

STATE OF CONNECTICUT
AGENCY LEGISLATIVE PROPOSAL
2014 SESSION

Document Name 2014 AAC Municipal Ethics	
Agency Office of State Ethics	Agency Priority (See instructions) 1
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Title of Proposal AAC Municipal Ethics	Statutory Reference Proposal Type <input checked="" type="checkbox"/> New <input type="checkbox"/> Resubmittal
ATTACH COPY OF FULLY DRAFTED BILL (Required for review)	
APPROVAL OF OTHER AFFECTED AGENCY (Attach additional approvals if necessary)	
Agency N/A	Agency Contact (Name and Title) N/A
Attach Summary of Agency Comments	Contact Date N/A
Summary of Proposal (Include background information) To place municipal ethics and lobbying under the jurisdiction of the Office of State Ethics.	
Reason for Proposal (Include significant policy and programmatic impacts) <p>Section 1. Amends § 1-79 of the general statutes to include definitions of “municipal employee”, “municipality”, and “special district.” Also, the definition of “public official” under this section is amended to include persons elected or appointed to any office of a municipality, including special districts. Where applicable, other definitions within this section are amended to incorporate the newly defined terms.</p> <p>Section 2. Amends subsection (b) of § 1-80 to include municipal employees in the application of the provision.</p> <p>Section 3. Amends subsection (l) of § 1-80 to extend the revolving-door restriction imposed on members of the Citizen’s Ethics Advisory Board (“CEAB”) to municipal employment and service on municipal boards or commissions.</p> <p>Section 4. Amends subsection (a) of § 1-81 to expand the duties of the CEAB and the Office of State Ethics (“OSE”) to include annual ethics training for municipal employees.</p> <p>Section 5. Amends subsection (i) of § 1-81 to expand general counsel’s authority to include the oversight of annual ethics training for all municipal employees.</p> <p>Section 6. Amends § 1-81b, which directs the OSE to develop plain language summaries concerning ethics laws for contractors, to include municipal contracts and contractors.</p> <p>Section 7. Amends subsection (a) of § 1-83 of the general statutes to include elected officers of each</p>	

municipality, appointed members of the legislative body of each municipality, members of a municipal land use agency or commission, members and employees of any other municipal body or agency who exercise significant policymaking, regulatory or contractual authority, as filers of the Statement of Financial Interests.

Section 8. Amends § 1-84 of the general statutes to extend various prohibited activities to municipal employees and officials, including the prohibition on entering into contracts valued at one hundred dollars or more with the municipality in which the employee or official serves, unless the contract has been awarded through an open and public process.

Section 9. Amends § 1-84a of the general statutes to extend the prohibition of disclosing or using confidential information for financial gain to municipal employees and officials.

Section 10. Amends § 1-84b of the general statutes to extend the revolving-door restrictions to municipal employees and officials.

Sections 11. Amends § 1-84c of the general statutes to extend the provision regarding the donation of goods and services under § 1-79 (5) (E) to municipalities.

Sections 12. Amends § 1-85 of the general statutes to extend the substantial conflict of interests provision to municipal employees and officials.

Section 13. Amends § 1-86 of the general statutes to extend the potential conflict of interests provision to municipal employees and officials.

Section 14. Amends § 1-86d of the general statutes to extend the provision regarding the establishment and financial management of a legal defense fund to municipal employees and officials.

Section 15. Amends subsection (b) of § 1-89 of the general statutes, which concerns the authority of the state legislature to discipline its own members or impeach a public official or the authority of agencies or commissions to discipline their officials or employees, by extending its application to municipalities.

Section 16. Amends § 1-91 of the general statutes to include definitions of “municipal employee”, “municipality”, and “special district.” Also, the definition of “public official” under this section is amended to include persons elected or appointed to any office of a municipality, including special districts. The terms “administrative action”, “legislative action”, “lobbying”, “lobbyist”, and “communicator lobbyist” are amended to include municipal lobbying activities. Where applicable, other definitions within this section are amended to incorporate the newly defined terms.

Section 17. Amends § 1-95 of the general statutes to require registrants who engage in municipal lobbying to identify on their lobbyist registrations areas of legislative or administrative action on which they expect to lobby, including the names of municipalities and, where applicable, solicitations for municipal contracts and procurements.

Section 18. Amends § 1-96 of the general statutes to extend lobbyist financial reporting to activities involving municipal lobbying.

Section 19. Amends § 1-96e of the general statutes to extend the reporting of necessary expenses provided by registered lobbyist to include municipal employees and officials.

Section 20. Amends § 1-97 of the general statutes to extend gift-giving prohibitions to municipal employees and officials. This section is also amended to extend the issuance of written reports to municipal officials and employees when such employees and officials receive anything of value which is subject to lobbyist financial reporting under § 1-96 (e) of the general statutes.

Section 21. Amends § 1-101a of the general statutes to extend the prohibition on seeking or accepting

employment as a lobbyist to municipal employees or officials who are convicted of or plead guilty or nolo contendere to a crime related to municipal office.

Section 22. Amends subdivision (10) of subsection (c) of § 7-148 of the general statutes to repeal the authority of municipalities to adopt a local code of conduct because municipalities

Section 23. Repeals § 7-148h of the general statutes which permits municipalities to establish local ethics boards and imposes certain conflict of interest restrictions on elected municipal official in those municipalities that have established local ethics boards or commissions. Since the jurisdiction of the Office of State Ethics would extend to municipalities, the provisions of this section are not necessary.

Significant Fiscal Impacts

Municipal:	Potential Cost Savings
Federal:	None
State:	Cost Increases Likely

AN ACT CONCERNING MUNICIPAL ETHICS.

Be it enacted by the Senate and House of Representatives in General Assembly convened:

Section 1. Section 1-79 of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

The following terms, when used in this part, have the following meanings unless the context otherwise requires:

(1) "Blind trust" means a trust established by a public official or state or municipal employee or member of his or her immediate family for the purpose of divestiture of all control and knowledge of assets.

(2) "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 or municipal employee or member of his or her 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 or municipal employee, or member of his or her 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 or municipal employee or member of his or her 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.

(3) "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 does not include a candidate for the office of senator or representative in Congress.

(4) "Board" means the Citizen's Ethics Advisory Board established in section 1-80.

(5) "Gift" means anything of value, which is directly and personally received, unless consideration of equal or greater value is given in return. "Gift" does not include:

(A) 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 9-601a;

(B) Services provided by persons volunteering their time, if provided to aid or promote the success or defeat of any political party, any candidate or candidates

for public office or the position of convention delegate or town committee member or any referendum question;

(C) A commercially reasonable loan made on terms not more favorable than loans made in the ordinary course of business;

(D) A gift received from (i) an individual's spouse, fiance or fiancée, (ii) the parent, brother or sister of such spouse or such individual, or (iii) the child of such individual or the spouse of such child;

(E) Goods or services (i) that are provided to a state agency [or], quasi-public agency or municipality (I) for use on state or quasi-public agency or municipal property, or (II) that support an event or the participation by a public official or state or municipal employee at an event, and (ii) that facilitate state or quasi-public agency or municipal action or functions. As used in this subparagraph, "state property" means property owned by the state or a quasi-public agency or property leased to a state agency or quasi-public agency;

(F) A certificate, plaque or other ceremonial award costing less than one hundred dollars;

(G) A rebate, discount or promotional item available to the general public;

(H) Printed or recorded informational material germane to state or municipal action or functions;

(I) 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;

(J) 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, (i) a reception hosted by a lobbyist who is an individual shall be deemed to have also been hosted by the business organization which such lobbyist owns or is employed by, and (ii) 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;

(K) 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, (i) a reception hosted by a lobbyist who is an individual shall be deemed to have also been hosted by the business organization which such lobbyist owns or is employed by, and (ii) 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 subparagraph, "region of the state" means the established geographic service area of the organization hosting the reception;

(L) A gift, including, but not limited to, food or beverage or both, provided by an individual for the celebration of a major life event, provided any such gift provided by an individual who is not a member of the family of the recipient does not exceed one thousand dollars in value;

(M) 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;

(N) 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 or municipal employee participates in his or her official capacity, provided such admission is provided by the primary sponsoring entity;

(O) Anything of value provided by an employer of (i) a public official, (ii) a state or municipal employee, or (iii) a spouse of a public official or state or municipal employee, to such official, employee or spouse, provided such benefits are customarily and ordinarily provided to others in similar circumstances;

(P) 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 does not exceed fifty dollars;

(Q) Training that is provided by a vendor for a product purchased by a state or quasi-public agency or municipality that is offered to all customers of such vendor; or

(R) Travel expenses, lodging, food, beverage and other benefits customarily provided by a prospective employer, when provided to a student at a public institution of higher education whose employment is derived from such student's status as a student at such institution, in connection with bona fide employment discussions.

(S) Expenses of a public official, paid by the party committee of which party such official is a member, for the purpose of accomplishing the lawful purposes of the committee. As used in this subdivision, "party committee" has the same meaning as provided in subdivision (2) of section 9-601, and "lawful purposes of the committee" has the same meaning as provided in subsection (g) of section 9-607.

(6) "Immediate family" means any spouse, children or dependent relatives who reside in the individual's household.

(7) "Individual" means a natural person.

(8) "Member of an advisory board" means any individual (A) 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, (B) who receives no public funds other than per diem payments or reimbursement for his or her actual and necessary expenses incurred in the performance of his or her official duties, and (C) who has no authority to expend any public funds or to exercise the power of the state or municipality.

(9) "Municipal employee" means any employee of a municipality or political subdivision thereof, whether full or part-time.

(10) "Municipality" means any town, city, borough, consolidated town and city, consolidated town and borough and includes any special district contained therein.

[(9)] (11) "Person" means an individual, sole proprietorship, trust, corporation, limited liability company, union, association, firm, partnership, committee, club or other organization or group of persons.

[(10)] (12) "Political contribution" has the same meaning as in section 9-601a except that for purposes of this part, the provisions of subsection (b) of said section shall not apply.

[(11)] (13) "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, any member or director of a quasi-public agency [and], the spouse of the Governor, and any person elected or appointed to any office of a municipality or political subdivision thereof, including a district officer elected pursuant to section 7-327 of the general statutes, but does not include a member of an advisory board, a

judge of any court either elected or appointed or a senator or representative in Congress.

