staff. (a) The commission shall:
(1) Compile and maintain an index of all reports, advisory opinions, memoranda filed under the provisions of subsection (f) of section 1-82a and statements filed by and with the commission to facilitate public access to such reports and statements as provided by this part;
(2) Preserve advisory opinions permanently; preserve memoranda filed under subsection (f) of section 1-82a, and statements and reports filed by and with the commission for a period of five years from the date of receipt;
(3) Upon the concurring vote of four of its members, issue advisory opinions with regard to the requirements of this part, upon the request of any person subject to the provisions of this part, and publish such advisory opinions in the Connecticut Law Journal. Advisory opinions rendered by the commission, until amended or revoked, shall be binding on the commission and shall be deemed to be final decisions of the commission for purposes of section 1-87. Any advisory opinion concerning the person who requested the opinion and who acted in reliance thereon, in good faith, shall be binding upon the commission, and it shall be an absolute defense in any criminal action brought under the provisions of this part, that the accused acted in reliance upon such advisory opinion;
(4) Report annually, prior to April fifteenth, to the Governor summarizing the activities of the commission; and
(5) Adopt regulations in accordance with chapter 54 to carry out the purposes of this part.
(b) The commission may employ an executive director and general counsel and necessary staff within available appropriations.
(P.A. 77-600, S. 3, 15; 77-605, S. 15, 21; P.A. 79-493, S. 3, 9; P.A. 83-249, S. 4, 14; 83-493, S. 1, 5; P.A. 84-52, S. 6; P.A. 86-403, S. 94, 132; P.A. 89-97, S. 1, 7; 89-369, S. 2; P.A. 92-149, S. 10, 12; P.A. 94-172; P.A. 95-291; P.A. 99-55; P.A. 02-89, S. 2.)

History: P.A. 77-605 specifically provided that advisory opinions be published in the Connecticut Law Journal; P.A. 79-493 limited the issuance of advisory opinions to those in which at least four members concur; P.A. 83-249 deleted the words "subject to the provisions of this part" modifying "public official or state employee" in Subdiv. (3) of Subsec. (a); P.A. 83-493 amended Subsec. (a) to provide that advisory opinions shall be deemed to be final decisions of the commission for purposes of Sec. 1-87; P.A. 84-52 made technical changes to reflect relettering of subsections in Sec. 1-82; P.A. 86- 403 made technical changes in Subsec. (a); P.A. 89-97 added Subdiv. (5) requiring commission to adopt regulations; P.A. 89-369 amended Subdiv. (3) of Subsec. (a) to authorize any "person subject to the provisions of this part", instead of any "public official or state employee", to request an advisory opinion; P.A. 92-149 amended Subsec. (b) to authorize employment of an executive director and general counsel; P.A. 94-172 inserted new Subdivs. (5) and (6) re model codes of ethics and renumbered former Subdiv. (5) as (7); P.A. 95-291 amended Subdivs. (5) and (6) of Subsec. (a) by repealing requirement that the commission enforce model codes for municipalities and districts (Revisor's note: In Subdiv. (6) the word "and" was added editorially by the Revisors before "provide" to correspond with technical change enacted in Subdiv. (5)); P.A. 99-55 amended Subsec. (a)(4) by changing reporting date from February to April; P.A. 02-89 amended Subsec. (a) by deleting as obsolete former Subdivs. (5) and (6) re development by July 1, 1995, of a model code of ethics for officials and officers of municipalities and for officers of districts, respectively, and redesignating existing Subdiv. (7) as Subdiv. (5).
See Sec. 1-92 re commission's duties with regard to lobbyists.

Sec. 1-82. Complaints. Procedure. Time limits. Investigation; notice; hearings. Attorneys' fees. Damages for complaints without foundation. (a)(1) Upon the complaint of any person on a form prescribed by the commission, signed under penalty of false statement, or upon its own complaint, the commission shall investigate any alleged violation of this part. Not later than five days after the receipt or issuance of such complaint, the commission shall provide notice of such receipt or issuance and a copy of the complaint by registered or certified mail to any respondent against whom such complaint is filed and shall provide notice of the receipt of such complaint to the complainant. When the commission undertakes an evaluation of a possible violation of this part prior to the filing of a complaint by the commission, the subject of the evaluation shall be notified within five business days after a commission staff member's first contact with a third party concerning the matter.
(2) In the conduct of its investigation of an alleged violation of this part, the commission shall have the power to hold hearings, administer oaths, examine witnesses, receive oral and documentary evidence, subpoena witnesses under procedural rules adopted by the commission as regulations in accordance with the provisions of chapter 54 to compel attendance before the commission and to require the production for examination by the commission of any books and papers which the commission deems relevant in any matter under investigation or in question. In the exercise of such powers, the commission may use the services of the state police, who shall provide the same upon the commission's request. The commission shall make a record of all proceedings conducted pursuant to this subsection. Any witness summoned before the commission shall receive the witness fee paid to witnesses in the courts of this state. During the investigation the respondent shall have the right to appear and be heard and to offer any information which may tend to clear him of probable cause to believe he has violated any provision of this part. The respondent shall also have the right to be represented by legal counsel and to examine and cross-examine witnesses. Not later than ten days prior to the commencement of any hearing conducted pursuant to this subsection, the commission shall provide the respondent with a list of its intended witnesses. The commission shall make no finding that there is probable cause to believe the respondent is in violation of any provision of this part except upon the concurring vote of four of its members.
(b) If a preliminary investigation indicates that probable cause exists for the violation of a provision of this part, the commission shall initiate hearings to determine whether there has been a violation of this part. A judge trial referee, who shall be assigned by the Chief Court Administrator and who shall be compensated in accordance with section 52-434 out of funds available to the commission, shall preside over such hearing and shall rule on all matters concerning the application of the rules of evidence, which shall be the same as in judicial proceedings. The trial referee shall have no vote in any decision of the commission. All hearings of the commission held pursuant to this subsection shall be open. At such hearing the commission shall have the same powers as under subsection (a) of this section and the respondent shall have the right to be represented by legal counsel, the right to compel attendance of witnesses and the production of books, documents, records and papers and to examine and cross-examine witnesses. Not later than ten days prior to the commencement of any hearing conducted pursuant to this

subsection, the commission shall provide the respondent with a list of its intended witnesses. The judge trial referee shall, while engaged in the discharge of his duties as provided in this subsection, have the same authority as is provided in section 51-35 over witnesses who refuse to obey a subpoena or to testify with respect to any matter upon which such witness may be lawfully interrogated, and may commit any such witness for contempt for a period no longer than thirty days. The commission shall make a record of all proceedings pursuant to this subsection. The commission shall find no person in violation of any provision of this part except upon the concurring vote of five of its members. Not later than fifteen days after the public hearing conducted in accordance with this subsection, the commission shall publish its finding and a memorandum of the reasons therefore. Such finding and memorandum shall be deemed to be the final decision of the commission on the matter for the purposes of chapter 54. The respondent, if aggrieved by the finding and memorandum, may appeal there from to the Superior Court in accordance with the provisions of section 4-183.

(c) If the commission finds, after a hearing pursuant to this section, that there is no probable cause to believe that a public official or state employee has violated a provision of this part or that a public official or state employee has not violated any such provision, or if a court of competent jurisdiction overturns a finding by the commission of a violation by such a respondent, the state shall pay the reasonable legal expenses of the respondent as determined by the Attorney General or by the court if appropriate. If any complaint brought under the provisions of this part is made with the knowledge that it is made without foundation in fact, the respondent shall have a cause of action against the complainant for double the amount of damage caused thereby and if the respondent prevails in such action, he may be awarded by the court the costs of such action together with reasonable attorneys' fees.

(d) No complaint may be made under this section except within three years next after the violation alleged in the complaint has been committed.

(e) No person shall take or threaten to take official action against an individual for such individual's disclosure of information to the commission under the provisions of this part. After receipt of information from an individual under the provisions of this part, the commission shall not disclose the identity of such individual without his consent unless the commission determines that such disclosure is unavoidable during the course of an investigation.

(P.A. 77-600, S. 4, 15; 77-605, S. 16, 21; 77-614, S. 486, 587, 610; P.A. 78-303, S. 85, 136; P.A. 79-493, S. 4, 9; P.A. 81-296, S. 1; P.A. 83-249, S. 5, 14; 83-586, S. 2, 14; June Sp. Sess. P.A. 83-15, S. 1, 2; P.A. 84-52, S. 1; 84-519, S. 1; P.A. 85-290, S. 1; June 12 Sp. Sess. P.A. 91-1, S. 14; P.A. 92-29, S. 1; P.A. 94-132, S. 1; P.A. 96-37, S. 1.)

History: P.A. 77-605 removed subpoena power and permission to use services of state police from investigation process in Subsec. (a) and placed these provisions in Subsec. (c) under the hearing process; P.A. 77-614 and P.A. 78-303 placed the state police within the department of public safety, effective January 1, 1979; P.A. 79-493 required concurring vote of four members for finding of probable cause; P.A. 81-296 added Subsec. (e) establishing a three-year time limit for complaints; P.A. 83-249 made technical change in Subsec. (a); P.A. 83-586 amended Subsec. (b) by adding provisions concerning publication of commission findings and confidentiality of record; June Sp. Sess. P.A. 83-15 amended Subsec. (d) to provide for state reimbursement of legal expenses of respondent in some instances; P.A. 84-52 eliminated provisions re confidentiality of investigations and publication of findings; P.A. 84-519 amended section to grant subpoena power to commission at all stages of investigation, to require commission to meet prior to commencing investigation and to exempt such meetings from the freedom of information act, and deleted provision authorizing commission witnesses to be paid witness fees awarded court witnesses; P.A. 85-290 amended Subsec. (a) to require that commission notify persons under evaluation within five business days after a commission staff member's first contact with a third party concerning the matter; June 12 Sp. Sess. P.A. 91-1 amended Subsecs. (b) and (c) to require trial referee or senior judge, instead of commission, to make determinations re violations; P.A. 92-29 amended Subsecs. (b) and (c) by eliminating references to senior judges; P.A. 94-132 amended Subdiv. (1) of Subsec. (a) by deleting provisions re meeting to determine whether sufficient evidence exists to warrant inquiry, changing notice deadline from five days after meeting to five days after receipt or issuance of complaint, and making technical grammatical changes, amended Subdiv. (2) of Subsec. (a) by adding "of an alleged violation of this part" after "investigation", deleting provision re deadline for adoption of regulations, and adding provisions re record of proceedings and list of intended witnesses, amended Subsec. (b) by specifying trial referee has no vote in commission decision, adding "of the commission held" after "all hearings" giving commission, rather than trial referee, the same powers as under Subsec. (a), adding provisions re

list of intended witnesses and vote required for finding of violation, changing publisher of finding and memorandum from trial referee to commission, and deleting provision re commission aggrieved by finding and memorandum, amended Subsec. (c) by deleting provision re trial referee overturning finding by commission, changing finding that may be overturned by court from one of trial referee to one of commission, and making technical changes, and added new Subsec. (e) re individuals who disclose information to commission; P.A. 96-37 amended Subsec. (b) by changing "state trial referee" to "judge trial referee".
Cited. 222 C. 799, 815. Cited. 224 C. 29, 37.

