STATE OF MAINE
COMMISSION ON GOVERNMENTAL ETHICS
AND ELECTION PRACTICES
135 STATE HOUSE STATION
AUGUSTA, MAINE 04333-0135

To: Commissioners

From: Jonathan Wayne, Executive Director
Lorrie Brann, Commission Assistant

Date: September 19, 2016

Re: Recommended Finding of Violation against House Candidates for Failing to Disclose Sources of Personal Income

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By statute, legislative candidates are required to file a statement of the sources of their personal income by the first Monday in August. (1 M.R.S.A. § 1016-C) This statement covers income received during the year *before* the election year. Candidates are required to disclose the same types of information as Legislators and executive branch managers under 1 M.R.S.A. § 1016-G and 5 M.R.S.A. § 19. A blank copy of the form is attached. Please note that the candidates report the sources of their personal income, but not the amounts. If the candidate is currently serving in the Legislature, they are not required to file the form in August of the election year, because – as Legislators – they were required to file the information in February.

The deadline for filing the statement was August 1, 2016. The Commission staff mailed the form to the legislative candidates (excluding current members) on July 18, 2016 and August 1, 2016 for replacement candidates. A follow-up email was sent on August 24, 2016, which requested that the candidates file the statement (after the deadline) by September 2nd. Based on those U.S. Mail and email communications, most of the 2016 non-incumbent candidates for the Legislature filed the statement with the Commission.

On September 9th, the attached Notice of Proposed Finding of Violation was mailed to the remaining 18 candidates. Ten filed the statement in response. The 8 legislative candidates listed in the table at the end of this memo have not filed the statement.

Staff recommendation: If the 8 candidates listed in the table below do not file the statement by your meeting date of September 28, 2016, we recommend finding that they have violated 1 M.R.S.A. § 1016-C by not disclosing the sources of their 2015 income. We will inform you at the meeting whether any of the 8 have filed the statement.

We do not recommend any civil penalty for this violation, because the Governmental Ethics Law does not prescribe a penalty when a candidate violates 1 M.R.S.A. § 1016-C. (In contrast, Title 1, Section 1016-G(3)(A) authorizes the Commission to assess a fine of up to $100 for not filing the statement.)

Following your September 28 meeting, the Commission staff would send a letter or memorandum to the candidates notifying them that you found them in violation, and urging them to file the statement late.

Please be aware that if any of the 8 candidates are elected to the House of Representatives and serve in the 128th Legislature, they would be required to file a statement of the sources of income for the *current* year by February 15, 2017. Thus, for purposes of identifying legislative conflicts of interest or other influences on the performance of their official duties, the public will likely have access to the sources of their 2016 income.

Legislative Candidates Who Failed to File their 2015 SOSOI

Susan Abercrombie	Robert Griffin	Michael Sylvester
Mark Andre	R. Ryan Harmon	Bil Weidner
Owen Casas	Blaine Richardson	

Maine Revised Statutes

Title 1: GENERAL PROVISIONS

Chapter 25: GOVERNMENTAL ETHICS

§1016-C. REPORTS BY LEGISLATIVE CANDIDATES

A candidate, as defined in Title 21-A, section 1, subsection 5, for the Legislature who is not required to file a report under section 1016-G shall file a report containing the same information required of Legislators under section 1016-G no later than 5 p.m. on the first Monday in August preceding the general election unless the candidate withdraws from the election in accordance with Title 21-A, section 374-A by that date. [2011, c. 634, §8 (AMD).]

SECTION HISTORY
1991, c. 880, §2 (NEW). 2011, c. 471, §4 (AMD). 2011, c. 634, §8 (AMD).

...

§1016-G. DISCLOSURE OF SPECIFIC SOURCES OF INCOME, INTERESTS AND REPORTABLE LIABILITIES

Each Legislator shall annually file with the commission a statement identifying the sources of income received, positions held and reportable liabilities incurred during the preceding calendar year by the Legislator or members of the Legislator's immediate family. A Legislator who has completed service in the Legislature shall file the statement within 45 days of the Legislator's last day of service to disclose the sources of income in the Legislator's final calendar year of service. [2011, c. 634, §11 (NEW).]

1. **Content of statement.** The name and, where applicable, the job title of the individual earning or receiving the income must be disclosed, unless otherwise noted. Each source of income must be identified by name, address and principal type of economic or business activity. If disclosure of this type is prohibited by statute, rule or an established code of professional ethics, it is sufficient for the Legislator to specify the principal type of economic or business activity from which the income is derived.

The statement must identify:

A. If the Legislator is an employee of another person, firm, corporation, association or organization that has provided the Legislator with compensation of $2,000 or more, the name and address of the employer. The Legislator shall identify the title and position held by the Legislator; [2011, c. 634, §11 (NEW).]

B. If the Legislator is self-employed, the name and address of the Legislator's business and each source of income derived from self-employment that represents more than 10% of the Legislator's gross income from self-employment or $2,000, whichever is greater; [2011, c. 634, §11 (NEW).]

