



STATE OF CONNECTICUT

STATE ETHICS COMMISSION

March 10, 1997

P R E S S R E L E A S E

On February 27, 1997, acting on information received from an anonymous whistleblower, Ethics Commission Principal Attorney Brenda M. Bergeron filed Complaints against registered lobbyists James P. Sandler and The Meadows Music Theater alleging numerous violations of the Code of Ethics for Lobbyists. Specifically, the Complaints alleged that in 1995 and 1996, in large part through its lobbyist James Sandler, the Meadows provided approximately \$100,000 worth of food, drink and concert tickets to various state employees, public officials, their staff and immediate family members. State law requires registered lobbyists to report in the aggregate all expenditures in furtherance of lobbying, and to itemize each expenditure of \$10 or more for the benefit of a public official, or a member of his or her staff or immediate family. None of these expenditures were reported.

The Complaints also allege that in 1995 and 1996, as part of this \$100,000 in unreported expenditures, the Meadows, through its lobbyist Mr. Sandler, gave in excess of \$10,000 in illegal gifts of concert seating to various state employees, public officials and members of their staffs and/or immediate families. State law prohibits registered lobbyists from giving gifts worth a combined total of \$50.00 or more in a year to any such individual.

On March 10, 1997, the Ethics Commission and the Respondents James P. Sandler and the Meadows Music Theater each settled these matters by entering into a Stipulation and Order. Under the settlements, the Commission found that the Respondents violated the Code of Ethics as alleged, the Meadows Music Theater agreed to pay a \$150,000 civil penalty and James P. Sandler agreed to pay a \$100,000 civil penalty.

Copies of the Complaints and the Stipulations and Orders are attached.

FOR MORE INFORMATION CALL:

Alan S. Plofsky
Executive Director and General Counsel
or
Brenda M. Bergeron
Ethics Commission Principal Attorney
566-4472

Multi-Page Separator Sheet

SEP SHEET

SEP SHEET

SEP SHEET

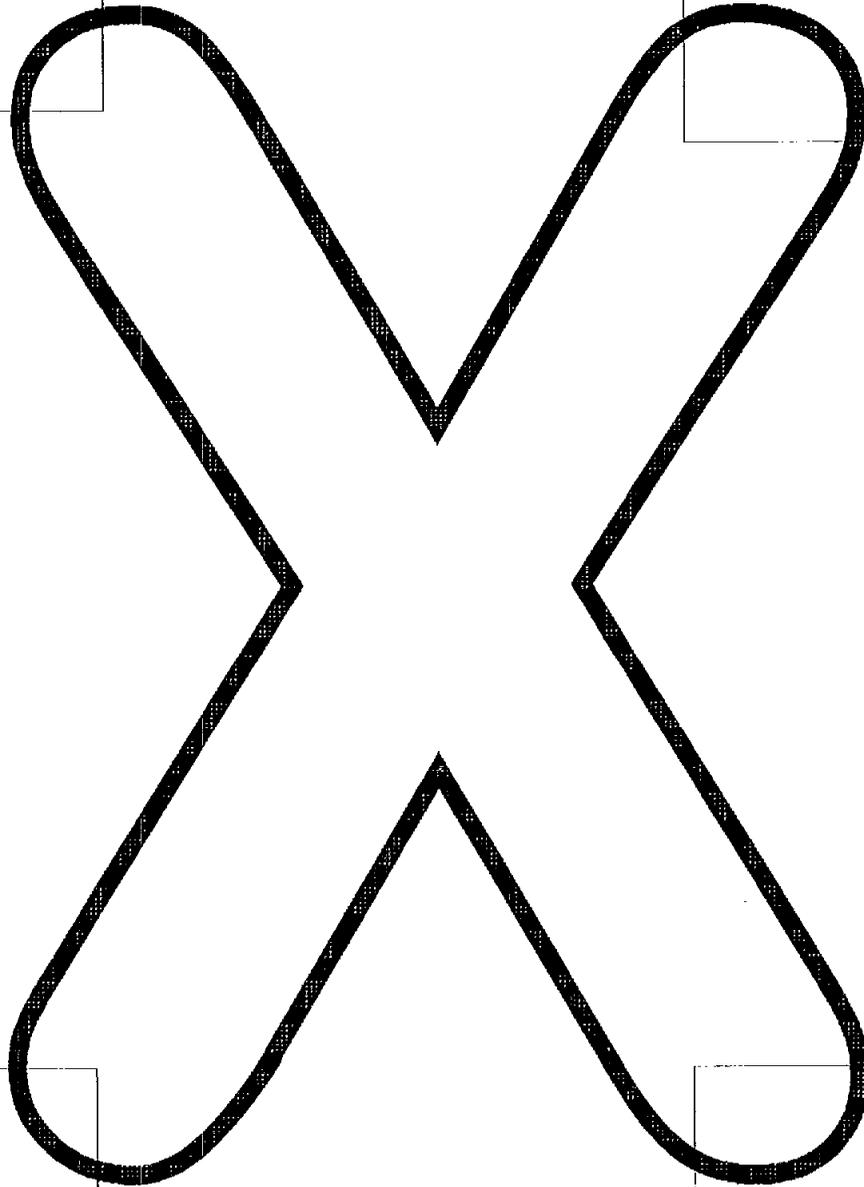
NOTE: This separator page has been inserted to designate the beginning of a group of pages originally attached or grouped by staple, paper clip, folder, etc. This page is not part of the original document.