Sec. 1-82a. Confidentiality of complaints, evaluations of possible violations and investigations. Publication of findings. (a) Unless the commission makes a finding of probable cause, a complaint alleging a violation of this part shall be confidential except upon the request of the respondent. A commission evaluation of a possible violation of this part prior to the filing of a complaint by the commission shall be confidential except upon the request of the subject of the evaluation. If the evaluation is confidential, any information supplied to or received from the commission shall not be disclosed to any third party by a subject of the evaluation, a person contacted for the purpose of obtaining information or by a commission or staff member. No provision of this subsection shall prevent the Ethics Commission from reporting the possible commission of a crime to the Chief State's Attorney or other prosecutorial authority.
(b) An investigation conducted prior to a probable cause finding shall be confidential except upon the request of the respondent. If the investigation is confidential, the allegations in the complaint and any information supplied to or received from the commission shall not be disclosed during the investigation to any third party by a complainant, respondent, witness, designated party, or commission or staff member.
(c) Not later than three business days after the termination of the investigation, the commission shall inform the complainant and the respondent of its finding and provide them a summary of its reasons for making that finding. The commission shall publish its finding upon the respondent's request and may also publish a summary of its reasons for making such finding.
(d) If the commission makes a finding of no probable cause, the complaint and the record of its investigation shall remain confidential, except upon the request of the respondent and except that some or all of the record may be used in subsequent proceedings. No complainant, respondent, witness, designated party, or commission or staff member shall disclose to any third party any information learned from the investigation, including knowledge of the existence of a complaint, which the disclosing party would not otherwise have known. If such a disclosure is made, the commission may, after consultation with the respondent if the respondent is not the source of the disclosure, publish its finding and a summary of its reasons therefore.
(e) The commission shall make public a finding of probable cause not later than five business days after the termination of the investigation. At such time the entire record of the investigation shall become public, except that the commission may postpone examination or release of such public records for a period not to exceed fourteen days for the purpose of reaching a stipulation agreement pursuant to subsection (c) of section 4-177.
(P.A. 84-52, S. 2; P.A. 85-290, S. 2; P.A. 88-317, S. 40, 107; June 12 Sp. Sess. P.A. 91-1, S. 15; P.A. 94-132, S. 2.)
History: P.A. 85-290 amended Subsec. (a) to add provisions re confidentiality of a commission evaluation prior to the filing of a complaint; P.A. 88-317 substituted "subsection (c)" for "subsection (d)" in reference to Sec. 4-177, effective July 1, 1989, and applicable to all agency proceedings commencing on or after that date; June 12 Sp. Sess. P.A. 91-1 repealed former Subsec. (f) re publication of commission finding and memorandum under Sec. 1-82(b); P.A. 94-132 amended Subsec. (a) to authorize reports to prosecutorial authority other than chief state's attorney.

Sec. 1-83. Statements of financial interests. Filing requirements. Ethics statements. (a)(1) All state-wide elected officers, members of the General Assembly, department heads and their deputies, members of the Gaming Policy Board, the executive director of the Division of Special Revenue within the Department of Revenue Services, members or directors of each quasi-public agency, members of the Investment Advisory Council, state marshals and such members of the Executive Department and such employees of quasi-public agencies as the Governor shall require, shall file, under penalty of false statement, a statement of financial interests for the preceding calendar year with the commission on or before the May first next in any year in which they hold such a position. Any such individual who leaves his or her office or position shall file a statement of financial interests

covering that portion of the year during which such individual held his or her office or position. The commission shall notify such individuals of the requirements of this subsection within thirty days after their departure from such office or position. Such individuals shall file such statement within sixty days after receipt of the notification.
(2) Each state agency, department, board and commission shall develop and implement, in cooperation with the Ethics Commission, an ethics statement as it relates to the mission of the agency, department, board or commission. The executive head of each such agency, department, board or commission shall be directly responsible for the development and enforcement of such ethics statement and shall file a copy of such ethics statement with the Department of Administrative Services and the Ethics Commission.
(b) (1) The statement of financial interests, except as provided in subdivision (2) of this subsection, shall include the following information for the preceding calendar year in regard to the individual required to file the statement and the individual's spouse and dependent children residing in the individual's household: (A) The names of all businesses with which associated; (B) the category or type of all sources of income in excess of one thousand dollars, without specifying amounts of income; (C) the name of securities in excess of five thousand dollars at fair market value owned by such individual, spouse or dependent children or held in the name of a corporation, partnership or trust for the benefit of such individual, spouse or dependent children; (D) the existence of any known blind trust and the names of the trustees; (E) all real property and its location, whether owned by such individual, spouse or dependent children or held in the name of a corporation, partnership or trust for the benefit of such individual, spouse or dependent children; (F) the names and addresses of creditors to whom the individual, the individual's spouse or dependent children, individually, owed debts of more than ten thousand dollars; and (G) any leases or contracts with the state held or entered into by the individual or a business with which he or she was associated. (2) The statement of financial interests filed by state marshals shall include only amounts and sources of income earned in their capacity as state marshals.
(c) The statement of financial interests filed pursuant to this section shall be a matter of public information, except the list of names, filed in accordance with subparagraph (F) of subdivision (1) of subsection (b) of this section shall be sealed and confidential and for the use of the commission only after a complaint has been filed under section 1-82 and such complaint has been determined by a vote of the commission to be of sufficient merit and gravity to justify the unsealing of such list or lists and not open to public inspection unless the respondent requests otherwise. If the commission reports its findings to the Chief State's Attorney in accordance with subsection (c) of section 1-88, the commission shall turn over to the Chief State's Attorney such relevant information contained in the statement as may be germane to the specific violation or violations or a prosecutorial official may subpoena such statement in a criminal action. Unless otherwise a matter of public record, the Ethics Commission shall not disclose to the public any such subpoena which would be exempt from disclosure by the issuing agency.
(d) Any individual who is unable to provide information required under the provisions of subdivision (1) of subsection (b) of this section by reason of impossibility may petition the commission for a waiver of the requirements.
(P.A. 77-600, S. 5, 15; P.A. 79-549; P.A. 80-482, S. 342, 343, 345, 348; P.A. 83-249, S. 6, 14; 83-270, S. 3; 83-586, S. 3, 14; P.A. 84-21, S. 1, 5; 84-335, S. 2, 4; 84-546, S. 141, 173; P.A. 87-524, S. 5, 7; P.A. 88-139, S. 2; 88-225, S. 2, 14; P.A. 89-97, S. 2, 7; 89-145; June 12 Sp. Sess. P.A. 91-1, S. 8; P.A. 94-126, S. 1; 94-132, S. 3; June 18 Sp. Sess. P.A. 97- 6, S. 12, 14; P.A. 00-43, S. 17, 19; 00-66, S. 1; 00-99, S. 14, 154; P.A. 01-195, S. 1, 2, 181.)
History: P.A. 79-549 included members of gaming policy board, executive director of division of special revenue within the department of business regulation under filing requirements; P.A. 80-482 changed "business regulation" to "revenue services", expanded provisions regarding the executive director and limited revenue services' control to administrative purposes only; P.A. 83-249 changed "commissioners and deputy commissioners" to "department heads and their deputies" and made technical amendments; P.A. 83-270 amended Subsec. (a) to include members of the board of directors of the Connecticut resources recovery authority under filing requirements; P.A. 83-586 amended Subsec. (a) to require post- termination filing of financial statement, amended Subsec. (b) to allow for nondisclosure of privileged information, to clarify that reporting threshold figure of five thousand dollars refers to net income and to require disclosure of clients providing more than five thousand dollars of net income to any business with which the individual was associated, names of creditors and state leases and contracts, amended Subsec. (c) to allow commission access to list of names if commission determines that a complaint is of sufficient merit and gravity to justify its unsealing and added Subsec. (d) allowing waiver in cases in which it is impossible to comply with information requirements; P.A. 84-21 made technical correction in Subsec. (c) to refer to list of

names of creditors as sealed and confidential; P.A. 84-335 added requirement that sheriffs and deputy sheriffs file limited financial statements; P.A. 84-546 made technical changes in Subsec. (b); P.A. 87-524 amended Subsec. (b) to specify that Subdiv. (2) shall not permit elected official to receive gift, honorarium or compensation prohibited under Sec. 9-333i(h); P.A. 88-139 amended Subsec. (a) by changing the filing deadline for statements of financial interests from April fifteenth to May first, amended Subsec. (b)(1)(C) by deleting the exception for blind trusts; added Subsec. (b)(1)(D) re blind trusts; added the language in Subsec. (b)(1)(E) re real property held for the benefit of an individual, spouse or dependent children and relettered Subparas. (E) and (F) accordingly; P.A. 88-225 amended Subsec. (a) to require (1) members or directors of each quasi-public agency, instead of only members of board of directors of Connecticut resources recovery authority, and (2) such employees of quasi-public agencies as governor requires to file statement of financial interests; P.A. 89-97 added definition of "fee" and "honorarium" in Subdiv. (2) of Subsec. (b) and required filing of such a fee or honorarium in an amount of one hundred dollars or more received in capacity as public official or state employee instead of fee or honorarium received for appearance or delivery of address to any meeting of an organization; P.A. 89- 145 increased threshold in Subpara. (B) of Subdiv. (1) of Subsec. (b) for reporting names and addresses of clients, patients and customers providing income to individual, from five thousand to ten thousand dollars; June 12 Sp. Sess. P.A. 91-1 deleted former Subdiv. (2) of Subsec. (b) re disclosure of fees and honoraria and renumbered Subdiv. (3) as Subdiv. (2); P.A. 94-126 amended Subsec. (a) by adding new Subdiv. (2) re ethics statements and clarified that Subsecs. (b) and (c) apply to statements of financial interests; P.A. 94-132 amended Subsec. (c) by adding provision re disclosure of subpoenas; June 18 Sp. Sess. P.A. 97-6 amended Subdiv. (1) of Subsec. (b) to delete requirement that statement of financial interests include names and addresses of clients, patients and customers who provide more than ten thousand dollars of net income, effective January 1, 1998; P.A. 00-43 amended Subsec. (a) to extend provisions of section to members of the Investment Advisory Council and to make technical changes for purposes of gender neutrality, effective May 3, 2000; P.A. 00-66 made technical changes in Subsec. (b); P.A. 00-99 changed reference to sheriffs and deputy sheriffs to state marshals in Subsecs. (a) and (b), effective December 1, 2000; P.A. 01-195 substituted "marshals" for "marshal" in Subsec. (a)(1) and made a technical change in Subsec. (b)(1)(G) for purposes of gender neutrality, effective July 11, 2001.
Disclosure obligations under statute not subject to disclosure requirement of Sec. 1-19(a). 18 CA 212, 213, 215—218.
Subsec. (b):
Subdivs. (1) and (3) cited. 18 CA 212, 216. Subpara. (1) (B) cited. Id., 212, 216, 217.
Subsec. (c):
Cited. 18 CA 212, 217.

Sec. 1-84. (Formerly Sec. 1-66). Prohibited activities. (a) No public official or state employee shall, while serving as such, have any financial interest in, or engage in, any business, employment, transaction or professional activity, which is in substantial conflict with the proper discharge of his duties or employment in the public interest and of his responsibilities as prescribed in the laws of this state, as defined in section 1-85.
(b) No public official or state employee shall accept other employment which will either impair his independence of judgment as to his official duties or employment or require him, or induce him, to disclose confidential information acquired by him in the course of and by reason of his official duties.
(c) No public official or state employee shall willfully and knowingly disclose, for financial gain, to any other person, confidential information acquired by him in the course of and by reason of his official duties or employment and no public official or state employee shall use his public office or position or any confidential information received through his holding such public office or position to obtain financial gain for himself, his spouse, child, child's spouse, parent, brother or sister or a business with which he is associated.
(d) No public official or state employee or employee of such public official or state employee shall agree to accept, or be a member or employee of a partnership, association, professional corporation or sole proprietorship which partnership, association, professional corporation or sole proprietorship agrees to accept any employment, fee or other thing of value, or portion thereof, for appearing, agreeing to appear, or taking any other action on behalf of another person before the Department of Banking, the Claims Commissioner, the Office of Health Care Access, the Insurance Department, the office within the Department of Consumer Protection that carries out the duties and responsibilities of sections 30-2 to 30-68m, inclusive, the Department of Motor Vehicles, the State Insurance and Risk Management Board, the Department of Environmental Protection, the Department of Public Utility Control,

the Connecticut Siting Council, the Division of Special Revenue within the Department of Revenue Services, the Gaming Policy Board within the Department of Revenue Services or the Connecticut Real Estate Commission; provided this shall not prohibit any such person from making inquiry for information on behalf of another before any of said commissions or commissioners if no fee or reward is given or promised in consequence thereof. For the purpose of this subsection, partnerships, associations, professional corporations or sole proprietorships refer only to such partnerships, associations, professional corporations or sole proprietorships which have been formed to carry on the business or profession directly relating to the employment, appearing, agreeing to appear or taking of action provided for in this subsection. Nothing in this subsection shall prohibit any employment, appearing, agreeing to appear or taking action before any municipal board, commission or council. Nothing in this subsection shall be construed as applying (1) to the actions of any teaching or research professional employee of a public institution of higher education if such actions are not in violation of any other provision of this chapter, (2) to the actions of any other professional employee of a public institution of higher education if such actions are not compensated and are not in violation of any other provision of this chapter, (3) to any member of a board or commission who receives no compensation other than per diem payments or reimbursement for actual or necessary expenses, or both, incurred in the performance of the member's duties or (4) to any member or director of a quasi-public agency. Notwithstanding the provisions of this subsection to the contrary, a legislator, an officer of the General Assembly or part-time legislative employee may be or become a member or employee of a firm, partnership, association or professional corporation which represents clients for compensation before agencies listed in this subsection, provided the legislator, officer of the General Assembly or part-time legislative employee shall take no part in any matter involving the agency listed in this subsection and shall not receive compensation from any such matter. Receipt of a previously established salary, not based on the current or anticipated business of the firm, partnership, association or professional corporation involving the agencies listed in this subsection, shall be permitted.