C. The name, address and principal economic or business activity of any corporation, partnership, limited liability company or other business in which the Legislator or members of the Legislator's immediate family own or control, directly or indirectly, more than 5% of the outstanding equity, whether individually or in the aggregate, that has received revenue of $2,000 or more; [2013, c. 401, §1 (AMD).]

D. Each source of income of $2,000 or more the Legislator derived from providing services as an attorney, the major areas of law practiced by the Legislator and, if associated with a law firm, the major areas of practice of the firm; [2011, c. 634, §11 (NEW).]

E. Each source of income of $2,000 or more received by the Legislator and a description of the nature of the income, such as rental income, dividend income and capital gains; [2013, c. 401, §1 (AMD).]

F. The specific source of each gift received by the Legislator; [2011, c. 634, §11 (NEW).]

G. Each source of income of $2,000 or more received by any member of the immediate family of the Legislator, except that the Legislator is not required to identify the names of dependent children. If the member of the Legislator's immediate family received income of $2,000 or more in compensation, the Legislator shall identify the source of the compensation, the type of the economic activity and the title of the position held by the immediate family member; [2011, c. 634, §11 (NEW).]

H. Each source of honoraria of $2,000 or more that the Legislator accepted; [2011, c. 634, §11 (NEW).]

I. Each executive branch agency before which the Legislator or any immediate family member has represented or assisted others for compensation; [2011, c. 634, §11 (NEW).]

J. Each state governmental agency, board or commission to which the Legislator, a member of the Legislator's immediate family or an associated organization has sold, rented or leased goods or services with a value of $10,000 or more during the preceding calendar year and a description of the goods or services sold, rented or leased; [2011, c. 634, §11 (NEW).]

K. Each party as defined in Title 21-A, section 1, subsection 28, including a party committee, and each organization that is required under Title 21-A, chapter 13 to register with the commission as a political action committee or ballot question committee for which the Legislator or a member of the Legislator's immediate family is a treasurer, principal officer or principal fund-raiser or decision maker; [2013, c. 401, §1 (AMD).]

L. Any offices, trusteeships, directorships or positions of any nature, whether compensated or uncompensated, held by the Legislator or a member of the Legislator's immediate family with any for-profit or nonprofit firm, corporation, association, limited liability company, partnership or business. For the purposes of this paragraph, service as a clerk of a corporation or as a registered agent authorized to receive service of any process, notice or other demand for a business entity is not considered a position with the corporation or business entity; and [2011, c. 634, §11 (NEW).]

M. All reportable liabilities incurred by the Legislator or a member of the Legislator's immediate family during the reporting period. [2011, c. 634, §11 (NEW).]

[2013, c. 401, §1 (AMD) .]

2. **Time for filing.** The following provisions govern the time for filing statements.

A. Each Legislator shall file with the commission by 5:00 p.m. on February 15th of each year on the form provided by the commission a statement of the sources of income, interests and reportable liabilities for the preceding calendar year required by subsection 1. Prior to the end of the first week in January of each year, the commission shall deliver a form to each Senator and member of the House of Representatives. [2011, c. 634, §11 (NEW).]

B. A Legislator shall file an updated statement concerning the current calendar year if the income, reportable liabilities or positions of the Legislator or an immediate family member, except for dependent children, substantially change from those disclosed in the Legislator's most recent statement. Substantial changes include, but are not limited to, a new employer that has paid the Legislator or a member of the Legislator's immediate family $2,000 or more during the current year, another source that has provided the Legislator or a member of the Legislator's immediate family, excluding dependent children, with income that totals $2,000 or more during the current year or the acceptance of a new position with a for-profit or nonprofit firm that is reportable under subsection 1, paragraph L. The Legislator shall file the updated statement within 30 days of the substantial change in income, reportable liabilities or positions. [2011, c. 634, §11 (NEW).]

[2011, c. 634, §11 (NEW) .]

3. **Penalties.** Penalties for violations of this section are as follows.

A. Failing to file a statement within 15 days of having been notified by the commission is a civil violation for which a fine of not more than $100 may be adjudged. A statement is not considered filed unless it substantially conforms to the requirements of this subchapter and is properly signed. The commission shall determine whether a statement substantially conforms to the requirements of this subchapter. [2011, c. 634, §11 (NEW).]

B. The intentional filing of a false statement is a Class E crime. If the commission concludes that it appears that a Legislator has willfully filed a false statement, it shall refer its findings of fact to the Attorney General. If the commission determines that a Legislator has willfully failed to file a statement required by this subchapter or has willfully filed a false statement, the Legislator is presumed to have a conflict of interest on every question and must be precluded or subject to penalty as provided in section 1015. [2011, c. 634, §11 (NEW).]

[2011, c. 634, §11 (NEW) .]

4. **Rules, procedures and forms.** The commission may adopt or amend rules to specify the reportable categories or types and the procedures and forms for reporting and to administer this section. Rules adopted pursuant to this subsection are routine technical rules as defined in Title 5, chapter 375, subchapter 2-A.

