

**CITIZEN’S ETHICS ADVISORY BOARD  
OF THE OFFICE OF STATE ETHICS  
18-20 Trinity Street, Hartford, CT 06106-1660**

**MINUTES OF THE MEETING OF SEPTEMBER 20, 2012**

The Citizen’s Ethics Advisory Board (“Board”) of the Office of State Ethics (“OSE”) held a Regular Meeting on Thursday, September 20, 2012, in the 5<sup>th</sup> Floor Conference Room, 18-20 Trinity Street, Hartford, CT 06106.

Chairman David Gay called the meeting to order at 1:00 p.m.

The following members of the Board were present:

- David Gay, Chairman
- Charles Chiusano, Vice-Chairman
- Mary Bigelow, member
- Thomas Dooley, Member
- Herbert A. Grant, Member
- Susan Gruen, Member
- Roger L. Kemp, Member
- Dennis J. Riley, Member
- Daniel Young, Member

The following staff members of the OSE were present:

- Carol Carson, Executive Director
- Barbara Housen, General Counsel
- Thomas K. Jones, Ethics Enforcement Officer
- Brian O’Dowd, Deputy General Counsel
- Cynthia Isales, Assistant General Counsel
- Marc W. Crayton, Assistant Enforcement Officer
- Mark E. Wasielewski, Assistant Enforcement Officer
- Peter Lewandowski, Assistant General Counsel
- Iris E. D’Oleo-Edwin, Clerk of the Board

The following topics were addressed during the meeting:

1. The minutes of the August 16, 2012 Regular Meeting were presented to the Board for approval.

**On the motion of Mr. Dooley, seconded by Mr. Chiusano, the Board voted nine (9) to zero (0) to approve the minutes of August 16, 2012.**

2. The Board deliberated in the Matter of a Complaint Against John Tricarico, Docket No. 2011-69.

**On the Motion of Ms. Gruen, seconded by Mr. Kemp, and based on the evidence presented at the Board hearing of September 20, the Board found unanimously that the Respondent, John Tricarico, violated General Statutes § 1-86e (a) (1) as alleged in the complaint filed by the Enforcement Division.**

**On the Motion of Mr. Chiusano, seconded by Mr. Grant, the Board voted unanimously to impose a civil penalty on the Respondent, John Tricarico, in the amount of \$10,000 for his violation of General Statutes § 1-86e (a) (1).**

The Board requested that General Counsel Housen draft proposed findings in the Matter of a Complaint Against John Tricarico, Docket No. 2011-69, for the Board's consideration.

3. Deputy General Counsel O'Dowd presented a Petition for Advisory Opinion from Scott Murphy, Special Counsel to Connecticut Innovations, Inc.

**On the motion of Mr. Dooley, seconded by Mr. Chiusano, the Board voted nine (9) to zero (0) to grant the Petition for Advisory Opinion from Scott Murphy.**

4. Deputy General Counsel O'Dowd presented Draft Advisory Opinion 2012-10, in connection with the Petition from Scott Murphy.

Mr. Murphy addressed the Board regarding his petition for Advisory Opinion.

**On the motion of Mr. Kemp, seconded by Mr. Dooley, the Board voted eight (8) to one (1), to adopt Advisory Opinion No. 2012-10. Mr. Riley voted against.**

5. Ethics Enforcement Officer Jones presented a memorandum discussing the Process for Collecting Penalties by the Enforcement Division. He answered questions and addressed comments regarding the memorandum.
6. Assistant General Counsel Isales presented an update on the effort to amend the agency's Regulations. She indicated that the Legislative Regulation Review Committee approved three of the four proposals submitted by the OSE. She recommended against going forward with the submission of the fourth proposal at this time.

Ms. Carson addressed the Board regarding the proposals.

7. Assistant General Counsel Lewandowski presented Legislative Proposals that the staff recommends be pursued during the 2013 legislative session.

Ms. Carson addressed comments and questions from the Board regarding the Legislative Proposals.

8. Ms. Carson presented the OSE's draft Strategic Plan. The Board discussed the draft.

9. Chairman Gay presented the Chairman's report. On behalf of the Board and the staff, Chairman Gay bestowed upon Mr. Dooley a small gift and words of appreciation, for his tenure as a Chairman and member of the CEAB. Mr. Dooley's term expires on September 30, 2012.
10. Chairman Gay provided an opportunity for discussion of new business. There was no new business.
11. General Counsel Housen presented the Legal Division Report.
12. Ethics Enforcement Officer Jones presented the Enforcement Division Report. He updated the Board on developments since the August Enforcement Report, and in particular, with regard to two upcoming probable cause hearings and one UAPA hearing.
13. Board member Chiusano volunteered to preside over the UAPA hearing scheduled for Thursday, October 11, 2012.
14. Ethics Enforcement Officer Jones presented the audit report for Connecticut Benefit Brokers.

**On the motion of Mr. Kemp, seconded by Mr. Grant, the Board voted nine (9) to zero (0) to approve the audit report for Connecticut Benefit Brokers.**

15. Chairman Gay provided an opportunity for public comments. There were no public comments.
16. Ms. Carson presented the Executive Director's Report. She reported on a) the yearly Report to the Chairman regarding the state of the Office; b) the upcoming Board vacancies; and c) the OSE's audit conducted by the Auditor's of Public Accounts.
17. **On the motion of Mr. Chiusano, seconded by Mr. Grant, the Board voted nine (9) to zero (0) to move into Closed Session to discuss status of matters that are confidential pursuant to General Statutes §§ 1- 82a and 1-93a.**

The following individuals attended the Closed Session:

- David Gay, Chairman
- Charles Chiusano, Vice-Chairman
- Mary Bigelow, Member
- Thomas Dooley, Member
- Herbert A. Grant, Member
- Susan Gruen, Member
- Roger L. Kemp, Member
- Dennis Riley, Member
- Daniel Young, Member
- Carol Carson, Executive Director
- Barbara Housen, General Counsel

- Thomas Jones, Ethics Enforcement Officer
- Iris E. D'Oleo-Edwin, Clerk of the Board

18. **On the motion of Mr. Grant, seconded by Mr. Dooley, the Board voted nine (9) to zero (0) to come out of Closed Session.**

Mr. Riley left the meeting.

19. **On the motion of Mr. Kemp, seconded by Mr. Dooley, the Board voted eight (8) to zero (0) to move into Executive Session to discuss strategy and negotiations with respect to pending claims.**

20. **On the motion of Mr. Grant, seconded by Mr. Kemp, the Board voted eight (8) to zero (0) to come out of Executive Session.**

21. **On the motion of Mr. Chiusano, seconded by Ms. Bigelow, the Board voted eight (8) to zero (0) to adjourn the meeting at 2:48 p.m.**

Respectfully submitted by,

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

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Date approved

(By the Citizen's Ethics Advisory Board of the Office of State Ethics)