(e) No legislative commissioner or his partners, employees or associates shall represent any person subject to the provisions of part II concerning the promotion of or opposition to legislation before the General Assembly, or accept any employment which includes an agreement or understanding to influence, or which is inconsistent with, the performance of his official duties.

(f) No person shall offer or give to a public official or state employee or candidate for public office or his spouse, his parent, brother, sister or child or spouse of such child or a business with which he is associated, anything of value, including but not limited to, a gift, loan, political contribution, reward or promise of future employment based on any understanding that the vote, official action or judgment of the public official, state employee or candidate for public office would be or had been influenced thereby.

(g) No public official or state employee or candidate for public office shall solicit or accept anything of value, including but not limited to, a gift, loan, political contribution, reward or promise of future employment based on any understanding that the vote, official action or judgment of the public official or state employee or candidate for public office would be or had been influenced thereby.

(h) Nothing in subsection (f) or (g) of this section shall be construed (1) to apply to any promise made in violation of subdivision (6) of section 9-333x or (2) to permit any activity otherwise prohibited in section 53a-147 or 53a-148.

(i) No public official or state employee or member of his immediate family or a business with which he is associated shall enter into any contract with the state, valued at one hundred dollars or more, other than a contract of employment as a state employee or pursuant to a court appointment, unless the contract has been awarded through an open and public process, including prior public offer and subsequent public disclosure of all proposals considered and the contract awarded. In no event shall an executive head of an agency, as defined in section 4-166, including a commissioner of a department, or an executive head of a quasi-public agency, as defined in section 1-79, or his immediate family or a business with which he is associated enter into any contract with that agency or quasi-public agency. Nothing in this subsection shall be construed as applying to any public official who is appointed as a member of the executive branch or as a member or director of a quasi-public agency and who receives no compensation other than per diem payments or reimbursement for actual or necessary expenses, or both, incurred in the performance of his duties unless such public official has authority or control over the subject matter of the contract. Any contract made in violation of this subsection shall be voidable by a court of competent jurisdiction if the suit is commenced within ninety days of the making of the contract.

(j) No public official, state employee or candidate for public office, or a member of any such person's staff or immediate family shall knowingly accept any gift, as defined in subsection (e) of section 1-79, from a person known to be a registrant or anyone known to be acting on behalf of a registrant.
(k) No public official or state employee shall accept a fee or honorarium for an article, appearance or speech, or for participation at an event, in the public official's or state employee's official capacity, provided a public official or state employee may receive payment or reimbursement for necessary expenses for any such activity in his official capacity. If a public official or state employee receives such a payment or reimbursement for lodging or out-of-state travel or both, the official or employee shall, within thirty days, file a report of the payment or reimbursement with the commission, unless the payment or reimbursement is provided by the federal government or another state government. If a public official or state employee does not file such report within such period, either intentionally or due to gross negligence on the public official's or state employee's part, the public official or state employee shall return the payment or reimbursement. If any failure to file such report is not intentional or due to gross negligence on the part of the public official or state employee, the public official or state employee shall not be subject to any penalty under this chapter. When a public official or state employee attends an event in this state in the public official's or state employee's official capacity and as a principal speaker at such event and receives admission to or food or beverage at such event from the sponsor of the event, such admission or food or beverage shall not be considered a gift and no report shall be required from such official or employee or from the sponsor of the event.
(l) No public official or state employee, or any person acting on behalf of a public official or state employee, shall wilfully and knowingly interfere with, influence, direct or solicit existing or new lobbying contracts, agreements or business relationships for or on behalf of any person.
(m) No public official or state employee shall knowingly accept, directly or indirectly, any gift, as defined in subsection (e) of section 1-79, from any person the official or employee knows or has reason to know: (1) Is doing business with or seeking to do business with the department or agency in which the official or employee is employed or (2) is engaged in activities which are directly regulated by such department or agency. No person shall knowingly give, directly or indirectly, any gift or gifts in violation of this provision.
(n) (1) As used in this subsection, (A) "investment services" means investment legal services, investment banking services, investment advisory services, underwriting services, financial advisory services or brokerage firm services, and (B) "principal of an investment services firm" means (i) an individual who is a director of or has an ownership interest in an investment services firm, except for an individual who owns less than five per cent of the shares of an investment services firm which is a publicly traded corporation, (ii) an individual who is employed by an investment services firm as president, treasurer, or executive or senior vice president, (iii) an employee of such an investment services firm who has managerial or discretionary responsibilities with respect to any investment services, (iv) the spouse or dependent child of an individual described in this subparagraph, or (v) a political committee established by or on behalf of an individual described in this subparagraph.
(2) The State Treasurer shall not pay any compensation, expenses or fees or issue any contract to any firm which provides investment services when (A) a political committee, as defined in section 9-333a, established by such firm, or (B) a principal of the investment services firm has made a contribution, as defined in section 9-333b, to, or solicited contributions on behalf of, any exploratory committee or candidate committee, as defined in section 9-333a, established by the State Treasurer as a candidate for nomination or election to the office of State Treasurer. The State Treasurer shall not pay any compensation, expenses or fees or issue any contract to such firms or principals during the term of office as State Treasurer, including, for an incumbent State Treasurer seeking reelection, any remainder of the current term of office.
(o) Any person who (1) (A) is doing business with or seeking to do business with the department or agency in which a public official or state employee is employed or (B) is engaged in activities which are directly regulated by such department or agency and (2) gives to such public official or state employee anything of value which is subject to the reporting requirements pursuant to subsection (e) of section 1-96 shall, not later than ten days thereafter, give such recipient a written report stating the name of the donor, a description of the item or items given, the value of such items and the cumulative value of all items given to such recipient during that calendar year. The provisions of this subsection shall not apply to a political contribution otherwise reported as required by law.
(1971, P.A. 822, S. 1; P.A. 75-605, S. 20, 27; P.A. 76-302, S. 1, 3; P.A. 77-600, S. 6, 15; 77-604, S. 68, 84; 77-

605, S. 13, 21; 77-614, S. 165, 610; P.A. 78-303, S. 37, 136; P.A. 79-404, S. 1, 45; 79-493, S. 5, 7, 9; P.A. 80-482, S. 1, 4, 170, 191, 345, 348; 80-483, S. 2, 186; P.A. 82-423, S. 6, 8; P.A. 83-249, S. 7, 14; 83-586, S. 4, 14; P.A. 87-9, S. 2, 3; 87-234; 87-524, S. 6, 7; P.A. 88-225, S. 3, 14; P.A. 89-369, S. 3; June 12 Sp. Sess. P.A. 91-1, S. 2, 6, 22; P.A. 92-149, S. 1, 12; P.A. 94-69, S. 2, 3; P.A. 95-188, S. 1; 95-195, S. 4, 83; 95-257, S. 39, 58; P.A. 96-11, S. 1, 5; June 18 Sp. Sess. P.A. 97- 6, S. 2—5, 14; P.A. 99-51, S. 1, 9; 99-145, S. 14, 23; P.A. 00-66, S. 2; P.A. 02-130, S. 13.)

History: P.A. 75-605 changed "commission on claims" to "claims commissioner"; P.A. 76-302 added Subsec. (e); P.A. 77-600 broadened scope of section regarding prohibited activities and those who are affected by the prohibitions and added Subsecs. (f) to (i), effective January 1, 1978; P.A. 77-604 changed sections referred to in Subsec. (h), effective January 1, 1978; P.A. 77-605 expanded scope of prohibitions in Subsec. (e); in Subsec. (d) P.A. 77-614 changed "liquor control commission" to "division of liquor control within the department of business regulation"; in Subsec. (d) P.A. 78-303 changed "state banking commission" to "banking commissioner", effective January 1, 1979; in 1979 Sec. 1-66 transferred to Sec. 1-84; P.A. 79-404 changed "commission on special revenue" to "division of special revenue" and added the gaming policy board in Subsec. (d); P.A. 79-493 clarified prohibited conduct in Subsec. (d) and excluded members of advisory boards and commissions receiving per diem or reimbursement for expenses from provisions and excluded executive branch officials from provisions of Subsec. (i) except in certain cases; P.A. 80-482 deleted references to business regulation and reflected changes placing special revenue and the gaming policy board within the department of revenue services and creating the banking, insurance, liquor control and public utility control departments; P.A. 80-483 made technical changes; P.A. 82-423 added Subsec. (j) which placed fifty dollar limit on gifts accepted by public officials; P.A. 83-249 limited prohibition to financial interest or gains; P.A. 83-586 amended Subsec. (d) to include appearance or action before commission on hospitals and health care, insurance department, department of public utility control or Connecticut siting council, effective January 9, 1985; (Revisor's note: Pursuant to P.A. 87-9, "banking department" was changed editorially by the Revisors to "department of banking"); P.A. 87-234 amended Subsec. (d) to exempt from provisions of Subsec. (d) actions of teaching or research professional employees of public institutions of higher education, regardless of whether such actions are compensated; P.A. 87-524 added provision in Subsec. (h) that Subsecs. (f) and (g) shall not apply to promise violating Subdiv. (6) of Sec. 9-333x; P.A. 88-225 added Subdiv. (4) to Subsec. (d), exempting members and directors of quasi- public agencies from application of Subsec. (d) and amended Subsec. (i) to exempt certain members and directors of quasi- public agencies from application of Subsec. (i); P.A. 89-369 applied section to sole proprietorships; June 12 Sp. Sess. P.A. 91-1 amended Subsec. (j) by inserting "knowingly" and making a technical change and added Subsec. (k) re fees and honoraria and Subsec. (l) re influence with lobbying contracts, agreements or business relationships; P.A. 92-149 amended Subsec. (d) to allow firms employing legislators or legislative employees to represent clients before specific agencies provided such employee derives no compensation from such representation, amended Subsec. (k) to allow public officials or state employees to receive payment or reimbursements for necessary expenses for lodging, out-of-state travel or both provided a report is filed with the commission and added new Subsec. (m) re acceptance of gifts in excess of fifty dollars; P.A. 94-69 amended Subsec. (m) by deleting "serving in the executive branch or a quasi-public agency" after "state employee", effective January 1, 1994; P.A. 95-188 added Subsec. (n) re contributions to candidates for Treasurer by "investment services" firms or individuals associated with such firms; P.A. 95-195 amended Subsec. (d) to replace reference to Department of Liquor Control with reference to office within the Department of Consumer Protection carrying out the duties of Secs. 30-2 to 30-68m, inclusive, effective July 1, 1995; P.A. 95-257 amended Subsec. (d) to replace Commission on Hospitals and Health Care with Office of Health Care Access, effective July 1, 1995; P.A. 96-11 amended Subsec. (i) to prohibit an executive head of an agency or his immediate family or a business with which he is associated from entering into a contract with that agency, effective January 1, 1997; June 18 Sp. Sess. P.A. 97-6 amended Subsec. (j) to delete reference to gifts of fifty dollars or more in value, amended Subsec. (k) to provide that admission to, and food and beverage consumed at, an event are not considered a gift if consumed at the event, if official or employee attends in official capacity or as principal speaker, amended Subsec. (m) to delete reference to gifts of fifty dollars or more in value and to delete Subdiv. (3) re financial interests that may be substantially affected by performance or nonperformance of duties and added new Subsec. (o) re written reports by person who is doing business with agency and who gives something of value to a public official or employee of that agency, effective January 1, 1998; P.A. 99-51 amended Subsec. (d) to substitute "State Insurance and Risk Management Board" for "State Insurance Purchasing Board"

