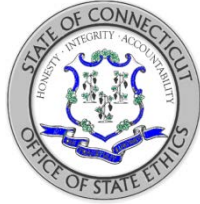




## Client Lobbyist Guide to the Code of Ethics

### Contact Us



**Agency Address:** Connecticut Office of State Ethics  
18-20 Trinity Street  
Suite 205  
Hartford, CT 06106

**Telephone:** 860-263-2400

**Facsimile:** 860-263-2402

**Website:** [www.ct.gov/ethics](http://www.ct.gov/ethics)

**Business Hours:** 8:00 am to 5:00 pm

**Visitors must enter the building through the door next to the Bushnell Memorial Theater.**

**Specific E-mail Contacts:** For the timeliest responses, please be sure to direct your questions to the appropriate e-mail address; for example, with a question such as, "Can I accept this outside position with a vendor?" please be sure to send your query to [ethics.code@ct.gov](mailto:ethics.code@ct.gov)

- |  |  |
|--|--|
| ➤ Legal Advice Regarding Code of Ethics      | <a href="mailto:ethics.code@ct.gov">ethics.code@ct.gov</a>               |
| ➤ Lobbyist Filing/Reporting Questions        | <a href="mailto:lobbyist.ose@ct.gov">lobbyist.ose@ct.gov</a>             |
| ➤ Public Official Filing/Reporting Questions | <a href="mailto:sfi.ose@ct.gov">sfi.ose@ct.gov</a>                       |
| ➤ Enforcement/Filing a Complaint             | <a href="mailto:ethics.enforcement@ct.gov">ethics.enforcement@ct.gov</a> |
| ➤ All Other Inquiries                        | <a href="mailto:ose@ct.gov">ose@ct.gov</a>                               |

[Staff Phone Number Listing](#)

**TABLE OF CONTENTS**

<b>Office of State Ethics</b>	<b>4</b>	
<b>Are You a Lobbyist?</b>	<b>5</b>	
Definitions	5	
What type of lobbyist are you?	5	
<b>Do You Need to Register as a Lobbyist?</b>	<b>6</b>	
<b>Online Lobbyist Filing System</b>	<b>7</b>	
<b>New Users - Create a Username and Password</b>	<b>7</b>	
Step 1	7	
Step 2	8	
Step 3	9	
Step 4	9	
<b>Registration</b>	<b>10</b>	
<b>Which form should you use to register?</b>	<b>10</b>	
Step 1	Log in	<b>10</b>
Step 2	Create Registration (ETH-1B)	<b>10</b>
Step 3	Client Tab	<b>11</b>
Step 4	Incorporation Tab	<b>11</b>
Step 5	In-house Tab	<b>12</b>
Step 6	Communicators Tab	<b>12</b>
Step 7	Subcontractor Tab	<b>13</b>
Step 8	Types of Lobbying Tab	<b>14</b>
Step 9	Issues Tab	<b>14</b>
Step 10	Review Tab	<b>14</b>
Step 11	Payment Tab	<b>15</b>
Step 12	Certification Tab	<b>15</b>
<b>Additional Registration Information</b>	<b>16</b>	
Badges	<b>16</b>	
Replacement Badges	<b>16</b>	
Registration Amendments / Terminations	<b>16</b>	
Reporting	<b>17</b>	
Electronic Signatures	<b>17</b>	
Public Information	<b>17</b>	

<b>Client Lobbyist Financial Reporting</b>	<b>18</b>
<b>What financial reports do you need to file and when?</b>	<b>18</b>
<b>Client Lobbyist Filing Calendar</b>	<b>18</b>
<b>How to File your Financial Report (ETH-2D)</b>	<b>19</b>
Step 1	19
Step 2	19
Step 3	20
Step 4	20
Step 5	21
Step 6	22
Step 7	23
Log in	24
Create a New ETH-2D	25
Client Tab	25
Contracts Tab	26
Payments Tab	27
Expenditures Tab	28
Transactions Tab	29
Screen I	30
Screen II	31
Screen III	31
Step 8	26
Step 9	26
<b>Common Transactions</b>	<b>27</b>
<b>Valuation of Expenditures</b>	<b>27</b>
<b>General Itemization</b>	<b>27</b>
<b>Notification Requirements</b>	<b>28</b>
<b>Reimbursement</b>	<b>28</b>
<b>Splitting Costs</b>	<b>28</b>
<b>Use of Expert Witness</b>	<b>28</b>
<b>Necessary Expenses</b>	<b>29</b>
<b>Providing Necessary Expenses</b>	<b>29</b>
<b>Legislative Receptions</b>	<b>30</b>
<b>What are Legislative Receptions?</b>	<b>30</b>
<b>Itemization on Financial Reports</b>	<b>30</b>
<b>Notification Requirements</b>	<b>30</b>
<b>Gifts</b>	<b>31</b>
<b>Giving Gifts to State Personnel</b>	<b>31</b>
<b>Gift Exceptions</b>	<b>31</b>

## Client Lobbyist Guide to the Code of Ethics

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<b>Political Contributions</b>	<b>32</b>
<b>Permissible Contributions</b>	<b>32</b>
<b>Prohibitions and Considerations</b>	<b>32</b>
<b>Sessional Ban on Lobbyist Contributions</b>	<b>32</b>
<b>Political Conventions</b>	<b>33</b>
<b>Benefits Received at Conventions</b>	<b>33</b>
<b>Charitable Events at Conventions</b>	<b>34</b>
<b>Restrictions and Reporting for Lobbyists</b>	<b>34</b>
<b>Other Considerations and Code Requirements</b>	<b>35</b>
<b>Prohibited Activities</b>	<b>35</b>
<b>Document Preservation</b>	<b>35</b>
<b>Audits</b>	<b>35</b>
<b>Penalties</b>	<b>36</b>

### OFFICE OF STATE ETHICS

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Created on July 1, 2005, under Public Act [05-183](#), the Office of State Ethics (“OSE”) is an independent regulatory division of the Office of Governmental Accountability charged with administering and enforcing the Connecticut Codes of Ethics (“Ethics Codes”), which are found in Chapter 10 of the Connecticut General Statutes.

The OSE’s duties include educating all those covered by the Ethics Codes; interpreting and applying the Ethics Codes; investigating violations of, and otherwise enforcing, the Ethics Codes; and providing information to the public.

The OSE’s jurisdiction:

- |                 |   |
|-----------------|---|
| <b>Part I</b>   | Code of Ethics for Public Officials<br>General Statutes <a href="#">§§ 1-79</a> to <a href="#">1-90a</a>                                |
| <b>Part II</b>  | Code of Ethics for Lobbyists<br>General Statutes <a href="#">§§ 1-91</a> to <a href="#">1-101a</a>                                      |
| <b>Part III</b> | Lobbying: Miscellaneous Provisions<br>General Statutes <a href="#">§§ 1-101aa</a> and <a href="#">1-101bb</a>                           |
| <b>Part IV</b>  | Ethical Considerations Concerning Bidding and State Contracts<br>General Statutes <a href="#">§§ 1-101mm</a> to <a href="#">1-101rr</a> |

The OSE Executive Director has overall responsibility for the welfare and effectiveness of the OSE, which has three divisions, the legal division, the enforcement division, and the administrative division.

The OSE’s governing body is the Citizen’s Ethics Advisory Board (“CEAB”), which has nine members appointed by the Governor and legislative leadership. The CEAB holds monthly meetings that are open to the public. A schedule of CEAB meeting dates, times, and locations is available at [www.ct.gov/ethics](http://www.ct.gov/ethics).

CEAB Members:

- Attend monthly CEAB meetings
- Appoint and evaluate the Executive Director of the OSE
- Issue advisory opinions to persons subject to the Ethics Codes
- Serve as a Hearing Officer for non-confidential hearings held under the Uniform Administrative Procedures Act, General Statutes § [4-166](#) *et. seq.*
- Attend hearings to determine if violations occurred and, if so, assess penalties
- Attend special meetings if necessary
- Oversee legislative agenda

### ARE YOU A LOBBYIST?

#### Definitions.

**Lobbyist** is any person who either expends or agrees to expend, or receives or agrees to receive, \$3,000 or more in a calendar year to communicate directly or to solicit others to communicate with any public official or their staff in the legislative or executive branch, or in a quasi-public agency, in an effort to influence legislative or administrative action. General Statutes [§§ 1-91 \(11\) and \(12\)](#).

Lobbyists are covered by Part II of the Code of Ethics. (Part I of the Code of Ethics covers public officials and state employees.) Each state agency also has its own ethics policy, which may be more restrictive than what follows, particularly in connection with which benefits a lobbyist may provide to public officials and state employees. Be sure to obtain a copy of the state agency's policy before you engage in any lobbying with any agency official or employee.

