Legislative Ethics

One Hundred and Twenty-Ninth Maine Legislature

Compiled and Presented by the
Office of Attorney General Janet T. Mills
in compliance with
Title 1 M.R.S.A. section 1008(3)

December 4, 2018

TABLE OF CONTENTS

Page

I. Ethics Questions and Answers for Legislators 1

II. Summary of Advisory Opinions 8

III. Statutes

Establishing the Commission on Governmental Ethics and Election Practices 14

Governing Legislative Conflicts of Interest and Undue Influence, Requests for Advisory Opinions and Complaint Investigations and Prohibiting Certain Campaign Contributions 19

Requiring Financial Disclosure by Legislators 29

Relating to False Reports, Serving on Boards and Commissions, and Adoption of Disciplinary Guidelines 32

Restrictions on Activities of Legislative Employees 34

Bribery and Corrupt Practices 35

Prohibiting Misuse of State Government Computer System 40

Prohibiting Certain Payments to Legislators by PACs 41

IV. Legislative Code of Ethics and Rules on Conflict of Interest 42

V. Ethics Commission Guidance:

Prohibited Campaign Contributions During Legislative Session 43

Disclosure of Bids on State Contracts 45

Guidance on Acceptance of Gifts 46

Ethics Q&A's

ETHICS

QUESTIONS AND ANSWERS FOR LEGISLATORS

When should I refrain from voting on or attempting to influence a bill due to a conflict of interest?

Maine statute defines three different types of conflicts of interest that preclude you from voting on legislation or attempting to influence the outcome of legislation:

1. You may not vote on or attempt to influence a bill if you or a member of your immediate family[1]

- has or acquires a personal financial interest in an enterprise that would benefit financially from proposed legislation; *OR*
- derives a personal financial benefit from *close economic association*[2] with a person known by you to have a direct financial interest in an enterprise affected by the proposed legislation; *AND*
- the financial interest is direct and substantial *AND*
- distinct from that of the general public.

1 M.R.S. § 1014(1)(A)

2. You may not vote on or attempt to influence a bill if you or a member of your immediate family accepts or engages in employment

- which could impair your judgment as a legislator; *OR*
- when you know that there is a substantial possibility that the employment opportunity is being given to you or a member of your immediate family with an intent to influence you in your work as a legislator; *OR*
- when you or a member of your immediate family stands to derive a personal and private gain or loss from employment, because of legislative action, *AND* that gain or loss
  - is distinct from the gain or losses of other employees, *OR*

---

[1] "Immediate family" means a Legislator's spouse, domestic partner or dependent children. 1 M.R.S. §1012(6)

[2] Under the conflict of interest law, 1 M.R.S. § 1012(1), you or a member of your immediate family has a "*close economic association*" with a person if that person is:

- an employer, employee, partner, or client; *OR*
- a corporation in which you or a member of your immediate family is an officer, director or agent *OR* owns 10% or more of the outstanding capital stock; *OR*
- a business which has (or in which you have, or a member of your immediate family has) a significant unsecured creditor relationship.

- is distinct from the gain or losses of the general community.

1 M.R.S. § 1014(1)(E)

3. You may not vote on or attempt to influence a bill if you or a member of your immediate family has an interest in legislation

- relating to a profession, trade, business or employment in which you or a member of your immediate family is engaged; *AND*
- when the benefit to be derived from the legislation by you or a member of your immediate family is
  - unique and distinct from that of the general public *OR*
  - unique and distinct from that of persons engaged in similar professions, trades, businesses or employment.

1 M.R.S. § 1014(1)(F)

What other activities are prohibited by the conflict of interest statute?

You may not receive any compensation, or reimbursement of expenses, for services, advice or assistance that you provide as a legislator, other than the salary and reimbursements that are specifically authorized by law to be paid to you by the State.

1 M.R.S. § 1014(1)(C)

You may not appear for, represent or advocate on behalf of another person or entity before the Legislature, unless you do so without compensation and for the benefit of a citizen.