and to make existing provisions gender neutral, effective May 27, 1999; P.A. 99-145 amended Subsec. (d) to substitute "State Insurance and Risk Management Board" for "State Insurance Purchasing Board", effective June 8, 1999; P.A. 00-66 made technical changes in Subsec. (k); P.A. 02-130 amended Subsec. (n) by designating definitions as Subdiv. (1) and remaining provisions as Subdiv. (2), designating definition of "investment services" in Subdiv. (1) as Subpara. (A) and replacing "legal services" with "investment legal services" therein, adding Subdiv. (1)(B) defining "principal of an investment services firm" and revising Subdiv. (2) to replace former provisions re individual who is owner of firm or employed by firm as manager, officer, director, partner or employee having managerial or discretionary investment responsibilities with "a principal of the investment services firm" and to make conforming and technical changes, effective May 10, 2002.
See Sec. 1-79a re calculation of dollar limit on gifts.
Subsec. (c):
Cited. 229 C. 479, 494.
Ethics Commission has jurisdiction in case involving the use of office by state employee for financial gain even if employee's behavior could arguably subject him to discipline by Commissioner of Administrative Services pursuant to State Personnel Act. 53 CA 808.
Not unconstitutionally void for vagueness or overbroad as applied to plaintiff, a high sheriff engaged in fee splitting. 45 CS 242.

Sec. 1-84a. Disclosure or use of confidential information by former official or employee. No former executive or legislative branch or quasi-public agency public official or state employee shall disclose or use confidential information acquired in the course of and by reason of his official duties, for financial gain for himself or another person.
(P.A. 83-586, S. 5; P.A. 88-225, S. 4, 14.)
History: P.A. 88-225 applied provisions of section to quasi-public agency public officials and state employees.

Sec. 1-84b. Certain activities restricted after leaving public office or employment. (a) No former executive branch or quasi-public agency public official or state employee shall represent anyone other than the state, concerning any particular matter (1) in which he participated personally and substantially while in state service and (2) in which the state has a substantial interest.
(b) No former executive branch or quasi-public agency public official or state employee shall, for one year after leaving state service, represent anyone, other than the state, for compensation before the department, agency, board, commission, council or office in which he served at the time of his termination of service, concerning any matter in which the state has a substantial interest. The provisions of this subsection shall not apply to an attorney who is a former employee of the Division of Criminal Justice, with respect to any representation in a matter under the jurisdiction of a court.
(c) The provisions of this subsection apply to present or former executive branch public officials or state employees who hold or formerly held positions which involve significant decision-making or supervisory responsibility and are designated as such by the State Ethics Commission in consultation with the agency concerned except that such provisions shall not apply to members or former members of the boards or commissions who serve ex officio, who are required by statute to represent the regulated industry or who are permitted by statute to have a past or present affiliation with the regulated industry. Designation of positions subject to the provisions of this subsection shall be by regulations adopted by the State Ethics Commission in accordance with chapter 54. As used in this subsection, "agency" means the Office of Health Care Access, the Connecticut Siting Council, the Department of Banking, the Insurance Department, the Department of Public Safety, the office within the Department of Consumer Protection that carries out the duties and responsibilities of sections 30-2 to 30-68m, inclusive, the Department of Public Utility Control, including the Office of Consumer Counsel, the Division of Special Revenue and the Gaming Policy Board and the term "employment" means professional services or other services rendered as an employee or as an independent contractor.
(1) No public official or state employee, in an executive branch position designated by the State Ethics Commission shall negotiate for, seek or accept employment with any business subject to regulation by his agency.
(2) No former public official or state employee who held such a position in the executive branch shall within one year after leaving an agency, accept employment with a business subject to regulation by that agency.
(3) No business shall employ a present or former public official or state employee in violation of this subsection.

(d) The provisions of subsection (e) of this section apply to (1) present or former Gaming Policy Board or Division of Special Revenue public officials or state employees who hold or formerly held positions which involve significant decision-making or supervisory responsibility and are designated as such by the State Ethics Commission, in consultation with the agency concerned, and (2) present or former public officials or state employees of other agencies who hold or formerly held positions which involve significant decision-making or supervisory responsibility concerning the regulation or investigation of (A) any business entity (i) engaged in Indian gaming operations in the state and (ii) in which a federally-recognized Indian tribe in the state owns a controlling interest or (B) a governmental agency of a federally-recognized Indian tribe engaged in Indian gaming operations in the state, which positions are designated as such by the State Ethics Commission, in consultation with the agency concerned. Designation of positions subject to the provisions of this subsection shall be by regulations adopted by the State Ethics Commission in accordance with chapter 54. As used in subsection (e) of this section, the term "employment" means professional services or other services rendered as an employee or as an independent contractor.
(e) (1) No Gaming Policy Board or Division of Special Revenue public official or state employee or other public official or state employee described in subdivision (2) of subsection (d) of this section, in a position designated by the State Ethics Commission, shall negotiate for, seek or accept employment with (A) a business entity (i) engaged in Indian gaming operations in the state and (ii) in which a federally-recognized Indian tribe in the state owns a controlling interest or (B) a governmental agency of a federally- recognized Indian tribe engaged in Indian gaming operations in the state.
(2) No former Gaming Policy Board or Division of Special Revenue public official or state employee or other former public official or state employee described in subdivision (2) of subsection (d) of this section, who held such a position shall, within two years after leaving such agency, accept employment with (A) a business entity (i) engaged in Indian gaming operations in the state and (ii) in which a federally-recognized Indian tribe in the state owns a controlling interest or (B) a governmental agency of a federally- recognized Indian tribe engaged in Indian gaming operations in the state.
(f) No former public official or state employee (1) who participated substantially in the negotiation or award of (A) a state contract valued at an amount of fifty thousand dollars or more or (B) a written agreement for the approval of a payroll deduction slot described in section 3-123g, or (2) who supervised the negotiation or award of such a contract or agreement, shall accept employment with a party to the contract or agreement other than the state for a period of one year after his resignation from his state office or position if his resignation occurs less than one year after the contract or agreement is signed.
(g) No member or director of a quasi-public agency who participates substantially in the negotiation or award of a contract valued at an amount of fifty thousand dollars or more, or who supervised the negotiation or award of such a contract, shall seek, accept, or hold employment with a party to the contract for a period of one year after the signing of the contract.
(h) The regulations required to implement the provisions of subsection (c) of this section may be adopted by the State Ethics Commission prior to January 7, 1987, but may not take effect prior to that date.
(i) The provisions of subsections (a), (b) and (f) of this section shall not apply to any employee of a quasi-public agency who leaves such agency before July 1, 1989.
(j) No Treasurer who authorizes, negotiates or renegotiates a contract for investment services valued at an amount of fifty thousand dollars or more shall negotiate for, seek or accept employment with a party to the contract prior to one year after the end of the Treasurer's term of office within which such contract for investment services was authorized, negotiated or renegotiated by such Treasurer.
(P.A. 83-586, S. 6, 14; P.A. 86-250, S. 3, 4; P.A. 87-9, S. 2, 3; P.A. 88-22, S. 1; 88-225, S. 5, 14; Nov. Sp. Sess. P.A. 94-1, S. 1, 2; P.A. 95-144, S. 10, 11; 95-195, S. 6, 83; 95-257, S. 39, 58; P.A. 96-156, S. 5; June 18 Sp. Sess. P.A. 97-6, S. 13, 14; June Sp. Sess. P.A. 98-1, S. 80, 121; P.A. 00-43, S. 15, 19; 00-66, S. 3.)
History: P.A. 83-586, S. 6, effective January 7, 1987; P.A. 86-250 added Subsec. (e) permitting adoption of regulations to implement provisions of Subsec. (c) prior to January 7, 1987; (Revisor's note: Pursuant to P.A. 87-9, "banking department" was changed editorially by the Revisors to "department of banking"); P.A. 88-22 substituted in Subsec. (c) the office of consumer counsel for the division of consumer counsel; P.A. 88-225 applied provisions of Subsec. (b) to quasi-public agency public officials and state employees, inserted new Subsec. (e) re employment prohibition for certain members and directors of quasi-public agencies, relettered former Subsec. (e) as Subsec. (f)

and added Subsec. (g) providing that Subsecs. (a), (b) and (d) shall not apply to any quasi-public agency employee leaving agency before July 1, 1989; Nov. Sp. Sess. P.A. 94-1 amended Subsec. (b) to exempt from the prohibition of this subsection attorneys who are former employees of the division of criminal justice, "with respect to any representation of a criminal defendant in a matter under the jurisdiction of a court", effective December 13, 1994; P.A. 95-144 amended Subsec. (b) by applying exception from its provisions for attorneys to any representation in a court matter, instead of to any representation "of a criminal defendant" in a court matter, effective July 1, 1995; P.A. 95-195 amended Subsec. (b) to substitute Department of Consumer Protection for Department of Liquor Control, effective July 1, 1995; P.A. 95-257 amended Subsec. (c) to replace Commission on Hospitals and Health Care with Office of Health Care Access, effective July 1, 1995; P.A. 96-156 inserted Subdiv. and Subpara. designations in Subsec. (d) and applied its provisions to persons participating in the approval of a payroll deduction slot; June 18 Sp. Sess. P.A. 97-6 amended Subsec. (c) to add the Department of Public Safety, inserted new Subsec. (d) re applicability of Subsec. (e) and inserted new Subsec. (e) to prohibit certain public officials and state employees from employment with entities engaged in Indian gaming operations and to prohibit such employment for a period of two years after leaving certain state agencies, relettering prior Subsecs. accordingly, effective July 1, 1997; June Sp. Sess. P.A. 98-1 amended Subsec. (f) by substituting "3-123g" for "3-123", effective June 24, 1998; P.A. 00-43 added Subsec. (j) re Treasurer's employment with parties to certain investment services contracts, effective May 3, 2000; P.A. 00-66 changed a subsection reference in Subsec. (d).

Sec. 1-85. (Formerly Sec. 1-68). Interest in conflict with discharge of duties. A public official, including an elected state official, or state employee has an interest which is in substantial conflict with the proper discharge of his duties or employment in the public interest and of his responsibilities as prescribed in the laws of this state, if he has reason to believe or expect that he, his spouse, a dependent child, or a business with which he is associated will derive a direct monetary gain or suffer a direct monetary loss, as the case may be, by reason of his official activity. A public official, including an elected state official, or state employee does not have an interest which is in substantial conflict with the proper discharge of his duties in the public interest and of his responsibilities as prescribed by the laws of this state, if any benefit or detriment accrues to him, his spouse, a dependent child, or a business with which he, his spouse or such dependent child is associated as a member of a profession, occupation or group to no greater extent than any other member of such profession, occupation or group. A public official, including an elected state official or state employee who has a substantial conflict may not take official action on the matter.
(1971, P.A. 822, S. 3; P.A. 77-600, S. 7, 15; P.A. 84-546, S. 142, 173; P.A. 89-97, S. 5, 7.)
History: P.A. 77-600 changed "person subject to this chapter" to "public official or state employee"; in 1979 Sec. 1- 68 transferred to Sec. 1-85; P.A. 84-546 made technical change; P.A. 89-97 amended section to specify applicability to elected state officials, state employees, their spouses and dependent children and businesses with which they are associated and to prohibit an official or employee who has substantial conflict from taking official action on the matter.
Cited. 229 C. 479, 494.