#### What type of lobbyist are you?

**Client Lobbyist** is the individual or entity *paying* for lobbying services. In other words, the client lobbyist is expending or agreeing to expend the threshold amount of \$3,000 or more in a calendar year. A Client Lobbyist may utilize in-house communicator lobbyists as well as outside communicator lobbyists to conduct its lobbying activities. General Statutes [§ 1-91 \(21\)](#).

**Communicator Lobbyist** is the individual who *receives payment* and does the actual lobbying (i.e., communicating or soliciting others to communicate). A communicator lobbyist receives or agrees to receive \$3,000 or more for lobbying activities in a calendar year. General Statutes [§ 1-91 \(22\)](#).

A communicator lobbyist can be:

1. An individual;
2. A member of a Business Organization (i.e., a firm or association that is owned by or employs a number of lobbyists), General Statutes [§ 1-91 \(20\)](#); or
3. An in-house communicator (a lobbyist who is a paid employee of a client lobbyist).

**Note:** This guide speaks specifically to statutes and regulations regarding client lobbyists. There is a separate guide written specifically for communicator lobbyists which is available on our website.

### DO YOU NEED TO REGISTER AS A LOBBYIST?

You are required by law to register as a lobbyist with the Office of State Ethics if you:

- Expend or agree to expend \$3,000 or more in a calendar year for lobbying and activities in furtherance of lobbying; *OR*
- Receive or agree to receive \$3,000 or more in a calendar year for lobbying and activities in furtherance of lobbying (including any reimbursements).

The \$3,000 registration threshold applies to any combination of the following activities:

**Legislative Lobbying** is any lobbying to affect legislation, including any matter within the cognizance of the legislature, even if you contact an executive branch official as part of your efforts.

**Administrative Lobbying** is any lobbying to affect the rules or regulations of an executive agency or any other matter within the official cognizance of that agency, also including lobbying to affect the actions of an executive or quasi-public agency regarding a contract, grant, award, purchasing agreement, etc.

*See also the exceptions to the requirement to register as an administrative lobbyist, Regulations of Connecticut State Agencies [§ 1-92-42a](#).*

**Activities in Furtherance of Lobbying** are expenditures for research, reports, polls, media buys, activities fostering good will, office expenses, secretarial or paralegal salaries, etc.; essentially the activities that support the actual lobbying efforts.

Once you meet the definition of client lobbyist, and you meet the above monetary threshold, you must register with the OSE on or before January 15 or prior to the commencement of lobbying. During an odd-numbered year, the registration fee is \$250 and the registration is valid for the biennium (i.e., until the end of the next even-numbered year). Registration in an even-numbered year is valid until the end of that even-numbered year and costs \$125. General Statutes [§ 1-95](#).

**Note: Certain Exceptions**

Lobbying does not include communications by a party, its representative or an intervenor in a contested case before an executive agency or quasi-public agency; communications by a representative of a vendor acting as a salesperson and not otherwise engaging in administrative lobbying; and communications by attorneys made while engaging in the practice of law and not concerning legislative actions or changes to rules or regulations. General Statutes [§ 1-91 \(11\)](#).



# Client Lobbyist Guide to the Code of Ethics

## ONLINE LOBBYIST FILING SYSTEM

General Statutes [§ 1-96b](#) requires online filing. In order to file electronically, you must become a registered user by requesting a username and password for the lobbyist filing system.

**Note:** If you already have a username and password (Hint: Your e-mail address is your username) you do not need to create a new username and account; you may proceed to Registration, or click “Forgot Password?” A temporary password will be sent to your e-mail.

For a client lobbyist, online filing consists of:

1. Creating a User Account;
2. Registering with the OSE ([ETH-1B](#)); and
3. Periodic financial reporting ([ETH-2D](#)).

### New Users - Create a User Account

#### STEP 1

Visit our website at [www.ct.gov/ethics](http://www.ct.gov/ethics). Select “Lobbyist Filing & Information” from the left hand navigation panel, then select “Registration” located to the right of “New Users”.

#### LOBBYIST FILING SYSTEM – [New Users - Registration](#)

Select “Create User Account” for Client Lobbyist

**Office of State Ethics** Lobbyist Registration Portal

[Guide](#) [FAQ's](#) [OSE Home](#)

**I would like to become a Registered User**

You are required by law to register as a lobbyist with the Office of State Ethics (OSE) if you expend or agree to expend \$3,000 or more in a calendar year on lobbying (i.e. client lobbyist), or receive or agree to receive compensation or reimbursement for actual expenses, or both, in a combined amount of \$3,000 or more in a calendar year for lobbying (i.e., communicator lobbyist).

You must complete a request for User ID/Password to register and file reports electronically by submitting either an ETH-4B (for use by Client Lobbyist/In-House Communicator) or ETH-4A (for use by Outside Communicators Lobbyists- Business Organization)..

**WHO ARE YOU?**

You are a client lobbyist if:	You are an outside communicator lobbyist (business organization) if:
<ul style="list-style-type: none"><li>■ You are a party or organization on behalf of whom lobbying takes place.</li><li>■ You make expenditures or agree to make expenditures for \$3,000 or more in a calendar year for lobbying and in furtherance of lobbying.</li><li>■ You employ in-house communicator(s).</li></ul>	<ul style="list-style-type: none"><li>■ You are a party or organization who lobbies on behalf of a client.</li><li>■ You receive or agree to receive compensation or reimbursement for actual expenses, or both, in a combined amount of \$3,000 Or more in a calendar year for lobbying.</li><li>■ You are not a client lobbyist</li></ul>

[Create User Account](#) [Create User Account](#)

[Back](#)

IF YOU ARE UNSURE OF WHO YOU ARE, PLEASE CONTACT THE OFFICE OF STATE ETHICS AT (860) 263-2400

## Client Lobbyist Guide to the Code of Ethics

### STEP 2

Verify that you are not creating a duplicate user account and assign an Authorized Agent.

When creating a new user account, the registration system requires you to search to ensure that you are not already in the system as a Client Lobbyist. It also requires you to search for an authorized agent, who is either the registrant or another individual who is authorized by the client lobbyist to make changes to the account and to submit required financial statements. If the registrant is not an individual, an authorized officer or agent of the registrant shall sign the form.

General Statutes [§ 1-95\(a\)](#)

Client Lobbyist - ETH 4B

Search for Client Lobbyist:

(If the name of the Client Lobbyist is not found, enter new Client Lobbyist name below.)

New Client Lobbyist \*

Search for Authorized Agent by Last Name:

New Authorized Agent:


Last Name: \*

First Name: \*

Phone Number: \* (  )  -  ext:



Email Address: \*

Confirm Email Address: \*

  
Enter the security code shown:

[Regenerate Image](#)

By submitting this authorization form/application for username and password, you agree that you will not use the Office of State Ethics lobbyist Electronic Filing System for information and services related thereto for any unlawful purpose. Unauthorized use or attempts to upload or change information stored in this system may result in civil penalties or criminal prosecution or both.

 **Office of State Ethics** Lobbyist Registration Portal 

[Guide](#) [FAQ's](#) [OSE Home](#)

**An email containing your username and password was sent to your provided email address.**

After creating a User Account, you will receive an e-mail containing a username and temporary password, which will allow you to log in to the lobbyist filing system to continue to the registration process.

**Note:** Creating a username and account is **not** a registration.

## Client Lobbyist Guide to the Code of Ethics

### STEP 3

Retrieve your temporary password from email notification and log in to the Lobbyist Filing System. After you log in, using the temporary password, you will be asked to create a new password.

#### E-Mail Notification with Temporary Password that you will receive

Dear Client Name,

Thank you for using the ETHICS Lobbyist system. Your new password has been created.

Please log in to ETHICS Lobbyist system (<https://www.oseapps.ct.gov/NewLobbyist/security/loginhome.aspx>) with the information as follows:

Log in Name: [your email address](#)

Password: U6fluD6b (Temporary Password – Case Sensitive)

Thank you,

Sincerely,

Office of State Ethics

Website: <https://www.oseapps.ct.gov/NewLobbyist/security/loginhome.aspx>

(This message was sent to you by an automated e-mail system. Please don't reply to it).

### STEP 4

Enter Information for your personal profile.

