



General Assembly

January Session, 2009

**Raised Bill No. 6293**

LCO No. 2567

\*02567 \_\_\_\_\_ GAE\*

Referred to Committee on Government Administration and Elections

Introduced by:  
(GAE)

**AN ACT CONCERNING STATEMENTS OF FINANCIAL INTERESTS  
UNDER THE CODE OF ETHICS.**

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

1 Section 1. Section 1-83 of the general statutes is repealed and the  
2 following is substituted in lieu thereof (*Effective October 1, 2009*):

3 (a) (1) All state-wide elected officers, members of the General  
4 Assembly, department heads and their deputies, division heads,  
5 legislative chiefs of staff, committee administrators, research and fiscal  
6 analysts, any state employee whose responsibilities include  
7 participating in the award of contracts for goods or services valued at  
8 ten thousand dollars or more, the Governor's chief of staff and the  
9 Lieutenant Governor's chief of staff, members of the Gaming Policy  
10 Board, members of the Contracting Standards Advisory Council,  
11 members of the Vendor and Citizen Advisory Panel, all agency  
12 procurement officers, members and employees of the State Properties  
13 Review Board and employees of the Department of Public Works' unit  
14 that is responsible for the acquisition, leasing and selling of real  
15 property, as described in section 4b-4, as amended by this act, the

16 executive director of the Division of Special Revenue within the  
17 Department of Revenue Services, members or directors of each quasi-  
18 public agency, members of the Investment Advisory Council, state  
19 marshals and such members of the Executive Department and such  
20 employees of quasi-public agencies as the Governor shall require, shall  
21 file, under penalty of false statement, a statement of financial interests  
22 for the preceding calendar year with the Office of State Ethics on or  
23 before the May first next in any year in which they hold such a  
24 position. Any such individual who leaves his or her office or position  
25 shall file a statement of financial interests covering that portion of the  
26 year during which such individual held his or her office or position.  
27 The Office of State Ethics shall notify such individuals of the  
28 requirements of this subsection not later than thirty days after their  
29 departure from such office or position. Such individuals shall file such  
30 statement within sixty days after receipt of the notification.

31 (2) Each state agency, department, board and commission shall  
32 develop and implement, in cooperation with the Office of State Ethics,  
33 an ethics statement as it relates to the mission of the agency,  
34 department, board or commission. The executive head of each such  
35 agency, department, board or commission shall be directly responsible  
36 for the development and enforcement of such ethics statement and  
37 shall file a copy of such ethics statement with the Department of  
38 Administrative Services and the Office of State Ethics.

39 (b) (1) The statement of financial interests, except as provided in  
40 subdivision (2) of this subsection, shall include the following  
41 information for the preceding calendar year in regard to the individual  
42 required to file the statement and the individual's spouse and  
43 dependent children residing in the individual's household: (A) The  
44 names of all businesses with which associated; (B) all sources of  
45 income, including the name of each employer, with a description of  
46 each source, in excess of one thousand dollars, without specifying  
47 amounts of income; (C) the name of securities in excess of five  
48 thousand dollars at fair market value owned by such individual,

49 spouse or dependent children or held in the name of a corporation,  
50 partnership or trust for the benefit of such individual, spouse or  
51 dependent children; (D) the existence of any known blind trust and the  
52 names of the trustees; (E) all real property and its location, whether  
53 owned by such individual, spouse or dependent children or held in the  
54 name of a corporation, partnership or trust for the benefit of such  
55 individual, spouse or dependent children; (F) the names and addresses  
56 of creditors to whom the individual, the individual's spouse or  
57 dependent children, individually, owed debts of more than ten  
58 thousand dollars; (G) any leases or contracts with the state held or  
59 entered into by the individual or a business with which he or she was  
60 associated; and (H) a description of any partnership, joint ownership  
61 or similar business affiliation between (i) a business included under  
62 subparagraph (A) of this subdivision with which the individual filing  
63 the statement, the individual's spouse or a dependent child of the  
64 individual is associated, and (ii) a lobbyist, a person that the individual  
65 filing the statement knows or has reason to know is doing business  
66 with or seeking to do business with the state or is engaged in activities  
67 that are directly regulated by the department or agency in which the  
68 individual is employed, or a business with which such lobbyist or  
69 person is associated.

70 (2) The statement of financial interests filed by state marshals shall  
71 include only amounts and sources of income earned in their capacity  
72 as state marshals.

73 (c) The statement of financial interests filed pursuant to this section  
74 shall be a matter of public information, except the list of names, filed in  
75 accordance with subparagraph (F) of subdivision (1) of subsection (b)  
76 of this section shall be sealed and confidential and for the use of the  
77 Office of State Ethics only after a complaint has been filed under  
78 section 1-82 and such complaint has been determined by a vote of the  
79 board to be of sufficient merit and gravity to justify the unsealing of  
80 such list or lists and not open to public inspection unless the  
81 respondent requests otherwise. If the board reports its findings to the

82 Chief State's Attorney in accordance with subsection (c) of section 1-88,  
83 the board shall turn over to the Chief State's Attorney such relevant  
84 information contained in the statement as may be germane to the  
85 specific violation or violations or a prosecutorial official may subpoena  
86 such statement in a criminal action. Unless otherwise a matter of  
87 public record, the Office of State Ethics shall not disclose to the public  
88 any such subpoena which would be exempt from disclosure by the  
89 issuing agency.

90 (d) Any individual who is unable to provide information required  
91 under the provisions of subdivision (1) of subsection (b) of this section  
92 by reason of impossibility may petition the board for a waiver of the  
93 requirements.

94 Sec. 2. Section 4b-4 of the general statutes is repealed and the  
95 following is substituted in lieu thereof (*Effective October 1, 2009*):

96 (a) No employee of the Properties Review Board shall hold another  
97 state or municipal position, nor shall any such employee or any  
98 nonclerical employee in the unit in the Department of Public Works  
99 which is responsible for acquiring, leasing and selling real property on  
100 behalf of the state, be directly involved in any enterprise which does  
101 business with the state or be directly or indirectly involved in any  
102 enterprise concerned with real estate acquisition or development. Each  
103 member and employee of the State Properties Review Board shall file,  
104 with the board and with the Office of State Ethics, and each such  
105 employee of the department shall file, with the department and with  
106 the Office of State Ethics, [a financial statement indicating all sources of  
107 business income of such person in excess of one thousand dollars, and  
108 the name of any business with which he is associated, which shall have  
109 the same meaning as defined in section 1-79] a statement of financial  
110 interests, as described in section 1-83, as amended by this act. Such  
111 statement shall be a public record. [Financial statements for the  
112 preceding calendar year shall be filed with the commission on or  
113 before April fifteenth of each year if the employee or member held

114 such a position during the preceding calendar year] Such statements  
115 for the preceding calendar year shall be filed with the Office of State  
116 Ethics, in accordance with section 1-83, as amended by this act, if such  
117 member held such a position during the preceding calendar year.

118 (b) The provisions of sections 1-82, 1-82a and 1-88 shall apply to any  
119 alleged violation of this section.

This act shall take effect as follows and shall amend the following sections:		
Section 1	<i>October 1, 2009</i>	1-83
Sec. 2	<i>October 1, 2009</i>	4b-4

**Statement of Purpose:**

To require additional individuals to file statements of financial interests with the Office of State Ethics.

*[Proposed deletions are enclosed in brackets. Proposed additions are indicated by underline, except that when the entire text of a bill or resolution or a section of a bill or resolution is new, it is not underlined.]*