



General Assembly

February Session, 2016

Raised Bill No. 338

LCO No. 1525



Referred to Committee on GOVERNMENT ADMINISTRATION
AND ELECTIONS

Introduced by:
(GAE)

***AN ACT CONCERNING THE FILING OF STATEMENTS OF FINANCIAL
INTEREST UNDER THE STATE CODE OF ETHICS FOR PUBLIC
OFFICIALS.***

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

1 Section 1. Section 1-83 of the 2016 supplement to the general statutes
2 is repealed and the following is substituted in lieu thereof (*Effective*
3 *January 1, 2017*):

4 (a) (1) All state-wide elected officers, members of the General
5 Assembly, department heads and their deputies, members or directors
6 of each quasi-public agency, members of the Investment Advisory
7 Council, state marshals and such members of the Executive
8 Department and such employees of quasi-public agencies as the
9 Governor shall require, shall file, under penalty of false statement, a
10 statement of financial interests for the preceding calendar year with the
11 Office of State Ethics on or before the May first next in any year in
12 which they hold such an office or position. If, in any year, May first
13 falls on a weekend or legal holiday, such statement shall be filed not

14 later than the next business day. Any such individual who leaves his
15 or her office or position shall file a statement of financial interests
16 covering that portion of the year during which such individual held
17 his or her office or position. The Office of State Ethics shall notify such
18 individuals of the requirements of this subsection not later than [thirty]
19 sixty days after their departure from such office or position. Such
20 individuals shall file such statement not later than sixty days after
21 receipt of the notification.

22 (2) Each state agency, department, board and commission shall
23 develop and implement, in cooperation with the Office of State Ethics,
24 an ethics statement as it relates to the mission of the agency,
25 department, board or commission. The executive head of each such
26 agency, department, board or commission shall be directly responsible
27 for the development and enforcement of such ethics statement and
28 shall file a copy of such ethics statement with the Department of
29 Administrative Services and the Office of State Ethics.

30 (b) (1) The statement of financial interests, except as provided in
31 subdivisions (2) and (3) of this subsection, shall include the following
32 information for the preceding calendar year in regard to the individual
33 required to file the statement and the individual's spouse and
34 dependent children residing in the individual's household: (A) The
35 names of all businesses with which associated; (B) all sources of
36 income, including the name of each employer, with a description of
37 [each source] the type of income received, in excess of one thousand
38 dollars, without specifying amounts of income; (C) the name of
39 securities in excess of five thousand dollars at fair market value owned
40 by such individual, spouse or dependent children or held in the name
41 of a corporation, partnership or trust for the benefit of such individual,
42 spouse or dependent children; (D) the existence of any known blind
43 trust and the names of the trustees; (E) all real property and its
44 location, whether owned by such individual, spouse or dependent
45 children or held in the name of a corporation, partnership or trust for
46 the benefit of such individual, spouse or dependent children; (F) the

47 names and addresses of creditors to whom the individual, the
48 individual's spouse or dependent children, individually, owed debts of
49 more than ten thousand dollars; (G) any leases or contracts with the
50 state or a quasi-public agency held or entered into by the individual or
51 a business with which he or she was associated; and (H) [a description
52 of any partnership, joint ownership or similar business affiliation
53 between (i) a business included under subparagraph (A) of this
54 subdivision with which the individual filing the statement, the
55 individual's spouse or a dependent child of the individual is
56 associated, and (ii) a lobbyist, a] the name of any lobbyist or person
57 that (i) the individual filing the statement knows or has reason to know
58 is doing business with or seeking to do business with the state or is
59 engaged in activities that are directly regulated by the department or
60 agency in which the individual is employed, [or a business with which
61 such lobbyist or person is associated] and (ii) is a partner or owner of,
62 or has a similar business affiliation with, the business included under
63 subparagraph (A) of this subdivision.

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

67 (3) In the case of securities in excess of five thousand dollars at fair
68 market value held within (A) a retirement savings plan, as described in
69 Section 401 of the Internal Revenue Code of 1986, or any subsequent
70 corresponding internal revenue code of the United States, as amended
71 from time to time, (B) a payroll deduction individual retirement
72 account plan, as described in Section 408 or 408A of said Internal
73 Revenue Code, (C) a governmental deferred compensation plan, as
74 described in Section 457 of said Internal Revenue Code, or (D) an
75 education savings plan, as described in Section 529 of said Internal
76 Revenue Code, the names of such securities shall not be required to be
77 disclosed in any statement of financial interest and only the name of
78 such retirement savings plan, individual retirement account plan,
79 deferred compensation plan or education savings plan holding such

80 securities shall be required.

81 (c) The statement of financial interests filed pursuant to this section
82 shall be a matter of public information, except the list of names, filed in
83 accordance with subparagraph (F) of subdivision (1) of subsection (b)
84 of this section shall be sealed and confidential and for the use of the
85 Office of State Ethics only after a complaint has been filed under
86 section 1-82 and such complaint has been determined by a vote of the
87 board to be of sufficient merit and gravity to justify the unsealing of
88 such list or lists and not open to public inspection unless the
89 respondent requests otherwise. If the board reports its findings to the
90 Chief State's Attorney in accordance with subsection (c) of section 1-88,
91 the board shall turn over to the Chief State's Attorney such relevant
92 information contained in the statement as may be germane to the
93 specific violation or violations or a prosecutorial official may subpoena
94 such statement in a criminal action. Unless otherwise a matter of
95 public record, the Office of State Ethics shall not disclose to the public
96 any such subpoena which would be exempt from disclosure by the
97 issuing agency.

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

This act shall take effect as follows and shall amend the following sections:		
Section 1	January 1, 2017	1-83

Statement of Purpose:

To extend the notification period for the Office of State Ethics to inform departing public officials of the requirement to file a statement of financial interest from thirty days to sixty days after their departure and to clarify the requirements for reporting of sources of income on such statements.

[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.]