The screenshot shows a web form titled "PERSONAL PROFILE" with a sub-header "Update Your Profile". The form contains several input fields for personal information: Last Name (with "Lobbyist" entered), First Name (with "Client" entered), Street Address 1, Street Address 2, City, State (a dropdown menu currently showing "CONNECTICUT"), Zip, Phone Number (with "860" in the first box, "283" in the second, and "2397" in the third), and Facsimile Number. A blue "Update Profile" button is located at the bottom of the form. In the top right corner of the page, there is a "Welcome! Client Lobbyist" message with a small icon.

Congratulations! You have successfully created an account and are ready to proceed to registration.

# Client Lobbyist Guide to the Code of Ethics

## REGISTRATION

### Which form should you use to register?

Client Lobbyists and In-house Communicator Lobbyists must register by completing the **ETH-1B**.

Individual communicator lobbyists and business organization communicator lobbyists register by completing the **ETH-1A**. These forms are located and can be accessed by logging in to the [Lobbyist Filing System](#).

### On-Line Registration

#### STEP 1 – Log in

Visit our website at [www.ct.gov/ethics](http://www.ct.gov/ethics). Select “Lobbyist Filing & Information” from the left hand navigation panel then select “[Log-In to Filing System](#).” Log in by entering your Username and Password in the log in box on the right hand side of the screen.



#### STEP 2 – Create a Registration (ETH-1B)

From the main Dashboard screen, select ETH-1B from the left hand navigation panel. The screen below will appear. Click on the orange button on the right that says “Create New ETH-1B.”



# Client Lobbyist Guide to the Code of Ethics

## STEP 3 – Client Tab

Enter your client lobbyist information and responsible person information, and then click “Continue.” Red asterisks \* indicate a required entry. You may return to an earlier screen by clicking on the tabs at the top or by clicking the “back” button on the bottom of the screen. If you are unable to complete your report, click on “save draft,” and you will be able to return later to complete the report.

The screenshot shows the 'Client Lobbyist Information' section of the registration portal. It includes a navigation bar with tabs for Client, Incorporation, In-House, Communicators, Subcontractor, Type of Lobbying, Issues, Review, Payment, and Certification. The 'Client' tab is active. The form contains the following fields:

- Select Registration Period: 2016 (indicated by an orange arrow)
- Name of Client Lobbyist: 2016 Client Lobbyist Guide
- Street Address 1, Street Address 2, City, State (CONNECTICUT), Zip
- Responsible Person Information: Search by Last Name, Last Name, First Name, Job Title, Email Address, Business Address 1, Business Address 2, City, State (CONNECTICUT), Zip, Phone Number, Facsimile Number
- Buttons: Continue, Save Draft, Clear, Cancel (indicated by an orange arrow)

## STEP 4 – Incorporation Tab

State whether you are incorporated or, if not, identify your principal officers and directors. (Note: If adding Officers and Directors, you must click on “Add Officers” once an entry is complete.) When complete, click “Continue.”

The screenshot shows the 'Incorporation' section of the registration portal. It includes the same navigation bar as Step 3. The 'Incorporation' tab is active. The form contains the following fields:

- Is the client incorporated? Yes (radio button), No (radio button, selected)
- Place of Incorporation, Principal Place of Business
- Principal Officers and Directors: Search by Last Name, Title (dropdown), Last Name, First Name, Street Address 1, Street Address 2, City, State (CONNECTICUT), Zip, Email Address
- Buttons: Continue, Save Draft, Back, Clear, Cancel, Add Officers (indicated by an orange arrow)

### STEP 5 – In- House Tab

#### Contributors

State whether you are formed primarily for lobbying. (There is a presumption that, when over half of a registrant’s expenses are used for lobbying or in furtherance of lobbying in any six month period, the registrant is formed “primarily” for lobbying.) If “yes,” you must list the names and addresses of any individuals or entities contributing \$3,000 or more to your lobbying activities in any calendar year. You must click on “Add Contributor” for each. Regulations of Connecticut State Agencies [§ 1-92-46a\(d\)](#).

#### In-House Communicators

Enter the name of any in-house communicators. You must click on “Add In-House” for each entry. When complete, click “Continue.”

The screenshot shows the 'Office of State Ethics' Lobbyist Registration Portal. The user is on the 'In-House' tab. The form is titled 'Are you formed primarily for lobbying?' with radio buttons for 'Yes' and 'No'. Below this is the 'Contributors' section, which includes a search bar and input fields for 'Last Name', 'First Name', 'Company Name', 'Street Address 1', 'City', 'Street Address 2', 'Email Address', 'State', and 'Zip'. An 'Add Contributor' button is located to the right of the 'State' field. Below the 'Contributors' section is the 'In-House Communicators' section, which includes a search bar and input fields for 'Last Name', 'First Name', and 'Email Address'. An 'Add In-House' button is located to the right of the 'Email Address' field. At the bottom of the form are buttons for 'Continue', 'Save Draft', 'Back', 'Clear', and 'Cancel'. Two orange arrows point to the 'Add Contributor' and 'Add In-House' buttons.

### STEP 6 – Communicators Tab

#### Outside Communicators

Enter the business organization and outside communicator lobbyist(s) who will lobby on your behalf and the terms of compensation for each. Click on “Add Members” for each outside communicator and “Add Term” for each contract. Remember, if registering in an odd-numbered year, you should enter the contract amount for two years, unless you only intend to hire the communicator for a single year.

**Note:** Any changes in terms of compensation with your communicator lobbyist(s) must be filed as an amendment to the registration. **Remember:** Your registration reflects compensation for communicators for the two-year registration period.

# Client Lobbyist Guide to the Code of Ethics

The screenshot shows the 'Office of State Ethics' website interface. At the top, there is a navigation bar with 'Dashboard', 'Guide', 'FAQ's', 'OSE Home', and 'Logout'. Below this, a breadcrumb trail includes 'Client', 'Incorporation', 'In-House', 'Communicators', 'Subcontractor', 'Type of Lobbying', 'Issues', 'Review', 'Payment', and 'Certification'. The main heading is 'Do you use outside communicator lobbyist(s) (i.e. other than client's own employee(s))?' with radio buttons for 'Yes' (selected) and 'No'. Below this is the 'Outside Communicators' section, which includes a search by business organization field and a section for adding members with fields for last name, first name, email address, and phone number, and an 'Add Members' button. The 'Terms of Compensation' section includes checkboxes for 'Sales Tax' and 'Expense Reimbursement', a field for 'Amount', a 'Time Period' field, and checkboxes for 'Expert witness or consultant', 'Grass-roots', 'Media', and 'Polling', with an 'Add Term' button. At the bottom, there are buttons for 'Add Next Business Organization', 'Continue', 'Save Draft', 'Back', 'Clear', and 'Cancel'. Two orange arrows point to the 'Add Members' and 'Add Term' buttons.

## STEP 7 – Subcontractor Tab

This applies if a communicator lobbyist subcontracts with or through another individual (i.e., a subcontractor) to lobby on your behalf. Enter any subcontractors who will provide lobbying on your behalf.

The screenshot shows the 'Office of State Ethics' website interface, specifically the 'Subcontractor' tab. The breadcrumb trail includes 'Client', 'Incorporation', 'In-House', 'Communicators', 'Subcontractor', 'Type of Lobbying', 'Issues', 'Review', 'Payment', and 'Certification'. The main heading is 'Do subcontractor(s) lobby on client's behalf? (i.e. person hired by client's outside communicator lobbyist)' with radio buttons for 'Yes' (selected) and 'No'. Below this is the 'Subcontractor Type' section with radio buttons for 'Business' (selected) and 'Individual'. The 'Subcontractor' section includes fields for 'Business Name', 'Business Address 1', 'Business Address 2', 'City', 'State' (a dropdown menu currently showing 'CONNECTICUT'), and 'Zip'. There is an 'Add Subcontractor' button at the bottom right. At the bottom of the form, there are buttons for 'Continue', 'Save Draft', 'Back', 'Clear', and 'Cancel'.

## Client Lobbyist Guide to the Code of Ethics

### STEP 8 – Type of Lobbying Tab

Enter the type of lobbying you are registering for: Administrative, Legislative or Both. Identify the agencies that you plan to lobby and indicate if you are soliciting state contracts or procurement awards with any agency. Click “Add Agency” or “Add Contract/Award” for each entry.

The screenshot shows the 'Office of State Ethics' Lobbyist Registration Portal. The user is on the 'Type of Lobbying' tab. The 'Activities Registering for' section has radio buttons for 'Administrative', 'Legislative', and 'Both', with 'Both' selected. Below this is a search box for 'Name of Agency being lobbied' and an 'Add Agency' button. A second search box is for 'Soliciting State Contracts or Procurement Awards' with an 'Add Contract/Award' button. At the bottom are buttons for 'Continue', 'Save Draft', 'Back', 'Clear', and 'Cancel'. An orange arrow points to the 'Add Agency' button.