[2011, c. 634, §11 (NEW) .]

5. **Public record.** Statements filed under this section are public records. The commission shall provide a means for Legislators to file statements in an electronic format that must immediately place the statements on a publicly accessible website. Legislators shall file statements required by this section using the electronic format prescribed by the commission. If a Legislator can attest to an inability to access or use the electronic filing format, the commission may provide assistance to the Legislator to ensure proper and timely placement of the required statements on the publicly accessible website.

[2013, c. 401, §2 (AMD) .]

SECTION HISTORY
2011, c. 634, §11 (NEW). 2013, c. 401, §§1, 2 (AMD).

COMMISSION ON GOVERNMENTAL ETHICS AND ELECTION PRACTICES

MAIL: 135 STATE HOUSE STATION, AUGUSTA, MAINE 04333
OFFICE: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS
PHONE: 207-287-4179
FAX: 207-287-6775

STATEMENT OF SOURCES OF INCOME FOR LEGISLATIVE CANDIDATES

2015 Calendar Year: January 1, 2015 - December 31, 2015

Name	Office ☐ House ☐ Senate
Mailing Address	District Number
City/Town, State, Zip	E-mail Address

FILING DEADLINE

Please file this statement with the Ethics Commission by **5:00 p.m., August 1, 2016**.

GENERAL INSTRUCTIONS

- **Complete all sections**. **If a section is not applicable, check the box marked "None."**
- A glossary is located in the back of this form.
- If completing this form by hand, please write legibly. **NO RED INK**
- Report the sources of income for you, your spouse or domestic partner, and your dependent children.
- Report only specific sources of income. **Dollar amounts need not be listed**.
- Campaign contributions and Maine Clean Election Act payments need not be reported in this statement.
- The completed statements are made available to the public upon request.
- Please keep a copy of this statement for your records.

REQUIREMENT TO FILE AN UPDATED STATEMENT

Legislative candidates are required to update their statement of sources of incomes within 30 days of a substantial change in your or an immediate family member's income, reportable liabilities or positions (except dependent children) that occurs in the current calendar year. (1 M.R.S.A. § 1016-G(2)(B)) Substantial changes include but are not limited to:

- A new employer or other source of income that has paid you or immediate family member $2,000 or more in the current year;
- A new reportable liability of $3,000 or more obtained during the current calendar year;
- A new contract or other arrangement between you, immediate family member or associated organization and a State agency, board or commission for the lease or sale of goods or services with a value of more than $10,000 during the current calendar year; and
- A new position in a political action committee, ballot question committee, party committee, or non-profit or for profit organization.

Please call the Commission staff 207-287-4179 if you have any questions.

Thank you for your cooperation!

INSTRUCTIONS: Part 1. Income from Employment by Another

If you were a full or part time employee of any public or private organization and received compensation during the reporting year of $2,000 or more, list your job title, and the name, address, and principal type of economic or business activity of the employer. Do not include information about self-employment or the practice of law in this section.

EXAMPLE: Jane is currently serving as a State Senator. She is also employed by Pine Tree Counseling Services as a counselor and earns more than $2,000 per year.

Name of Employer	Address	Principal Type of Economic or Business Activity of Employer	Job Title
Pine Tree Counseling Services	*201 Main Street, Pine Tree City, ME*	*Counseling Services*	*Counselor*
Maine State Legislature	*3 State House Station, Augusta, ME*	*Government*	*State Senator*

INSTRUCTIONS: Part 2. Income from Self-Employment

If you sold goods or provided services to others during the reporting year, list the name, address, and principal type of economic activity of your business. If your business does not have a name, list the name under which you provide goods and/or services. If the amount you received from any client or customer was more than $2,000 or more than 10% of your gross income from self-employment during the year, whichever is greater, list the name, address, and principal type of economic or business activity of the client or customer. If this type of disclosure is prohibited by law, rule, or an established code of professional ethics, specify only the principal type of economic or business activity of the client or customer.

EXAMPLE: Jane has a business that supplies rough cut timber. Last year the business grossed $30,000. Robert Thompson bought four orders of lumber at $1,000 per order—$4,000 in total. Joan Hill bought $2,000 worth of lumber. Because her business made $30,000 during the reporting period, she must only report those clients who represent more than 10% or $3,000, of her income from self-employment.

Name of Your Business/Trade name	Address of Business	Principal Type of Economic or Business Activity
Smith's Lumber Co.	*123 Main Street, Pine Tree City, Maine*	*Rough Cut Timber Milling*
Name of Customer or Client, if required (see instructions).	Address	Principal Type of Economic or Business Activity of Client
Robert Thompson	*456 Main Street, Pine Tree City, Maine*	*Carpenter*

INSTRUCTIONS: Part 3. Business Entities

List the name, address and principal economic or business activity of any corporation, partnership, limited liability company or other business entity in which you or the members of your immediate family, own or control, directly or indirectly, more than 5% of the outstanding equity, individually or in the aggregate, if the business had revenue of $2,000 or more during the calendar year.