[(12)] (14) "Quasi-public agency" means Connecticut Innovations, Incorporated, and the Connecticut Health and Education Facilities Authority, Connecticut Higher Education Supplemental Loan Authority, Connecticut Housing Finance Authority, State Housing Authority, Connecticut Resources Recovery Authority, Lower Fairfield County Convention Center Authority, Capital Region Development Authority, Connecticut Lottery Corporation, Connecticut Airport Authority, Health Information Technology Exchange of Connecticut, Connecticut Health Insurance Exchange and Clean Energy Finance and Investment Authority.

[(13)] (15) "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 does not include a judge of any court, either elected or appointed.

[(14)] (16) "Trust" means a trust in which any public official or state or municipal 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 does not include blind trusts.

[(15)] (17) "Business organization" means a sole proprietorship, corporation, limited liability company, association, firm or partnership, other than a client lobbyist, that is owned by, or employs, one or more individual lobbyists.

[(16)] (18) "Client lobbyist" means a lobbyist on behalf of whom lobbying takes place and who makes expenditures for lobbying and in furtherance of lobbying.

[(17)] (19) "Necessary expenses" means a public official's or state or municipal 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.

[(18)] (20) "Lobbyist" and "registrant" shall be construed as defined in section 1-91.

[(19)] (21) "Legal defense fund" means a fund established for the payment of legal expenses of a public official or state or municipal employee incurred as a result of defending himself or herself in an administrative, civil, criminal or constitutional proceeding concerning matters related to the official's or employee's service or employment with the state or a quasi-public agency or municipality.

(22) "Special district" means "district" as defined in section 7-324 of the general statutes.

[(20)] (23) "State agency" means any office, department, board, council, commission, institution, constituent unit of the state system of higher education, technical high school or other agency in the executive, legislative or judicial branch of state government.

Section 2. Subsection (b) of section 1-80 of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

(b) All members shall be electors of the state. No member shall be a state or municipal employee. No member or employee of said board 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 subdivision (17) of section 1-91. For purposes of this subsection, "public office" does not include the offices of justice of the peace or notary public.

Section 3. Subsection (l) of section 1-80 of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

(l) No member of the board may hold any other position in state or municipal employment for a period of one year following the end of such member's service on the board, including, but not limited to, service as a member on a state or municipal board or commission, service as a judge of the Superior Court or service as a state agency commissioner.

Section 4. Subsection (a) of section 1-81 of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

(a) The board and general counsel and staff of the Office of State Ethics shall:

(1) Compile and maintain an index of all reports, advisory opinions, informal staff letters, memoranda issued in accordance with subsection (b) of section 1-82 and statements filed by and with the Office of State Ethics to facilitate public access to such reports and advisory opinions, informal staff letters, memoranda statements as provided by this part;

(2) Preserve advisory opinions and informal staff letters, permanently; preserve memoranda issued in accordance with subsection (b) of section 1-82 and statements and reports filed by and with the board for a period of five years from the date of receipt;

(3) Upon the concurring vote of a majority of the board present and voting, issue advisory opinions with regard to the requirements of this part or part IV of this chapter, upon the request of any person subject to the provisions of this part or part IV of this chapter, and publish such advisory opinions in the Connecticut Law Journal. Advisory opinions rendered by the board, until amended or revoked, shall be binding on the board and shall be deemed to be final decisions of the board for purposes of appeal to the superior court, in accordance with the provisions of section 4-175 or 4-183. Any advisory opinion concerning the person who requested the opinion and who acted in reliance thereon, in good faith, shall be binding upon the board, and it shall be an absolute defense in any criminal action brought under the provisions of this part or part IV of this chapter, that the accused acted in reliance upon such advisory opinion;

(4) Respond to inquiries and provide advice regarding the code of ethics either verbally or through informal letters;

(5) Provide yearly training to all state and municipal employees regarding the code of ethics;

(6) Make legislative recommendations to the General Assembly and report annually, not later than February fifteenth, to the Governor summarizing the activities of the Office of State Ethics; and

(7) Meet not less than once per month with the office's executive director and ethics enforcement officer.

Section 5. Subsection (i) of section 1-81 of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

(i) The general counsel shall, in consultation with the executive director of the Office of State Ethics, oversee yearly training of all state and municipal personnel in the code of ethics, provide training on the code of ethics to other individuals or entities subject to the code and shall make recommendations as to public education regarding ethics.

Section 6. Section 1-81b of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

The Office of State Ethics shall develop a plain language summary of [state] ethics laws concerning (1) persons, firms and corporations submitting bids or proposals for state or municipal contracts, and (2) state and municipal contractors. The Office of State Ethics shall publish said summary on the Office of State Ethics' web site.

Section 7. Subsection (a) of section 1-83 of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

(a) (1) All state-wide elected officers, members of the General Assembly, department heads and their deputies, members or directors of each quasi-public agency, elected officers of each municipality, appointed members of the legislative body of each municipality, members of a municipal land use agency or commission, members and employees of any other municipal body or agency who exercise significant policymaking, regulatory or contractual authority, 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 Office of State Ethics on or before the May first next in any year in which they hold such an office or position. If, in any year, May first falls on a weekend or legal holiday, such statement shall be filed not later than the next business day. 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 Office of State Ethics shall notify such individuals of the requirements of this subsection not later than thirty days after their departure from such office or position. Such individuals shall file such statement not later than sixty days after receipt of the notification.

(2) Each state agency, department, board and commission shall develop and implement, in cooperation with the Office of State Ethics, 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 Office of State Ethics.

Section 8. Section 1-84 of the general statutes is repealed and the following is substituted in lieu thereof (*Effective January 1, 2015*):

(a) No public official or state or municipal 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 or municipal 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 or municipal employee shall wilfully 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 in state government 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 division within the Department of Public Health, the Insurance Department, the Department of Consumer Protection, the Department of Motor Vehicles, the State Insurance and Risk Management Board, the Department of Energy and Environmental Protection, the Public Utilities Regulatory Authority, the Connecticut Siting Council, the Gaming Policy Board within the Department of Consumer Protection 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 or municipal 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 or municipal employee or candidate for public office would be or had been influenced thereby.

(g) No public official or state or municipal 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 or municipal 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 9-622, or (2) to permit any activity otherwise prohibited in section 53a-147 or 53a-148.

(i) (1) No public official in state government or state employee or member of [the such official's or employee's 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 (A) of employment as a state employee, (B) with the technical high school system for students enrolled in a school in the system to perform services in conjunction with vocational, technical or technological education and training any such student is receiving at a school in the system, subject to the review process under subdivision (2) of this subsection, (C) with a public institution of higher education to support a collaboration with such institution to develop and commercialize any invention or discovery, or (D) 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 the executive head's 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 the public official's 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 not later than one hundred eighty days after the making of the contract.

(2) The superintendent of the technical high school system shall establish an open and transparent process to review any contract entered into under subparagraph (B) of subdivision (1) of this subsection.

(j) No public official in municipal government or municipal employee or member of such official's or employee's immediate family or a business with which he is associated shall enter into any contract with the municipality, valued at one hundred dollars or more, other than a contract (A) of employment as a municipal employee, or (B) 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. Nothing in this subsection shall be construed as applying to any public official who is appointed as a member of a municipal body or commission and who receives no compensation other than per diem payments or reimbursement for actual or necessary expenses, or both, incurred in the performance of the public official's 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 not later than one hundred eighty days after the making of the contract.

[(j)] (k) No public official, state or municipal 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 subdivision (5) of section 1-79, from a person known to be a registrant or anyone known to be acting on behalf of a registrant.

[(k)] (l) No public official, spouse of the Governor or state or municipal employee shall accept a fee or honorarium for an article, appearance or speech, or for participation at an event, in the public official's, spouse's or state or municipal employee's official capacity, provided a public official, Governor's spouse or state or municipal employee may receive payment or reimbursement for necessary expenses for any such activity in his or her official capacity. If a public official, Governor's spouse or state or municipal employee receives such a payment or reimbursement for lodging or out-of-state travel, or both, the public official, Governor's spouse or state or municipal employee shall, not later than thirty days thereafter, file a report of the payment or reimbursement with the Office of State Ethics, unless the payment or reimbursement is provided by the federal government or another state government. If a public official, Governor's spouse or state or municipal employee does not file such report within such period, either intentionally or due to gross negligence on the public official's,

Governor's spouse's or state or municipal employee's part, the public official, Governor's spouse or state or municipal 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, Governor's spouse or state or municipal employee, the public official, Governor's spouse or state or municipal employee shall not be subject to any penalty under this chapter. When a public official, Governor's spouse or state or municipal employee attends an event in this state in the public official's, Governor's spouse's or state or municipal 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 public official, spouse or state or municipal employee or from the sponsor of the event.

[(l)] (m) No public official or state or municipal employee, or any person acting on behalf of a public official or state or municipal 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)] (n) No public official or state or municipal employee shall knowingly accept, directly or indirectly, any gift, as defined in subdivision (5) of section 1-79, from any person the public official or state or municipal 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 public official or state or municipal employee is employed; (2) is engaged in activities which are directly regulated by such department or agency; or (3) is prequalified under section 4a-100. No person shall knowingly give, directly or indirectly, any gift or gifts in violation of this provision. For the purposes of this subsection, the exclusion to the term "gift" in subparagraph (L) of subdivision (5) of section 1-79 for a gift for the celebration of a major life event shall not apply. Any person prohibited from making a gift under this subsection shall report to the Office of State Ethics any solicitation of a gift from such person by a state or municipal employee or public official.

[(n)] (o) (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 9-601, established by such firm, or (B) a principal of the investment services firm has made a contribution, as defined in section 9-601a, to, or solicited contributions on behalf of, any exploratory committee or candidate committee, as defined in section 9-601, 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)] (p) If (1) any person (A) is doing business with or seeking to do business with the department or agency in which a public official or state or municipal employee is employed, or (B) is engaged in activities which are directly regulated by such department or agency, and (2) such person or a representative of such person gives to such public official or state or municipal employee anything of value which is subject to the reporting requirements pursuant to subsection (e) of section 1-96, such person or representative shall, not later than ten days thereafter, give such recipient and the executive head of the recipient's department or agency 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.

