



General Assembly

**Substitute Bill No. 338**

February Session, 2016

\* \_\_\_\_\_SB00338GAE\_\_\_\_\_032116\_\_\_\_\_\*

**AN ACT CONCERNING THE FILING OF STATEMENTS OF FINANCIAL INTERESTS 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2 is repealed and the following is substituted in lieu thereof (*Effective*  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 of the following that  
57 is a partner or owner of, or has a similar business affiliation with, the  
58 business included under subparagraph (A) of this subdivision: (i) Any  
59 lobbyist, (ii) any person [that] the individual filing the statement  
60 knows or has reason to know is doing business with or seeking to do  
61 business with the state or is engaged in activities that are directly  
62 regulated by the department or agency in which the individual is  
63 employed, or [a] (iii) any business with which such lobbyist or person  
64 is associated.

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

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

82 (c) The statement of financial interests filed pursuant to this section  
83 shall be a matter of public information, except the list of names, filed in  
84 accordance with subparagraph (F) of subdivision (1) of subsection (b)

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

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

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

**GAE**      *Joint Favorable Subst.*