EXAMPLE: Jane's spouse is the sole member of a limited liability company which receives revenue of more than $2,000 each year by leasing office suites in an office building it owns.

Name of Business	Address	Principal Type of Economic or Business Activity
123 Broad Street LLC	*456 Elm Street, Pine Tree City, Maine*	*Leasing of office space*

INSTRUCTIONS: Part 4. Income from the Practice of Law

List the name, address, and major areas of practice for all sources of income of $2,000 or more derived from the practice of law. If you are a member of a firm, partnership, or limited liability company, list the major areas of practice for that entity. In addition, state whether you are a sole practitioner, partner, associate, or shareholder.

EXAMPLE: Last year, Jane was a sole practitioner. Her labor law practice earned more than $2,000.

Name of Firm or Practice	Address	Your Major Areas of Practice	Firm's Major Areas of Practice	Position: Partner, Associate, Sole Practitioner
The Law Office of Jane Smith	*789 Elm Street, Pine Tree City, Maine*	*Labor Law*	*N/A*	*Sole Practitioner*

Part 1. Income from Employment by Another

☐ None. Check this box if you did not have income from employment by another.

Name of Employer	Address	Principal Type of Economic or Business Activity of Employer	Job Title

Part 2. Income from Self-Employment

☐ None. Check this box if you did not have income from self-employment.

Name of Your Business/Trade Name	Address	Principal Type of Economic or Business Activity

Name of Client or Customer, if required (see instructions)	Address	Principal Type of Economic or Business Activity of Client

Part 3. Business Entities

☐ None. Check this box if you and your immediate family did not own or control more than 5% of any business.

Name of Business	Address	Principal Type of Economic or Business Activity

Part 4. Income from the Practice of Law

☐ None. Check this box if you did not have income from the practice of law.

Name of Practice or Firm	Address	Your Major Areas of Practice	Firm's Major Areas of Practice	Position: Partner, Associate, Sole Practitioner

INSTRUCTIONS: Part 5. Income from Any Other Source

Include in this section any source of income of $2,000 or more not listed in Parts 1, 2, or 3 which you received during the reporting year, such as investments, sales of property, or retirement benefits. Please see the glossary for examples of income that must be reported. Include income received "in-kind" as well as regular income.

Income ***does not*** include alimony, child support or similar support payments, campaign contributions, gifts or honoraria. Income also does not include funds or other property held in trust for another such as fees that are paid in advance or money to be spent on behalf of a client for a licensing or filing fee.

Do not include income received by immediate family members. Report immediate family members' income in Parts 6-A & 6-B.

EXAMPLE: Jane has investments in a mutual fund with Global Investment, LLC. The mutual fund paid quarterly dividends to Jane that added up to more than $2,000 over the course of the reporting year. In addition, Jane receives a monthly pension payment from her prior job as a school teacher.

Name of Source	Address	Description of Income
Global Investment, LLC	*One Copley Plaza, Boston, MA*	*Mutual fund*
Maine Public Employees Retirement System	*46 State House Station, Augusta, Maine*	*Pension*

INSTRUCTIONS: Part 6-A. Compensation Income of Immediate Family Members

List the name, address, and principal type of economic or business activity for each entity representing income of $2,000 or more ***derived through employment or compensation*** by any member of your immediate family. Include all income received through employment by another, self-employment, or the practice of law.

Include the job title ***and*** name of the ***spouse or domestic partner*** receiving income. Include the job title of the dependent child receiving income, but ***do not*** include the dependent child's name. Instead write "dependent" in the section for name.

EXAMPLE: Jane's spouse is an attorney with Smith & Jones. He earned more than $2,000 in the previous year practicing law. Jane's dependent daughter worked as a lifeguard during the summer of the previous year, earning more than $2,000.

Name and Job Title (do not list name of dependent child)	Employer's Name and Address	Principal Type of Economic or Business Activity of Employer
John Smith, Attorney	*Smith & Jones, L.L.P.* *28 Hollywood Drive, Raymond, Maine*	*Worker's Comp., Personal Injury, Probate/ Wills*
Dependent, Lifeguard	*Pine Tree YMCA* *202 Main Street, Pine Tree City, Maine*	*Fitness*

INSTRUCTIONS: Part 6-B. Other Source of Income of Immediate Family Members

List the name, address, and type of income for each source of income not listed in Part 5-A which represents $2,000 or more received by any member of your immediate family. Include the name of the spouse or domestic partner receiving income. ***Do not*** include the name of a dependent child receiving income. Instead, write "dependent" in the section for name.

EXAMPLE: Jane's oldest daughter was given money to be held in trust until her 16th birthday. Now that she has turned 16, the trust is issuing payments to her. Over the course of the year, the payments add up to more than $2,000. Jane's spouse lost his job and is receiving unemployment benefits. Last year, he received more than $2,000 in benefits.