1 M.R.S. § 1014(1)(D)

What restrictions apply to my dealings with state executive branch agencies?

If you appear for, represent, or advocate for another person or entity in a matter before a state agency or authority for compensation other than the compensation you receive as a legislator, then you must not

- refer to your legislative capacity; *OR*
- communicate with the state agency or authority regarding the matter on legislative stationary; *OR*
- make any threats or implications relating to legislative action.

1 M.R.S. § 1014(2-A)(A)

If you serve as a legislator on the oversight committee of a state agency or authority, then you must not appear for, represent, or advocate for another person or entity in a matter before that state agency or authority unless:

- you are doing so without compensation and for the benefit of a constituent; *OR*
- you are engaged in the conduct of your profession and you are in good standing with any licensing board that oversees your profession; *OR*
- you are appearing, representing or advocating before a court or office of the judicial branch; *OR*
- your representation consists of filing records or reports or performing other routine tasks that do not involved the exercise of any discretion by the state agency or authority.

1 M.R.S. § 1014(2-A)(B) (undue influence)

You also may not represent or assist another person or entity in selling goods or services to the State, or to any state agency or authority, unless the sale occurs after public notice and competitive bidding.

1 M.R.S. § 1014(2-A)(C) (undue influence)

What restrictions apply to my ability, or that of my employer or my business, to contract with a state agency?

You or any *associated organization*[3] may not enter into a contract with a state agency to be paid in whole or in part with government funds, and a person or entity with which you or a member of your immediate family has a direct financial interest or has an interest through *close economic association*[4] may not contract with the State for goods or services unless:

- the contract has been awarded through a process of competitive bidding; *OR*
- the contract is exempt from competitive bidding under state purchasing laws; *OR*
- payment under the contract is based on uniform rates established by
  - the State, a state agency or authority, or
  - other governmental entity.

1 M.R.S. § 1014(3)(A) (abuse of office)
1 M.R.S. § 1014(4)

---

[3] Under the legislative ethics statute, 1 M.R.S. § 1012(1-A), an "*associated organization*" is one in which you or a member of your immediate family:

- is a managing employee, director, officer or trustee, *OR*
- own(s) or control(s), directly or indirectly, and separately or combined, at least 10% of the outstanding shares.

[4] *See* footnote 2 for definition.

What other statutory prohibitions apply to my activities as a legislator?

You may not grant or obtain any special privilege, exemption or preferential treatment

- to or for yourself or another
- when that privilege, exemption or treatment
- is not readily available to members of the general community or to members of a class to which the beneficiary belongs.

1 M.R.S. § 1014(3)(B) (abuse of office)

You also may not use or disclose confidential information

- obtained because of your office or position as a legislator
- for your own benefit or for the benefit of another.

1 M.R.S. § 1014(3)(C) (abuse of office)

What gifts am I prohibited from accepting as a legislator?

You, or a member of your immediate family, may not accept a *gift*[5] (excluding campaign contributions) or a *pecuniary benefit*[6] from any person:

- affected by legislation or with an interest in an entity affected by proposed legislation; *AND*
- if you know, or reasonably should know, that the purpose of the donor in making the gift or offering the pecuniary benefit is
  - to influence your vote;
  - to influence you in the performance of your duties as a legislator; or
  - to reward you for some action you have taken; *OR*
- if the pecuniary benefit is in return for a vote that you have made as a legislator, or in return for advice or other assistance in preparing or promoting a bill; *OR*
- if the pecuniary benefit is given as compensation for your endorsement, nomination, approval or disapproval of any person for a public office.