### STEP 9 – Issues Tab

Enter the nature of your business; then check all issues on which you expect to lobby.

The screenshot shows the 'Office of State Ethics' Lobbyist Registration Portal. The user is on the 'Issues' tab. The 'Nature of Client's Business' field is empty. Below it is a list of issues to check, with a 'Search' button and 'Check All' and 'Clear All' options. The issues are organized into three columns. At the bottom are buttons for 'Continue', 'Save Draft', 'Back', 'Clear', and 'Cancel'.

### STEP 10 – Review Tab

Reviewing your registration, click the blue “Back” button on the bottom of the screen to update/change any information you entered. You may also click on the arrows across the top of the screen to return to a particular section. If there are no further updates or changes click “Continue.”



## Client Lobbyist Guide to the Code of Ethics

### STEP 11 – Payment Tab

Select your Payment Method: Check or Credit Card. Registration generally occurs biennially (every two years). During an odd-numbered year, the registration fee is \$250 and the registration is valid for the biennium (i.e., until the end of the next even-numbered year). Registration in an even-numbered year is valid until the end of that even-numbered year and costs \$125. **Note:** A registration is not final and submitted until payment is received by the Office of State Ethics.

The screenshot shows the 'Payment Method' tab in the Lobbyist Registration Portal. The page header includes the 'Office of State Ethics' logo and navigation links for Dashboard, Guide, FAQ's, OSE Home, and Logout. A breadcrumb trail shows the user's progress: Client, Incorporation, In-House, Communicators, Subcontractor, Type of Lobbying, Issues, Review, Payment, and Certification. The 'Payment Method' section displays the following information:

Name of Client Lobbyist:	2016 Client Lobbyist Guide
Registration Number:	5168
Name of Client/ In House Communicators:	---
Fee required:	\$ 125.00
Date:	7/13/2016
Payment Method:	Credit Card

Below this, the 'Credit Card Details' section includes a note: 'The State of Connecticut only accepts the following Credit Cards: Visa, Master, Discover or American Express'. It contains input fields for Card Number, Expiration Date (07/2016), CVV Code, Name as on Credit Card, and Payment Amount (\$ 125.00). Buttons for Continue, Back, Clear, and Cancel are at the bottom.

### STEP 12 – Certification Tab

You must certify the registration under penalty of false statement, before filing to the state. Check the box next to "I have read and agree to all above certifications" and click the "File to State" box. Payment, certification and filing registration to the state must occur before you can lobby.

**Note:** Lobbying by persons who have not certified this registration may result in penalties of up to \$10,000.

The screenshot shows the 'Certification' tab in the Lobbyist Registration Portal. The page header is identical to the previous screenshot. The breadcrumb trail is: Client, Incorporation, In-House, Communicators, Subcontractor, Type of Lobbying, Issues, Review, Payment, and Certification. The 'Certification' section contains the following text:

I do hereby swear or affirm, under penalty of false statement, that:

- I am authorized to file this registration with the Office of State Ethics on behalf of this Client Lobbyist, with the understanding that this registration is not final and submitted until the named member(s) of the Business Organization has (have) certified this registration.
- I have personally reviewed the information herein and the information contained in any attachments hereto.
- The information contained in this form and all of the attachments hereto (if any) are true, correct, and complete to the best of my knowledge, information, and belief.
- If, at any point in time, I become aware that the information contained herein, or on any attachment, is inaccurate or incomplete I will timely amend the form so that the information is true, correct and complete.
- Any amendment made to this form in the future will be true, correct and complete.
- Any reports required to be filed during the period for which this registration is active will be true, correct, and complete to the best of my knowledge, information and belief.

The 'Name' field is populated with 'Nancy Nicolescu'. Below the list is a checked checkbox:  I have read and agree to all above certifications.

A warning message states: 'YOU ARE OBLIGED BY LAW TO AMEND YOUR ETHIC FILINGS TO ENSURE THEY ARE CURRENT AND ACCURATE. LOBBYING UNDERTAKEN BY MEMBER(S) WHO HAS(HAVE) NOT CERTIFIED THIS REGISTRATION MAY RESULT IN PENALTIES OF UP TO \$10,000.' An orange arrow points to the 'File to State' button.

Congratulations! You have completed your registration as a client lobbyist.

### Additional Registration Information

#### Badges

Each individual who is a lobbyist shall, while engaged in lobbying, wear a distinguishing badge which shall identify him as a lobbyist. General Statutes [§ 1-101](#).

#### Replacement Badges

Replacement badges may be purchased for \$1.00 *cash only*. The fee is collected when you pick up your badge at the Office of State Ethics. Log-in to the [Lobbyist Filing System](#) and select “Request Badges” from your Dashboard.

The screenshot shows the 'Office of State Ethics' Lobbyist Registration Portal. The dashboard is titled 'DASHBOARD for 2016 Client Lobbyist Guide'. It features a navigation menu on the left with categories: REGISTRATION (ETH-1B, ETH-2A, ETH-2B, ETH-2D), DISCLOSURE, ACTIVITY (Awaiting Certification), ADMINISTRATION (Draft Filings), and REPORTS (Compiled Reports). The main content area includes 'My Message' with a note about registration fees, 'My Statistics' with a table, and 'Registrations Awaiting Your Certification' with 'No records found.' An orange arrow points to the 'Request Badges' link in the ADMINISTRATION section.

Outside Communicators	0
Registered In-House Lobbyists	1
My Pending Certification	0

#### Registration Amendments/Terminations

To amend or terminate your registration, log in to the [Lobbyist Filing System](#), select your ETH-1B and click on “amend.” Note that amendments that add a communicator lobbyist include the payment page for the corresponding fees.

**Amendments:** Amendments must be filed if there is a change in your lobbying activities, such as: (a) changes to fundamental contract terms or agreements to subcontract lobbying work; and (b) additions or deletions of communicator lobbyists.

**Termination:** You must file a notice of termination within 30 days after you cease the activity that first triggered registration. In doing so, you must certify that you do not intend to resume such lobbying activity for the remainder of the 2-year registration period. General Statutes [§ 1-95 \(c\)](#).

It is important to remember that a post-termination report is due between January 1 and January 10 of the year following your termination, whether or not you engage in lobbying activities or make expenditures during that period. This report covers the period from the termination date through December 31 of the year in which termination took place. General Statutes [§ 1-96 \(d\)](#). For example, even if you terminate your registration on June 1, 2017, you still must file a post-termination report between January 1 and January 10 of 2018.

## Client Lobbyist Guide to the Code of Ethics

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**Note:** If you have terminated and, subsequent to your termination, expend monies incident to prior lobbying or expend \$10 or more for the benefit of a public official, their staff or family member(s) within six months of terminating, you must file an ETH-2D with the OSE within 30 days. General Statutes [§ 1-96 \(g\)](#).

### Reporting

Once registered, you have filing responsibilities. You must file all reports, amendments and terminations online.

### Electronic Signatures

An electronic signature satisfies the signature requirement of the Code of Ethics. Registrants who file online reports and who submit electronic signatures are considered to have duly “signed” the report. (Pursuant to [§§ 1-272 \(d\)](#), [1-274 \(a\)](#) and [1-276](#) of the Connecticut Uniform Electronic Transactions Act.)

### Public Information

All disclosed information is available to the public in a variety of formats. Access to this information is available from our website in the lobbyist registration portal. Commonly requested reports include the lobbyist list, terms of compensation, concern/interest grouping, expenditures for the benefit of a public official, client financials, and client demographics.

**CLIENT LOBBYIST FINANCIAL REPORTING**

**What financial reports do you need to file and when?**

In addition to the registration form(s), registered lobbyists need to file periodic financial reports.

**Client Lobbyists** file the **ETH-2D** form **quarterly** and, in some instances, **monthly**. This form gathers information such as compensation, sales tax and money expended in connection with lobbying; expenditures benefiting a public official or their staff or immediate family; all other lobbying expenditures; and the fundamental terms of any contract or agreement. General Statutes [§ 1-96 \(e\)](#).

File the **ETH-2D quarterly**, between the 1st and 10th day of the months of April, July and January (3rd and 4th quarters are combined). General Statutes [§ 1-96 \(a\)](#). All client lobbyists **must** file *all* quarterly reports, with the third and fourth quarters filed together. All client lobbyists must file quarterly, *even if there were no lobbying activities or expenditures made during the reporting period, and/or have terminated*.

In addition, you must file the **ETH-2D monthly**:

- IF the legislature is in regular session;
- **AND** you have expended or agreed to expend \$100 or more in legislative lobbying during the previous month.