Name of Spouse or Partner (do not list name of dependent child)	Source's Name and Address	Type of Income
Dependent	*Union Life Insurance Co.,* *One Copley Plaza, Boston, MA*	*Trust distribution*
John Smith	*Maine Dept. of Labor*	*Unemployment Benefits*

Part 5. Income from Any Other Source		
☐ None. Check this box if you did not have income from any other source.		
Name of Source	Address	Description of Income

Part 6-A. Compensation Income of Immediate Family Members		
☐ None. Check this box if no members of your immediate family received income of $2,000 or more from employment or compensation.		
Name and Job Title (do not list name of dependent child)	Employer's Name and Address	Principal Type of Economic or Business Activity of Employer

Part 6-B. Other Sources of Income of Immediate Family Members		
☐ None. Check this box if no members of your immediate family received income of $2,000 or more from any other source.		
Name of Spouse or Partner (do not list name of dependent child)	Source of Income Name and Address	Type of Income

INSTRUCTIONS: Part 7. Loans and Liabilities

If you received any loan of $3,000 or more during the reporting year that was not secured by collateral (e.g., mortgage, car loan), list the name, address, and principal type of economic or business activity of the lender. For more information concerning what loans and liabilities must be reported, please see the definition of reportable liability in the glossary.

EXAMPLE: Jane borrowed $5,000 from Carl Smith, a friend, to pay for an addition of a deck to her house.

Lender's Name	Lender's Address	Principal Type of Economic or Business Activity of Lender
Carl Smith	*201 Main Street, Pine Tree City, Maine*	*Accountant*

INSTRUCTIONS: Part 8. Gifts, Including Travel and Accommodations

List each source from which you received a gift or gifts with a total value of more than $300 during the reporting year. If a person or organization has spent more than $300 in the year to finance your travel, meals, or accommodations, their payments are considered a gift which must be reported. See the glossary for goods and services which are ***not*** considered a gift.

EXAMPLE: Jane was invited to speak at a conference on utilities regulation held by the U.S. New Energy Association. The association paid her travel and hotel expenses, which were $800. Because the cost of travel and lodging was more than $300, it is a gift and must be disclosed.

Source of Gift	Source of Gift
1. *U.S. New Energy Association*	2.

INSTRUCTIONS: Part 9. Honoraria

List all sources of honoraria of $2,000 or more you received during the reporting year. "Honoraria" means a payment of money or anything with resale value received for an appearance or speech by you in your official capacity. See the glossary for more information concerning honoraria.

EXAMPLE: Jane was paid to speak at the national conference on proposed corporate tax legislation in Maine.

Source of Honoraria	Source of Honoraria
1. *National Federation of Independent Businesses*	2.

INSTRUCTIONS: Part 10. Positions in Political Action, Ballot Question or Party Committees

List the name of each political action committee, ballot question committee, or political party committee for which you or a member of your immediate family were the treasurer, a principal officer, fundraiser or decision-maker.

EXAMPLE: Jane Smith was a principal officer in a ballot question committee that is active in a bond referendum. Her husband was the treasurer of the Falmouth Republican Committee.

Name of Committee	Name of Official or Family Member	Title
1. *Improve Maine's Economy PAC*	Jane Smith	Principal Officer
2. Falmouth Republican Committee	John Smith	Treasurer

Part 7. Loans		
☐ None. Check this box if you did not have reportable liabilities.		
Lender's Name	Lender's Address	Principal Type of Economic or Business Activity of Lender

Part 8. Gifts, Including Travel and Accommodations	
☐ None. Check this box if you did not received any gifts.	
Source of Gift	Source of Gift
1.	2.
3.	4.

Part 9. Honoraria	
☐ None. Check this box if you did not receive honoraria.	
Source of Honoraria	Source of Honoraria
1.	2.
3.	4.

Part 10. Positions in Political Action, Ballot Question or Party Committees		
☐ None. Check this box if you and your immediate family were not a treasurer, or principal officer, decision-maker or fundraiser of a PAC, BQC, or Party Committee.		
Name of Committee	Name of Official or Family Member	Title
1.		
2.		

INSTRUCTIONS: Part 11. Conducting Business with State Agencies

List each State agency, board or commission to which you or an immediate family member or an associated organization rented, leased or sold goods or services for more than $10,000 during the reporting period. Include the name of the individual or organization conducting business with the agency and a description of the goods or services.

EXAMPLE: Jane's spouse is the vice-president for operations of a large software developer. Last year, the company received $250,000 from the Department of Environmental Protection for developing custom software.

Name of Agency	Name of Individual/Organization Selling Goods or Services	Description of Goods or Services
Dept. of Environmental Protection	*Acme Technology, Inc.*	*Custom software application*

INSTRUCTIONS: Part 12. Representing Others before State Agencies

If you, or a member of your immediate family, appeared for, represented, or assisted any person or client before a State agency <u>for compensation</u>, list the State agency and the person receiving the compensation for the representation or assistance.

EXAMPLE: Jane's spouse, an attorney, received $5,000 for representing a client before the Department of Health and Human Services in an appeal of a disability determination.