Sec. 1-86. Procedure when discharge of duty affects official's or state employee's financial interests. Lobbyists prohibited from accepting employment with General Assembly and General Assembly members forbidden to be lobbyists. (a) Any public official or state employee, other than an elected state official, who, in the discharge of his official duties, would be required to take an action that would affect a financial interest of himself, his spouse, parent, brother, sister, child or the spouse of a child or a business with which he is associated, other than an interest of a de minimis nature, an interest that is not distinct from that of a substantial segment of the general public or an interest in substantial conflict with the performance of official duties as defined in section 1-85 has a potential conflict of interest. Under such circumstances, he shall, if he is a member of a state regulatory agency, either excuse himself from the matter or prepare a written statement signed under penalty of false statement describing the matter requiring action and the nature of the potential conflict and explaining why despite the potential conflict, he is able to vote and otherwise participate fairly, objectively and in the public interest. He shall deliver a copy of the statement to the commission and enter a copy of the statement in the journal or minutes of the agency. If he is not a member of a state regulatory agency, he shall, in the case of either a substantial or potential conflict, prepare a written statement signed under penalty of false statement describing the matter requiring action and the nature of the conflict and deliver a copy of the statement to his immediate superior, if any,

who shall assign the matter to another employee, or if he has no immediate superior, he shall take such steps as the commission shall prescribe or advise.
(b) No elected state official shall be affected by subsection (a) of this section.
(c) No person required to register with the State Ethics Commission under section 1-94 shall accept employment with the General Assembly or with any member of the General Assembly in connection with legislative action, as defined in section 1-91. No member of the General Assembly shall be a lobbyist.
(P.A. 77-600, S. 8, 15; 77-604, S. 67, 84; P.A. 81-53, S. 1, 3; 81-472, S. 114, 159; P.A. 83-249, S. 8, 14; 83-586, S. 7, 14; P.A. 85-369; P.A. 89-97, S. 6, 7.)
History: P.A. 77-604 made technical changes; P.A. 81-53 amended this section to exempt public officials and state employees from compliance with its terms with respect to actions affecting a financial interest of theirs if such interest is not distinct from that of a substantial segment of the public where prior law provided an exemption only where the interest affected was the same as that of the public in general; P.A. 81-472 made technical correction; P.A. 83-249 made technical amendments; P.A. 83-586 eliminated requirement that official or employee refrain from action or decision in all instances in which a potential conflict exists; P.A. 85-369 added Subsec. (b) which prohibits persons required to register with the state ethics commission from accepting employment with the general assembly or a member thereof in connection with legislative action, and prohibits members of the general assembly from being lobbyists; P.A. 89-97 amended Subsec. (a) to limit applicability to public officials or state employees who are not elected state officials, to specify applicability in cases of both substantial and potential conflicts of interest and to rephrase provision re voluntary withdrawal from consideration of such matters, inserted new Subsec. (b) stating that Subsec. (a) does not apply to elected state officials, and relettered the former Subsec. (b) as Subsec. (c).

Secs. 1-86a to 1-86d. Reserved for future use.

Sec. 1-86e. Consultants and independent contractors. Prohibited activities. (a) No person hired by the state as a consultant or independent contractor shall:
(1) Use the authority provided to the person under the contract, or any confidential information acquired in the performance of the contract, to obtain financial gain for the person, an employee of the person or a member of the immediate family of any such person or employee;
(2) Accept another state contract which would impair the independent judgment of the person in the performance of the existing contract; or
(3) Accept anything of value based on an understanding that the actions of the person on behalf of the state would be influenced.
(b) No person shall give anything of value to a person hired by the state as a consultant or independent contractor based on an understanding that the actions of the consultant or independent contractor on behalf of the state would be influenced.
(June 12 Sp. Sess. P.A. 91-1, S. 7.)

Sec. 1-87. Aggrieved persons. Appeals. Any person aggrieved by any final decision of the commission, made pursuant to this part, may appeal such decision in accordance with the provisions of section 4-175 or section 4-183.
(P.A. 77-600, S. 9, 15; P.A. 83-586, S. 8, 14.)
History: P.A. 83-586 added reference to appeals under Sec. 4-175.

Sec. 1-88. Authority of commission after finding violation. (a) The commission, upon a finding made pursuant to section 1-82 that there has been a violation of any provision of this part, shall have the authority to order the violator to do any or all of the following: (1) Cease and desist the violation of this part; (2) file any report, statement or other information as required by this part; and (3) pay a civil penalty of not more than two thousand dollars for each violation of this part.
(b) Notwithstanding the provisions of subsection (a), the commission may, after a hearing conducted in accordance with sections 4-176e to 4-184, inclusive, upon the concurring vote of five of its members, impose a civil penalty not to exceed ten dollars per day upon any individual who fails to file any report, statement or other information as required by this part. Each distinct violation of this subsection shall be a separate offense and in case of a continued violation, each day thereof shall be deemed a separate offense. In no event shall the aggregate penalty imposed for such failure to file exceed two thousand dollars.

(c) The commission may also report its finding to the Chief State's Attorney for any action deemed necessary. The commission, upon a finding made pursuant to section 1-82 that a member or member-elect of the General Assembly has violated any provision of part I of chapter 10, shall notify the appropriate house of the General Assembly, in writing, of its finding and the basis for such finding.
(d) Any person who knowingly acts in his financial interest in violation of section 1-84, 1-85 or 1-86 or any person who knowingly receives a financial advantage resulting from a violation of any of said sections shall be liable for damages in the amount of such advantage. If the commission determines that any person may be so liable, it shall immediately inform the Attorney General of that possibility.
(e) Any employee or member of the commission who, in violation of this part, discloses information filed in accordance with subparagraph (B) or subparagraph (F) of subdivision (1) of subsection (b) of section 1-83, shall be dismissed, if an employee, or removed from the commission, if a member.
(P.A. 77-600, S. 10, 15; P.A. 79-493, S. 6, 9; P.A. 80-483, S. 3, 186; P.A. 81-53, S. 2, 3; P.A. 83-249, S. 9, 14; 83-493, S. 2, 5; 83-586, S. 9, 14; P.A. 84-21, S. 2, 5; 84-546, S. 143, 173; P.A. 88-139, S. 3; 88-317, S. 41, 107; P.A. 94-132, S. 4.)
History: P.A. 79-493 provided for civil penalty for failure to file required information; P.A. 80-483 made technical changes; P.A. 81-53 amended Subsec. (c) to require the commission to notify the general assembly of its findings and their basis in the event of a violation by a member of the general assembly; P.A. 83-249 amended Subsec. (b) to require concurring vote of five members; P.A. 83-493 added Subsec. (d) creating liability for damages on the part of any person who knowingly acts in his pecuniary interest in violation of certain code provisions or knowingly receives a pecuniary advantage resulting from a violation of those sections; P.A. 83-586 added Subsec. (e) establishing penalties for disclosure of confidential information contained in financial statements; P.A. 84-21 changed "pecuniary" interest to "financial" interest and made technical changes in Subsecs. (d) and (e); P.A. 84-546 made technical change in Subsec. (a); P.A. 88-139 made technical change in Subsec. (e); P.A. 88-317 substituted "4-176e" for "4-177" in Subsec. (b), effective July 1, 1989, and applicable to all agency proceedings commencing on or after that date; P.A. 94-132 amended Subsecs. (a) and (b) by changing maximum penalty from one thousand to two thousand dollars.
Cited. 229 C. 479, 494.

Sec. 1-89. Violations; penalties. Disciplinary powers of the legislature, agencies and commissions. Civil action for damages. (a) Any person who intentionally violates any provision of this part shall be imprisoned for a term not to exceed one year or shall be fined an amount not to exceed two thousand dollars, or both, provided no person may be found guilty of a violation of subsection (f) or (g) of section 1-84 and bribery or bribe receiving under section 53a-147 or 53a-148 upon the same incident, but such person may be charged and prosecuted for all or any of such offenses upon the same information.
(b) The penalties prescribed in this part shall not limit the power of either house of the legislature to discipline its own members or impeach a public official, and shall not limit the power of agencies or commissions to discipline their officials or employees.
(c) The Attorney General may bring a civil action against any person who may be liable for damages under the provisions of subsection (d) of section 1-88. In any such action, the Attorney General may, in the discretion of the court, recover additional damages in an amount not exceeding twice the amount of the actual damages.
(d) Any fines, penalties or damages paid, collected or recovered under section 1- 88 or this section for a violation of any provision of this part applying to the office of the Treasurer shall be deposited on a pro rata basis in any trust funds, as defined in section 3-13c, affected by such violation.
(P.A. 77-600, S. 11, 15; 77-604, S. 69, 84; 77-605, S. 12, 21; P.A. 83-493, S. 3, 5; P.A. 94-132, S. 5; P.A. 00-43, S. 8, 19.)
History: P.A. 77-604 made technical changes; P.A. 77-605 repealed specific provisions regarding penalties for false swearing for obtaining financial gain through prohibited acts; P.A. 83-493 added Subsec. (c) allowing attorney general to bring a civil action against persons liable under Subsec. (d) of Sec. 1-88 and, in the discretion of the court, to recover double damages; P.A. 94-132 amended Subsec. (a) by changing maximum fine from one thousand to two thousand dollars; P.A. 00-43 added Subsec. (d) re penalties for violations involving Treasurer's office, effective May 3, 2000.
Cited. 229 C. 479, 494.

Sec. 1-89a. Conferences on ethical issues. (a) In each odd-numbered calendar year, the State Ethics Commission, the Connecticut Humanities Council and the Joint Committee on Legislative Management shall conduct a conference on ethical issues affecting members of the General Assembly and lobbyists.
(b) In each even-numbered calendar year, the State Ethics Commission shall conduct a conference on ethical issues affecting executive branch and quasi-public agency public officials and state employees.
(June 12 Sp. Sess. P.A. 91-1, S. 21.)

Sec. 1-90. Commission to review oath of office for members of General Assembly. Section 1-90 is repealed.
(P.A. 77-600, S. 12, 15; P.A. 82-472, S. 182, 183.)

Office of the Attorney General

Assistant Attorney General 1 & 2

Application Package

An Affirmative Action/Equal Opportunity Employer

PLEASE READ PRIOR TO COMPLETING APPLICATION

GENERAL INSTRUCTIONS:

1. **This application package may only be used to apply for the position of Assistant Attorney General 1 and/or Assistant Attorney General 2. Please contact the Department of Administrative Services for application forms for other positions.**
2. **Type or print (in black ink) all information on pages 1 – 4.**
3. **Give complete and accurate information about your training and experiences as it relates to the minimum requirements. Leaves of absence in excess of one (1) month during a year should not be claimed as work experience.**
4. **Write your social security number on each page.**
5. **Keep this page for your records**
6. **Bring or send your application and any attached documents to the address below. Retain a copy of your application for your records.**
7. **Any future correspondence regarding this application should include your social security number and exam title.**

OFFICE OF THE ATTORNEY GENERAL
55 ELM STREET
P. O. BOX 120
HARTFORD, CT 06141-0120

Please submit all required documents.

Incomplete portfolios will <u>not</u> be processed.

In accordance with the Federal Immigration and Control At of 1986, newly hired employees must furnish proof of eligibility for employment in the United States. Newly hired employees serve at least a six (6) month probationary period.

INSTRUCTIONS TO CANDIDATES

Candidates meeting the minimum requirements for the positions of Assistant Attorney General 1 and/or Assistant Attorney General 2 will be eligible for appointment for a period of two (2) years. The information you provide in the application portfolio will be used in matching your qualifications with job opportunities as they arise.

ENTRANCE REQUIREMENTS

Assistant Attorney General 1:
If you have received or are a candidate to receive a law degree from an accredited school of law within the nine (9) months, you are eligible for consideration for the Assistant Attorney General 1 classification. A special requirement exists in that candidates must be admitted to the practice of law in Connecticut within one (1) year of the date of appointment. Candidates must meet the minimum eligibility requirements by the date of appointment.