**Client Lobbyist Filing Calendar**

Client Lobbyist Quarterly Reporting Schedule	Due Dates
<b>January 1- March 31</b> (First Quarter Report)	<b>April 10</b>
<b>April 1 - June 30</b> (Second Quarter Report)	<b>July 10</b>
<b>July 1 - December 31</b> (Third and Fourth Quarters Combined)	<b>January 10</b>

Client Lobbyist Monthly Reporting Schedule	Due Dates
<b>January 1 - January 31</b>	<b>February 10</b>
<b>February 1 - February 29</b>	<b>March 10</b>
<b>March 1 - March 31</b> <b>1<sup>st</sup> Quarter Report</b>	<b>April 10</b>
<b>April 1 - April 30</b>	<b>May 10</b>
<b>May 1 - May 31</b>	<b>June 10</b>
<b>June 1 - June 30</b> <b>2<sup>nd</sup> Quarter Report</b>	<b>July 10</b>

# Client Lobbyist Guide to the Code of Ethics

## How to File Your Financial Report – ETH 2D

### STEP 1 – Log in

Visit our website at [www.ct.gov/ethics](http://www.ct.gov/ethics). Select “Lobbyist Filing & Information” from the left hand navigation panel and select the [Lobbyist Filing System](#) link to log-in.

The screenshot shows the 'Office of State Ethics' Lobbyist Registration Portal. On the left, there are registration statistics for 2015-2016: Client Lobbyists (04), In House Communicators (02), Business Organizations (02), and Communicator Lobbyists (03). A central message states: 'Please note: Lobbyist Registrations Fees for Odd years are now \$2: for even years'. On the right, there is a 'Lobbyist Registration login:' section with fields for 'Username:' and 'Password:', and buttons for 'Login' and 'Clear'. Below the login fields is a link for 'Forgot Password?'. An orange arrow points to this link. At the bottom, there are navigation tabs for 'Compiled Reports', 'Lobbyist Filings', and 'Support', along with a list of report options like 'Registration Period: 2015 - 2016' and 'Additional Reports'.

Log in by entering your Username and Password in the log in box on the right hand side of the screen.

Your e-mail address is your username.

Click: “Forgot Password?” To have a temporary password sent to your e-mail.

### STEP 2 – Create a New ETH-2D

From the main Dashboard screen, select “ETH-2D” from the left hand navigation panel. The screen below will appear; click on the orange button on the right that says “Create New ETH-2D.”

The screenshot shows the 'Office of State Ethics' dashboard. On the left, there is a navigation menu with categories: REGISTRATION (ETH-1B, ETH-2A, ETH-2B), ADMINISTRATION (Authorized Agent, Request Badges), PERSONALIZATION (Set Default View, Personal Profile), and REPORTS. The 'ETH-2D' link is highlighted with an orange box and an orange arrow points to it. On the right side of the dashboard, there is a prominent orange button labeled 'Create New ETH-2D' with another orange arrow pointing to it. The main content area shows a search bar for '2016 Client Lobbyist Guide' and a 'Filing Year' dropdown set to 2016.

**Note:** Each total you report is for the month, quarter(s), or post-termination period being reported and for that period only. The exception to this rule is that each client registrant, on the **first financial report** following registration, must disclose any expenditures incident to lobbying which were made prior to registration and not previously reported. General Statutes [§ 1-96 \(e\)](#).

## Client Lobbyist Guide to the Code of Ethics

### STEP 3 – Client Tab

Select “Registration Period” and “Filing Period,” then click “Continue.”

Office of State Ethics  
Lobbyist Registration Portal  
Welcome! Nancy Nicolescu - (2016 Client Lobbyist Guide)

Client Name: 2016 Client Lobbyist Guide  
Select Registration Period: 2016

Current Filing Period

Type	Filing Period
Administrative/Legislative	Select One
	January
	February
	March/First Quarter
	April
	May
	June/Second Quarter
	July
	August
	September
	October
	November
	December/Third-Fourth Quarter

Continue Save Draft Clear Cancel

### STEP 4 – Contracts Tab

#### Fundamental Terms of Contracts – *In Furtherance of Lobbying*

Report the fundamental terms, including the dollar amount, of *any* financial agreement made, or amended, *in furtherance of lobbying* (e.g., media, polling, legislative tracking services, etc.) on the first financial report following its making or amendment. Search for vendor, and fill-in the required fields, then “Add Contract.” Do this for each contract.

**Note:** If you utilize an outside communicator **do not** enter the terms of contract in this section. A contract with a business organization or communicator lobbyist is reported on the registration.

Office of State Ethics  
Lobbyist Registration Portal  
Welcome! Nancy Nicolescu - (2016 Client Lobbyist Guide)

FUNDAMENTAL TERMS OF CONTRACTS

Report the fundamental terms of contract, INCLUDING THE DOLLAR AMOUNT, of all contracts, e.g., \$50,000 for media, \$15,000 for polling, etc. to make expenditures IN FURTHERANCE OF LOBBYING. (Report this information only on the first financial report following the making or amendment of the contract, etc. DO NOT INCLUDE IN OTHER SECTIONS OF THE FORM UNTIL PAID)

Search by Name:  Name:

Address 1:  Address 2:

City:  State: CONNECTICUT Zip Code:

Email Address:  Amount: \$

Categories of Work (other than lobbying):  Expert witness or consultant  Grass-roots (i.e., direct mail or phone solicitation)  Media (print or electronic advertising)  Polling  Other

Add Contract

Continue Save Draft Back Clear Cancel

### STEP 5 – Payments Tab

#### Compensations, Reimbursement & Sales Tax

Report each payment made to communicator lobbyist(s) or payments outside the organization for services in furtherance of lobbying. Select “Administrative” or “Legislative” lobbying. If you made payments for both legislative and administrative lobbying, it is important to note that any reportable expenditure made in furtherance of lobbying must be accurately divided between legislative and administrative activities and reported separately. For a description of types of lobbying, see page 5 of this guide.

**Note:** This reporting tab applies to compensation, reimbursement and sales tax to **communicators and vendors** with whom you have a financial agreement. The next tab, “Expenditures,” is utilized to report all other expenditures made in furtherance of lobbying, including pro rata salary payments to: (1) employees who lobby but are not required to register; (2) employees who work in furtherance of lobbying, (e.g., paralegals, researchers); and (3) paid media communications and other miscellaneous expenditures described in Step 6, below – Expenditures Tab.

#### Under this tab, you must:

- Report payments made for compensation and reimbursement paid to each communicator who lobbied on your behalf.
- Report payments made to your in-house communicator(s), if applicable. Use a *prorated salary amount* to report the dollar value of the time each in-house communicator spent actually lobbying and/or in furtherance of lobbying.
- Report payments for services in furtherance of lobbying, e.g., media, consultants, pollsters.
- Report sales tax. If sales tax is not applicable, the system requires you to enter “0” in the sales tax field.
- Report expense reimbursement for lobbyist-related expenditures (e.g., mileage, parking). If the payment does not have an expense reimbursement associated with it, the system requires you to enter “0” in the expense reimbursement field.

The screenshot shows the 'Office of State Ethics' Lobbyist Registration Portal. The user is logged in as Nancy Nicolescu. The 'Payments' tab is active, and the form is for reporting compensation, reimbursement, and sales tax. The form includes the following fields and options:

- Selected Type:** Administrative (dropdown menu)
- Business Organization / Name of Payee:** Select Payee (dropdown menu)
- Prorated Amount of Salary:** \$ [input field]
- Date Paid:** [input field]
- Fee or Retainer:** \$ [input field]
- Sales Tax:** \$ [input field with 0]
- Expense Reimbursement:** \$ [input field with 0]
- Category of Work:** Select Workcategory (dropdown menu)

Buttons at the bottom include 'Continue', 'Save Draft', 'Back', 'Clear', 'Cancel', and 'Add Payment'. An orange arrow points to the 'Add Payment' button.

Click “Add Payment” for each payment entered.

## Client Lobbyist Guide to the Code of Ethics

### STEP 6 – Expenditures Tab

**Other Reportable Expenditures –Do not include amounts already reported as compensation or reimbursement.**

Select “Administrative” or “Legislative” lobbying. It is important to note that each reportable expenditure made in furtherance of lobbying must be accurately divided between legislative and administrative activities and reported separately. For a description of types of lobbying: See page 5 of this guide.

