



STATE OF CONNECTICUT
STATE ETHICS COMMISSION

95-2

July 21, 1995

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

On March 22, 1995, Ethics Commission Attorney Rachel S. Rubin filed a Complaint (Docket No. 95-2) against A. Searle Field, Chief of Staff to Governor Lowell P. Weicker.

The Complaint contained an allegation that Attorney Field violated the Ethics Code's "revolving door" law by representing a private party before his former agency within one year of leaving State service. Specifically, it was alleged that Attorney Field accompanied the Mashantucket Tribal Chairman, Richard A. "Skip" Hayward, his current employer, to a meeting with Governor Rowland and members of his staff within one year of leaving state service. The complaint also alleged that he violated a second "revolving door" provision by representing the Mashantucket Pequot Tribe in a particular matter in which he participated personally and substantially while in state service, i.e. the Tribal-State Compact between the Tribe and the State of Connecticut regarding the operation of slot machines on the reservation.

On July 21, 1995, the Ethics Commission and Mr. Field settled this matter by entering into a Stipulation and Order. Under this settlement agreement, the Commission found that Mr. Field was "exceedingly negligent" in violating the provision of the law which prohibits a former state employee from appearing for compensation before his former agency for one year after leaving state service. The Commission dismissed the second allegation based on the staff investigation which indicated that Mr. Field's involvement in the Compact was not substantial. Mr. Field has agreed to pay a civil penalty of \$1,000.

A copy of the Complaint and Stipulation and Order is attached.

FOR FURTHER INFORMATION CALL:

Rachel S. Rubin
Supervising Attorney



STATE OF CONNECTICUT
STATE ETHICS COMMISSION

DOCKET NUMBER 95-2)	STATE ETHICS COMMISSION
IN THE MATTER OF A)	20 TRINITY STREET
COMPLAINT AGAINST)	HARTFORD, CT 06106
MR. A. SEARLE FIELD)	July 7, 1995

STIPULATION AND ORDER

Pursuant to Connecticut General Statutes §1-177(c), the State Ethics Commission and the Respondent, Mr. A. Searle Field, agree to settle this matter in the manner described below:

1. The Commission finds that the Respondent was exceedingly negligent in violating Conn. Gen. Stat. §1-84b(b) as alleged in the attached Complaint dated March 22, 1995.

2. The Commission dismisses the second allegation of a Conn. Gen. Stat. §1-84b(a) violation contained in the attached Complaint dated March 22, 1995. Based on the staff investigation, the Commission concludes that the Respondent's participation in the Tribal-State Compact (as amended) was peripheral rather than substantial.

3. The Respondent makes the following statement: "On March 8, 1995, I accompanied the Chairman of the Mashantucket Pequot Tribal Nation to a meeting with Governor John Rowland and his Chief of Staff, David O'Leary, which meeting was requested by the Governor's office. At the time of this meeting, although I was familiar with the Connecticut Code of Ethics, it never occurred to me that my attendance would be in violation of Section 1-84b(b).

A review of the legislative history of the "Revolving Door" provisions of the Code indicated that it was enacted to prevent a former employee from exerting undue influence over that employee's former Agency. While the statute's prohibition is absolute, I was seeking no favors or action from the Governor's Office nor were there any employees present whom I thought I might have been able to unduly influence. Obviously, I regret that this entire matter has resulted in the determination of the violation, but want to make it clear that I would never knowingly violate the intent and spirit of that very important law."

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4. The Respondent waives any rights he may have under Conn. Gen. Stat. §§1-82, 1-82a, 1-87, 1-88 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). The Commission agrees to waive its right pursuant to Conn. Gen. Stat. §1-88(c) to report its finding to the chief state's attorney.