SEP SHEET

SEP SHEET

SEP SHEET

pagesep



pagesep

pagesep

SEP SHEET

SEP SHEET

SEP SHEET

SEP SHEET

SEP SHEET

SEP SHEET

pagesep

pagesep sheet



STATE OF CONNECTICUT
STATE ETHICS COMMISSION

DOCKET NUMBER 97-2

STATE ETHICS COMMISSION

IN THE MATTER OF A

20 TRINITY STREET

COMPLAINT AGAINST

HARTFORD, CT 06106

JAMES P. SANDLER

MARCH 7, 1997

STIPULATION AND ORDER

Pursuant to Conn. Gen. Stat. §4-177(c), the State Ethics Commission and the Respondent, James P. Sandler, agree to settle this matter in the manner described below:

1. The Commission finds that the Respondent violated the Code of Ethics for Lobbyists in the manner alleged in the attached Complaint, dated February 26, 1997. The Commission further finds that the Respondent's actions as described in said Complaint demonstrate a reckless disregard for the Code of Ethics for Lobbyists.

2. The Respondent denies the allegations contained in the Complaint, but does not contest the findings and has agreed to settle the Complaint as provided herein in the interest of, among other things, avoiding the costs of contesting same.

3. The Respondent waives any rights he may have under Conn. Gen. Stat. §§1-93, 1-93a, 1-98 and 1-80, including the right to a hearing or appeal in this case, and agrees with the Commission to an informal disposition of this matter as authorized by Conn. Gen. Stat. §4-177(c).

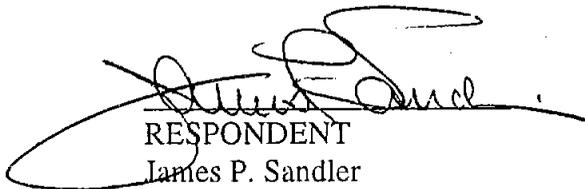
4. The Respondent further agrees to cooperate fully with the Ethics Commission in connection with any other matter arising from the events described in the Complaint.

WHEREFORE, the State Ethics Commission enters, and James P. Sandler agrees to, the following orders in lieu of any other action it is authorized to take with regard to this Complaint:

1. The Respondent is ordered to pay a civil penalty of \$100,000, payable in twenty monthly installments of \$5000.00. The first installment is due within thirty days of the date of this Stipulation and Order.

2. The Commission further orders, and the Respondent agrees to allow the Ethics Commission staff to review any and all records relevant to lobbying and/or to activities in furtherance of lobbying, for a period of three years from the dated of the acceptance of this Stipulation and Order by the Commission. Such review may take place without prior notice, at the Respondent's office.