The screenshot shows the 'Office of State Ethics' Lobbyist Registration Portal. The user is logged in as Nancy Nicolescu. The 'Expenditures' tab is selected in the navigation menu. The page title is 'ETH-2D Lobbyist Report for Use by Client for 2016 Client Lobbyist Guide'. The main heading is 'OTHER REPORTABLE EXPENDITURES'. Below this, there is a instruction: 'Client lobbyist must also disclose, in the aggregate, amounts paid during the reporting period for the following activities in furtherance of lobbying. Do not include amounts already reported as compensation or reimbursement.' The form includes a 'Selected Type' dropdown menu set to 'Administrative'. There are five input fields for dollar amounts: 'Expenditure of Benefit for the Public Official', 'Paid Media Communication', 'Solicitations', 'Office Expenses', and 'Other Expenses'. An 'Add Expenditure' button is located to the right of the 'Other Expenses' field. At the bottom of the form, there are buttons for 'Continue', 'Save Draft', 'Back', 'Clear', and 'Cancel'.

### Report Expenditures for the Benefit of Public Official.

- Under the Expenditures Tab, you must report the *aggregate* figure for all expenditures you made for the benefit of a public official, or a member of the official’s staff or immediate family, *in furtherance of lobbying*, whether or not the expenditure exceeded \$9.99. **Note:** You will itemize some of these expenditures and related reimbursements under the Transactions Tab.
- Report payments for all occasions or transactions that are in furtherance of lobbying, including payments for your communicator lobbyists to attend such occasions.

**Report Paid Media Communications.** You must report any expenditures for media communications that refer to pending legislative or administrative action (newspapers, radio, television, web ads, etc.).

**Report Solicitations.** You must report any expenditures to in-house personnel for any solicitations of *persons outside your organization* to communicate with a public official or state employee for the purpose of influencing any legislative or administrative action, (e.g., mass mailings, phone banks, etc.).



### Expenditures Tab (Continued)

**Report Office Expenses.** You must report the pro rata value of any office expenses in furtherance of lobbying (i.e., the cost of clerical services, telephone usage, postage, etc.) and include the monthly rental for an office for any month during which the office is used primarily (over 50%) for lobbying activities.

**Report Other Expenses.** You must report all other expenditures made in furtherance of lobbying, including:

- (1) pro rata salary payments to employees who lobby but are not required to register,
- (2) pro rata salary payments to employees who work in furtherance of lobbying, (e.g., paralegals, researchers, etc.),
- (3) paid services or subscriptions which may assist research (e.g., a legislative tracking system, computer research system, etc.), and
- (4) all other miscellaneous expenditures in furtherance of lobbying (e.g., gifts to the state).

**Note: Pro-Rata Salary**

Salary includes gross wages paid. Fringe benefits, such as retirement plan or employers' contributions to a health plan, should *not* be included in the computation of compensation.

**Example:** If an employee (who is not an in-house communicator) whose salary is \$2,000 per month spends 50% of his/her time on lobbying-related activities, then you should report \$1,000.

### STEP 7 – Transactions Tab

#### Circumstance of Transaction

Itemize expenditures for the benefit of a public official in the legislative or executive branch or for the benefit of the official's staff or immediate family, regardless of whether the expenditure is related to lobbying.

(Expenditures for which you reimburse a communicator lobbyist must also be reported in the aggregate, as expense reimbursements.)

**Note:** For details concerning which expenditures must be itemized please see the "Common Transactions" section of this guide, page 27.

# Client Lobbyist Guide to the Code of Ethics

## Screen I – Transaction Tab

### Select a Transaction Type:

- Charitable / Civic Event
- Other Food and Drink
- Gift to the State
- Legislative Reception
- Necessary Expense
- Plaque/Award

### Enter the following information and then click “Add Transaction”:

- Date
- Select whether transaction is related to lobbying
- Location Name
- Address, City, State and Zip Code
- Description / Purpose

If you are entering a **Necessary Expense** transaction you will need to identify one of the following:

- Article
- Appearance
- Speech
- Active Participation
- Speaker
- Panelist
- Moderator
- Presenter
- Other

The screenshot shows the 'Office of State Ethics' Lobbyist Registration Portal. The user is logged in as Nancy Nicolescu. The 'Transaction' tab is active. The form is titled 'Circumstance of Transaction' and 'EXPENDITURES PER PERSON PER OCCASION FOR BENEFIT OF PUBLIC OFFICIAL...'. It includes a dropdown for 'Select a transaction' (highlighted with an orange arrow), a 'Date' field, a checkbox for 'Is this transaction related to lobbying?' (set to 'Yes'), 'Location Name', 'Street Address 1', 'Street Address 2', 'City', 'State' (set to 'CONNECTICUT'), and 'Zip'. The 'Description/Purpose' field is a text area. An 'Add Transaction' button is at the bottom right (highlighted with an orange arrow).

# Client Lobbyist Guide to the Code of Ethics

## Screen II - Transaction Tab

The second part of reporting a Transaction requires you to identify the client representative(s) in attendance and whether the cost was shared with any other lobbyists, including the identification of any other lobbyist donors and the prorated share paid by each.

Office of State Ethics  
Lobbyist Registration Portal  
Dashboard Guide FAQ's OSE Home Logout  
Welcome! Nancy Nicolescu - (2016 Client Lobbyist Guide)

Client Contracts Payments Expenditures Transactions Review Certification

Other Food & Drink

Search Lobbyist or Client representative in Attendance:  
Last Name: \* [ ] First Name: \* [ ] **Add Client Representative**

Is this cost shared with other lobbyists:  Yes  No Donor Type: \*  Business Organization  Individual

Search Name of Lobbyist donors:  
Business Name: \* [ ]  
Percent paid by each: \* [ ] % **Add Donor**

Continue Save Draft Back Clear Cancel

## Screen III - Transaction Tab

The third part of reporting a Transaction requires you to identify the beneficiary of the expenditure and whether or not the expenditure was reimbursed by the beneficiary. Depending on the transaction type selected, you will be required to enter information concerning who accompanied the beneficiary.

Office of State Ethics  
Lobbyist Registration Portal  
Dashboard Guide FAQ's OSE Home Logout  
Welcome! Nancy Nicolescu - (2016 Client Lobbyist Guide)

Client Contracts Payments Expenditures Transactions Review Certification

Other Food & Drink - 2016 Client Lobbyist Guide (6/30/2016) - Add Beneficiary

Search Beneficiary Name:  
Last Name: \* [ ] First Name: \* [ ]

Search Beneficiary Agency:  
Beneficiary Agency: \* [ ]  
Title: \* [ ]

Food and Drink \* \$ [ ]  
Reimbursed: \$ [ ]  
Reimbursement Date: [ ]

Accompanied By:			Amount	Reimbursed	Reimbursement Date
Spouse:	<input type="checkbox"/>		\$ [ ]	\$ [ ]	[ ]
Child:	<input type="checkbox"/>		\$ [ ]	\$ [ ]	[ ]
Dependent:	<input type="checkbox"/>		\$ [ ]	\$ [ ]	[ ]
Guest:	<input type="checkbox"/>		\$ [ ]	\$ [ ]	[ ]

**Add Beneficiary**

Continue Save Draft Clear Back Cancel

## Client Lobbyist Guide to the Code of Ethics

### STEP 8 – Review Tab

When you are reviewing the ETH-2D form, click the blue “back” button on the bottom of the screen to update/change information you entered. You may also click on the arrows across the top of the screen to return to a particular section.

The screenshot shows the "Office of State Ethics" Lobbyist Registration Portal. At the top, there is a navigation bar with "Dashboard", "Guide", "FAQ's", "OSE Home", and "Logout". Below this, a breadcrumb trail shows "Client" (highlighted with an orange arrow), "Contracts", "Payments", "Expenditures", "Transactions", "Review" (highlighted with an orange arrow), and "Certification". The main content area is titled "Client Lobbyist Information" and includes the following details:

Client Name:		Client Lobbyist				
Type:	Administrative/Legislative	Filing Year:	2012	Filing Period:	June/Second Quarter	
<b>Fundamental Terms of Contracts</b>						
1	Name:	Gaffney, Bennett & Associates, Inc.				
	Address 1:	One Liberty Square				
	Address 2:					
	City:	New Britain	State:	CONNECTICUT	Zip:	06119
	Email:		Amount:	\$ 2,000.00		

At the bottom of the form, there are buttons for "Continue", "Save Draft", "Back", and "Cancel".

### STEP 9 – Certification Tab

Under penalty of false statement, certify your ETH-2D report. Click the box next to “I have read and agree to all above certifications” and then click “File to State.”