[(p)] (q) (1) No public official or state or municipal employee or member of the immediate family of a public official or state or municipal employee shall knowingly accept, directly or indirectly, any gift costing one hundred dollars or more from a public official or state or municipal employee who is under the supervision of such public official or state or municipal employee.

(2) No public official or state or municipal employee or member of the immediate family of a public official or state or municipal employee shall knowingly accept, directly or indirectly, any gift costing one hundred dollars or more from a public official or state or municipal employee who is a supervisor of such public official or state or municipal employee.

(3) No public official or state or municipal employee shall knowingly give, directly or indirectly, any gift in violation of subdivision (1) or (2) of this subsection.

[(q)] (r) No public official or state or municipal employee shall intentionally counsel, authorize or otherwise sanction action that violates any provision of this part.

[(r)] (s) (1) Notwithstanding the provisions of subsections (b) and (c) of this section, a member of the faculty or a member of a faculty bargaining unit of a constituent unit of the state system of higher education may enter into a consulting agreement or engage in a research project with a public or private entity, provided such agreement or project does not conflict with the member's employment with the constituent unit, as determined by policies established by the board of trustees for such constituent unit.

(2) The board of trustees for each constituent unit of the state system of higher education shall establish policies to ensure that any such member who enters such a consulting agreement or engages in such a research project (A) is not inappropriately using university proprietary information in connection with such agreement or project, (B) does not have an interest in such agreement or project that interferes with the proper discharge of his or her employment with the constituent unit, and (C) is not inappropriately using such member's association with the constituent unit in connection with such agreement or project. Such policies shall (i) establish procedures for the disclosure, review and management of conflicts of interest relating to any such agreement or project, (ii) require the approval by the chief academic officer of the constituent unit, or his or her designee, prior to any such member entering into any such agreement or engaging in any such project, and (iii) include procedures that impose sanctions and penalties on any member for failing to comply with the provisions of the policies. Annually, the internal audit office of each constituent unit shall audit the constituent unit's compliance with such policies and report its findings to the committee of the constituent unit established pursuant to subdivision (3) of this subsection. For purposes of this subsection, "consulting" means the provision of services for compensation to a public or private entity by a member of the faculty or member of a faculty bargaining unit of a constituent unit of the state system of higher education: (I) When the request to provide such services is based on such member's expertise in a field or prominence in such field, and (II) while such member is not acting in the capacity of a state employee, and "research" means a systematic investigation, including, but not limited to, research development, testing and evaluation, designed to develop or contribute to general knowledge in the applicable field of study.

(3) There is established a committee for each constituent unit of the state system of higher education to monitor the constituent unit's compliance with the policies and procedures described in subdivision (2) of this subsection governing consulting agreements and research projects with public or private entities by a member of the faculty or a member of a faculty bargaining unit of such constituent unit. Each committee shall consist of nine members as follows: (A) Three members, appointed jointly by the Governor, the speaker of the House of Representatives, the president pro tempore of the Senate, the majority leader of the House of Representatives, the majority leader of the Senate, the minority leader of the House of Representatives and the minority leader of the Senate, who shall serve as members for each such committee; (B) one member appointed by the chairperson of the constituent unit's board of trustees from the

membership of such board; (C) the chief academic officer of the constituent unit, or his or her designee; (D) three members appointed by the chief executive officer of the constituent unit; and (E) one member appointed by the chairperson of the Citizen's Ethics Advisory Board from the membership of such board. Members shall serve for a term of two years. Any vacancies shall be filled by the appointing authority. Each committee shall (i) review the annual reports submitted by the internal audit office for the constituent unit, pursuant to subdivision (2) of this subsection, (ii) make recommendations, annually, to the board of trustees of the constituent unit concerning the policies and procedures of the constituent unit established pursuant to subdivision (2) of this subsection, including any changes to such policies and procedures, and (iii) send a copy of such recommendations, in accordance with section 11-4a, to the joint standing committees of the General Assembly having cognizance of matters relating to higher education and government administration.

(4) The provisions of subsections (b) and (c) of this section shall apply to any member of the faculty or member of a faculty bargaining unit of a constituent unit of the state system of higher education who enters such a consulting agreement or engages in such a research project without prior approval, as described in subdivision (2) of this subsection.

Section 9. Section 1-84a of the general statutes is repealed and the following is substituted in lieu thereof (*Effective January 1, 2015*):

No former public official or employee of the executive or legislative branch, [or] quasi-public agency, municipality [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.

Section 10. Section 1-84b of the general statutes is repealed and the following is substituted in lieu thereof (*Effective January 1, 2015*):

(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 Office of State Ethics 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 Citizen's Ethics Advisory Board in accordance with chapter 54. As used in this subsection, "agency" means the Office of Health Care Access division within the Department of Public Health, the Connecticut Siting Council, the Department of Banking, the Insurance Department, the Department of Emergency Services and Public Protection, the office within the Department of Consumer Protection that carries out the duties and responsibilities of sections 30-2 to 30-68m, inclusive, the Public Utilities Regulatory Authority, including the Office of Consumer Counsel and the Department of Consumer Protection 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 Office of State Ethics 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 Department of Consumer Protection 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 Office of State Ethics, 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 Office of State Ethics, in consultation with the agency concerned. Designation of positions subject to the provisions of this subsection shall be by regulations adopted by the Citizen's Ethics Advisory Board 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 Department of Consumer Protection 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 Office of State Ethics, 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 Department of Consumer Protection 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. No party to such a contract or agreement other than the state shall employ any such former public official or state employee in violation of this subsection.

(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 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. The provisions of subsections (b) and (f) of this section shall not apply to a former state employee of a public institution of higher education whose employment was derived from such employee's status as a student at such institution.

(i) 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.

(j) No former executive, judicial or legislative branch or quasi-public agency official or state employee convicted of any felony involving corrupt practices, abuse of office or breach of the public trust shall seek or accept employment as a lobbyist or act as a registrant pursuant to this chapter.

(k) No former Governor shall accept employment or act as a registrant pursuant to the provisions of this chapter, for one year after leaving state service, on behalf of any business that received a contract with any department or agency of the state during such Governor's term. No business shall employ a former Governor in violation of this subsection.

(l) No former public official or employee of a municipality shall represent anyone other than the municipality concerning any particular matter in which he or she participated personally and substantially while in municipal service.

(m) No former public official or employee of a municipality shall appear for compensation before any municipal board or agency in which he or she was formerly employed at any time within a period of one year after termination of his or her service with the municipality.

(n) No former public official or employee of a municipality who participated substantially in the negotiation or award of a municipal contract valued at an amount of twenty-five thousand dollars or more, or who supervised the negotiation or award of such contract, shall seek or accept employment with a party to the contract other than the municipality for a period of one year after his resignation from his municipal office or position if his resignation occurs less than one year after the contract is signed. No party to such a contract other than the municipality shall employ any such former public official or municipal employee in violation of this subsection.

Section 11. Section 1-84c of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

Nothing in this chapter shall prohibit the donation of goods or services, as described in subparagraph (E) of subdivision (5) of section 1-79, to a state agency, [or] quasi-public agency or municipality, the donation of the use of facilities to facilitate state agency, [or] quasi-public agency or municipality action or functions or the donation of real property to a state agency, [or] quasi-public agency or municipality. As used in this section, "state agency" and "quasi-public agency" have the same meanings as provided in section 1-79.

Section 12. Section 1-85 of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

A public official, including an elected state or municipal official, or state or municipal 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 or municipal official, or state or municipal 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 or municipal official, or state or municipal employee who has a substantial conflict may not take official action on the matter.

Section 13. Section 1-86 of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

(a) Any public official or state or municipal employee, other than an elected state or municipal official, who, in the discharge of such official's or employee's official duties, would be required to take an action that would affect a financial interest of such official or employee, such official's or employee's spouse, parent, brother, sister, child or the spouse of a child or a business with which such official or employee 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, such official or employee shall, if such official or employee is a member of a state or municipal regulatory agency or commission, either excuse himself or herself 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, such official or employee is able to vote and otherwise participate fairly, objectively and in the public interest. Such public official or state or municipal employee shall deliver a copy of the statement to the Office of State Ethics and enter a copy of the statement in the journal or minutes of the agency or commission. If such official or employee is not a member of a state or municipal regulatory agency or commission, such official or employee 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 such official's or employee's immediate superior, if any, who shall assign the matter to another employee, or if such

official or employee has no immediate superior, such official or employee shall take such steps as the Office of State Ethics shall prescribe or advise.

(b) No elected state or municipal official shall be affected by subsection (a) of this section.

(c) No person required to register with the Office of State Ethics 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.

Section 14. Section 1-86d of the general statutes is repealed and the following is substituted in lieu thereof (*Effective January 1, 2015*):

(a) Any public official or state or municipal employee who establishes a legal defense fund, or for whom a legal defense fund has been established, shall file a report on said fund with the Office of State Ethics not later than the tenth day of January, April, July and October. Each such report shall include the following information for the preceding calendar quarter: (1) The names of the directors and officers of the fund, (2) the name of the depository institution for the fund, (3) an itemized accounting of each contribution to the fund, including the full name and complete address of each contributor and the amount of the contribution, and (4) an itemized accounting of each expenditure, including the full name and complete address of each payee and the amount and purpose of the expenditure. The public official or state or municipal employee shall sign each such report under penalty of false statement. The provisions of this subsection shall not apply to any person who has made a contribution to a legal defense fund before June 3, 2004.

(b) (1) In addition to the prohibitions on gifts under subsections (j) and (m) of section 1-84 and subsection (a) of section 1-97, no public official or state or municipal employee shall accept, directly or indirectly, any contribution to a legal defense fund established by or for the public official or state or municipal employee, from (A) a member of the immediate family of any person who is prohibited from giving a gift under subsection (j) or (m) of section 1-84 or subsection (a) of section 1-97, or (B) a person who is appointed by said public official or state or municipal employee to serve on a paid, full-time basis. No person described in subparagraph (A) or (B) of this subdivision shall make a contribution to such a legal defense fund, and no such person or any person prohibited from making a gift under subsection (j) or (m) of section 1-84 or subsection (a) of section 1-97 shall solicit a contribution for such a legal defense fund.

