



STATE OF CONNECTICUT  
STATE ETHICS COMMISSION

96-5

March 7, 1997

P R E S S   R E L E A S E

On October 21, 1996, Ethics Commission Attorney Brenda M. Bergeron filed a complaint (Docket Number 96-5) against James F. Sullivan, Bureau Chief, Bureau of Engineering and Highway Operations, Connecticut Department of Transportation. The Complaint alleged that, in 1995, Mr. Sullivan had taken gifts from 3-M Corporation in excess of the \$50.00 annual limit. The gifts, rounds of golf and baseball tickets, totalled more than \$120.00.

On March 7, 1997, the Ethics Commission and Mr. Sullivan settled this matter by entering into a Stipulation and Order. Under the settlement, the Ethics Commission found that Mr. Sullivan violated the Code of Ethics as alleged, and Mr. Sullivan agreed to pay a civil penalty of \$500.00.

Copies of the Complaint and the Stipulation and Order are attached.

FOR FURTHER INFORMATION CALL:

Alan S. Plofsky  
Executive Director and General Counsel  
566-4472

OR

Brenda M. Bergeron  
Ethics Commission Principal Attorney  
566-4472

SullPR

000477



STATE OF CONNECTICUT  
STATE ETHICS COMMISSION

DOCKET NUMBER 96-5

STATE ETHICS COMMISSION

IN THE MATTER OF A

20 TRINITY STREET

COMPLAINT AGAINST

HARTFORD, CT 06106

JAMES F. SULLIVAN

MARCH 7, 1997

STIPULATION AND ORDER

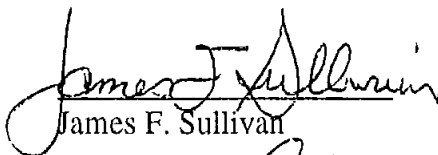
Pursuant to Connecticut General Statutes §4-177(c), the State Ethics Commission and the Respondent James F. Sullivan agree to settle this matter in the manner described below:

1. The Commission finds that the Respondent violated the Code of Ethics for Public Officials as alleged in the attached Complaint dated October 21, 1996.

2. The Respondent waives any rights he may have under Conn. Gen. Stat. §§1-82, 1-82a, 1-87 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).

WHEREFORE, the State Ethics Commission enters and James F. Sullivan agrees to, the following orders in lieu of any other action it is authorized to take with regard to this Complaint:

1. The Respondent is ordered to pay \$500.00, payable within thirty days of this Stipulation and Order and henceforth to comply with the State Code of Ethics for Public Officials.

  
James F. Sullivan

3-3-97  
Dated

  
Maurice Fitzmaurice  
Chairperson, State Ethics Commission

3/7/97  
Dated



STATE OF CONNECTICUT
STATE ETHICS COMMISSION

CONFIDENTIAL

DOCKET NUMBER 96-5 ) STATE ETHICS COMMISSION
IN THE MATTER OF A ) 20 TRINITY STREET
COMPLAINT AGAINST ) HARTFORD, CT 06106
JAMES F. SULLIVAN ) OCTOBER 2, 1996

COMPLAINT

1. At all times relevant to this Complaint, James F. Sullivan (the "Respondent") was Bureau Chief, Bureau of Engineering and Highway Operations, in the Connecticut Department of Transportation, and therefore was a state employee as that term is defined in Conn. Gen. Stat. §1-79(q).

2. Connecticut General Statutes §1-84(m) states in part that no state employee "shall knowingly accept, directly or indirectly, any gift or gifts known to amount to fifty dollars or more in value in any calendar year from any person the ...employee knows or has reason to know: (1) is doing business with or seeking to do business with the department or agency in which the ...employee is employed, (2) is engaged in activities which are directly regulated by such department or agency or (3) has financial interests which may be substantially affected by the performance or nonperformance of official duties by the ...employee."

3. Connecticut General Statutes §1-84(j) prohibits a state employee from knowingly accepting any gift or gifts known to amount to fifty dollars or more in value in any calendar year from a person known to be a registered lobbyist, or anyone known to be acting on behalf of a registered lobbyist.

4. In 1995, the Minnesota Mining and Manufacturing Company ("3-M") was a registered lobbyist doing business or attempting to do business with the Connecticut Department of Transportation.

5. In 1995, the Respondent accepted gifts totaling \$124.67 from 3-M, in violation of both Conn. Gen. Stat. §1-84(m) and Conn. Gen. Stat. §1-84(j).

10/21/96
DATE

Brenda M Bergeron
Brenda M. Bergeron
Ethics Commission Attorney