



STATE OF CONNECTICUT
STATE ETHICS COMMISSION

93-2

July 12, 1993

P R E S S R E L E A S E

On June 15, 1993, Ethics Commission Staff Attorney Rachel S. Rubin filed a complaint against The Banks' Association of Connecticut, a registered lobbyist.

The Commission and the Respondent agreed to settle this matter. A copy of the complaint and stipulation are attached.

FOR FURTHER INFORMATION CALL:

Rachel S. Rubin
Supervising Attorney
566-4472



STATE OF CONNECTICUT
STATE ETHICS COMMISSION

DOCKET NUMBER 93-2) STATE ETHICS COMMISSION
IN THE MATTER OF A) 97 ELM STREET (REAR)
COMPLAINT AGAINST) HARTFORD, CONN. 06106
THE BANKS' ASSOCIATION) July 12, 1993
OF CONNECTICUT)

STIPULATION AND ORDER

Pursuant to Connecticut General Statutes §4-177(c), the State Ethics Commission and the Respondent, The Banks' Association of Connecticut, 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 as alleged in the attached Amended Complaint, dated June 15, 1993.

2. The Respondent admits that it violated the Code of Ethics for Lobbyists, as alleged in the attached Amended Complaint.

3. The Respondent states these gift violations were unintentional and occurred because of a misunderstanding of the changes in the law which took affect in 1992 regarding the expenditure limits for food and/or beverage. This misunderstanding occurred as a result of notes erroneously taken by a representative of Respondent who voluntarily attended a seminar conducted on January 23, 1992, by members of the Ethics Commission staff. The Respondent has made significant efforts since its prior violation to comply with the laws and regulations for lobbyists. These efforts include regular contact with Commission staff and its own counsel when it has questions on matters of compliance with lobbyists' reporting requirements.

4. 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. §1-177(c).

Phone: (203) 566-4472

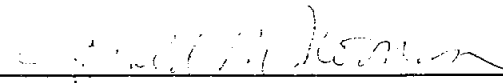
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WHEREFORE, the Commission orders, and the Respondent agrees to pay to the State Ethics Commission, within thirty (30) days of the signing of this Stipulation and Order, a civil penalty of Five Hundred Dollars (\$500.00).



President
The Banks' Assoc. of Conn.

7-15-93
Dated



Chairperson
State Ethics Commission

7-16-93
Dated

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

DOCKET NUMBER 93-2) STATE ETHICS COMMISSION
IN THE MATTER OF A) 97 ELM STREET (REAR)
COMPLAINT AGAINST) HARTFORD, CONN. 06016
THE BANKS' ASSOCIATION)
OF CONNECTICUT) June 15, 1993

AMENDED COMPLAINT

The Complaint against The Banks' Association of Connecticut is hereby amended as follows:

1. The Banks' Association of Connecticut (hereinafter the Respondent) was a client registrant, as that term is defined in Conn. Gen. Stat. §1-91(u), during the calendar year 1992.
2. Under Conn. Gen. Stat. §1-97, no registrant or anyone acting on behalf of a registrant shall give to any public official any gift or gifts that amount to fifty dollars or more in value in the aggregate in any calendar year.
3. Under Conn. Gen. Stat. §1-91(g)(9), a gift does not include food or beverage or both, costing less than one hundred fifty dollars in the aggregate per recipient in a calendar year, and consumed on an occasion or occasions at which the person paying, directly or indirectly, for the food or beverage, or his representative, is in attendance.
4. The following is the list of expenditures made for food and/or beverage for a calendar year for Representative Stephen J. Duffy, a public official, for calendar year 1992, as reported by the Respondent on its Lobbyist Financial Reports:

<u>DATE</u>	<u>AMOUNT</u>
01-09-92	19.09
01-22-92	21.81
02-27-92	29.54
04-13-92	25.75
06-09-92	18.71
06-29-92	24.39
08-19-92	23.60
09-01-92	21.50
09-22-92	23.83
11-04-92	24.52
11-20-92	29.71

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5. The expenditures described in paragraph four total \$262.45 or \$112.46 over the food and/or beverage gift exemption described in paragraph three.

6. Each occasion paid for by the Respondent after the limit described in paragraph three was reached constitutes a violation of Conn. Gen. Stat. §1-97.

Rachel S. Rubin 6-15-93
Rachel S. Rubin
Supervising Attorney