(2) A public official or state or municipal employee may accept a contribution or contributions to a legal defense fund established by or for the public official or state or municipal employee from any other person, provided the total amount of such contributions from any such person in any calendar year shall not exceed

one thousand dollars. No such person shall make a contribution or contributions to said legal defense fund exceeding one thousand dollars in any calendar year. The provisions of this subdivision shall not apply in 2004, to any person who has made a contribution or contributions to a legal defense fund exceeding one thousand dollars in 2004, before June 3, 2004, provided said legal defense fund shall not accept any additional contributions from such person in 2004, and such person shall not make any additional contributions to said fund in 2004.

(3) Notwithstanding the provisions of subdivision (2) of this subsection, a public official or state or municipal employee may accept a contribution or contributions, in any amount, to a legal defense fund established by or for the public official or state or municipal employee from a relative of the public official or state or municipal employee or a person whose relationship with the public official or state or municipal employee is not dependent on the official's or employee's status as a public official or state or municipal employee. The factors that the board shall consider in determining whether a person's relationship is so dependent shall include, but not be limited to, whether the person may be able to benefit from the exercise of official authority of the public official or state or municipal employee and whether the person made gifts to the public official or state or municipal employee before the official or employee began serving in such office or position.

Section 15. Subsection (b) of section 1-89 of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

(b) The penalties prescribed in this part or section 1-101nn 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 municipalities, agencies or commissions to discipline their officials or employees.

Section 16. Section 1-91 of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

When used in this part, unless the context otherwise requires:

(1) "Administrative action" means (A) any action or nonaction of any executive agency of the state with respect to the proposal, drafting, development, consideration, amendment, adoption or repeal of any rule, regulation or utility rate, and any action or nonaction of any executive agency or quasi-public agency, as defined in section 1-79, regarding a contract, grant, award, purchasing agreement, loan, bond, certificate, license, permit or any other matter which is within the official jurisdiction or cognizance of such an agency; (B) any action or nonaction of any executive agency of a municipality with respect to the proposal, drafting, development, consideration, amendment, adoption or repeal of any rule, regulation or utility rate, and any action or nonaction of any executive agency of a municipality regarding a contract, grant, award, purchasing

agreement, loan, bond, certificate, license, permit or any other matter which is within the official jurisdiction or cognizance of such an agency.

(2) "Candidate for public office" means any person 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 does not include a candidate for the office of senator or representative in Congress.

(3) "Board" means the Citizen's Ethics Advisory Board established under section 1-80.

(4) "Compensation" means any value received or to be received by a person acting as a lobbyist, whether in the form of a fee, salary or forbearance.

(5) "Executive agency" means a commission, board, agency, or other body or official in the executive branch of the state or municipal government and any independent body of the state government that is not a part of the legislative or judicial branch.

(6) "Expenditure" means any advance, conveyance, deposit, distribution, transfer of funds, loan, payment, unless expressly excluded; any payments for telephone, mailing, postage, printing and other clerical or office services and materials; any paid communications, costing fifty dollars or more in any calendar year, disseminated by means of any printing, broadcasting or other medium, provided such communications refer to pending administrative or legislative action; any contract, agreement, promise or other obligation; any solicitation or solicitations, costing fifty dollars or more in the aggregate for any calendar year, of other persons to communicate with a public official or state or municipal employee for the purpose of influencing any legislative or administrative act and any pledge, subscription of money or anything of value. "Expenditure" does not include the payment of a registrant's fee pursuant to section 1-95, any expenditure made by any club, committee, partnership, organization, business, union, association or corporation for the purpose of publishing a newsletter or other release to its members, shareholders or employees, or contributions, membership dues or other fees paid to associations, nonstock corporations or tax-exempt organizations under Section 501(c) of the Internal Revenue Code of 1986, or any subsequent corresponding internal revenue code of the United States, as from time to time amended.

(7) "Gift" means anything of value, which is directly and personally received, unless consideration of equal or greater value is given in return. "Gift" does not include:

(A) A political contribution otherwise reported as required by law or a donation or payment described in subdivision (9) or (10) of subsection (b) of section 9-601a;

(B) Services provided by persons volunteering their time, if provided to aid or promote the success or defeat of any political party, any candidate or candidates for public office or the position of convention delegate or town committee member or any referendum question;

(C) A commercially reasonable loan made on terms not more favorable than loans made in the ordinary course of business;

(D) A gift received from (i) the individual's spouse, fiance or fiancée, (ii) the parent, brother or sister of such spouse or such individual, or (iii) the child of such individual or the spouse of such child;

(E) Goods or services (i) that are provided to a state agency [or], quasi-public agency or municipality (I) for use on state or quasi-public agency or municipal property, or (II) that support an event or the participation by a public official or state or municipal employee at an event, and (ii) that facilitate state or quasi-public agency or municipal action or functions. As used in this subparagraph, "state property" means property owned by the state or a quasi-public agency or property leased to a state agency or quasi-public agency;

(F) A certificate, plaque or other ceremonial award costing less than one hundred dollars;

(G) A rebate, discount or promotional item available to the general public;

(H) Printed or recorded informational material germane to state or municipal action or functions;

(I) 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;

(J) 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, (i) 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 (ii) 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;

(K) 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, (i) 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 (ii) 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 subparagraph, "region of the state" means the established geographic service area of the organization hosting the reception;

(L) A gift, including, but not limited to, food or beverage or both, provided by an individual for the celebration of a major life event, provided any such gift provided by an individual who is not a member of the family of the recipient does not exceed one thousand dollars in value;

(M) 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;

(N) 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 or municipal employee participates in his or her official capacity, provided such admission is provided by the primary sponsoring entity;

(O) Anything of value provided by an employer of (i) a public official, (ii) a state or municipal employee, or (iii) a spouse of a public official or state or municipal employee, to such official, employee or spouse, provided such benefits are customarily and ordinarily provided to others in similar circumstances;

(P) 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 does not exceed fifty dollars; or

(Q) Training that is provided by a vendor for a product purchased by a state or quasi-public agency or municipality that is offered to all customers of such vendor.

(8) "Immediate family" means any spouse, dependent children or dependent relatives who reside in the individual's household.

(9) "Individual" means a natural person.

(10) "Legislative action" means introduction, sponsorship, consideration, debate, amendment, passage, defeat, approval, veto, overriding of a veto or any other official action or nonaction with regard to any bill, resolution, amendment, nomination, appointment, report, or any other matter pending or proposed in a committee of the General Assembly, [or] in either house of the [legislature] General Assembly, the legislative body of a municipality, or any matter that is within the official jurisdiction or cognizance of the [legislature] General Assembly or the legislative body of a municipality.

(11) "Lobbying" means communicating directly or soliciting others to communicate with any official or his staff in the legislative or executive branch of state government or in a quasi-public agency, or in the legislative or executive body of municipal government, for the purpose of influencing any legislative or administrative action except that the term "lobbying" does not include (A) communications by or on behalf of a party to, or an intervenor in, a contested case, as described in regulations adopted by the Office of State Ethics in accordance with the provisions of chapter 54, before an executive agency of state government or a quasi-public agency, as defined in section 1-79, (B) communications by a representative of a vendor or by an employee of the registered client lobbyist which representative or employee acts as a salesperson and does not otherwise engage in lobbying regarding any administrative action, (C) communications by an attorney made while engaging in the practice of law and regarding any matter other than legislative action as defined in subdivision (10) of this section or the proposal, drafting, development, consideration, amendment, adoption or repeal of any rule or regulation, or communications with any official or staff of any agency of any municipality having responsibility for: Planning or zoning decisions made pursuant to chapter 124, 124a, 125, 125a, 126, 126a or 127 of the general statutes; inland wetlands decisions made pursuant to chapter 440 of the general statutes; historic districts decisions made pursuant to chapter 97a of the general statutes; water pollution control authority decisions made pursuant to chapter 446k of the general statutes; motor vehicle or gasoline location decisions made pursuant to chapter 246 of the general statutes; aquifer protection decisions made pursuant to chapter 446i of the general statutes; or conservation decisions made pursuant to chapter 97 of the general statutes, or (D) other communications exempted by regulations adopted by the Office of State Ethics in accordance with the provisions of chapter 54.

(12) "Lobbyist" means a person who in lobbying and in furtherance of lobbying makes or agrees to make expenditures, or receives or agrees to receive compensation, reimbursement, or both, and such compensation, reimbursement or expenditures are two thousand dollars or more in any calendar year or the combined amount thereof is two thousand dollars or more in any such calendar year. "Lobbyist" does not include:

(A) A public official, employee of a branch of state or municipal government or a subdivision thereof, or elected or appointed official of a municipality or his or

her designee other than an independent contractor, who is acting within the scope of his or her authority or employment;

(B) A publisher, owner or an employee of the press, radio or television while disseminating news or editorial comment to the general public in the ordinary course of business;

(C) An individual representing himself or herself or another person before the legislature or a state agency, or before the legislative or executive body of municipal government, other than for the purpose of influencing legislative or administrative action;

(D) Any individual or employee who receives no compensation or reimbursement specifically for lobbying and who limits his activities solely to formal appearances to give testimony before public sessions of committees of the General Assembly or public hearings of state agencies, or the legislative body of any municipality or public hearings of any agency of any municipality and who, if he or she testifies, registers his or her appearance in the records of such committees [or], agencies or legislative bodies;

(E) A member of an advisory board acting within the scope of his or her appointment;

(F) A senator or representative in Congress acting within the scope of his or her office;

(G) Any person who receives no compensation or reimbursement specifically for lobbying and who spends no more than five hours in furtherance of lobbying unless such person (i) exclusive of salary, receives compensation or makes expenditures, or both, of two thousand dollars or more in any calendar year for lobbying or the combined amount thereof is two thousand dollars or more in any such calendar year, or (ii) expends fifty dollars or more for the benefit of a public official in the legislative or executive branch of state government, or in the legislative or executive body of municipal government, a member of his or her staff or immediate family;

(H) A communicator lobbyist who receives or agrees to receive compensation, reimbursement, or both, the aggregate amount of which is less than two thousand dollars from each client in any calendar year.

(13) "Member of an advisory board" means any person 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 and who receives no public funds other than per diem payments or reimbursement for his or her actual and necessary expenses incurred in the performance of his or her official duties and

who has no authority to expend any public funds or to exercise the power of the state or municipality.