3. The Commission further orders, and the Respondent agrees, to comply with the state Codes of Ethics.


RESPONDENT
James P. Sandler

March 7, 1997
DATED


STATE ETHICS COMMISSION
BY ITS CHAIRPERSON
Maurice FitzMaurice

3/7/97
DATED

JPSst



STATE OF CONNECTICUT
STATE ETHICS COMMISSION

CONFIDENTIAL

DOCKET NUMBER 97-2

STATE ETHICS COMMISSION

IN THE MATTER OF A

20 TRINITY STREET

COMPLAINT AGAINST

HARTFORD, CT 06106

JAMES P. SANDLER

FEBRUARY 26, 1997

COMPLAINT

COUNT ONE

1. At all times relevant to this Complaint, James P. Sandler ("Respondent") was a lobbyist, as that term is defined in Conn. Gen. Stat. §1-91(l) and a registrant, as that term is defined in Conn. Gen. Stat. §1-91(q).
2. Pursuant to Conn. Gen. Stat. §1-97(a), no registrant or anyone acting on behalf of a registrant shall give to any state employee, public official, or a member of his or her staff or immediate family any gift or gifts that amount to fifty dollars or more in value in the aggregate in any calendar year.
3. At all times relevant to this Complaint, the Respondent was registered to lobby for the client registrant Meadows Music Theater ("Meadows").
4. On dozens of occasions in 1995 and 1996, the Respondent provided concert seating at the Meadows in excess of the fifty dollar limit to various state employees, public officials and/or members of their staff or immediate families. In distributing these gifts, the Respondent acted at times on his own behalf and at times on behalf of the Meadows. The fair market value of this seating exceeds \$10,000.
5. On information and belief, other illegal gifts of Meadows concert seating were given to reportable individuals during 1995 and 1996. These gifts cannot be calculated at this time, as a result of the Respondent's failure to keep proper records.
6. Each and every illegal gift is a violation of Conn. Gen. Stat. §1-97.

(2)

COUNT TWO

7. Paragraph 1 of Count One is hereby incorporated as Paragraph 7 of Count Two.
8. Under Conn. Gen. Stat. §1-96a(a) and Regulations of Connecticut State Agencies §1-92-55, a registrant must maintain all documents necessary to substantiate the financial reports required to be filed under Conn. Gen. Stat. §§1-96(b) and 1-96(e), including substantiation of each expenditure for the benefit of a public official of ten dollars or more. The registrant must preserve for three years from the date of the report all documents which will provide in sufficient detail the necessary information from which the financial reports may be verified, explained, clarified and checked for accuracy and completeness.
9. On hundreds of occasions in 1995 and 1996, the Respondent failed to keep proper records regarding his distribution of complementary Meadows concert tickets and Meadows concert tickets purchased by the Respondent and distributed to others, thereby failing to maintain the documents necessary to substantiate his and the Meadows' expenditures for the benefit of public officials, and to verify his and the Meadows' failure to report such expenditures.
10. Each and every failure to keep a proper record violates Conn. Gen. Stat. §1-96a.

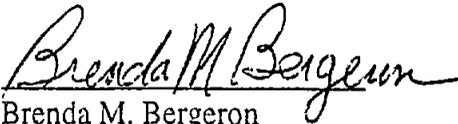
COUNT THREE

11. Paragraph 1 of Count One is hereby incorporated as Paragraph 11 of Count Three.
12. Under Conn. Gen. Stat. §1-96(b), the Respondent is required to file periodic financial reports, signed under penalty of false statement, reporting accurately his unreimbursed expenditures of ten dollars or more per person for the benefit of a public official in the legislative or executive branch, or a member of his or her staff or immediate family.
13. On information and belief, on numerous occasions in 1995 and 1996, the Respondent purchased tickets to various events at the Meadows and distributed them to reportable individuals gratis or without full payment. The Respondent systematically failed to report any such expenditures.

000499

(3)

14. Each and every failure to file a financial report which accurately reflected these expenditures constitutes a violation of Conn. Gen. Stat. §1-96(b).


Brenda M. Bergeron
Ethics Commission

2/27/97
Dated

JPScom

000500