The screenshot shows the "Office of State Ethics" Lobbyist Registration Portal at the "Certification" step. The breadcrumb trail at the top includes "Client", "Contracts", "Payments", "Expenditures", "Transactions", "Review", and "Certification" (highlighted with an orange arrow). The main content area is titled "CERTIFICATION" and contains the following text:

I do hereby certify under penalty of false statement that I make this report in accordance with the requirements of chapter 10, part 11, General statutes, and that this is a complete itemized statement which contains all the information required by said part for the period shown.

Below the text, there is a form field for "Name:" with the value "Nancy Nicolescu". An orange arrow points to a checkbox labeled "I have read and agree to all above certifications.", which is checked. At the bottom, there are buttons for "File to State", "Back", and "Cancel".

Congratulations! Your form ETH-2D has been successfully filed.

### COMMON TRANSACTIONS

#### Valuation of Expenditures

In general, the value of an expenditure equals its cost to the lobbyist.

*Expenditure = Actual Cost; or*

When the cost of an expenditure is artificially low (e.g., a registered lobbyist receives a free ticket to an event, which is then given to a public official), the value of the expenditure is equal to the fair market value of the benefit (e.g., the cost to the public).

*Artificially Low Expenditure = Fair Market Value*

The value of food and beverage provided to a public official (or members of their staff or immediate family), is calculated by dividing the total expenditure by the number of individuals attending the meal or event.

*Food and Beverage Value = Total Cost ÷ Number of Individuals Present*

#### EXCEPT:

- When the actual amount expended was based on an anticipated number of attendees, one or more of whom did not attend, you may divide the total expenditure by the number of individuals originally expected; or
- In a restaurant setting, with stated menu prices and individual orders, you may determine the actual benefit received by each individual.

Regulations of Connecticut State Agencies [§ 1-92-48 \(c\)](#).

#### General Itemization

Each expenditure of \$10 or more for the benefit of a public official, a member of such person's staff or immediate family (except for legislative receptions, and charitable/civic events) must be itemized on your financial reports. Specifically, the report requires the following information:

- The nature of the benefit (e.g., a meal) and its date;
- Circumstances (attending lobbyists' names);
- Exact dollar amount expended; and
- Name, title and agency of individual receiving the benefit.

Expenses under \$10 that are related to lobbying are included in the aggregate amount. (See Step 6.) (General Statutes [§ 1-96 \(e\)](#).)

### Notification Requirements

In addition to the notification requirements for legislative receptions if you give a reportable person (public official, state employee, candidate for public office or a candidate's staff or immediate family member) anything of value that is subject to itemization (i.e., \$10 or more), you must, within 10 days, provide a written report to the recipient, stating your name, a description of the item, the value of the item, and the cumulative value of all items provided to the same recipient in that calendar year. This provides a valuable check or reminder for both parties of the Code's aggregate limits. General Statutes [§ 1-97 \(d\)](#).

Note: A client lobbyist that pays or reimburses a public official for "necessary expenses" is not required to provide a written report to the public official in accordance with the requirements of General Statutes [§ 1-97 \(d\)](#). See [Advisory Opinion No. 2008-2](#).

### Reimbursement

An expenditure does not have to be reported if the recipient reimburses you within 30 days or prior to the due date of your next report, whichever is earlier. Reimbursements should be made by check to ensure verification upon audit. Regulations of Connecticut State Agencies [§ 1-92-54 \(c\)](#).

### Splitting Costs

Two or more lobbyists may split the cost of a meal worth **up to \$49.99** for a public official or state employee. Similarly, lobbyists may split the cost of a gift worth **up to \$10**.

It is not permissible to circumvent the food and beverage or other gift exception limitations by splitting the cost of more expensive meals or items.

### Use of Expert Witnesses

Payments to expert witnesses shall be reported in the financial report of client registrants. An expenditure for an expert witness should be reported under the "fundamental terms" tab as well as in the "compensation, reimbursement and sales tax" tab of the form ETH-2d. In addition, please note that a statement of intent to provide testimony as an expert witness, with a summary of his or her credentials in support thereof, must be filed with the Office of State Ethics. See Regulations of Connecticut State Agencies [§ 1-92-44 \(c\)](#).

### NECESSARY EXPENSES

General Statutes [§ 1-84 \(k\)](#) – the “necessary expenses” provision – prohibits a state employee or official from accepting a fee or honorarium for participating at an event *in his or her official capacity*.

#### Providing Necessary Expenses

However, a state employee or official may receive payment or reimbursement for “necessary expenses” if – in his or her official capacity – the employee or official actively participates in the event (for example, gives a speech or runs a workshop).

“Necessary expenses” are not considered gifts and may include the cost of:

- Travel (coach);
- Lodging (standard room for the night before, of, and immediately following the event);
- Meals (non-lavish); and
- Conference or seminar registration fees.

“Necessary expenses” **do not** include the cost of entertainment (tickets to sporting events, golf outings, night clubs, etc.) or payments of expenses for family members or other guests.

Only a sponsor of the event to which you are participating may pay for or reimburse your “necessary expenses.” [Advisory Opinion No. 2012-9](#).

Within 30 days of receiving payment or reimbursement of “necessary expenses” for **lodging or out-of-state travel**, the employee or official must file an ETH-NE form with the OSE. General Statutes [§ 1-84 \(k\)](#).

#### Example:

**Question:** A restricted donor is hosting an out-of-state conference and would like a legislator to come and give a speech in his official capacity. The restricted donor has offered to pay the legislator’s travel and lodging expenses, to waive his conference registration fee, and to give him a \$500 honorarium. Permissible?

**Answer:** The legislator may not accept the \$500 honorarium (because he is participating in his official capacity), but may accept payment or reimbursement for “necessary expenses,” which include coach-class travel, standard lodging for the nights before, of and after the speech, and waiver of the conference registration fee.

**Note:** For additional information please see: Necessary Expenses: A Guide for Public Officials and State Employees.

### LEGISLATIVE RECEPTIONS

#### What are Legislative Receptions?

Registered lobbyists may hold one legislative reception per year for General Assembly members, in accordance with the gift exceptions discussed below. General Statutes [§ 1-91 \(7\) \(J\) and \(K\)](#).

There are two types of legislative receptions. Lobbyists may choose to hold **one or the other** per calendar year – not both.

- The first type is a publicly-noticed legislative reception to which all members of the General Assembly are invited and the cost for food and beverage may not exceed \$49.99 per person.
- The second type is a regional reception to which all General Assembly members from a particular region in the state are invited and the cost for food and beverage may not exceed \$49.99 per person.

#### Related Itemization on Financial Reports

Legislative receptions must be itemized by listing all attendees on lobbyist financial reports when the cost per person is \$30 or more and does not exceed \$49.99. This holds true for both types of receptions described above. General Statutes [§ 1-96 \(e\)](#).

#### Associated Notification Requirements

If you know that a legislative reception will result in an itemization that totals \$30 or more per person, you must include on the invitation or published notice that the event is expected to be reportable as such. General Statutes [§ 1-96d](#).

**Note:** The requirement that legislative receptions be “publicly noticed” is satisfied by publishing the event in the Connecticut General Assembly Bulletin or in the Interim Bulletin. When those options are not available, notice should be published in a newspaper, circulating either statewide or regionally, depending on the nature of the event. See [Advisory Opinion No. 2007-3](#).

**Note:** A **charitable or civic event** at which a state servant participates in his or her official capacity carries identical itemization and notification requirements. General Statutes [§ 1-96 \(e\)](#).



### GIFTS

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#### **Giving Gifts to State Personnel**

As a registered lobbyist, you are considered to be a **restricted donor**. In general, public officials or state employees may not accept gifts from restricted donors.

A **gift** is defined as anything of value that is directly and personally received by a public official or state employee (and sometimes family members of those two categories) *unless* consideration of equal or greater value is provided.

General Statutes [§ 1-91 \(7\)](#).

#### **Gift Exceptions**

There are, however, certain exceptions to this definition of “gift.” Not all exceptions are covered below; see General Statutes [§§ 1-91 \(7\) \(A\) – \(Q\)](#) for the complete list.

**Token Items** – Items valued less than \$10 (such as a pen or mug), provided the annual aggregate of such items from a single source is \$50 or less.

General Statutes [§ 1-91 \(7\) \(P\)](#).

**Food and Beverage** – Up to \$50 in food/beverage annually, provided the donor or a representative is in attendance when it is being consumed.

General Statutes [§ 1-91 \(7\) \(I\)](#).