Assistant Attorney General 2
If you have three years of experience in the practice of law and/or as an Assistant Attorney General 1, you are eligible for consideration for the Assistant Attorney General 2 classification. Admittance to practice law in the State of Connecticut is a necessity; however, admission on motion will be considered. You must be admitted to practice law the State of Connecticut on the date of appointment. This classification is limited to lawyers possessing a specific or specialized knowledge and/or expertise in areas for which recruitment is sought.

APPLICATION PROCEDURE

In order to be considered for employment, please complete and submit an **original and one copy** of each of the following documents to:

Office of the Attorney General
P. O. Box 120
Hartford, CT 06141-0120
ATTN.: Personnel

1. **Application for Employment**
2. **Biographical Supplement**
3. **Current Resume**
4. **A transcript of grades received from the law school from which you graduated or will graduate. (A certified copy is not required)**
5. **Acknowledgement of Receipt of State Ethics Code for Public Officials and State Employees**

Please submit all required documents.

Incomplete portfolios will not be processed.

(CONTINUED ON REVERSE SIDE)

The Reference Supplements found in your application portfolio should be sent directly to the individuals providing you with a reference. Upon completion, the forms should be returned to:

Office of the Attorney General
P. O. Box 120
Hartford, CT 06141-0120
ATTN.: Personnel

Note:

- **Evaluation of your qualifications cannot be made unless all of the information requested, including both reference supplements, is completed and received. An incomplete portfolio will not be considered.**
- **Please be sure to include your name and social security number on all of the forms contained in the portfolio especially the reference supplements and your transcript.**

FINAL SELECTION:

The information you provide, i.e. Biographical and Reference Supplements, resume and law school transcript, will be used by the Office of the Attorney General to evaluate your application and to match your qualifications with particular vacancies as they arise.

It will be to your advantage to complete and return the entire portfolio of information to the address noted as soon as possible. Evaluation of your qualifications cannot be made unless all of the information requested is completed and received. An incomplete portfolio will not be considered.

REAPPLYING

The application portfolios of candidates meeting the class requirements will be placed on file for a period of two (2) years. If you wish to be considered for a position after the two years have expired, you need only complete and submit a new Application for Employment. Please indicate "REAPPLICATION" at the top of the application form, and submit the original plus one copy to the Office of the Attorney General. If your original application has been expired for more than one year, you must resubmit the entire application packet again.

If you have any questions relating to this process, you may contact the Office of the Attorney General by phone at (860) 808-5323.

Agency Organization

The office is composed of sixteen departments, organized primarily according to the common areas of interest of the client agencies represented. The following is a listing and description of the departments.

Dept. #1 - Antitrust – 55 Elm Street

This department administers and enforces the **Connecticut Antitrust Act** as well as major provisions of the federal antitrust laws. Utilizing these statutes the Department investigates and prosecutes antitrust actions on behalf of consumers, businesses and governmental units. In certain instances these actions involve coordination with similar enforcement agencies from other states, the Federal Trade Commission and the Antitrust Division of the United States Department of Justice. In its efforts to enhance effective competition policy the Department initiates or provides counsel on legislation and related regulatory issues. It also advocates for meaningful competition in various administrative proceedings including those concerning energy, financial markets, health care and transportation.

Dept. #2 - Child Protection - 110 Sherman Street

This department, with offices in Bridgeport, Hartford, New Haven and Waterbury, represents the **Department of Children & Families**. Department attorneys provide advice and assistance to DCF and its institutions, defending the agency in administrative appeals and in other matters before state and federal courts. This litigation typically involves petitions on behalf of neglected and abused children, the placement, treatment and care of neglected and mentally ill children and the licensing of private adoption agencies and treatment facilities.

Dept. #3 - Environment - 55 Elm Street

This department represents the **Department of Environmental Protection, the Connecticut Indian Affairs Council, and the Department of Agriculture**. On behalf of the Department of Environmental Protection (DEP), this department initiates and pursues litigation seeking civil penalties and injunctive relief to enforce anti-pollution and other environmental laws in areas including water pollution, handling and cleanup of hazardous waste, solid waste, air pollution, oil and chemical spills, pesticides, protection of coastal and inland wetlands, water diversion, and dam safety. The department also seeks court enforcement of administrative anti-pollution orders issued by DEP and defends administrative appeals of DEP decisions. It intervenes on behalf of DEP in numerous local inland wetland matters involving issues of statewide concern and assists the Commissioner of DEP in providing training for municipal inland wetlands commissions.
It sometimes represents the DEP staff in administrative proceedings before the agency. It represents the State in super fund cases. The department also defends DEP and the DOA and their employees in connection with all types of litigation, including personal injury claims involving state parks and forests. The department provides extensive legal advice and counseling to DEP on environmental matters and on Indian affairs and provides similar subject matter legal services to its other client agencies.

Dept. #4 – Finance - 55 Elm Street

This department represents the **Insurance Department, the Department of Banking, the Department of Public Utility Control, the Siting Council, the Office of Policy and Management, the Department of Economic and Community Development** and several smaller agencies. It is actively involved in litigation on behalf of its client agencies in both state and federal courts as well as administrative proceedings at the state and federal levels. The department's areas of practice are highly specialized. They include such areas as economic development, regulation of insurance companies, and health maintenance organizations, banking and securities regulation, consumer credit, regulation of public utilities including electric, gas, telephone, and water companies, as well as complex issues for the Office of Policy and Management including control of state property and funds, budget and appropriations and municipal auditing.

Dept. #5 - Child Support - 55 Elm Street

This department, with offices in Hartford and Bridgeport, provides necessary legal services on behalf of the **Bureau of Child Support Enforcement** (DSS), and **Support Enforcement Services** (Judicial Branch), under a cooperative agreement directed at satisfying Connecticut's requirements under the Child Support provisions of the Social Security Act and related State laws. Department staff process support petitions, institute paternity actions, handle divorce-related support issues and get involved in interstate support enforcement actions statewide.

Dept. #6 - Employment Rights - 55 Elm Street

This department represents all state agencies in various types of employment actions brought by state employees. Department attorneys defend and provide advice to state agencies in employment discrimination matters and employment matters involving constitutional rights such as the First Amendment, due process and equal protection. They are involved in litigation in both state and federal courts as well as administrative proceedings before state and federal agencies such as the Commission on Human Rights and Opportunities and the Equal Employment Opportunities Commission. The department also provides legal advice and counseling to state agencies on employment matters.

Dept. #7 - Public Safety / Special Revenue - 110 Sherman Street

This department represents the **Department of Correction, the Division of Special Revenue, the Department of Public Safety, the Commission on Fire Prevention and Control, the Board of Firearms Permit Examiners, the Consumer Protection Liquor Control Division, The Department of Military and Civil Preparedness and the Municipal Police Officer Standards and Training Council,** as well as numerous other state agencies associated with related aspects of Public Safety. Primarily, this department defends these agencies in lawsuits brought in state and federal court, often in cases presenting constitutional claims concerning the treatment of arrestees or sentenced prisoners. Additionally, this department renders formal and informal advice and assists in numerous administrative proceedings before the agencies.

Dept. #8 - Transportation, Public Works & Housing - 55 Elm Street

This department represents the **Departments of Transportation, Housing, Motor Vehicles, Administrative Services and Public Works**. It also provides legal services to the **State Traffic Commission, the Historical Commission and the Connecticut Hazardous Waste Management Service** and various licensing boards within the Department of Consumer Protection. In addition, the department assists various state agencies acquire land for certain public uses and defends the state in condemnation appeals. The legal responsibilities undertaken by this department include litigation in state and federal courts concerning construction contracts, property damage, evictions and a wide variety of injunctive actions. Additionally, this department provides day-to-day assistance and both formal and informal advice to its client agencies.

Dept #9 - Special Litigation / Public Charities - 55 Elm Street

This department represents the **Governor, the Judicial Branch, the Judicial Review Council, the General Assembly, the Secretary of the State, the Auditors of Public Accounts, the State Elections Enforcement Commission, the State Judicial Selection Commission, the Ethics Commission, the Office of the Child Advocate, the Properties Review Board, the Office of Protection and Advocacy for Persons with Disabilities, the Office of the Treasurer and the Office of the Comptroller** This department is primarily involved in sensitive or complex cases on behalf of any state agency at both the trial and appellate level and reviews appellate briefs filed by the office. Lastly, this department represents the public interest in charitable solicitations and the protection of gifts, legacies, trusts and bequests intended for charitable or public purposes. The department may participate in will contests, cy-pres proceedings and other litigation where charitable assets are threatened.

Dept. #10 - Collections / Revenue Enhancement - 55 Elm Street

This department represents **the Department of Administrative Services, Financial Services Center as well as certain collection activities of the Department of Social Services, the Labor Department, the Revenue Services Department, the John Dempsey Hospital, the Second Injury and Assurance Compensation Fund, the Secretary of the State, the Connecticut State University, the Department of Higher Education** and various other state agencies. The department's primary mission is to recover monies that are owed to the State of Connecticut and pursues this mission through a wide range of litigation.

Dept. #11 - Health & Human Services - 55 Elm Street

This department represents the state **Department of Public Health, Department of Mental Health & Addiction Services, Office of Health Care Access, Department of Veterans' Affairs, Psychiatric Security Review Board and the Department of Social Services.** On behalf of the Department of Health and its related health boards, this department provides legal services relating to the regulation of health care facilities, emergency medical services, preventable and infectious diseases, waste supply and medical quality assurance. As part of these functions, the department defends actions brought against the various health organizations and individuals and brings enforcement proceedings on behalf of these groups.

Dept. #12 - Education / Labor - 55 Elm Street

This department represents the **State Board and Department of Education, the Board of Governors for Higher Education and the Department of Higher Education, the University of Connecticut, University of Connecticut Health Center, Connecticut State University, the State Community Colleges, the State Library, the Commission on Deaf and Hearing Impaired, the Board of Education and Services for the Blind, the Commission on the Arts, the Department of Mental Retardation**, **Office of the Director of Personnel and Labor Relations, the Department of Labor, the Employment Security Board of Review, State Board of Mediation and Arbitration, the Claims Commissioner, the State Employees' Retirement Commission, the Teachers' Retirement Board, the Medical Examining Board, the Criminal Justice Commission, and the Employees Review Board.** Department attorneys provide advice and assistance to these agencies and defend the agencies in administrative appeals and before state and federal courts. The litigation typically involves school financing and desegregation, arbitration of teacher and administrator labor contracts, the placement, treatment and care of impaired persons and the rights and responsibilities of students and faculty at institutions of higher learning. Legal services provided by this department include advising the Director of Personnel on collective bargaining and civil service issues and defending the state in lawsuits and administrative proceedings involving employment. The department is also responsible for unemployment compensation appeals.

Dept. #13 - Workers Compensation - 55 Elm Street

This department represents the **Treasurer as the Custodian of the Second Injury Fund, the Workers' Compensation Commission and the Department of Administrative Services in its capacity as the administrator of the state employees' workers' compensation program**. The department staff represents the Second Injury Fund in cases involving potential liability of the Fund for workers' compensation benefits and the State of Connecticut in contested workers' compensation claims filed by state employees. The department's attorneys and paralegals also spend significant time on third party tort-feasor cases which result in the recovery of money for both the State and the Fund. Finally, the department attorneys handle a large number of appeals to the Compensation Review Board and on to the Appellate and Supreme Courts.

Dept. #14 - Consumer Protection - 110 Sherman Street

This Department represents **the Department of Consumer Protection**, rendering legal advice and defending the agency as necessary. The Department brings lawsuits at the request of the Commissioner of Consumer Protection, on behalf of the State of Connecticut, under the Connecticut Unfair Trade Practices Act concerning unfair and deceptive trade practices and unfair methods of competition, and also enforces federal consumer protection causes of action. In addition, the Department prosecutes home improvement fraud and on behalf of the Attorney General represents the interest of the State and its citizens before the Department of Public Utility Control. Finally, the Department, through a cadre of senior volunteers in its Consumer Assistance Unit, assists the public with an alternative dispute resolution program and a variety of consumer education initiatives, such as Consumer University and the Senior Hotline.

