



96-4

STATE OF CONNECTICUT

STATE ETHICS COMMISSION

May 2, 1997

PRESS RELEASE

On October 21, 1996, Ethics Commission Principal Attorney Brenda M. Bergeron filed a Complaint (Docket Number 96-4) against Minnesota Mining and Manufacturing Company ("3-M"), alleging that in 1995, 3-M gave two state employees gifts in excess of the \$50.00 annual limit and failed to report at least two expenditures over \$10.00 for the benefit of a public official or staff member in that year. This Complaint was the second complaint against 3-M in a year. The first complaint, filed in March of 1995, was settled in July of 1995 when 3-M paid a \$20,000 fine for similar violations. The violations alleged in the second complaint took place after the settlement of the first complaint.

On May 2, 1997, the Ethics Commission and 3-M settled this second Complaint by entering into a Stipulation and Order. Under the settlement, 3-M agrees to pay the maximum fine of \$8000 and to establish certain procedures to safeguard against any recurrence of these violations, including ongoing ethics training and the establishment of a system of tracking and reporting expenditures for the benefit of Connecticut employees and public officials.

On May 2nd, the Commission also entered into a Stipulation and Order with Dean McLear, a manager at the Department of Transportation, Bureau of Highway Operations. The Stipulation settles a Complaint dated October 21, 1996, which alleged that Mr. McLear accepted rounds of golf and a baseball ticket totalling over \$100 from 3M in 1995. Under the settlement, the Ethics Commission found that Mr. McLear violated the Code of Ethics as alleged, and Mr. McLear agreed to pay a \$500 civil penalty. On March 7, 1997, the Ethics Commission entered into a similar Stipulation with James F. Sullivan of the Department of Transportation. Mr. Sullivan was also fined \$500.

Copies of the Stipulation and Orders and the Complaints are attached.

FOR FURTHER INFORMATION CALL:

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STATE OF CONNECTICUT
STATE ETHICS COMMISSION

DOCKET NUMBER 96-4

STATE ETHICS COMMISSION

IN THE MATTER OF A

20 TRINITY STREET

COMPLAINT AGAINST

HARTFORD, CT 06106

MINNESOTA MINING AND
MANUFACTURING COMPANY

MAY 2, 1997

STIPULATION AND ORDER

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

1. The Commission finds that the Respondent ("3-M") violated the Code of Ethics for Lobbyists, Conn. Gen. Stat. §1-91 et seq., as alleged in the attached Complaint dated October 21, 1997.

2. 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.

NOW THEREFORE, pursuant to Conn. Gen. Stat. §4-177(c), the State Ethics Commission enters, and the Respondent agrees to, the following orders in lieu of any other action regarding this matter:

1. The Respondent agrees to pay a civil penalty of \$8000.00 within thirty days of this Stipulation and Order and henceforth to comply with the Code of Ethics.

2. The Respondent agrees to: (a) require its current employees doing business with the State of Connecticut to attend an ethics training session; (b) establish a system for disseminating the Connecticut ethics laws to current and new employees doing business with the State of Connecticut, and; (c) establish a system of tracking and reporting expenditures for the benefit of Connecticut employees and public officials. The Respondent will provide proof of the establishment of the foregoing systems upon request of the State Ethics Commission.

Respondent 3-M

5/8/97
Dated

State Ethics Commission

5/2/97
Dated

By: Maurice FitzMaurice, Its Chairperson



STATE OF CONNECTICUT
STATE ETHICS COMMISSION

CONFIDENTIAL

DOCKET NUMBER 96-4) STATE ETHICS COMMISSION
IN THE MATTER OF A) 20 TRINITY STREET
COMPLAINT AGAINST) HARTFORD CT
MINNESOTA MINING AND) OCTOBER 21, 1996
MANUFACTURING COMPANY

COMPLAINT
COUNT ONE

1. At all times relevant to this complaint, the Respondent Minnesota Mining and Manufacturing Company ("3-M") 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 states in part that "no registrant or anyone acting on behalf of a registrant shall knowingly give to any state employee. . . 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 3-M gave two state employees gifts exceeding the \$50.00 limit of Conn. Gen. Stat. §1-97.

4. Each time that the Respondent 3-M exceeded the \$50.00 gift limit constitutes a violation of Conn. Gen. Stat. §1-97.


COUNT TWO

1. At all times relevant to this complaint, the Respondent 3-M was a registered client lobbyist or registrant as those terms are used in Conn. Gen. Stat. §1-91 et seq.

2. Connecticut General Statutes §1-96(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 executive branch, or a member of his or her staff.

3. On its end of the year report for 1995, the Respondent 3-M failed to report at least two expenditures of over ten dollars for the benefit of a public official or a member of his or her staff.

4. Each failure to report such an expenditure constitutes a violation of Conn. Gen. Stat. §1-96(e).


Brenda M. Bergeron
Ethics Commission Attorney

Dated 10/21/96