**Major Life Events** – Registered lobbyists are the only restricted donors who may make use of this exception. There is a \$1,000 limit on a gift a registered lobbyist gives to a public official, state employee or a member of that official’s or employee’s family for the following major life events: wedding, funeral, birth or adoption of a child, ceremony commemorating induction into religious adulthood, or retirement from state service. General Statutes [§ 1-91 \(7\) \(L\)](#) and Regulations of Connecticut State Agencies [§ 1-92-53](#).

**Gifts to the State** – Goods or services given to a state entity. The gift must facilitate state action, and must (1) be for use on state property (e.g., a computer), (2) support a state event (e.g., funds to support an agency event), or (3) support the participation by a state employee or official at an event (e.g., funds for an agency employee to attend an educational conference relevant to his state duties).

General Statutes [§ 1-91 \(7\) \(E\)](#).

**Other Exceptions** – There are a total of 17 separate gift exceptions in the Code. Also exempt from the definition of gift are items such as informational materials germane to state action; ceremonial plaques or awards costing less than \$100; or promotional items, rebates or discounts that are available to the general public.

### POLITICAL CONTRIBUTIONS

#### Permissible Contributions

There are certain exceptions to the definition of gift. Items noted in these exceptions are permissible and may be accepted from restricted as well as non-restricted sources. Among these exceptions are two that pertain to political contributions:

- A political contribution otherwise reported as required by law or a donation or payment as described in General Statutes [§ 9-601a \(b\) \(9\) or \(10\)](#); and
- Volunteer services to aid or promote the success or defeat of any political party, any candidate(s) for public office or the position of convention delegate, town committee member or any referendum question.

#### Prohibitions and Considerations

- It is not permissible to offer or give a public official, state employee or candidate for public office (or such candidate's family member or associated business) anything of value, including a political contribution, with the understanding that a vote, official action or judgment of the recipient would be (or had been) influenced by the contribution. General Statutes [§ 1-84 \(f\)](#).
- It is not permissible for a public official, state employee or candidate for public office to solicit or accept anything of value, including a political contribution, with the understanding that a vote, official action or judgment of the recipient would be (or had been) influenced by the contribution. General Statutes [§ 1-84 \(g\)](#).
- The State Treasurer may neither pay nor enter into a contract with an investment services firm if a political committee established by the firm or a principal of the firm has made a contribution to (or solicited a contribution for) an exploratory or candidate committee established by the State Treasurer as a candidate for nomination or election to the Office of State Treasurer. General Statutes [§ 1-84 \(n\)](#).

#### Sessional Ban on Lobbyist Contributions

Please be aware that there is a ban on campaign contributions and the solicitation of such contributions by registered lobbyists and their affiliated political committees to the General Assembly and statewide candidates and their affiliated political committees during the legislative session. General Statutes [§ 9-610 \(e\)](#).

**Note:** This provision falls outside of OSE's jurisdiction but within the jurisdiction of the State Elections Enforcement Commission.

### POLITICAL CONVENTIONS

#### Benefits Received at Conventions

Generally, the Ethics Code's gift and reporting provisions apply with equal effect to political and nonpolitical events and to in-state and out-of-state events. [Advisory Opinion No. 2004-12](#) addresses a number of hypothetical questions regarding the acceptance of meals or other benefits provided to public officials (e.g., legislators) at *national* legislative organizations or *national* political conventions. Specifically, benefits may be offered by the following sources, with the accompanying outcomes:

- Restricted donor (i.e., registered lobbyist; entity regulated by, doing business with or seeking to do business with official's agency; etc.)
  - Any benefit received must fall within one of the gift exceptions in General Statutes [§ 1-79 \(5\) \(A\) – \(S\)](#); for example, the \$50 annual limit on food and beverage.
- Non-restricted donor (e.g. out-of-state lobbyist whose employer does not have a Connecticut lobbyist):
  - If a benefit is offered by virtue of one's public position, benefit must be limited to less than \$100. [Advisory Opinion No. 2003-13](#).
  - If the benefit is strictly personal, e.g., an out-of-state lobbyist and legislator are longtime friends, no limit exists.

**Note:** If the recipient is at the conference because of his or her public office, the presumption is that any benefit provided is offered by virtue of his or her position.

- Restricted donor listed as a sponsor of the event:
  - If the convention is *generally* sponsored or underwritten by a corporation, and its funds are not earmarked for an event with Connecticut attendees, there is a \$100 limit to the benefits a legislator or public official may receive.
  - If a corporation provides funds with the explicit understanding that the monies will be used to underwrite an event at which Connecticut officials will be in attendance, the Code's gift restrictions apply.
- National legislative organization providing travel scholarships (funded by corporate contributions) for legislators:
  - Whether or not a scholarship account is funded by lobbyist contributions, a legislator or public official may accept travel expenses and accommodations (and other "necessary expenses") for an article, appearance or speech, or for participation at an event in one's official capacity.
  - Within 30 days of receiving reimbursement of necessary expenses for lodging or out-of-state travel, a public official/state employee must file an [ETH-NE](#) form with the Office of State Ethics.

### Charitable Events at Conventions

[Advisory Opinion No. 2004-10](#) contemplates whether public officials and state employees may accept free tickets to a charitable event held in conjunction with a convention under the charitable event gift exception. In general, for this exception to apply (i.e., for the free ticket to be permissible):

- The official or employee must be invited to participate in his or her official capacity;
- Admission must be provided by the primary sponsoring entity (e.g., the charity, as [Advisory Opinion No. 2004-10](#) concluded); and
- Benefits may only include event admission and food and beverage (no travel or other tangible gifts over \$10).

<p><b>Note:</b> There is nothing that would prohibit the official or employee from paying to attend the event in question.</p>
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### Restrictions and Reporting for Lobbyists

As addressed in [Advisory Opinion No. 2000-19](#), the Lobbyist Code's gift restrictions and reporting requirements apply to expenditures for food and drink or entertainment made at the two major party political conventions.

- These restrictions and reporting requirements apply whether expenditures are made in or outside of CT and whether the purpose of the event is in furtherance of or unrelated to lobbying.
- Likewise, the provisions apply whether expenditures are made directly by the CT lobbyist or indirectly by a national association or business entity "on behalf of" the CT lobbyist.
- Further, the same requirements apply to convention events underwritten by a lobbyist, if its donations to the political convention committees were made with the explicit understanding that the monies would be used to pay for an event at which CT officials would be in attendance.

### OTHER CONSIDERATIONS AND CODE REQUIREMENTS

#### **Prohibited Activities: General Statutes [§ 1-97](#).**

**Contingency Fees** – No person may be employed as a lobbyist for compensation that is contingent upon the outcome of any administrative or legislative action. General Statutes [§ 1-97 \(b\)](#).

**Public Official's Personal Obligation** – No lobbyist may do anything with the purpose of placing any public official under personal obligation. General Statutes [§ 1-97 \(c\) \(1\)](#).

**Lobbyist Employment** – No lobbyist may attempt to influence any legislative or administrative action for the purpose of thereafter being employed to secure its defeat. General Statutes [§ 1-97 \(c\) \(2\)](#).

**Communication/Information** – No lobbyist may cause any communication to be sent to a public official in the name of any other individual except with the consent of such individual. General Statutes [§ 1-97 \(c\) \(3\)](#). Further, no person shall take or threaten to take official action against an individual for disclosing information to the Office of State Ethics.

#### **Document Preservation**

##### **For audit purposes:**

Keep all of your accounts, bills, receipts and any and all other documents necessary to substantiate your reports for a period of **three years** from the date the report is filed with the Office of State Ethics. It is also a good idea to keep a copy of the report itself. General Statutes [§ 1-96a](#). Please reference our publication: [Lobbyist Record Keeping Manual](#)

<p><b>Note:</b> The statute of limitations is five years for violations of the code; therefore you may wish to retain documents for an additional two years.</p>
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#### **Audits**

Pursuant to General Statutes [§ 1-96a\(b\)](#) and Regulations of Connecticut State Agencies [§ 1-92-56\(a\)](#), the Chair of the Citizen's Ethics Advisory Board shall periodically and randomly select client registrants to be audited by the Office of State Ethics. Selection ceremonies are open and publicly noticed.

## Client Lobbyist Guide to the Code of Ethics

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### **Penalties** (General Statutes [§ 1-99.](#))

Individuals may be subject to a penalty of \$10,000 for each violation of the Code of Ethics. Failure to file required reports can result in a fine of up to \$10,000, accrued at a rate of up to \$10 per day for each delinquent report.

Intentional violation of the Code of Ethics can result in a prohibition from engaging in the profession of lobbying for a period of two years. The Citizen's Ethics Advisory Board may also report its findings to the Chief State's Attorney for any additional actions deemed necessary. General Statutes [§ 1-99\(c\).](#)