



FEB 09 2016
OFFICE OF STATE ETHICS
BY _____

OFFICE OF STATE ETHICS

DOCKET NUMBER 2015-15 :
IN THE MATTER OF A : 18-20 TRINITY STREET
COMPLAINT AGAINST : HARTFORD, CT 06106
DENNIS KING : JANUARY 27, 2016

STIPULATION AND CONSENT ORDER

Pursuant to the Code of Ethics, General Statutes §§ 1-79, et seq., Thomas Jones, Ethics Enforcement Officer, filed a Complaint against the Respondent Dennis King (“King” or “Respondent”), alleging violations of the Code of Ethics, Connecticut General Statutes § 1-84b (b). Based on the investigation by the Enforcement Division of the OSE, the Office of State Ethics finds there is probable cause to believe that the Respondent violated the Code of Ethics as further set forth in herein.

The Parties have entered into this Stipulation and Consent Order following the issuance of the Complaint, but without any adjudication of any issue of fact or law herein.

I. STIPULATION

The Ethics Enforcement Officer and the Respondent stipulate to the following facts:

1. From on or about 2002 until on or about July 1, 2014, Respondent was employed as Manager of Community Advocacy with the State of Connecticut, Department of Transportation (“DOT”).

2. From on or about 2002 until on or about July 1, 2014, Respondent was a "State Employee" as that term is defined in General Statutes § 1-79 (13).

3. Following his departure from state service, but within one year of his departure from state service, Respondent was compensated by a private livery company located in Danbury ("Danbury Company"), to appear at a DOT hearing, on its behalf.

4. The purpose of the DOT hearing at which the Respondent appeared on behalf of the Danbury Company was to determine whether the Danbury Company was in violation of the requirement to have its vehicle inspected, and whether the Danbury Company was operating a vehicle that was not approved for the service authorized.

5. The state had, and has, a substantial interest in the enforcement of state statutes and regulations that govern livery service.

6. General Statutes §1-84b (b) states in pertinent part:

No former executive branch . . . 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.

7. The Respondent, by engaging in the acts set forth above, represented someone other than the state for compensation before the DOT within one year of his departure from state service, in a matter in which the state had a substantial interest, in violation of General Statutes §1-84b (b).

8. Respondent admits to the foregoing facts, and admits that these facts constitute a violation of the Code of Ethics, General Statutes §1-84b (b).

II. RESPONDENT'S POSITION

1. Respondent acknowledges that his conduct as outlined in the Stipulation violated the Code of Ethics, General Statutes §1-84b (b). Respondent states that the violation was unintentional because Respondent was under the mistaken impression that the type of activity he engaged in, which gave rise to the Complaint, was not a violation of the Code.

2. Respondent states that he did not realize any financial gain from the violation.

3. Respondent states that he cooperated fully with the investigation conducted by the Office of State Ethics.

III. JURISDICTION

1. The Ethics Enforcement Officer is authorized to investigate the Respondent's acts as set forth herein, and to enter into this Stipulation and Consent Order.

2. The provisions of this Stipulation and Consent Order apply to and are binding upon the Respondent.

3. The Respondent hereby waives all objections and defenses to the jurisdiction of the Ethics Enforcement Officer over matters addressed in this Stipulation and Consent Order.

4. The Respondent waives any rights he may have under General Statutes §§ 1-80, 1-82, 1-82a, 1-87 and 1-88, including the right to a hearing or appeal in this case, and agrees with the Ethics Enforcement Officer to an informal disposition of this matter as authorized by General Statutes § 4-177 (c).

5. The Respondent consents to jurisdiction and venue in the Connecticut Superior Court, Judicial District of Hartford, in the event that the State of Connecticut seeks to enforce this Stipulation and Consent Order. The Respondent recognizes that the Connecticut Superior

Court has the authority to specifically enforce the provisions of this Stipulation and Consent Order, including the authority to award equitable relief.

6. The terms set forth herein are in addition to, and not in lieu of, any other existing or future statutory, regulatory, or other legal obligation that may be applicable to the Respondent.

7. The Respondent understands that he has a right to counsel and has expressly and knowingly waived such right during the OSE's investigation and in connection with this Stipulation and Consent Order.

IV. ORDER

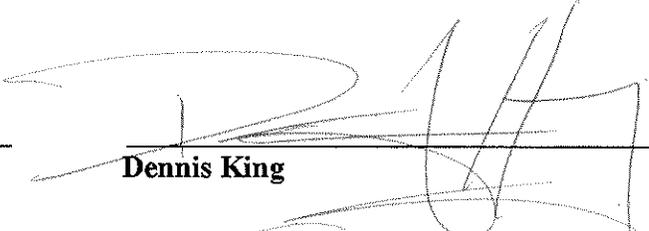
NOW THEREFORE, pursuant to General Statutes § 4-177 (c), the Office of State Ethics hereby **ORDERS**, and Respondent agrees, that:

1. Pursuant to General Statutes § 1-88 (a) (1), Respondent will cease and desist from any future violations of General Statutes § 1-84b (b).
2. Pursuant to General Statutes § 1-88 (a) (3), Respondent will pay a civil penalty to the State in the amount of One Thousand Five Hundred Dollars (\$1,500.00) for his violation of General Statutes § 1-84b (b) as set forth in the Complaint and herein.

WHEREFORE, the Ethics Enforcement Officer and the Respondent hereby execute this Stipulation and Consent Order dated January 27, 2016.

Dated: _____

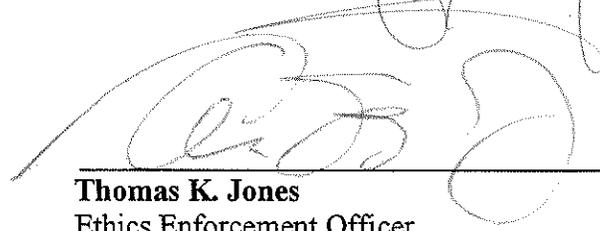
2-7-16



Dennis King

Dated: _____

2/9/16



Thomas K. Jones
Ethics Enforcement Officer
Connecticut Office of State Ethics
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Hartford, CT 06106
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