WHEREFORE, the State Ethics Commission enters, and Mr. A. Searle Field agrees to, the following order in lieu of any other action it is authorized to take with respect to the Respondent:

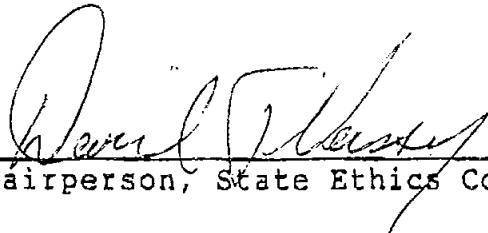
The Ethics Commission orders and the Respondent agrees to pay to the Commission, a civil penalty of One Thousand Dollars (\$1,000.00) within thirty days.



Respondent
A. Searle Field

7/12/95

Dated



Chairperson, State Ethics Commission

7/21/95

Dated

1807P

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

DOCKET NUMBER 95-2) STATE ETHICS COMMISSION
IN THE MATTER OF A) 20 TRINITY STREET
COMPLAINT AGAINST) HARTFORD, CT 06106
MR. A. SEARLE FIELD) MARCH 22, 1995

It is hereby alledged that:

1. Mr. A. Searle Field (hereinafter the "Respondent") held the position of Chief of Staff to Governor Lowell P. Weicker until on or about January 4, 1995.
2. As Chief of Staff, the Respondent was subject to the requirements of the Code of Ethics for Public Officials, Chapter 10, Part I, Connecticut General Statutes, including the post-state employment rules contained in Conn. Gen. Stat. §1-84b.
3. On or about January 15, 1995, the Respondent accepted employment with the Mashuntucket Pequot Tribe (hereinafter referred to as the "Tribe").
4. Conn. Gen. Stat. §1-84b(b) states that no former executive branch public official or state employee shall, for one year after leaving state service, represent anyone, other than the state, for compensation before the agency or office in which he served at the time of his termination of service, concerning any matter in which the state has a substantial interest.
5. Conn. Gen. Stat. §1-84b(a) states that no former executive branch public official or state employee shall represent anyone other than the state, concerning any particular matter (1) in which he participated personally and substantially while in state service and (2) in which the state has a substantial interest.
6. On March 8, 1995, the Respondent accompanied the Mashantucket Tribal Chairman, Richard A. "Skip" Hayward, to a meeting with one or more members of the Office of the Governor, including Governor John Rowland and his Chief of Staff, David O'Leary.

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7. At the meeting described in paragraph six above, the parties discussed one or more matters including the Tribal-State Compact between the Mashantucket Pequot Tribe and the State of Connecticut(as amended) and the enforcement of such Compact, in light of pending legislative action.
8. As Chief of Staff for Governor Weicker, the Respondent was involved in overseeing, and participated in meetings regarding, the "Second Amendment to Memorandum of Understanding" of the Tribal-State Compact between the Tribe and the State of Connecticut dated on or about April 25, 1994.
9. As part of the agreement described in paragraph eight above, the Tribe agreed to maintain its obligation to make annual payments to the State in exchange for the right to operate slot machines on its reservation, despite the separate agreement dated on or about April 25, 1994 reached with the Mohegan Tribe of Indians of Connecticut.
10. The State has a substantial interest in the the Compact described in paragraphs eight and nine above.
11. For the purpose of Conn. Gen. Stat. §1-84b(b), the Respondent's former agency and/or office is the Office of the Governor.
12. The agreement described in paragraphs eight and nine above is a particular matter in which the Respondent participated personally and substantially while in state service due to his involvement described in paragraph eight above.
13. The Respondent's contact with the Office of the Governor at the meeting described in paragraphs six and seven above constituted compensated representation of the Tribe before his former office within one year of his termination of state service regarding a matter in which the state has a substantial interest in violation of Conn. Gen. Stat. §1-84b(b).
14. Based on the discussion described in paragraph seven above, the Respondent violated Conn. Gen. Stat. 1-84b(a) by representing the Tribe concerning a particular matter in which he participated personally and substantially while in state service and in which the state has a substantial interest.