(14) "Municipal employee" means any employee of a municipality or political subdivision thereof, whether full or part-time.

(15) "Municipality" means any town, city, borough, consolidated town and city, consolidated town and borough and includes any special district contained therein.

[(14)] (16) "Person" means an individual, a business, corporation, limited liability company, union, association, firm, partnership, committee, club or other organization or group of persons.

[(15)] (17) "Political contribution" has the same meaning as in section 9-601a except that for purposes of this part, the provisions of subsection (b) of said section shall not apply.

[(16)] (18) "Public official" means any state-wide elected state 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, with or without the advice and consent of the General Assembly, the spouse of the Governor [and], any person appointed or elected by the General Assembly or any member of either house thereof and any person elected or appointed to any office of a municipality or political subdivision thereof, including a district officer elected pursuant to section 7-327 of the general statutes; but does not include a member of an advisory board or a senator or representative in Congress.

[(17)] (19) "Registrant" means a person who is required to register pursuant to section 1-94.

[(18)] (20) "Reimbursement" means any money or thing of value received or to be received in the form of payment for expenses as a lobbyist, not including compensation.

[(19)] (21) "State employee" means any employee in the executive, judicial or legislative branch of state government, whether in the classified or unclassified service and whether full or part-time.

[(20)] (22) "Business organization" means a sole proprietorship, corporation, limited liability company, association, firm or partnership, other than a client lobbyist, that is owned by, or employs one or more individual lobbyists.

[(21)] (23) "Client lobbyist" means a lobbyist on behalf of whom lobbying takes place and who makes expenditures for lobbying and in furtherance of lobbying.

[(22)] (24) "Communicator lobbyist" means a lobbyist who communicates directly or solicits others to communicate with an official or the official's staff in the legislative or executive branch of state government or in a quasi-public agency, or in the legislative or executive body of municipal government, for the purpose of influencing legislative or administrative action.

[(25)] "Special district" means "district" as defined in section 7-324 of the general statutes.

[(23)] (26) "State agency" means any office, department, board, council, commission, institution, constituent unit of the state system of higher education, technical high school or other agency in the executive, legislative or judicial branch of state government.

[(24)] (27) "Quasi-public agency" means quasi-public agency, as defined in section 1-79.

Section 17. Subsection (a) of section 1-95 of the general statutes is repealed and the following is substituted in lieu thereof (*Effective January 1, 2015*):

(a) Each registrant shall file every two years with the Office of State Ethics on a registration form signed under penalty of false statement on or before January fifteenth of odd-numbered years or prior to the commencement of lobbying whichever is later. If the registrant is not an individual, an authorized officer or agent of the registrant shall sign the form. Such registration shall be on a form prescribed by the board and shall include:

(1) If the registrant is an individual, the registrant's name, permanent address and temporary address while lobbying and the name, address and nature of business of any person who compensates or reimburses, or agrees to compensate or reimburse the registrant and the terms of the compensation, reimbursement or agreement, but shall not include the compensation paid to an employee for his involvement in activities other than lobbying;

(2) If the registrant is a corporation, the name, address, place of incorporation and the principal place of business of the corporation;

(3) If the registrant is an association, group of persons or an organization, the name and address of the principal officers and directors of such association, group of persons or organization. If the registrant is formed primarily for the purpose of lobbying, it shall disclose the name and address of any person contributing two thousand dollars or more to the registrant's lobbying activities in any calendar year;

(4) If the registrant is not an individual, the name and address of each individual who will lobby on the registrant's behalf; and

(5) The identification, with reasonable particularity, of areas of legislative or administrative action on which the registrant expects to lobby, including the names of executive agencies [and], quasi-public agencies, municipalities and, where applicable, solicitations for state and municipal contracts and procurements.

Section 18. Section 1-96 of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

(a) Each client lobbyist registrant shall file with the Office of State Ethics between the first and tenth day of April, July and January a financial report, signed under penalty of false statement. The April and July reports shall cover its lobbying activities during the previous calendar quarter and the January report shall cover its lobbying activities during the previous two calendar quarters. In addition to such reports, each client lobbyist registrant which attempts to influence legislative action at the General Assembly shall file, under penalty of false statement, interim monthly reports of its lobbying activities for each month the General Assembly is in regular session, except that no monthly report shall be required for any month in which it neither expends nor agrees to expend one hundred dollars or more in furtherance of lobbying. Such interim monthly reports shall be filed with the Office of State Ethics no later than the tenth day of the month following the last day of the month reported. If the client lobbyist registrant is not an individual, an authorized officer or agent of the client lobbyist registrant shall sign the form. A communicator lobbyist for a municipality or any subdivision of a municipality, a branch of state government or any subdivision of state government or a quasi-public agency shall file the reports described in this subsection utilizing the client lobbyist reporting schedule.

(b) Each individual communicator lobbyist registrant and each business organization communicator lobbyist registrant shall file with the Office of State Ethics between the first and tenth day of January a report or reports, signed under penalty of false statement, reporting the amounts of compensation and reimbursement received from each of his clients during the previous year. In addition, each individual communicator lobbyist registrant and each business organization communicator lobbyist registrant shall: (1) Report the fundamental terms of contracts, agreements or promises to pay or receive compensation or reimbursement or to make expenditures in furtherance of lobbying, including the categories of work to be performed and the dollar value or compensation rate of the contract, at the time of registration; (2) report, in accordance with the schedule set forth in subsection (a) of this section, any amendments to these fundamental terms, including any agreements to subcontract lobbying work; and (3) report, in accordance with the provisions of subsection (a) of this section, any expenditures for the benefit of a public official in the legislative or executive branch of state government, or in the legislative or executive body of municipal government, or a member of the staff or immediate family of such official which are unreimbursed and required to be itemized. Such report shall not include the

disclosure of food and beverage provided by a communicator lobbyist registrant to a public official in the legislative or executive branch of state government, or in the legislative or executive body of municipal government, or a member of his staff or immediate family at a major life event, as defined by the Citizen's Ethics Advisory Board, of the registrant. All such information shall be reported under penalty of false statement.

(c) An individual communicator lobbyist registrant shall file a separate report for each person from whom he received compensation or reimbursement. Notwithstanding any provision of this subsection to the contrary, a business organization to which one or more individual communicator lobbyist registrants belong may file a single report for each client lobbyist in lieu of any separate reports that individual registrants are required to file pursuant to this subsection.

(d) Each registrant who files a notice of termination under subsection (c) of section 1-95 shall file with the Office of State Ethics a financial report, under penalty of false statement, between the first and tenth day of January of the year following termination.

(e) Each client lobbyist registrant financial report shall be on a form prescribed by the board and shall state expenditures made and the fundamental terms of contracts, agreements or promises to pay compensation or reimbursement or to make expenditures in furtherance of lobbying. Any such fundamental terms shall be reported once in the monthly, quarterly or post-termination report next following the entering into of such contract. Such financial report shall include an itemized statement of each expenditure of ten dollars or more per person for each occasion made by the reporting registrant or a group of registrants which includes the reporting registrant for the benefit of a public official in the legislative or executive branch of state government, legislative or executive body of municipal government, a member of his staff or immediate family, itemized by date, beneficiary, amount and circumstances of the transaction. The requirement of an itemized statement shall not apply to an expenditure made by a reporting registrant or a group of registrants which includes the reporting registrant for (1) the benefit of the members of the General Assembly at an event that is a reception to which all such members are invited or all members of a region of the state, as such term is used in subparagraph (K) of subdivision (7) of section 1-91, are invited, unless the expenditure is thirty dollars or more per person, or (2) benefits personally and directly received by a public official or state or municipal employee at a charitable or civic event at which the public official or state or municipal employee participates in his official capacity, unless the expenditure is thirty dollars or more per person, per event. If the compensation is required to be reported for an individual whose lobbying is incidental to his or her regular employment, it shall be sufficient to report a prorated amount based on the value of the time devoted to lobbying. On the first financial report following registration each client lobbyist registrant shall include any expenditures incident to lobbying activities that were received or expended prior to registration and not previously reported to the Office of State Ethics.

(f) The Citizen's Ethics Advisory Board shall, by regulations adopted in accordance with chapter 54, establish minimum amounts for each item required to be reported, below which reporting may be made in the aggregate. The provisions of this subsection shall not apply to expenditures made for the benefit of a public official or a member of such person's staff or immediate family.

(g) Each former registrant shall (1) report receipts or expenditures incident to lobbying activities during his period of registration which are received or expended following termination of registration and (2) report each expenditure of ten dollars or more per person for each occasion made by him for the benefit of a public official or a member of such official's immediate family or staff which occurs within six months after termination of registration.

(h) The Office of State Ethics shall, within thirty days after receipt of a financial report which contains the name of a public official in the legislative or executive branch of state government, or in the legislative or executive body of municipal government, or a member of such official's staff or immediate family, send a written notice to such public official, of the filing of the report and the name of the person who filed it.

Section 19. Section 1-96e of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

Each registrant who pays or reimburses a public official or state or municipal employee ten dollars or more for necessary expenses, as defined in section 1-79, shall, within thirty days, file a statement with the Office of State Ethics indicating the name of such individual and the amount of the expenses.

Section 20. Section 1-97 of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

(a) No registrant or anyone acting on behalf of a registrant shall knowingly give a gift, as defined in subdivision (7) of section 1-91, to any state or municipal employee, public official, candidate for public office or a member of any such person's staff or immediate family. Nothing in this section shall be construed to permit any activity prohibited under section 53a-147 or 53a-148.

(b) No person shall be employed as a lobbyist for compensation which is contingent upon the outcome of any administrative or legislative action.

(c) No lobbyist may: (1) Do anything with the purpose of placing any public official under personal obligation; (2) attempt to influence any legislative or administrative action for the purpose of thereafter being employed to secure its defeat; (3) cause any communication to be sent to any public official in the name of any other individual except with the consent of such individual.

(d) Any person who gives to a public official, state or municipal employee or candidate for public office, or a member of any such person's staff or immediate family 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.

Section 21. Section 1-101a of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

(a) As used in this section:

(1) "Crime related to state or quasi-public agency or municipal office" means larceny by state embezzlement, or theft, as defined in subdivision (18) of section 53a-119, bribery under section 53a-147 or bribe receiving under section 53a-148, committed by a person while serving as a public official or state or municipal employee;

(2) "Public official" means public official as defined in section 1-79; and

(3) "State employee" means state employee as defined in section 1-79.