Name of Agency	Name of Individual Receiving Compensation
Department of Health and Human Services	John Smith

INSTRUCTIONS: Part 13. Positions in For-Profit and Non-Profit Organizations

List any for-profit or non-profit corporation, firm, association, limited liability company, partnership or business in which you or a member of your immediate family held any office, trusteeship, directorship, or position of any nature in the reporting year, and indicate whether the position was compensated or uncompensated.

Reportable positions include, but are not limited to:

- Director
- Partner
- Trustee
- Officer of any type
- Member of limited liability company
- President
- Chair of board
- Treasurer
- Secretary
- Board member

A clerk of a corporation or a registered agent authorized to receive service of any process, notice or other demand for a business entity is <u>not</u> considered a position with the corporation or business entity.

EXAMPLE:

Organization/Business and Address	Title	Name of Position Holder	Relationship to Legislative candidate	Compensated Yes/No
Kennebec Historical Society 107 Winthrop Street Augusta, Maine 04330	*Director*	*Jane Smith*	■ *Self* □ *Spouse* □ *Dependent*	*No*
Community Ventures, LLC 2941 Fairview Park Drive Pine Tree City, Maine, 04000	*Member*	*John Smith*	□ *Self* ■ *Spouse* □ *Dependent*	*Yes*

Part 11. Conducting Business with State Agencies		
☐ None. Check this box if neither you nor your immediate family did business with any State agency.		
Name of Agency	Name of Individual/Organization Selling Goods or Services	Description of Good or Services

Part 12. Representing Others Before State Agencies	
☐ None. Check this box if neither you nor your immediate family represented another before a State agency.	
Name of Agency	Name of Individual Receiving Compensation

Part 13. Positions in For-Profit and Non-Profit Organizations				
☐ None. Check this box if you and members your immediate family did not hold positions in any for-profit or non-profit organizations.				
Organization/Business and Address	Title	Name of Position Holder	Relationship to Legislative candidate	Compensated Yes/No
			☐ Self ☐ Spouse ☐ Dependent	
			☐ Self ☐ Spouse ☐ Dependent	
			☐ Self ☐ Spouse ☐ Dependent	

SIGNATURE

I CERTIFY THAT I HAVE EXAMINED THIS REPORT AND TO THE BEST OF MY KNOWLEDGE IT IS TRUE, CORRECT, AND COMPLETE.

__________________________________ Signature

__________________ Date

THE INTENTIONAL FILING OF A FALSE STATEMENT IS A CLASS E CRIME (1 M.R.S.A. § 1016-G(3)(B))

Glossary

Associated organization means any organization in which you or a member of your immediate family is a managerial employee, director, officer or trustee or owns or controls, directly or indirectly, and severally or in the aggregate, at least 10% of the outstanding equity.

Gift means anything of value, including forgiveness of an obligation or debt, given to a person without that person providing equal or greater consideration to the giver. "Gift" does not include:

A. Gifts received from a single source during the reporting period with an aggregate value of $300 or less;
B. A bequest or other form of inheritance;
C. A gift received from a relative or from an individual on the basis of a personal friendship as long as that individual is not a registered lobbyist or lobbyist associate under Title 3, section 313, unless you have reason to believe that the gift was provided because of your official position and not because of a personal friendship;
D. A subscription to a newspaper, news magazine or other news publication;
E. Legal services provided in a matter of legislative ethics;
F. A meal, if the meal is a prayer breakfast or a meal served during a meeting to establish a prayer breakfast; or
G. A meal, if the meal is provided by industry or special interest organizations as part of the informational program presented to a group of public servants.

Honorarium means a payment of money or anything with a monetary resale value to a person for an appearance or a speech by the person. Honorarium does not include reimbursement for actual and necessary travel expenses for an appearance or speech. Honorarium does not include a payment for an appearance or speech that is unrelated to the person's official capacity or duties.

Immediate family includes your spouse or domestic partner and dependent children.

Income means economic gain to a person from any source, including, but not limited to, compensation for services, including fees, commissions and payments in-kind; gross income derived from business; gross income derived from dealings in property, rents and royalties; gross income from investments including interest, capital gains and dividends; annuities; income from life insurance and endowment contracts; pensions; income from discharge of indebtedness; distributions from a partnership or limited liability company; gross income from an interest in an estate or trust; prizes; and grants, but does not include gifts or honoraria. Income received in-kind includes, but is not limited to, the transfer of property and options to buy or lease and stock certificates. Income does not include alimony and separate maintenance payments, child support payments or campaign contributions accepted for state or federal office or funds or other property held in trust for another, including but not limited to fees paid in advance or money to be spent on behalf of a client for payment of a licensing or filing fee.

Managerial employee means an employee of an organization whose position requires substantial control over the organization's decision making, business operations, financial management or contracting and procurement activities. For the purposes of this subsection, financial management does not include tasks that are considered clerical in nature.

