

95-9



STATE OF CONNECTICUT  
STATE ETHICS COMMISSION

July 15, 1996

**PRESS RELEASE**

On October 2, 1995, Ethics Commission Attorney Marianne D. Smith filed a complaint (Docket No. 95-9) against Suzanne West, whose employment with the Office of the Treasurer had been terminated by lay-off on February 16, 1995. During her tenure with the Treasurer's Office, Ms. West had participated substantially in the award of a July 1, 1994 state contract to The O'Connor Group, an investment advisory firm. Subsequent to the termination of her state service, and within one year of the signing of such contract, Ms. West accepted employment with The O'Connor Group, in violation of Conn. Gen. Stat. Sec. 1-84b(d).

On July 12, 1996 the Ethics Commission released a Stipulation and Order in settlement of this matter, in which it found that Ms. West had violated the Code of Ethics, as alleged in the attached complaint, and Ms. West agreed to pay a civil penalty in the amount of \$1,000.

FOR FURTHER INFORMATION CALL:

Alan S. Plofsky  
Executive Director and General Counsel  
or  
Marianne D. Smith  
Ethics Commission Attorney  
(860) 566-4472

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CONFIDENTIAL UNTIL EXECUTED

DOCKET NUMBER 95-9 ) STATE ETHICS COMMISSION  
 IN THE MATTER OF A ) 20 TRINITY STREET  
 COMPLAINT AGAINST ) HARTFORD, CT 06106  
 SUZANNE WEST ) MAY , 1996

STIPULATION AND ORDER

1. The Ethics Commission finds that the Respondent violated the Code of Ethics for Public Officials, Conn. Gen. Stat. §1-84b(d), as alleged in the attached Complaint, dated October 2, 1995.

2. The Respondent admits that after being laid off from state service she accepted employment with the O'Connor Group and that she accepted such employment less than one year after she participated substantially in the award of a state contract, worth \$50,000 or more, to the O'Connor Group. The Respondent states, and the Commission accepts, that she was not aware of the application of §1-84b(d) to persons involuntarily terminated from state service by lay-off.

3. The Respondent waives any rights she may have under Conn. Gen. Stat. §§1-80, 1-82, 1-82a and 1-87, 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. This Stipulation and Order shall not be admissible in any court of law, or in any other criminal or civil proceeding.

WHEREFORE, pursuant to Conn. Gen. Stat. §4-177(c), the State Ethics Commission and the Respondent, Suzanne West, agree to settle this matter in the manner described below:

1. The Ethics Commission orders, and the Respondent agrees to pay to the Commission, a civil penalty of \$1,000. The Respondent has requested, and the Commission has granted, an extension of time for payment of the full amount as follows: An initial payment of \$334.00 shall be made within thirty (30) days of the signing of this Order, with two (2) subsequent payments of \$333.00 each to be paid, respectively, within sixty (60) days and ninety (90) days after signing.

Suzanne R. West  
Respondent

6/20/96  
Date

[Signature]  
Chairperson  
State Ethics Commission

7/12/96  
Date

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

DOCKET NUMBER 95-9                    )           STATE ETHICS COMMISSION  
IN THE MATTER OF A                    )           20 TRINITY STREET  
COMPLAINT AGAINST                    )           HARTFORD, CT 06106  
SUZANNE WEST                         )           OCTOBER 2, 1995

COMPLAINT

1. In April, 1994, the Respondent was employed by the Office of the Treasurer as a Real Estate Investment Officer, and was a state employee within the meaning of Conn. Gen. Stat. §1-79(m).

2. By memorandum dated April 26, 1994, the Respondent recommended to senior management in the Office of the Treasurer that The O'Connor Group, an investment advisory firm, be awarded a state contract as investment manager of a portion of the Real Estate Fund.

3. The O'Connor Group was hired by the Office of the Treasurer, as recommended by the Respondent, pursuant to a contract signed on or about July 1, 1994.

4. The contract between the Office of the Treasurer and The O'Connor Group obliged the State to pay an amount of fifty thousand dollars or more.

5. On February 16, 1995, the Respondent's state employment was terminated by lay-off.

6. After leaving state service, and within one year of the signing of the contract referenced above, the Respondent accepted employment with The O'Connor Group.

7. Conn. Gen. Stat. §1-84b(d) provides that "[n]o former public official or state employee who participated substantially in the negotiation or award of a state contract obliging the state to pay an amount of fifty thousand dollars or more, or who supervised the negotiation or award of such a contract, shall accept employment with a party to the contract other than the state for a period of one year after his resignation from his state office or position if his resignation occurs less than one year after the contract is signed.'

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

8. Pursuant to Regulations of Connecticut State Agencies Sec. 1-81-38(e), the term "resignation," as used in Conn. Gen. Stat. §1-84b(d), includes all forms of separation from state service, including lay-offs.

9. The Respondent's recommendation of The O'Connor Group, as memorialized in the April 26, 1994 memorandum referenced above, constituted substantial participation in the negotiation or award of a state contract, within the meaning of Conn. Gen. Stat. §1-84b(d).

10. The Respondent's acceptance of employment with The O'Connor Group, within one year after the signing of the contract referenced above, violated Conn. Gen. Stat. §1-84b(d).

10/2/95

Date



Marianne D. Smith  
Ethics Commission Attorney

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