(4) "Municipal employee" means municipal employee as defined in section 1-79.

(b) Notwithstanding any provision of the general statutes, no public official or state or municipal employee that is convicted of or pleads guilty or nolo contendere to a crime related to state or quasi-public agency or municipal office, shall seek or accept employment as a lobbyist or otherwise act as a registrant pursuant to this chapter.

Section 22. Subdivision (10) of subsection (c) of section 7-148 of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

(10) (A) Make all lawful regulations and ordinances in furtherance of any general powers as enumerated in this section, and prescribe penalties for the violation of the same not to exceed two hundred fifty dollars, unless otherwise specifically provided by the general statutes. Such regulations and ordinances may be enforced by citations issued by designated municipal officers or employees, provided the regulations and ordinances have been designated specifically by the municipality for enforcement by citation in the same manner in which they were adopted and the designated municipal officers or employees issue a written warning providing notice of the specific violation before issuing the citation;

[~~(B)~~ Adopt a code of ethical conduct;]

[~~(C)~~] (~~B~~) Establish and maintain free legal aid bureaus;

[~~(D)~~] (~~C~~) Perform data processing and related administrative computer services for a fee for another municipality;

[~~(E)~~] (~~D~~) Adopt the model ordinance concerning a municipal freedom of information advisory board created under subsection (f) of section 1-205 and establish a municipal freedom of information advisory board as provided by said ordinance and said section.

Section 23. Section 7-148h of the general statutes is repealed (*Effective January 1, 2015*):

[(a) Any town, city, district, as defined in section 7-324, or borough may, by charter provision or ordinance, establish a board, commission, council, committee or other agency to investigate allegations of unethical conduct, corrupting influence or illegal activities levied against any official, officer or employee of such town, city, district or borough. The provisions of subsections (a) to (e), inclusive, of section 1-82a shall apply to allegations before any such agency of such conduct, influence or activities, to an investigation of such allegations conducted prior to a probable cause finding, and to a finding of probable cause or no probable cause. Any board, commission, council, committee or other agency established pursuant to this section may issue subpoenas or subpoenas duces tecum, enforceable upon application to the Superior Court, to compel the attendance of persons at hearings and the production of books, documents, records and papers.

(b) Notwithstanding the provisions of any special act, municipal charter or ordinance to the contrary, an elected official of any town, city, district or borough that has established a board, commission, council, committee or other agency under subsection (a) of this section, has an interest that is in substantial conflict with the proper discharge of the official's duties or employment in the public interest and of the official's responsibilities as prescribed by the laws of this state, if the official has reason to believe or expect that the official, the official's spouse or dependent child, or a business with which he is associated, as defined in section 1-79, will derive a direct monetary gain or suffer a direct monetary loss, as the case may be, by reason of the official's official activity. Any such elected official does not have an interest that is in substantial conflict with the proper discharge of the official's duties in the public interest and of the official's responsibilities as prescribed by the laws of this state, if any benefit or detriment accrues to the official, the official's spouse or 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 to any other member of such profession, occupation or group. Any such elected official who has a substantial conflict may not take official action on the matter.]

STATE OF CONNECTICUT
AGENCY LEGISLATIVE PROPOSAL
2014 SESSION

Document Name 2014 AAC Conflicts of Interest	
Agency Office of State Ethics	Agency Priority (See instructions) 2
Contact Person/Unit Carol Carson, Executive Director	Telephone 860-263-2400
Email Address: Carol.Carson@ct.gov	
Title of Proposal AAC Conflicts of Interest	Statutory Reference Proposal Type <input type="checkbox"/> New <input checked="" type="checkbox"/> Resubmittal
ATTACH COPY OF FULLY DRAFTED BILL (Required for review)	
APPROVAL OF OTHER AFFECTED AGENCY (Attach additional approvals if necessary)	
Agency N/A	Agency Contact (Name and Title) N/A
Attach Summary of Agency Comments	Contact Date N/A
Summary of Proposal (Include background information) To make necessary revisions to the Code of Ethics for Public Officials concerning conflicts of interest.	
Reason for Proposal (Include significant policy and programmatic impacts) Section 1. Amends § 1-85 of the general statutes by extending substantive conflicts of interest to official action involving public officials' and state employees' outside employer. Elected officials who have a conflict concerning a direct monetary gain or loss for their other employer may either recuse themselves or prepare a written statement under penalty of false statement for the agency journal or minutes and OSE that describes the matter requiring action, the nature of the potential conflict, and why they are able to vote despite it. Section 2. Amends subsection (a) of section 1-86 of the general statutes by including the term "other employer" in dealing with potential conflicts of interest. Under the current law, public officials or state employees can vote or take official action on matters related to their other (non-state) employer. This proposal would extend the prohibition regarding conflicts of interest whereby public officials or state employees, other than elected state officials, would be restricted from taking official action for the benefit of other employers, and when necessary, disclose the existence of a conflict involving an outside employer.	

Significant Fiscal Impacts

Municipal:	None
Federal:	None
State:	None

An Act Concerning Conflicts of Interest

Be it enacted by the Senate and House of Representatives in General Assembly convened:

Section 1. Section 1-85 of the general statutes is repealed and the following is substituted in lieu thereof (Effective October 1, 2014):

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, his employer other than the state 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, his employer other than the state 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, except if the conflict concerns a direct monetary gain or direct monetary loss for the other employer of an elected state official, such official shall either excuse himself 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, such official is able to vote and otherwise participate fairly, objectively and in the public interest. Such official shall deliver a copy of such statement to the Office of State Ethics and enter a copy of the statement in the journal or minutes of the agency.

Section 2. Section 1-86 of the general statutes is repealed and the following is substituted in lieu thereof (Effective October 1, 2014):

(a) Any public official or state employee, other than an elected state official, who, in the discharge of such official's or employee's official duties, would be required to take an action that would affect a financial interest of such official or employee, such official's or employee's spouse, parent, brother, sister, child or the spouse of a child, employer other than the state or a business with which such official or employee 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, such official or employee shall, if such official or employee is a member of a state regulatory agency, either excuse himself or herself 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, such official or employee is able to vote and otherwise participate fairly, objectively and in the public interest. Such public official or state employee shall deliver a copy of the statement to the Office of State Ethics and enter a copy of the statement in the journal or minutes of the agency. If such official or employee is not a member of a state regulatory agency, such official or employee 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 such official's or employee's immediate superior, if any, who shall assign the matter to another employee, or if such official or employee has no immediate superior, such official or employee shall take such steps as the Office of State Ethics shall prescribe or advise.

**STATE OF CONNECTICUT
AGENCY LEGISLATIVE PROPOSAL
2014 SESSION**

Document Name 2014 AAC Statement of Financial Interests	
Agency Office of State Ethics	Agency Priority (See instructions) 3
Contact Person/Unit Carol Carson, Executive Director	Telephone 860-263-2400
Email Address: Carol.Carson@ct.gov	
Title of Proposal AAC Statement of Financial Interests	Statutory Reference Proposal Type <input checked="" type="checkbox"/> New <input type="checkbox"/> Resubmittal
ATTACH COPY OF FULLY DRAFTED BILL (Required for review)	
APPROVAL OF OTHER AFFECTED AGENCY (Attach additional approvals if necessary)	
Agency N/A	Agency Contact (Name and Title) N/A
Attach Summary of Agency Comments	Contact Date N/A
Summary of Proposal (Include background information) To make necessary revisions to the Code of Ethics for Public Officials concerning the Statement of Financial Interests.	
Reason for Proposal (Include significant policy and programmatic impacts) Section 1. Amends subsection (b) of § 1-83 of the general statutes to clarify the reporting of sources of income on the Statement of Financial Interests (“SFI”), including the reporting of income in value ranges, as prescribed by regulations adopted by the Citizen’s Ethics Advisory Board (“CEAB”). Amends subsection (b) of section 1-83 of the general statutes to require SFI filers to disclose contracts with a quasi-public agency Amends subsection (b) of section 1-83 of the general statutes to clarify the reporting of similar business affiliations and securities on the SFIs. The proposal includes exemption for the reporting of securities within retirement accounts, deferred compensation plans or education savings plans, as described under the Internal revenue Code, and requires reporting of securities holdings in value ranges, as prescribed by regulations adopted by the CEAB.	
Significant Fiscal Impacts Municipal: None Federal: None State: None	

An Act Concerning Statements of Financial Interest

Be it enacted by the Senate and House of Representatives in General Assembly convened:

Section 1. Subsection (b) of section 1-83 of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

(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) all sources of income, including the name of each employer, with a description of [each source] the type of income received, in excess of one thousand dollars, without specifying exact amounts of income but disclosing such income in value ranges, as prescribed by regulations adopted by the Citizen's Ethics Advisory Board in accordance with chapter 54; (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; (G) any leases or contracts with the state or a quasi-public agency held or entered into by the individual or a business with which he or she was associated; and (H) [a description of any partnership, joint ownership or similar business affiliation between (i) a business included under subparagraph (A) of this subdivision with which the individual filing the statement, the individual's spouse or a dependent child of the individual is associated, and (ii) a lobbyist, a person that the individual filing the statement knows or has reason to know is doing business with or seeking to do business with the state or is engaged in activities that are directly regulated by the department or agency in which the individual is employed, or a business with which such lobbyist or person is associated] the name of any lobbyist or person that the individual filing the statement knows or has reason to know is doing business with or seeking to do business with the state or is engaged in activities that are directly regulated by the department or agency in which the individual is employed, and that is a partner or owner, or has a similar business affiliation, with the business included under subparagraph (A) of this subdivision.

(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.

(3) For purposes of subparagraph (C) of subdivision (1) of this subsection, securities in excess of five thousand dollars at fair market value shall be disclosed in value ranges, as prescribed by regulations adopted by the Citizen's Ethics Advisory Board in accordance with chapter 54, without specifying the exact value of the reported security. Securities in excess of five thousand dollars at fair market value held within a retirement savings plan described in Section 401 of the Internal Revenue Code of 1986, or any subsequent corresponding internal revenue code of the United States, as from time to time amended, or a payroll deduction individual retirement account plan described in Section 408 or 408A of said Internal Revenue Code, or a governmental deferred compensation plan described in Section 457 of said Internal Revenue Code, or an education savings plan described in Section 529 of said Internal Revenue Code do not have to be reported but the name of such retirement savings plan or individual retirement account or deferred compensation plan or education savings plan holding such securities must be disclosed.

