



CONNECTICUT DEPARTMENT OF CONSUMER PROTECTION

JONATHAN A. HARRIS | COMMISSIONER

DEPARTMENT OF CONSUMER PROTECTION CODE OF ETHICS

General Ethics Policy

In addition to the State Code of Ethics for Public Officials and State Employees, the Department of Consumer Protection (DCP) expects all employees to adhere to the following:

(a) No DCP employee shall willfully or knowingly use or distribute state equipment, state assigned vehicles, state identification or badges, or any other state supplies or materials for any purpose not directly connected to official state business.

No DCP employee shall use or distribute personal or confidential information at or in the possession of DCP, except when directly connected to the administration of DCP services and activities.

(b) No DCP employee shall willfully or knowingly use their position at DCP to enable themselves, family members or friends to benefit from departmental programs or services where an identical benefit or opportunity is not open, available or provided to the general public.

(c) Employees who are engaged, or may be engaged, in an employment relationship or business partnership with another person, firm, organization, business entity or corporation must notify the agency's Ethics Liaison Officer, Julianne Avallone via e-mail at julianne.avallone@ct.gov or via facsimile at (860) 706-5385, of their prospective or actual employment or business partnership with such person, firm, organization, business entity or corporation.

The written notification will provide an opportunity for further review by agency officials and/or the Office of State Ethics of the degree of potential conflict of interest, if any, and permit appropriate actions where necessary. Agency employees may be asked to sign a statement indicating that there is no violation of the State of Connecticut and/or DCP's Code of Ethics or policies.

(d) No DCP employee shall willfully or knowingly allow any private obligation or employment or enterprise to take precedence over their responsibility to the State of Connecticut and to DCP.



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Gaming Policy

Any DCP employee who has the authority to make gaming related decisions, or whose public position exposes them to confidential information, which may be used to obtain financial gain when participating in certain gaming activities, is prohibited from participating in such activities. The reason for this prohibition is to prevent any conflicts of interest and to avoid any appearance of impropriety. Specifically:

Lottery: No employee in the job classifications listed below, or their immediate family member (related by blood, marriage or adoption, or person engaged in domestic partnership) domiciled in their household, shall purchase any Lottery ticket issued by the Connecticut Lottery Corporation, nor shall they be paid any prize for any Connecticut Lottery Corporation games.

- Division Director (Gaming);
- Gaming Regulation Supervisor;
- Lead Gaming Regulation Officer;
- Gaming Regulation Officer;
- Lottery Drawing Officers;
- Gaming Investigator;
- License and Application Analyst (assigned to Gaming);
- Supervising Accounts Examiner (assigned to Gaming);
- Associate Accounts Examiner (assigned to Gaming);
- Accounts Examiner (assigned to Gaming);
- Special Revenue Assistant Unit Head;
- Paralegal Specialist 1 (assigned to Gaming);
- Paralegal Specialist 2 (assigned to Gaming).

Off Track Betting (OTB):

No employee in the job classifications below shall participate in any gambling activities conducted at any OTB facility;

- Division Director (Gaming);
- Gaming Regulation Supervisor;
- Gaming Regulation Officer;
- Gaming Investigator;



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- Off Track Betting Supervisor;
- Teletrack Line Supervisor;
- License and Application Analyst (assigned to Gaming);
- Supervising Accounts Examiner (assigned to Gaming);
- Associate Accounts Examiner (assigned to Gaming);
- Accounts Examiner (assigned to Gaming);
- Special Revenue Assistant Unit Head;
- Paralegal Specialist 1 (assigned to Gaming);
- Paralegal Specialist 2 (assigned to Gaming).

Casino:

No Liquor Control Supervising Casino Agent or Liquor Control Casino Agent may engage in any gaming activities at the casino to which they are assigned whether on or off duty. This prohibition does not include non-gaming entertainment or Bingo.

No employee in the job classifications below may participate in any gaming activities at either of the casinos whether on or off duty.

- Division Director (Liquor);
- Liquor Control Commissioners;
- Division Director (Gaming);
- Gaming Regulation Supervisor;
- Lead Gaming Regulation Officer;
- Gaming Regulation Officer;
- Gaming Investigator;
- License and Applications Supervisor (assigned to Gaming);
- License and Applications Analyst (assigned to Gaming);
- Office Assistant (assigned to Gaming);
- Supervising Accounts Examiner (assigned to Gaming);
- Associate Accounts Examiner (assigned to Gaming);
- Accounts Examiner (assigned to Gaming);
- Special Revenue Assistant Unit Head;
- Paralegal Specialist 1 (assigned to Gaming);
- Paralegal Specialist 2 (assigned to Gaming).

This prohibition does not include non-gaming entertainment or Bingo.



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No DCP employee, identified in the Gaming Policy section of this Code of Ethics, may be licensed or employed within any legalized gambling operation regulated by the Department of Consumer Protection, sell lottery tickets or own stocks in any business involved in gaming activities in Connecticut.

The provisions listed above shall apply to the individuals in the named positions, as well as any individuals in successor or reclassified positions having the same job duties and responsibilities.

All DCP employees are prohibited from participating in gaming activities while on duty, regardless of the division to which they are assigned or their job classification. Any permissible DCP employee who chooses to participate in gaming activities while they are off-duty must do so without any visible Department of Consumer Protection identification (such as an identification badge or uniform).

The aforementioned General Ethics and Gaming policies and provisions apply to all employees of the Department of Consumer Protection, except as expressly limited in the sections dealing with Gaming activity, and it shall be the responsibility of each employee to be familiar with them and to comply with them.

Evidence of non-compliance or violation of the Department of Consumer Protection's Ethics Policies may subject the employee(s) to disciplinary action up to and including dismissal from State service.

Questions concerning the Department of Consumer Protection's Code of Ethics may be directed to:

Julianne Avallone, Ethics Liaison Officer,
Department of Consumer Protection

e-mail: julianne.avallone@ct.gov
telephone: (860) 713-6077

Questions about the State Code of Ethics for Public Officials and State Employees may be directed to:

Office of State Ethics
18-20 Trinity Street, Suite 205
Hartford, Connecticut 06106-1660
e-mail: Ethics.Code@ct.gov
telephone: (860) 263-2400

450 Columbus Boulevard, Suite 901 Hartford, CT 06103 | (860) 713-6100 | Toll-Free in CT (800) 842-2649

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