



STATE OF CONNECTICUT  
STATE ETHICS COMMISSION

96-7

May 2, 1997

P R E S S   R E L E A S E

On March 25, 1997, Ethics Commission Attorney Rachel S. Rubin filed a Complaint against Jewel Productions, Inc., the organization which ran the Volvo Tennis Tournament. The investigation into this matter revealed that various staff members of the Office of the Governor were given tickets to attend the 1995 Volvo International Tennis Tournament and/or the SNET Classic. The Complaint alleges that the Respondent did not keep proper records, failed to properly report these expenditures and, in some instances, exceeded the \$50.00 limit on gifts. All recipients of such gifts have reimbursed the Respondent for the amount of the overage.

On May 2, 1997, the Ethics Commission and the Respondent settled this matter by entering into a Stipulation and Order. Under the settlement, the Commission found that the Respondent unintentionally violated the Code, as alleged. The Respondent agreed to pay a civil penalty of \$3,000.

Copies of the Complaint and the Stipulation and Order are attached.

FOR MORE INFORMATION CALL:

Alan S. Plofsky  
Executive Director & General Counsel  
or  
Rachel S. Rubin  
Commission Attorney  
566-4472

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STATE OF CONNECTICUT  
STATE ETHICS COMMISSION

CONFIDENTIAL

DOCKET NUMBER 96-7 ) STATE ETHICS COMMISSION  
IN THE MATTER OF A ) 20 TRINITY STREET  
COMPLAINT AGAINST ) HARTFORD CT  
JEWEL PRODUCTIONS, LTD ) MARCH 25,1997

STIPULATION AND ORDER

Pursuant to Connecticut General Statutes §4-177(c), the State Ethics Commission and the Respondent, Jewel Productions, Ltd., agree to settle this matter in the manner described below:

1. The Commission finds that the Respondent unintentionally violated the Code of Ethics for Lobbyists, Chapter 10, Part II, Connecticut General Statutes, as alleged in the attached complaint. The Commission further finds that the Respondent's conduct was negligent.
2. The Respondent agrees with the Commission's finding and admits that such violations were caused, in part, because of inadequate internal controls. The Respondent states that it will henceforth keep adequate records and familiarize itself with the requirements of the Code of Ethics for Lobbyists. It further states that it now has in place a procedure for tracking complimentary tickets and its values to state officials and employees.
3. The Respondent waives any rights it may have under Conn. Gen. Stat. §§1-93, 1-93a, 1-98 and 1-80, including the right to a hearing or appeal in this case, and agrees with the Commission to an informal disposition of this matter as authorized by Conn. Gen. Stat. §4-177(c).

4. The Respondent agrees to allow the Ethics Commission to review any and all records relevant to lobbying activity to ensure proper compliance with the Code of Ethics. Said review may take place for a period of three years from the date of the signing of this agreement.

WHEREFORE, the Commission orders and the Respondent agrees to pay to the State Ethics Commission a civil penalty of three thousand dollars (\$3,000) and to file amended lobbyist financial reports for calendar year 1995, within thirty (30) days of the signing of this Stipulation and Order.



\_\_\_\_\_  
President, Jewel Productions, Ltd

\_\_\_\_\_  
Dated



\_\_\_\_\_  
Chairperson, State Ethics Commission

\_\_\_\_\_  
Dated



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AMENDED COMPLAINT

1. At all times relevant to this complaint, the Respondent, Jewel Productions, Ltd. was a registered client lobbyist or registrant as those terms are used in Conn. Gen. Stat. §1-91 et seq.
2. Connecticut General Statutes §1-97(a) prohibits a registrant or anyone acting on behalf of a registrant from knowingly giving to any state employee or public official or any such person's staff or immediate family any gift or gifts that amount to fifty dollars or more in value in the aggregate in any calendar year.
3. In calendar year 1995, the Respondent gave various state employees and public officials gifts exceeding the \$50.00 limit of Conn. Gen. Stat. §1-97(a).
4. Each time that the Respondent exceeded the \$50.00 gift limit constitutes a violation of Conn. Gen. Stat. §1-97(a).
5. Connecticut General Statutes §1-96(e) in part requires client lobbyists to file periodic financial reports which must include an itemized statement of each expenditure of ten 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.
6. During calendar year 1995, the Respondent failed to report one or more expenditures of over ten dollars for the benefit of a public official, a member of his or her staff or immediate family.
7. Each failure to report such an expenditure constitutes a violation of Conn. Gen. Stat. §1-96(e).

8. Connecticut General Statutes §1-96a requires a registrant to obtain and preserve documents necessary to substantiate the financial reports required by section 1-96.

9. The Respondent failed to keep adequate records as described in paragraph eight above during calendar year 1995.

10. The failure to keep adequate records as described in paragraph nine above constitutes a violation of Conn. Gen. Stat. §1-96a.

Date 3-25-97

Rachel S. Rubin

Rachel S. Rubin  
Commission Attorney

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