



STATE OF CONNECTICUT

STATE ETHICS COMMISSION

C O N F I D E N T I A L

DOCKET NUMBER 88-8) STATE ETHICS COMMISSION
IN THE MATTER OF A) 97 ELM STREET (REAR)
COMPLAINT AGAINST) HARTFORD, CONN. 06106
MR. JOHN FARRELL) JULY 5, 1988

STIPULATION AND ORDER

1. The Commission finds that the Respondent violated Chapter 10, Part II, General Statutes, as alleged in the attached Complaint, but that the violation was not intentional, knowing or willful.

2. The Respondent admits violating Chapter 10, Part II, General Statutes. The Respondent states that he did not intentionally, knowingly or willfully violate Chapter 10, Part II, General Statutes. The Respondent considered himself a technical advisor and he was not aware of, or adequately informed by, Blue Cross and Blue Shield of Connecticut, Inc. of the full extent of the requirements of the Code of Ethics for Lobbyists.

3. The Respondent waives any rights he may have under Sections 1-93 and 1-93a, General Statutes, and agrees with the State Ethics Commission to an informal disposition of this matter as permitted by Subsection 4-177(d), General Statutes.

WHEREFORE, the State Ethics Commission enters, and Mr. John Farrell agrees to, these orders: In lieu of any other action it is authorized to take with respect to this matter, the Commission orders the Respondent within thirty days to (1) file amended communicator lobbyist financial reports for the third and fourth quarters of 1987 reflecting the amounts spent on administrative lobbying; (2) pay a civil penalty of \$750; and (3) henceforth, comply with the reporting requirements of the Code of Ethics for Lobbyists, Chapter 10, Part II, General Statutes.

John Farrell Respondent

7/9/88 Dated

William B. Elvick Chairperson State Ethics Commission

7/11/88 Dated

CONFIDENTIAL

CONNECTICUT STATE ETHICS COMMISSION
97 ELM STREET (REAR)
HARTFORD, CONNECTICUT 06106
TELEPHONE NUMBER 566-4472

COMPLAINT

THE STATE ETHICS COMMISSION ISSUES A COMPLAINT ALLEGING A VIOLATION OF:

_____ THE CODE OF ETHICS FOR PUBLIC OFFICIALS AND STATE EMPLOYEES, CHAPTER 10, PART I, GENERAL STATUTES

_____ xx THE CODE OF ETHICS FOR LOBBYISTS, CHAPTER 10, PART II, GENERAL STATUTES

TIME AND DATE MATTERS COMPLAINED OF OCCURRED: July 1, 1987 through December 31, 1987

PLACE VIOLATION OCCURRED: Hartford, Connecticut and North Haven, Connecticut

PERSONS INVOLVED: Mr. John Farrell

WITNESSES: Ms. Sue E. Stanley, Director of Operations, Commission on Hospitals and Health Care; Commissioners of Commission on Hospitals and Health Care.

CIRCUMSTANCES WHICH INDICATE THAT THE CODE OF ETHICS DESIGNATED ABOVE WAS VIOLATED ARE AS FOLLOWS (A SHORT, PLAIN STATEMENT ALLEGING A VIOLATION OF CHAPTER 10, GENERAL STATUTES):

(see attached)

(OVER)

000150

Richard S. Rubin
SIGNATURE

5-2-88
DATE

COMPLAINANT'S NAME AND ADDRESS: STATE ETHICS COMMISSION
97 ELM STREET (REAR)
HARTFORD, CT 06106

COMPLAINANT'S TELEPHONE NUMBER: 566-4472

000151

It is hereby alleged that:

1. Between approximately July 1, 1987 and December 31, 1987 Mr. John Farrell, a registrant as defined in section 1-91(q), General Statutes (hereinafter the Respondent) engaged in various activities on behalf of Blue Cross and Blue Shield of Connecticut, Inc. for the purpose of influencing "Administrative action" as that term is defined in subsection 1-91(a), General Statutes. Said activities included both "Lobbying" as that term is defined in subsection 1-91(k), General Statutes and acts "...in furtherance of lobbying..." as that term is used in subsection 1-91(l), General Statutes.

2. Respondent did not report any expenditures for administrative lobbying on its third and fourth quarter lobbying reports for 1987.

3. The Respondent's failure to report any expenditures for quarterly administrative action on its lobbyist financial reports for the third and fourth quarters of 1987 violates section 1-96, General Statutes.