

# Minutes September 27, 2007

The Citizen's Ethics Advisory Board of the Office of State Ethics held its regular meeting on Thursday, September 27, 2007, at 1:00 p.m. in Conference Room 2-A, 2<sup>nd</sup> floor, 18-20 Trinity Street, Hartford, CT 06106.

Chairperson Patricia Hendel called the meeting to order at 1:03 p.m.

The following members of the Citizen's Ethics Advisory Board attended:

- Patricia T. Hendel, Chairperson
- Robert Worgaftik, Vice Chairperson
- Rebecca Doty, Board Member
- Enid Oresman, Board Member
- Dennis Riley, Board Member
- Michael Rion, Board Member
- Scott A. Storms, Board Member
- Sister Sally J. Tolles, Board Member

Board member Jaclyn Bernstein was absent.

The following staff members of the Office of State Ethics attended for all or portions of the meeting:

- Barbara Housen, General Counsel
- TJ Jones, Ethics Enforcement Officer
- Cynthia Isales, Assistant General Counsel
- Peter Lewandowski, Assistant General Counsel
- Brian O'Dowd, Assistant General Counsel
- Iris E. D'Oleo-Edwin, Paralegal/Clerk
- George Edelman

Ms. Beverly Hodgson was also present at this meeting.

The following topics were discussed during the meeting:

**1. Chairperson Hendel entertained a motion to have the agenda item No. 11, "Closed Session (not open to the public). Personnel Search Committee discussion pursuant to Conn. Gen. Stat. §§ 1-200 (2) and (7)" moved to the top of the agenda. The vote was unanimous with all eight (8) Board members in favor. The Board then moved into closed session.**

The Board reconvened the public meeting at 1:20 p.m.

**2. Board Member Storms entertained a motion to add an item to the agenda to appoint Ms. Beverly Hodgson as the Interim Executive Director of the Office of State Ethics. The vote was unanimous with all eight (8) Board members in favor.**

**3. Chairperson Hendel entertained a motion to appoint Ms. Beverly Hodgson as the Interim Executive Director of the Office of State Ethics, effective October 1, 2007. The vote was unanimous with all eight (8) Board members in favor of the appointment.**

4. Minutes of the August 23, 2007 meeting were presented to the Board for approval. Some discussion ensued to correct errors in the August 23, 2007 minutes, as follows:

a. On page 3 of the minutes, first paragraph should read: The Board requested that the Legal Division review, evaluate and present proposals to the Board regarding the Statement of Financial Interests form in preparation for the upcoming 2008 legislative session.

b. On page 3 of the minutes, under OSE Policy Manual, the paragraph should read: "Executive Director Bycel presented the Board with a draft of a proposed policy manual for consideration."

c. On page 4 of the minutes, first sentence, should read: "The OSE has requested that the Attorney General remove the OSE and the CEAB as a party from the lawsuit since neither existed at the time of the lawsuit."

**4. Chairperson Hendel entertained a motion for approval of the minutes of August 23, 2007, as corrected. The vote was unanimous with all eight (8) Board members in favor of approving the minutes as corrected.**

Board member Enid Oresman requested that the advisory opinions be identified by title instead of numbers.

5. Minutes for the September 6, 2007 Subcommittee meeting were presented to the Board for approval. Changes to the minutes were requested to reflect, in paragraph 6 of the minutes, that a discussion took place as to what changes were necessary in the "proposed" regulations. **Chairperson Hendel entertained a motion to approve the minutes of the September 6, 2007 subcommittee meeting. The vote was seven (7) to one (1). Board member Storms abstained.**

6. Minutes of September 11, 2007 CEAB meeting were presented to the Board for approval. Due to several inaccuracies, the Board requested that the tape be reviewed and a redraft of the minutes be presented at the next Board meeting.

7. Chairperson Patricia Hendel presented an oral report regarding the outstanding human resources and business office issues.

8. Attorney T.J. Jones, Ethics Enforcement Officer, presented the Enforcement Division's report.

a. Attorney Jones informed the board about lobbyist compliance issues and the hearings scheduled for October 5, 2007.

b. Attorney Jones discussed six (6) audits. Board member Dennis Riley raised concerns about the audits for Marshall Collins LLC and his “repeated” alleged disregard to file timely and accurate reports. Further discussion ensued regarding the imposition of penalties. **A motion to accept the findings of the Enforcement Audits for DePino Associates, LLP, Jackson, O’Keefe and Phelan, Property Casualty Insurers Association of America, and Sullivan & Leshane, Inc. was entertained. The vote was unanimous with all eight (8) Board members in favor. A motion to accept the findings of the audit for Marshall Collins, LLC was approved six (6) to two (2) in favor with Board member Rebecca Doty and Dennis Riley voting against. A motion to accept the findings of the audit for Milford Chamber of Commerce was approved seven (7) to one (1) in favor, with Board member Dennis Riley voting against.**

c. Attorney Jones presented the Board with a chart identifying 14 delinquent client lobbyists. He requested that an item be added to the agenda to authorize the Enforcement Officer to receive settlement checks from these late filers.

**9. A motion was entertained to add an item to the agenda to authorize the Office of State Ethics to receive the settlement checks proposed by the Enforcement Division. The vote was unanimous in favor of adding an item to the agenda to authorize the Enforcement Officer to receive the settlement checks.**

**10. A motion was entertained to authorize the Enforcement Officer or the Office of State Ethics to accept any remaining settlement checks from late filers in an amount equal to the maximum allowed by law, and to report back to the Board on the status of these files. The vote was approved by the eight (8) members of the Board.**

**11. Chairperson Patricia Hendel entertained a motion to appoint Sister Sally J. Tolles as the hearing officer for the upcoming hearing on October 5, 2007. The vote was 7 to 1 in favor. Sister Sally J. Tolles abstained.**

12. General Counsel Barbara Housen presented her oral report based on the written report presented to the Board.

The Board took a brief recess at 2:45 p.m. and resumed at 2:55 p.m.

13. Chairperson Hendel thanked the entire CEAB for the time she served with the Board.

14. Assistant General Counsel Brian O’Dowd presented the Board with a draft advisory opinion on Discounts on Dues and Seminar Fees Made Available to All Government Employees by Non-Restricted Donors. **Board member Robert Worgaftik recused himself** and left the room. **Chairperson Hendel entertained a motion to approve the advisory opinion. The vote was approved by the seven (7) members present in the room.**

**15. Chairperson Hendel entertained a motion to elect a new Chairperson and Vice-Chairperson, effective October 1, 2007. Board member Storms proposed Robert Worgaftik as the new Chairperson. The vote was in favor seven (7) to zero (1). Board member Worgaftik abstained. A motion to propose Enid Oresman as the next Vice-Chairperson was presented. The vote was in favor seven (7) to zero (0). Board member Oresman abstained.**

The Board meeting adjourned at 3:07 p.m.

Respectfully submitted,

Iris E. D'Oleo-Edwin  
Clerk, Citizen's Ethics Advisory Board

Approved: \_\_\_\_\_