Dept. #15 - Health Care Fraud / Whistleblower - 55 Elm Street

This department has three major areas of responsibilities: (1) Health Care Fraud; (2) Whistleblower Complaints; and, (3) Health Insurance Advocacy.

In the area of **Health Care Fraud**, this department represents all state officers and agencies in connection with health care that is paid directly or indirectly by the State of Connecticut. These services range from investigation of complaints through litigation before any state or federal court.

In conjunction with the **Auditors of Public Accounts**, this department reviews and investigates all **Whistleblower Complaints** pursuant to Conn. Gen. Stat. § 4-61dd concerning "corruption, unethical practices, violation of state laws or

regulations, mismanagement, gross waste of funds, abuse of authority or danger to the public safety" occurring in any state department or agency, in any quasi-public agency or in any large state contract.
A **Health Insurance Advocacy Program** is also operated by this department, which is designed to benefit the citizens of the State. The department assists health care consumers obtain all health care coverage to which they are entitled. The department also investigates complaints concerning insurance companies, HMOs, and other entities that provide or administer health care. When necessary, the Department brings legal action in any state or federal court to stop illegal practices of such entities and protect the public interest.

Dept. #16 - CHRO / Torts - 55 Elm Street

This department represents the **Commission on Human Rights and Opportunities** (CHRO), and its members prosecute all cases of discrimination in housing, public accommodations, and credit practices which are referred by the CHRO. This department also represents various state agencies and officers in the defense of high exposure personal injury cases.

ASSISTANT ATTORNEY GENERAL 1

CLASS /COMPETITIVE **S.G. MP 59**
CLASS CODE: 7816 **B.U. 02**
Effective Date: AUGUST 1, 1992 **Salary Range: $59,793 - $76,697**

PURPOSE OF CLASS:
In the office of the Attorney General, this class is accountable for performing entry level to working level legal research and legal work of the Office, including assisting in preparation and representation of the State in cases and assisting in providing legal advice and services to agencies, department, boards and commissions.

GUIDELINES FOR CLASS USE:
New Assistant Attorneys General 1 receive training in and perform with increasing independence routine legal work of the Office with emphasis on legal research, the review and analysis of legal documents, and the preparation of simple cases and clear cut issues for which there is a clear precedent. At a more advanced level, this class is also used for legal representation in simple or moderate complex matters. Over time, Assistant Attorneys General 1 may assist in or personally handle cases of moderate complexity and may exercise independent judgment, although at this level most work is reviewed. This is an entry level class which leads to full working professional level with increased experience and knowledge.

SUPERVISION RECEIVED:
Initially works under close supervision of an employee of higher grade; works more independently with acquired experience.

SUPERVISION EXERCISED:
May lead employees of a lesser grade.

EXAMPLES OF DUTIES:
As a legal practitioner, performs legal research; assists in performing and eventually independently performs routine and moderately complex legal work including preparing, analyzing and reviewing the opinions, regulations and contracts affecting the State of Connecticut; prepares and represents the State in routine and moderately complex legal matters before administrative bodies and lower courts; assists in preparing and representing the State in more difficult cases before State agencies and courts; may assist in preparing and representing the State in appeals; may act independently in these areas as assigned; performs related duties as required.

MINIMUM QUALIFICATIONS REQUIRED
KNOWLEDGE, SKILL AND ABILITY:
Considerable knowledge of basic law and legal process, legal principles and practice, administrative law, constitutional law, rules of process; considerable interpersonal skills; considerable ability in oral and written communications; ability to analyze legal problems.

EXPERIENCE AND TRAINING:
General experience:
A degree from an accredited law school.

SPECIAL REQUIREMENT:
Must be admitted to practice law in the State of Connecticut within one (1) year of the date of appointment.

CAREER PROGRESSION:
The next higher class in this career series is Assistant Attorney General 2.

ASSISTANT ATTORNEY GENERAL 2

CLASSIFIED/COMPETITIVE **S.G. MP 65**
CLASS CODE: 0400 **B.U. 02**
Effective Date October 1, 1987 **Salary Range: $77,131 – $98,929**

PURPOSE OF CLASS:

In the office of the Attorney General, this class is accountable for independently performing a full range of tasks in legal work of the Office, including preparation and representation of the State in cases and/or departments, boards and providing legal advice and services to agency commissions.

GUIDELINES FOR CLASS USE:

Assistant Attorneys General 2 perform full professional working level legal work of the Office. They provide legal counsel and services to an agency or a group of boards and commissions. They prepare and represent the State in cases before administrative hearings, state agencies and courts. They may negotiate settlements, carry out appeals, or assist on highly technical or specialized cases. At this level they may develop a depth of knowledge in a specialty area such as tax, child support or Medicare reimbursements. Incumbents may conduct complex cases with the advice and counsel of higher level attorneys. Complex cases may be defined as obscure points of law, no clear precedent, cases of first impression, or cases likely to lead to appeal. The complexity of case preparation is related but. not limited to extensive research, numbers of witnesses involved, variety of evidence to be gathered, the level of the court, or the type of proceeding.

SUPERVISION RECEIVED:

Receives general to limited supervision of an employee of higher grade.

SUPERVISION EXERCISED:

May lead employees of same or lesser grade.

EXAMPLES OF DUTIES:

As a legal practitioner performs legal research and the legal work of the office, including preparing, analyzing, and reviewing the opinions, regulations, and contracts affecting the State of Connecticut; prepares and represents the State in cases of varying degrees of difficulty and complexity before State agencies and courts; provides legal counsel for State agencies, departments, boards and commissions with a wide range or a heavy caseload of legal problems; performs related duties as required.

MINIMUM QUALIFICATIONS REQUIRED
KNOWLEDGE, SKILL AND ABILITY:

Considerable knowledge of basic law and legal process, legal principles and practice, administrative law, constitutional law, rules of process, and the statutory authority of the Attorney General; knowledge of the rules of statutory construction; knowledge of the rights and obligations of State agencies; considerable - litigation and legal counseling skills; considerable oral and written communication skills; considerable interpersonal skills; considerable ability to analyze legal problems, present statements of fact, law and argument; ability to review and/or draft proposed contracts, regulations and legislation.

EXPERIENCE AND TRAINING:

General Experience:

Three (3) years' experience in the practice of law.

Substitution allowed :

Three (3) years' experience as an Assistant Attorney General 1.

SPECIAL REQUIREMENT:

Must be admitted to practice law in the State of Connecticut.

Application for Examination or Employment

State of Connecticut
Office of the Attorney General

INSTRUCTIONS: Type or print answers to all questions.
MAIL APPLICATION TO: Office of the Attorney General, P. O. Box 120, Hartford, CT 06141-0120

DO NOT WRITE in shaded area	APP	DIS	BY	REV	Reason for Disapproval 1. Lack of Gen. Exp. 3. Lack of Sp. Exp. 2. Length of Gen. Exp. 4. Length of Sp. Exp. 5. Other _____	AE Date	SUBJECT TO:
						IDEN #:	EXDT:

EXAM TITLE	EXAM TITLE

SOCIAL SECURITY NUMBER _____

NAME (Last)	(First)	(MI)	SUFFIX (JR., DR.)

ADDRESS (Number and Street)

CITY	STATE	ZIP CODE (Last 4 digits are optional)

AREA CODE HOME PHONE NUMBER	AREA CODE BUSINESS PHONE NUMBER	EXTENSION

May we call you at work? ☐ Yes ☐ No	Driver's License	If you are 17 years old or younger, enter your age ☐ Yes ☐ No

What kind of position are you applying for? ☐ Full Time ☐ Part Time ☐ Either	Are you currently employed by the State of Connecticut? ☐ Yes ☐ No

IF STATE EMPLOYEE, GIVE YOUR OFFICIAL CLASS TITLE	IS THIS A FULL-TIME POSITION? ☐ Yes ☐ No	MAJOR DEPT.	BUREAU, DIVISION OR AGENCY WITHIN DEPT.

EDUCATION: Have you graduated from High School or received a High School equivalency diploma? ☐ Yes ☐ No

If No, circle highest grade completed: 1 2 3 4 5 6 7 8 9 10 11 12

SCHOOL	NAME	ADDRESS	DATES ATTENDED FROM	TO	CREDIT HOURS COMPLETED	TYPE OF DEGREE RECEIVED	MAJOR COURSE OF STUDY	DID YOU GRADUATE?
TECHNICAL OR BUSINESS								
COLLEGE OR UNIVERSITY								
OTHER EDUCATION								

OTHER LICENSES OR CERTIFICATES REQUIRED FOR THIS POSITION (E.G. medical, nursing, engineering)

KIND(S)	ISSUED BY	DATE ISSUED	EXPIRATION DATE	NO.

Do you speak, read or write a language other than English? ☐ Yes (specify language)	(This information is voluntary unless required by the exam announcement.)

SOCIAL SECURITY NUMBER: _____

INSTRUCTIONS

Beginning with your **PRESENT OR MOST RECENT** employment or volunteer experience and **working backward**, list all positions held **which are necessary for determining your eligibility for employment as stated on the exam announcement.** List all positions (titles) separately, even if with the same employer. Clearly describe the work (duties) you personally performed. If additional space is required, attach an 8 1/2" x 11" sheet, **using the same format and include your social security and exam number**. Continue the number sequence for additional jobs listed. **You must fill out this application completely even if a resume is being attached.**

Official Job title (Start with most recent job)		Company Name		Type of Business
Title of Immediate Supervisor	Dept. Where Assigned		Business Address/Phone No.	
Employed From: (Mo.) (Yr.)	To: (Mo.) (Yr.)	Total (Yrs. Mos.)	Salary or Wage $ Per	Hours Per Week (Full-time) (Part-time)
No. and Titles of Employees Supervised by You			Reason for Leaving	
DUTIES (must be listed)				
Official Job title		Company Name		Type of Business
Title of Immediate Supervisor	Dept. Where Assigned		Business Address/Phone No.	
Employed From: (Mo.) (Yr.)	To: (Mo.) (Yr.)	Total (Yrs. Mos.)	Salary or Wage $ Per	Hours Per Week (Full-time) (Part-time)
No. and Titles of Employees Supervised by You			Reason for Leaving	
DUTIES (must be listed)				
Official Job title		Company Name		Type of Business
Title of Immediate Supervisor	Dept. Where Assigned		Business Address/Phone No.	
Employed From: (Mo.) (Yr.)	To: (Mo.) (Yr.)	Total (Yrs. Mos.)	Salary or Wage $ Per	Hours Per Week (Full-time) (Part-time)
No. and Titles of Employees Supervised by You			Reason for Leaving	
DUTIES (must be listed)				

CERTIFICATION: I certify that the statements made by me on this application are true and complete to the best of my knowledge and are made in good faith. I understand that if I knowingly make any misstatement of fact, I am subject to disqualification and dismissal and to such other penalties as may be prescribed by law or personnel regulations. All statements made on this application, including employment information, are subject to verification as a condition of employment.

SIGNED: _____ DATE: _____

APPLICANT DATA

SOCIAL SECURITY NUMBER: _____ Assistant Attorney General 1 / 2

CONTACT: May we contact your present employer? ☐ Yes ☐ No

CRIMINAL CONVICTIONS: Answers to the following question will be considered for examination/employment purposes if relevant to the position/exam for which you are applying.

Have you ever been CONVICTED of an offense against criminal or military law, or are there criminal charges currently pending against you? (Exclude minor traffic violations or any offense settled in juvenile court or under a youth offender law.)

☐ Yes ☐ No

If, "YES", please attach a detailed explanation about the nature of the conviction, degree of rehabilitation and time since release.

Special Note: You are **not** required to disclose the existence of any arrest, criminal charge or conviction, the records of which have been erased pursuant to Connecticut General Statutes § 46b-146, 54-76o, or 54-142a. If your criminal records have been erased pursuant to one of these statutes, you may swear under oath that you have never been arrested. Criminal records that may be erased are records pertaining to a finding of delinquency or that a child was a member of a family with service needs (C.G.S. § 46b-146), an adjudication as a youthful offender (C.G.S. § 54-76o), a criminal charge that has been dismissed or nolled, a criminal charge for which the person has been found not guilty or a conviction for which the person received an absolute pardon (C.G.S. § 54-142a).