**STATE OF CONNECTICUT
AGENCY LEGISLATIVE PROPOSAL
2014 SESSION**

Document Name 2014 AAC Lobbying	
Agency Office of State Ethics	Agency Priority (See instructions) 4
Contact Person/Unit Carol Carson, Executive Director	Telephone 860-263-2400
Email Address: Carol.Carson@ct.gov	
Title of Proposal AAC Lobbying	Statutory Reference Proposal Type <input type="checkbox"/> New <input checked="" type="checkbox"/> Resubmittal
ATTACH COPY OF FULLY DRAFTED BILL (Required for review)	
APPROVAL OF OTHER AFFECTED AGENCY (Attach additional approvals if necessary)	
Agency N/A	Agency Contact (Name and Title) N/A
Attach Summary of Agency Comments	Contact Date N/A
Summary of Proposal (Include background information) To make necessary revisions to the Codes of Ethics concerning lobbying and lobbyists.	
Reason for Proposal (Include significant policy and programmatic impacts) Section 1. Amends section 1-91 of the general statutes to clarify the term “soliciting others to communicate” as used in the definition of “lobbying.” The term “soliciting others to communicate” implicates grass roots lobbying, which requires further explanation and guidance as to its meaning in order to minimize constitutional concerns of vagueness and overbreadth. Grass roots lobbying is the fastest growing form of lobbying today, in part because of its impact on elected officials. As such, the lobbying industry has been intensifying its efforts to devote more resources to this form of lobbying. Also, the amendment seeks to clarify and expand exceptions to the term “expenditure,” as defined in the Code of Ethics for Lobbyists. Specifically, the proposal clarifies the exemption dealing with publication of newsletters and other releases intended for communication with organization’s members, shareholders and employees. The exception applies not only to publications in a written, or electronic format, but also to verbal communication during a regularly noticed meeting held by the organization. The proposal also provides additional exception to the definition of “expenditure” for transportation costs of organization’s members, shareholders and employees to and from a specific site. The transportation exception, however, does not exempt transportation costs for those individuals who are paid specifically to lobby or to communications that target public officials/state employees for the purpose of affecting legislative or administrative action or the general public for the purpose of engaging in grass roots lobbying.	

This proposal also amends subdivision (12) of section 1-91 of the general statutes to increase the threshold for lobbyist registrations from \$2,000 to \$3,000. The threshold has been adjusted over the years from \$300 in 1978 to \$500 in 1981, \$1,000 in 1991, and \$2,000 in 1997. \$2,000 in 1997 dollars is worth nearly \$2,700 now. In 2008, such a change would have affected 45 registrants who spent more than \$2,000 but less than \$3,000.

Section 2. Amends section 1-94 of the general statutes to increase the threshold for lobbyist registrations from \$2,000 to \$3,000.

Section 3. Amends subsection (a) of section 1-95 of the general statutes to increase the threshold for lobbyist registrations from \$2,000 to \$3,000.

Significant Fiscal Impacts

Municipal:	None
Federal:	None
State:	None

An Act Concerning Lobbying

Be it enacted by the Senate and House of Representatives in General Assembly convened:

Section 1. Section 1-91 of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

(1) "Administrative action" means any action or nonaction of any executive agency of the state with respect to the proposal, drafting, development, consideration, amendment, adoption or repeal of any rule, regulation or utility rate, and any action or nonaction of any executive agency or quasi-public agency, as defined in section 1-79, regarding a contract, grant, award, purchasing agreement, loan, bond, certificate, license, permit or any other matter which is within the official jurisdiction or cognizance of such an agency.

(2) "Candidate for public office" means any person 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 does not include a candidate for the office of senator or representative in Congress.

(3) "Board" means the Citizen's Ethics Advisory Board established under section 1-80.

(4) "Compensation" means any value received or to be received by a person acting as a lobbyist, whether in the form of a fee, salary or forbearance.

(5) "Executive agency" means a commission, board, agency, or other body or official in the executive branch of the state government and any independent body of the state government that is not a part of the legislative or judicial branch.

(6) "Expenditure" means any advance, conveyance, deposit, distribution, transfer of funds, loan, payment, unless expressly excluded; any payments for telephone, mailing, postage, printing and other clerical or office services and materials; any paid communications, costing fifty dollars or more in any calendar year, disseminated by means of any printing, broadcasting or other medium, provided such communications refer to pending administrative or legislative action; any contract, agreement, promise or other obligation; any solicitation or solicitations, costing fifty dollars or more in the aggregate for any calendar year, of other persons to communicate with a public official or state employee for the purpose of influencing any legislative or administrative act and any pledge, subscription of money or anything of value. "Expenditure" does not include (A) the payment of a registrant's fee pursuant to section 1-95, (B) any expenditure made by any club, committee, partnership, organization, business, union, association or corporation for the purpose of publishing a newsletter or other release [to]

intended primarily for its members, shareholders or employees, whether in written or electronic form or made orally during a regularly noticed meeting, (C) any expenditure made by any club, committee, partnership, organization, business, union, association or corporation for the purpose of transporting its members, shareholders or employees to and from a specific site, where such members, shareholders or employees receive no other compensation or reimbursement for lobbying from such club, committee, partnership, organization, business, union, association or corporation, or (D) contributions, membership dues or other fees paid to associations, nonstock corporations or tax-exempt organizations under Section 501(c) of the Internal Revenue Code of 1986, or any subsequent corresponding internal revenue code of the United States, as from time to time amended.

(7) "Gift" means anything of value, which is directly and personally received, unless consideration of equal or greater value is given in return. "Gift" does not include:

(A) A political contribution otherwise reported as required by law or a donation or payment described in subdivision (9) or (10) of subsection (b) of section 9-601a;

(B) Services provided by persons volunteering their time, if provided to aid or promote the success or defeat of any political party, any candidate or candidates for public office or the position of convention delegate or town committee member or any referendum question;

(C) A commercially reasonable loan made on terms not more favorable than loans made in the ordinary course of business;

(D) A gift received from (i) the individual's spouse, fiance or fiancée, (ii) the parent, brother or sister of such spouse or such individual, or (iii) the child of such individual or the spouse of such child;

(E) Goods or services (i) that are provided to a state agency or quasi-public agency (I) for use on state or quasi-public agency property, or (II) that support an event or the participation by a public official or state employee at an event, and (ii) that facilitate state or quasi-public agency action or functions. As used in this subparagraph, "state property" means property owned by the state or a quasi-public agency or property leased to a state or quasi-public agency;

(F) A certificate, plaque or other ceremonial award costing less than one hundred dollars;

(G) A rebate, discount or promotional item available to the general public;

(H) Printed or recorded informational material germane to state action or functions;

(I) 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;

(J) 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, (i) 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 (ii) 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;

(K) 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, (i) 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 (ii) 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 subparagraph, "region of the state" means the established geographic service area of the organization hosting the reception;

(L) A gift, including, but not limited to, food or beverage or both, provided by an individual for the celebration of a major life event, provided any such gift provided by an individual who is not a member of the family of the recipient does not exceed one thousand dollars in value;

(M) 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;

(N) 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 or her official capacity, provided such admission is provided by the primary sponsoring entity;

(O) Anything of value provided by an employer of (i) a public official, (ii) a state employee, or (iii) 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;

(P) 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 does not exceed fifty dollars; or

(Q) Training that is provided by a vendor for a product purchased by a state or quasi-public agency that is offered to all customers of such vendor.

(8) "Grass roots lobbying" means any attempt to influence legislative or administrative action by means of affecting the opinions of the general public or any segment of the general public by using a communication that (A) makes a reference to specific legislative or administrative action; (B) expresses a view on such legislative or administrative action; and (C) encourages the recipient of such communication to contact an official of the legislative branch of government, an executive agency or quasi-public agency, or a staff member of such an official, for the purpose of influencing legislative or administrative action.

(8)9 "Immediate family" means any spouse, dependent children or dependent relatives who reside in the individual's household.

(9)10 "Individual" means a natural person.

(10)11 "Legislative action" means introduction, sponsorship, consideration, debate, amendment, passage, defeat, approval, veto, overriding of a veto or any other official action or nonaction with regard to any bill, resolution, amendment, nomination, appointment, report, or any other matter pending or proposed in a committee or in either house of the legislature, or any matter that is within the official jurisdiction or cognizance of the legislature.

(11)12 "Lobbying" means communicating directly or soliciting others to communicate with any official or his staff in the legislative or executive branch of government or in a quasi-public agency, for the purpose of influencing any legislative or administrative action except that the term "lobbying" does not include (A) communications by or on behalf of a party to, or an intervenor in, a contested case, as described in regulations adopted by the Office of State Ethics in accordance with the provisions of chapter 54, before an executive agency or a quasi-public agency, as defined in section 1-79, (B) communications by a representative of a vendor or by an employee of the registered client lobbyist which representative or employee acts as a salesperson and does not otherwise engage in lobbying regarding any administrative action, (C) communications by an attorney made while engaging in the practice of law and regarding any matter other than legislative action as defined in subdivision (10) of this section or the proposal, drafting, development, consideration, amendment, adoption or repeal

of any rule or regulation, or (D) other communications exempted by regulations adopted by the Office of State Ethics in accordance with the provisions of chapter 54. As used in this subdivision, "soliciting others to communicate" means: (i) Providing compensation, reimbursement, or both, to other persons to communicate directly or to organize grass roots lobbying, or (ii) organizing grass roots lobbying.