Relative means an individual who is related to you or your spouse as father, mother, son, daughter, brother, sister, uncle, aunt, great aunt, great uncle, first cousin, nephew, niece, husband, wife, grandfather, grandmother, grandson, granddaughter, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half brother or half sister, and includes your fiancé or fiancée.

Reportable liability means any unsecured loan, except a loan made as a campaign contribution recorded as required by law, of $3,000 or more received from a person not a relative. Reportable liabilities do not include:

(1) A credit card liability;
(2) An educational loan made or guaranteed by a governmental entity, educational institution, or nonprofit organization; or
(3) A loan made from a state or federally regulated financial institution for business purposes.

Self-employment means that the person qualifies as an independent contractor under Title 39-A, section 102, subsection 13, which states in part, "independent contractor means a person who performs services for another under contract, but who is not under the essential control or superintendence of the person while performing those services."

ADDITIONAL INFORMATION

Please provide any additional information in the space below. Indicate the part number for the information you are providing. Use additional pages if necessary.

Part Number	

Statement of Sources of Income
Covering 1/1/2015 to 12/31/2015

To: Legislative Candidates in the 2016 General Election

From: Commission Staff

Date: July 15, 2016

Subject: Statement of Sources of Income (form enclosed)

As a legislative candidate in the 2016 general election, you are required to file the enclosed Statement of Sources of Income covering calendar year 2015. The Commission has set the due date for candidates to submit this form no later than August 1, 2016. **Incumbent legislators in the general election have already filed the statement earlier this year in February and have met this requirement.**

Please read the enclosed instructions and after completing the Statement, please sign and date it before submitting it to the Commission. An electronic version of the form is also available on the Commission's website in the *Notices* section. You can complete the form on your computer and print it out for your signature. A completed Statement may be faxed to the Commission at (207) 287-6775 but you must mail the original signed Statement to the Commission.

If you need additional time beyond the deadline to complete the form, please contact the Commission so that you will avoid a late filing penalty.

Please call the Commission staff at 287-4179 if you have questions or need assistance.

Commission on Governmental Ethics and Election Practices
Office Location: 45 Memorial Circle, Augusta, Maine
Mailing Address: 135 State House Station, Augusta, Maine 04333-0135
Phone: (207) 287-4179 Fax: (207) 287-6775
Website: www.maine.gov/ethics

Commission on Governmental Ethics and Election Practices
Questions? Call (207)287-4179

STATEMENT OF SOURCES OF INCOME
COVERING 1/1/2015 TO 12/31/2015

To: Legislative Candidates in the 2016 General Election

From: Commission Staff

Date: August 1, 2016

Subject: Statement of Sources of Income (form enclosed)

As a legislative candidate in the 2016 general election, you are required to file the enclosed Statement of Sources of Income covering calendar year 2015. The Commission has set the due date for candidates to submit this form no later than August 15, 2016. **Incumbent legislators in the general election have already filed the statement earlier this year in February and have met this requirement.**

Please read the enclosed instructions and after completing the Statement, please sign and date it before submitting it to the Commission. An electronic version of the form is also available on the Commission's website in the *Notices* section. You can complete the form on your computer and print it out for your signature. A completed Statement may be faxed to the Commission at (207) 287-6775 but you must mail the original signed Statement to the Commission.

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COMMISSION ON GOVERNMENTAL ETHICS AND ELECTION PRACTICES
OFFICE LOCATION: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
MAILING ADDRESS: 135 STATE HOUSE STATION, AUGUSTA, MAINE 04333-0135
PHONE: (207) 287-4179 FAX: (207) 287-6775
WEBSITE: WWW.MAINE.GOV/ETHICS

From:	Brann, Lorrie
Bcc:	"gop@aberz.com"; "ANDREFORHOUSE76@YAHOO.COM"; "SETHBAKER1988@GMAIL.COM"; "labetz@gmail.com"; "rbrann007@gmail.com"; "JIMMYBUZZELL@GMAIL.COM"; "CAIAZZOFORHOUSE@GMAIL.COM"; "GARY27BU@MSN.COM"; "OWENCASAS@GMAIL.COM"; "fchatjr@sportsoffice.com"; "BCOLLINGS1@MAINE.RR.COM"; "CUDDY.SCOTT@GMAIL.COM"; "cdicemom@aol.com"; "PHILESTABROOK@YAHOO.COM"; "RAEVANS95@EARTHLINK.NET"; "SCOTTGAIASON@GMAIL.COM"; "MANLEYGOVESR@HOTMAIL.COM"; "msr.rgriffin@gmail.com"; "CHADGRIGNON@YAHOO.COM"; "KCHAMMILL@GMAIL.COM"; "Repryanharmon@gmail.com"; "shireins@gwi.net"; "langholtz@gwi.net"; "CMAIREAD@AOL.COM"; "JEMHUNTER@YAHOO.COM"; "GMASON1959@YAHOO.COM"; "MAYER.FOR.ME@GMAIL.COM"; "yourrepstevemiller@gmail.com"; "4ME4UMONTAGUE@GMAIL.COM"; "Jonathanmoynahan@gmail.com"; "Maggie4Saco@gmail.com"; "PADHAMFORREP@GMAIL.COM"; "JPARKERSOBO@GMAIL.COM"; "KELLYPERK@ROADRUNNER.COM"; "H.E.E.RANKIN@GMAIL.COM"; "BLAINOSMAIL@GMAIL.COM"; "RACHELLYN.RUMSON@GMAIL.COM"; "BEN_SCHULZ@LIVE.COM"; "RVSNOW@MAINE.RR.COM"; "SYLVESTER4STATEHOUSE@GMAIL.COM"; "VOTETALBOTROSS@GMAIL.COM"; "thetajim2@gmail.com"; "APRILTURNERFORHOUSE@GMAIL.COM"; "georgevansyckel@gmail.com"; "BILWEIDNER@HOTMAIL.COM"; "SCOTT.WILLIAMS068@GMAIL.COM"; "adamp45@gmail.com"; "tim.sevigny@gmail.com"; "mtravers04288@gmail.com"; "johnveilleux24@gmail.com"
Subject:	2015 Legislative Candidate Statement of Sources of Income - REMINDER
Date:	Wednesday, August 24, 2016 11:34:58 AM
Attachments:	2015_LEG_CANDIDATES sosoi_fillable.pdf
Importance:	High