VETERAN'S PREFERENCE: Any veteran who served in the armed forces of the United States (i.e., United States Army, Navy, Marine Corps, Coast Guard and Air Force) during time of war and was honorably discharged from, or released under honorable conditions from active service may be eligible for Veterans' credit. Time of war periods include: 12/7/41 to 12/31/47; 6/27/50 to 1/31/55; 12/22/61 to 7/1/75; 9/29/82 to 3/30/84; 10/25/83 to 12/15/83; 2/1/87 to 7/23/87; 12/20/89 to 1/31/90; and 8/2/90 to 6/30/94; and shall also include active duty for service in the demilitarized zone in South Korea after 2/1/55, in Somalia after 12/2/92, and in Bosnia after 12/20/95.

Do you claim Veteran's Preference (5 points)? If yes, check one of the following.

☐ A. As a veteran (as defined above) who is not eligible for disability compensation or pension from the United States through the Veterans' Administration.

☐ B. As a spouse of such a veteran who is not eligible for disability compensation or pension from the United States through the Veterans' Administration and, who by reason of such veteran's disability is unable to pursue gainful employment.

☐ C. As an unmarried surviving spouse of such a veteran who is not eligible for disability compensation or pension from the United States through the Veterans' Administration.

You may also be eligible for Veteran's Preference (5 points), if

☐ You have been honorably discharged or released under honorable conditions from active service in the armed forces of the United States, and have served in a military action for which you received or were entitled to receive a campaign badge or expeditionary medal.

Do you claim Disabled Veteran's Preference (10 points)? If yes, check one of the following.

☐ A. As a disabled veteran (as defined above) who is eligible for disability compensation or pension from the United States through the Veterans' Administration.

☐ B. As a spouse of a disabled veteran who is eligible for disability compensation or pension from the United States through the Veterans' Administration, and who is unable to pursue gainful employment due to the veteran's disability.

☐ C. As an unmarried surviving spouse of a disabled Veteran who is eligible for disability compensation or pension from the United States through the Veterans' Administration.

IMPORTANT: Proof of right to Veteran's Preference (DD214) and other relevant information must be submitted to DAS/Human Resources, Room G1, 165 Capitol Avenue, Hartford, CT 06106-1630 - (Fax 860-713-7470 or 860-713-7469), if not already on file.

☐ Proof previously submitted. ☐ Proof attached to this application.

Note: Veterans' points are only added after a candidate passes an open competitive examination. (C.G.S. 5-224).

SOCIAL SECURITY NUMBER: _____

EMPLOYMENT DISTRICTS

Check the box(es) for **ONLY** the district(s) in which you will accept employment. Indicate your choice of location preference(s) in the left hand column by checking the appropriate box(es) where you are willing to work. Not all jobs are used in all locations. Names will be certified by location only at the request of the appointing authority. Location preferences may be changed by submitting a written request to DAS/Human Resources.

A. ☐ All Locations

B. ☐ Greenwich, Stamford, New Canaan, Darien

C. ☐ Norwalk, Wilton, Weston, Westport

D. ☐ Fairfield, Easton, Monroe, Trumbull, Shelton, Stratford

E. ☐ Bridgeport

F. ☐ Redding, Ridgefield, Danbury, Bethel, Newton, Brookfield, New Fairfield, Bridgewater, Sherman, New Milford, Roxbury, Washington, Kent, Warren

G. ☐ Morris, Litchfield, Harwinton, New Hartford, Torrington, Goshen, Cornwall, Sharon, Salisbury, Canaan, North Canaan, Norfolk, Colebrook, Winchester, Hartland, Barkhamsted

H. ☐ Thomaston, Bethlehem, Watertown, Woodbury, Southbury, Middlebury, Beacon Falls, Naugatuck, Prospect, Waterbury, Wolcott, Cheshire

I. ☐ Oxford, Seymour, Ansonia, Derby

J. ☐ West Haven, Orange, Woodbridge, Bethany, Hamden, North Haven, East Haven

K. ☐ New Haven

L. ☐ Meriden

M. ☐ Plymouth, Bristol, Burlington

N. ☐ Berlin, Southington, Plainville, New Britain

O. ☐ Avon, Farmington, West Hartford

P. ☐ East Hartford, Manchester

Q. ☐ Hartford

R. ☐ Granby, Canton, Simsbury, Suffield, East Granby, Windsor Locks, Windsor, Bloomfield, East Windsor, South Windsor Ellington, Vernon, Tolland, Stafford, Willington

S. ☐ Enfield, Somers

T. ☐ Newington, Wethersfield, Rocky Hill

U. ☐ Union, Ashford, Mansfield, Chaplin, Hampton, Windham, Scotland, Lebanon

V. ☐ Cromwell, Portland, Middletown, Middlefield, Durham, East Hampton, Haddam, East Haddam, Chester, Essex, Killingworth, Deep River, Westbrook, Old Saybrook

W. ☐ Lyme, Old Lyme, East Lyme, Salem, Montville, Waterford, New London, Ledyard, Groton, Stonington North Stonington

X. ☐ Bozrah, Franklin, Norwich, Sprague, Lisbon, Preston, Griswold, Voluntown

Y. ☐ Woodstock, Thompson, Putnam, Pomfret, Eastford, Brooklyn, Canterbury, Plainfield, Sterling, Killingly

Z. ☐ Glastonbury, Marlborough, Colchester, Hebron, Columbia, Andover, Bolton, Coventry

APPLICANT DATA

SOCIAL SECURITY NUMBER: _____

Voluntary:

In order to meet State and Federal reporting requirements, we are requesting that you voluntarily supply the following information. This data will not be considered in the evaluation of your application.

A. **SEX:** ☐ **Female** ☐ **Male**

B. **RACE/ETHNIC DATA**

☐ 1. BLACK (not of Hispanic Origin): Persons having origins in any of the black racial groups of Africa.

☐ 2. HISPANIC: Persons of Mexican, Puerto Rican, Central or South American or other Spanish culture or origin, regardless of race.

☐ 3. WHITE (not of Hispanic Origin): Persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.

☐ 4. AMERICAN INDIAN OR ALASKAN NATIVE: Persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.

☐ 5. ASIAN OR PACIFIC ISLANDER: Persons having origins in any of the original peoples of the Far East, Southeast Asia the Indian Subcontinent or the Pacific Islands. This area includes, for example, China, Japan, Korea, the Philippine Islands, and Samoa.

C. **PRIMARY SOURCE OF JOB INFORMATION: Where did you learn about this examination or employment opportunity? Check the appropriate box(es) below:**

☐ 1. State of Connecticut Internet site.

☐ 2. Newspaper, professional journal, radio or TV advertisement.

☐ 3. Posting.

☐ 4. Direct e-mail or paper mailing.

☐ 5. Present state employee.

☐ 6. Career fair.

☐ 7. Other: Please specify: _____

BIOGRAPHICAL SUPPLEMENT
Assistant Attorney General 1/ Assistant Attorney General 2

Name _____ Social Security No. _____

TYPE OR PRINT ANSWERS TO ALL QUESTIONS

LAW SCHOOL CLASS RANK
Please indicate your class rank by checking the highest level that applies. Fill in class size and date of class rank.

Top 10%	_____	Top 60%	_____
Top 20%	_____	Top 70%	_____
Top 30%	_____	Top 80%	_____
Top 40%	_____	Top 90%	_____
Top 50%	_____	Lowest 10%	_____

Class Size _____ Class rank as of _____

SPECIAL RECOGNITION

UNDERGRADUATE: Have you received any undergraduate academic honors or awards (such as summa, magna, cum laude, etc.)?

Yes _____ No _____ Specify _____

GRADUATE: have you received any graduate academic honors or awards?

Yes _____ No _____ Specify _____

LAW SCHOOL: Have you received any law school academic honors or awards (such as Law Review, Book Awards, Moot Court Competition Awards, Order of the COIF, etc.)?

Yes _____ No _____ Specify _____

OTHER RECOGNITION: (Community service, Employment awards, etc.)

Yes _____ No _____ Specify _____

SCHOLARSHIPS

Have you ever received a scholarship based on academic achievement?

Yes _____ No _____ Specify _____

BAR ADMISSION

Are you admitted to practice in Connecticut? Yes _____ No _____ Date Admitted _____

If no, state when you plan to complete the exam: _____

Are you admitted to practice before the courts of any other state? Yes ____ No ____ Date admitted _____

If yes, which court(s)? _____

Are you admitted to practice before any Federal courts? Yes _____ No _____ Date Admitted _____

If yes, which court(s) _____

Have you ever been reprimanded, suspended, disbarred or otherwise disciplined or are there any charges or complaints pending against you as an attorney? Yes _____ No _____

If yes, please specify: _____

AREAS OF INTEREST

In the space provided, indicate in which department of the Attorney General's Office you would be most interested in working. (See attached description), List them in order of preference. List the letter of the department only.

Choice 1 _____
Choice 2 _____
Choice 3 _____
Choice 4 _____

A. Anti-trust
B. Child Protection
C. Environment
D. Finance & Public Utilities
E. Child Support
F. Employment Rights
G. Public Safety
H. Transportation, Public Works and Housing
I. Special Litigation
J. Collections & Revenue Enhancement
K. Health & Human Services
L. Education/Labor
M. Workers' Compensation
N. Consumer Protection
O. Health Care Fraud
P. CHRO/Torts

In what area(s) of law do you have a specialty or interest? _____

REFERENCES

List two (2) references. At least one (1) must be from the legal field

1) _____
Name Title Phone #

_____
Company/School Address

2) _____
Name Title Phone #

_____
Company/School Address

I certify that the statements made by me on this form are COMPLETE and TRUE to the best of my knowledge and belief and are made in good faith. I understand that if I knowingly make any misstatement of fact, I am subject to disqualification or dismissal and to such other penalties as may be prescribed by law or personnel regulations.

_____ _____
Signature Date

Office of the Attorney General
REFERENCE SUPPLEMENT
ASSISTANT ATTORNEY GENERAL 1 / ASSISTANT ATTORNEY GENERAL 2

Applicant Name _____ Social Security No. _____

The Connecticut Office of the Attorney General is interested in your candid comments on the person named above, who has applied for a legal position in our office. This reference form is an important aspect of our evaluation of candidates. Please explain how you know the candidate and consider the following areas in your appraisal of the candidate.

- Communication Skills (Oral or Written)
- Analytical Ability/Judgment
- Interpersonal Skills
- Initiative
- Attitude and Motivation
- Reliability and Dependability
- Integrity

Any other comments you feel are appropriate will be appreciated. Please use the other side of this page if necessary. Because we cannot consider an incomplete application, you are encouraged to return the completed reference within two (2) weeks to:

Office of the Attorney General
55 Elm Street, Seventh Floor
P. O. Box 120
Hartford, CT 06141-0120

This will assure that the candidate is given early consideration by this office. Thank you for your assistance.

Signature Date

Name of Reference Title Phone

Company or School Address

Office of the Attorney General
REFERENCE SUPPLEMENT
ASSISTANT ATTORNEY GENERAL 1 / ASSISTANT ATTORNEY GENERAL 2

Applicant Name _____ Social Security No. _____

The Connecticut Office of the Attorney General is interested in your candid comments on the person named above, who has applied for a legal position in our office. This reference form is an important aspect of our evaluation of candidates. Please explain how you know the candidate and consider the following areas in your appraisal of the candidate.

- Communication Skills (Oral or Written)
- Analytical Ability/Judgment
- Interpersonal Skills
- Initiative
- Attitude and Motivation
- Reliability and Dependability
- Integrity

Any other comments you feel are appropriate will be appreciated. Please use the other side of this page if necessary. Because we cannot consider an incomplete application, you are encouraged to return the completed reference within two (2) weeks to:

Office of the Attorney General
55 Elm Street, Seventh Floor
P. O. Box 120
Hartford, CT 06141-0120

This will assure that the candidate is given early consideration by this office. Thank you for your assistance.

Signature Date

Name of Reference Title Phone

Company or School Address