([12]13) "Lobbyist" means a person who in lobbying and in furtherance of lobbying makes or agrees to make expenditures, or receives or agrees to receive compensation, reimbursement, or both, and such compensation, reimbursement or expenditures are [two] three thousand dollars or more in any calendar year or the combined amount thereof is [two] three thousand dollars or more in any such calendar year. "Lobbyist" does not include:

(A) A public official, employee of a branch of state government or a subdivision thereof, or elected or appointed official of a municipality or his or her designee other than an independent contractor, who is acting within the scope of his or her authority or employment;

(B) A publisher, owner or an employee of the press, radio or television while disseminating news or editorial comment to the general public in the ordinary course of business;

(C) An individual representing himself or herself or another person before the legislature or a state agency other than for the purpose of influencing legislative or administrative action;

(D) Any individual or employee who receives no compensation or reimbursement specifically for lobbying and who limits his activities solely to formal appearances to give testimony before public sessions of committees of the General Assembly or public hearings of state agencies and who, if he or she testifies, registers his or her appearance in the records of such committees or agencies;

(E) A member of an advisory board acting within the scope of his or her appointment;

(F) A senator or representative in Congress acting within the scope of his or her office;

(G) Any person who receives no compensation or reimbursement specifically for lobbying and who spends no more than five hours in furtherance of lobbying unless such person (i) exclusive of salary, receives compensation or makes expenditures, or both, of [two] three thousand dollars or more in any calendar year for lobbying or the combined amount thereof is [two] three thousand dollars or more in any such calendar year, or (ii) expends fifty dollars or more for

the benefit of a public official in the legislative or executive branch, a member of his or her staff or immediate family;

(H) A communicator lobbyist who receives or agrees to receive compensation, reimbursement, or both, the aggregate amount of which is less than [two] three thousand dollars from each client in any calendar year.

(~~[13]~~14) "Member of an advisory board" means any person 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 and who receives no public funds other than per diem payments or reimbursement for his or her actual and necessary expenses incurred in the performance of his or her official duties and who has no authority to expend any public funds or to exercise the power of the state.

(~~[14]~~15) "Person" means an individual, a business, corporation, limited liability company, union, association, firm, partnership, committee, club or other organization or group of persons.

(~~[15]~~16) "Political contribution" has the same meaning as in section 9-601a except that for purposes of this part, the provisions of subsection (b) of said section shall not apply.

(~~[16]~~17) "Public official" means any state-wide elected state 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, with or without the advice and consent of the General Assembly, the spouse of the Governor and any person appointed or elected by the General Assembly or any member of either house thereof; but does not include a member of an advisory board or a senator or representative in Congress.

(~~[17]~~18) "Registrant" means a person who is required to register pursuant to section 1-94.

(~~[18]~~19) "Reimbursement" means any money or thing of value received or to be received in the form of payment for expenses as a lobbyist, not including compensation.

(~~[19]~~20) "State employee" means any employee in the executive, judicial or legislative branch of state government, whether in the classified or unclassified service and whether full or part-time.

(~~[20]~~21) "Business organization" means a sole proprietorship, corporation, limited liability company, association, firm or partnership, other than a client lobbyist, that is owned by, or employs one or more individual lobbyists.

([21]22) "Client lobbyist" means a lobbyist on behalf of whom lobbying takes place and who makes expenditures for lobbying and in furtherance of lobbying.

([22]23) "Communicator lobbyist" means a lobbyist who communicates directly or solicits others to communicate with an official or the official's staff in the legislative or executive branch of government or in a quasi-public agency for the purpose of influencing legislative or administrative action.

([23]24) "State agency" means any office, department, board, council, commission, institution, constituent unit of the state system of higher education, technical high school or other agency in the executive, legislative or judicial branch of state government.

([24]25) "Quasi-public agency" means quasi-public agency, as defined in section 1-79.

Section 2. Section 1-94 of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

A lobbyist shall register with the Office of State Ethics pursuant to this part if it or he:

(1) Receives or agrees to receive compensation or reimbursement for actual expenses, or both, in a combined amount of [two] three thousand dollars or more in a calendar year for lobbying, whether that receipt of compensation or reimbursement or agreement to receive such compensation or reimbursement is solely for lobbying or the lobbying is incidental to that person's regular employment; or

(2) Makes or incurs an obligation to make expenditures of [two] three thousand dollars or more in a calendar year for lobbying.

Section 3. Subsection (a) of section 1-95 of the general statutes is repealed and the following is substituted in lieu thereof (Effective January 1, 2015):

(a) Each registrant shall file every two years with the Office of State Ethics on a registration form signed under penalty of false statement on or before January fifteenth of odd-numbered years or prior to the commencement of lobbying, whichever is later. If the registrant is not an individual, an authorized officer or agent of the registrant shall sign the form. Such registration shall be on a form prescribed by the board and shall include:

(1) If the registrant is an individual, the registrant's name, permanent address and temporary address while lobbying and the name, address and nature of business of any person who compensates or reimburses, or agrees to compensate or reimburse the registrant and the terms of the compensation, reimbursement or agreement, but shall not include the compensation paid to an employee for his involvement in activities other than lobbying;

- (2) If the registrant is a corporation, the name, address, place of incorporation and the principal place of business of the corporation;
- (3) If the registrant is an association, group of persons or an organization, the name and address of the principal officers and directors of such association, group of persons or organization. If the registrant is formed primarily for the purpose of lobbying, it shall disclose the name and address of any person contributing [two] three thousand dollars or more to the registrant's lobbying activities in any calendar year;
- (4) If the registrant is not an individual, the name and address of each individual who will lobby on the registrant's behalf; and
- (5) The identification, with reasonable particularity, of areas of legislative or administrative action on which the registrant expects to lobby, including the names of executive agencies and quasi-public agencies and, where applicable, solicitations for state contracts and procurements.

STATE OF CONNECTICUT
AGENCY LEGISLATIVE PROPOSAL
2014 SESSION

Document Name 2014 ACC Certain Revisions to the State Codes of Ethics	
Agency Office of State Ethics	Agency Priority (See instructions) 5
Contact Person/Unit Carol Carson, Executive Director	Telephone 860-263-2400
Email Address: carol.carson@ct.gov	
Title of Proposal AAC Certain Revisions to the State Codes of Ethics	Statutory Reference Proposal Type <input type="checkbox"/> New <input checked="" type="checkbox"/> Resubmittal
ATTACH COPY OF FULLY DRAFTED BILL (Required for review)	
APPROVAL OF OTHER AFFECTED AGENCY (Attach additional approvals if necessary)	
Agency	Agency Contact (Name and Title)
Attach Summary of Agency Comments	Contact Date
Summary of Proposal (Include background information)	
<p>To make revisions to the State Codes of Ethics concerning the scope of gift prohibitions; contracting with quasi-public agencies; payment or reimbursement of necessary expenses; and activities involving consultants and independent contractors.</p>	
Reason for Proposal (Include significant policy and programmatic impacts)	
<p>Section 1. Amends subsection (i) of section 1-84 of the general statutes to extend the open and public process requirements to contracts with quasi public agencies.</p> <p>Section 2. Amends subsection (k) of section 1-84 of the general statutes by making explicit that necessary expenses may only be provided by sponsors of an event to which public official or state employee is invited.</p> <p>Section 3. Amends subsection (p) of § 1-84 of the general statutes to limit gift giving between supervisors and subordinates to \$100 per calendar year. Currently, supervisors and subordinates and members of their immediate families are restricted from accepting and/or receiving gifts costing more than \$100. The provision, however does not limit such gift-giving to any time-period. Such amendment would place the subordinate-supervisor gift-giving in line with the limits set for regulated donors.</p> <p>Section 4. Amends section 1-86e of the general statutes to include quasi-public agencies in prohibited activities involving consultants and independent contractors.</p>	

Significant Fiscal Impacts

Municipal: None

Federal: None

State: None

An Act Concerning Certain Revisions to the State Codes of Ethics

Be it enacted by the Senate and House of Representatives in General Assembly convened:

Section 1. Subsection (i) of section 1-84 of the general statutes is repealed and the following is substituted in lieu thereof (*Effective October 1, 2014*):

(i) No public official or state employee or member of the official or employee's immediate family or a business with which he is associated shall enter into any contract with the state or a quasi-public agency, valued at one hundred dollars or more, other than a contract of employment as a state employee, or a contract with a public institution of higher education to support a collaboration with such institution to develop and commercialize any invention or discovery, 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 the executive head's 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 the public official's 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 not later than one hundred eighty days after the making of the contract.

Section 2. Subsection (k) of section 1-84 of the general statutes is repealed and the following is substituted in lieu thereof (*Effective October 1, 2014*):

(k) No public official, spouse of the Governor 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, spouse's or state employee's official capacity, provided a public official, Governor's spouse or state employee may receive payment or reimbursement for necessary expenses for any such activity in his or her official capacity from a sponsor of the event. If a public official, Governor's spouse or state employee receives such a payment or reimbursement for lodging or out-of-state travel, or both, the public official, Governor's spouse or state employee shall, not later than thirty days thereafter, file a report of the payment or reimbursement with the Office of State Ethics, unless the

payment or reimbursement is provided by the federal government or another state government. If a public official, Governor's spouse or state employee does not file such report within such period, either intentionally or due to gross negligence on the public official's, Governor's spouse's or state employee's part, the public official, Governor's spouse 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, Governor's spouse or state employee, the public official, Governor's spouse or state employee shall not be subject to any penalty under this chapter. When a public official, Governor's spouse or state employee attends an event in this state in the public official's, Governor's spouse'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 public official, spouse or state employee or from the sponsor of the event.

Section 3. Subsection (p) of section 1-84 of the general statutes is repealed and the following is substituted in lieu thereof (Effective October 1, 2014):

(p) (1) No public official or state employee or member of the immediate family of a public official or state employee shall knowingly accept, directly or indirectly, any gift costing one hundred dollars or more in the aggregate in a calendar year from a public official or state employee who is under the supervision of such public official or state employee.

(2) No public official or state employee or member of the immediate family of a public official or state employee shall knowingly accept, directly or indirectly, any gift costing one hundred dollars or more in the aggregate in a calendar year from a public official or state employee who is a supervisor of such public official or state employee.

(3) No public official or state employee shall knowingly give, directly or indirectly, any gift in violation of subdivision (1) or (2) of this subsection.

Section 4. Section 1-86e of the general statutes is repealed and the following is substituted in lieu thereof (Effective October 1, 2014):

(a) No person hired by the state or a quasi-public agency 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 or a quasi-public agency would be influenced.

(b) No person shall give anything of value to a person hired by the state or a quasi-public agency as a consultant or independent contractor based on an understanding that the actions of the consultant or independent contractor on behalf of the state or a quasi-public agency would be influenced.