Good morning:

I am writing to remind you that candidates for the Legislature are required to file the enclosed statement of the sources of their personal income in 2015.

By statute, legislative candidates are required to file a statement of sources of income by the first Monday in August. (1 M.R.S.A. § 1016-C, see below) Our office mailed you the form on July 15th (July 29th for replacement candidates). The form is also attached to this email. It can also be downloaded from our website by clicking **here**.

Please file the completed and signed statement with our office as soon as possible. If we do not receive the form by **September 2**, you may be found in violation of 1 M.R.S.A. § 1016-C by not disclosing the sources of your 2015 income.

If you have any questions about this form and what is required to be disclosed, please contact your Candidate Registrar.

Emma Burke, Candidate Registrar
(207) 287-4727
Emma.burke@maine.gov
House Districts: 1-51
Senate Districts: 1-12 & 23-35

Erin Gordon, Candidate Registrar
(207) 287-3651
erin.gordon@maine.gov
House Districts: 52-125
Senate Districts: 13-22

Paul Lavin, Assistant Director
(207) 287-3024
paul.lavin@maine.gov
HouseDistricts: 126-151

§1016-C. Reports by legislative candidates

A candidate, as defined in Title 21-A, section 1, subsection 5, for the Legislature who is not required to file a report under section 1016-G shall file a report containing the same information required of Legislators under **section 1016-G** no later than 5 p.m. on the first Monday in August preceding the general election unless the candidate withdraws from the election in accordance with Title 21-A, section 374-A by that date.

Thank you for your prompt attention to this matter,

Lorrie

Lorrie J. Brann,
Commission Assistant
Maine Ethics Commission
135 State House Station
Augusta, ME 04333-0135

(207) 287-4179

STATE OF MAINE
COMMISSION ON GOVERNMENTAL ETHICS
AND ELECTION PRACTICES
135 STATE HOUSE STATION
AUGUSTA, MAINE
04333-0135

To: Late Filers of Statement of Sources of Income (see list below)

From: Jonathan Wayne, Executive Director JW

Date: September 9, 2016

Re: **NOTICE OF PROPOSED FINDING OF LEGAL VIOLATION**

I am writing to follow up on the Ethics Commission's past communications concerning the requirement to file the enclosed statement of the sources of your personal income in 2015. You may also go online to complete and print a fillable version of this form: http://www.maine.gov/ethics/pdf/2015_LEG_CANDIDATESsosoi_fillable.pdf

By statute, legislative candidates are required to file the statement by the first Monday in August. (1 M.R.S.A. § 10014-G) This is a legal requirement set by the Legislature that is administered by our office. Our office mailed you the form on July 18th. A second notice email was sent to you on August 24th, which extended your filing deadline to September 2nd.

Please file the statement with our office by September 23rd. If we do not receive the form by then, the Commission staff will recommend a finding that you violated 1 M.R.S.A. § 10014-G at the September 28, 2016 meeting of the Commission. You are welcome to attend the 9:00 a.m. meeting at our office (45 Memorial Circle in Augusta) in order to respond to the proposed finding of violation. Thank you.

Enclosure

Late Filer List

Susan Abercrombie
Mark Andre
Gary Capehart
Owen Casas
Douglas Damon
Scott Gaiason
Robert Griffin
R. Ryan Harmon
H. Scott Landry
Joseph Martin
Margaret O'Neil
Jennifer Parker
Blaine Richardson
Paul Schulz
Michael Sylvester
Rachel Talbot Ross
James Torbert
Bil Weidner

OFFICE LOCATED AT: 45 MEMORIAL CIRCLE, AUGUSTA, MAINE
WEBSITE: WWW.MAINE.GOV/ETHICS
PHONE: (207) 287-4179 FAX: (207) 287-6775