1 M.R.S. § 1014(1)(B)
17-A M.R.S. § 604(1)(A)
17-A M.R.S. § 605(1)(A)
17-A M.R.S. § 606(1)(A)
17-A M.R.S. § 607(1)(A)

---

[5] Under the legislative ethics statute, 1 M.R.S. § 1012(4), a "gift" means anything of value, including forgiveness of an obligation or debt, that is given without the recipient providing anything of equal or greater value. It does not include:

- things of value received from a single source during a calendar year that do not exceed an aggregate value of $300;
- a bequest or other form of inheritance;
- a gift from a relative or from an individual, but not a registered lobbyist or lobbyist associate, on the basis of a personal friendship unless the Legislator has reason to believe that the gift was provided because of the Legislator's official position and not because of a personal friendship;
- a subscription to a newspaper, news magazine, or other news publication;
- legal services provided in a legislative ethics matter; or
- a meal, if the meal is a prayer breakfast or a meal served during a meeting to establish a prayer breakfast, or if the meal is provided by industry or special interest organizations as part of the informational program presented to a group of public servants.

[6] "Pecuniary benefit" is defined in the Bribery and Corrupt Practices Act, 17-A M.R.S. § 602(2)(C), to include any advantage in the form of money, property, commercial interest, or anything else the primary significance of which is economic gain, other than economic gain available to the public generally, such as through a tax reduction or increased prosperity generally. "Pecuniary benefit" does not include:

- a meal provided by an industry or special interest organization as part of an informational program presented to a group of legislators or other public officials;
- a prayer breakfast or meal served during a meeting to establish a prayer breakfast; or
- a subscription to a newspaper, news magazine or other news publication.

Am I allowed to solicit funds for charities or nonprofit organizations while serving as a legislator?

Generally, yes, since the donations are not being made to you directly. It is advisable, however, to avoid soliciting donations from someone whose purpose in making the donation you know, or reasonably should know, is to influence your vote on any matter or the performance of your duties as a legislator, or to reward you for any past action. It is also advisable to avoid soliciting donations from anyone who you know is, or is likely to become, subject to or interested in legislation that is pending before the committee or legislative body in which you serve as a legislator.

When am I, as a legislator, precluded from soliciting or accepting campaign contributions from lobbyists, lobbyist associates or their employers?

While serving in the Legislature, you may not accept campaign contributions (other than qualifying contributions to help you become certified as a Maine Clean Election candidate, or to support a campaign for federal office) from lobbyists, lobbyist associates or their employers during any of the following time periods:

- for a first regular session, from the time the Legislature convenes on the first Wednesday in December, until final adjournment;
- for a second regular session, from the time the Legislature convenes on the first Wednesday after the first Tuesday in January, until final adjournment, or until the March 15 deadline for party candidates to file nominating petitions, whichever occurs earlier;
- for a special session, from whenever the Legislature convenes until final adjournment.

During these time periods, any political action committee, party committee or ballot question committee for which you serve as an officer, treasurer, primary fundraiser or decision maker also may not solicit or accept contributions (or promises of contributions) from lobbyists, lobbyist associates or their employers. This also means that you cannot fundraise for these committees.

1 M.R.S. § 1015(3)

Are there any restrictions on my receiving payments from a political action committee?

Yes. Political action committees (PACs) may not compensate you for services you provide to the PAC if you are a principal officer or treasurer for the PAC or if you are primarily responsible for raising contributions or making decisions for the PAC. In addition, the PAC may not make any payments to a business you own or operate for goods or services provided to the PAC.

The PAC may reimburse you for expenses you incur in the proper performance of your duties as a legislator, travel expenses related to volunteering for the PAC, and purchases made on behalf

of the PAC. However, reimbursements for expenses determined by the Commission to be for the purpose of personal financial enrichment are not allowable.

21-A M.R.S.A. § 1054-B

Am I required to disclose anything about my personal finances?

Yes, you are required to file a Statement of Sources of Income with the Ethics Commission by February 15th every year. The Statement (on a form that will be provided to you) must include information about the sources of your income, business entities you own, positions you hold in non-profit and for-profit corporations and political committees, sources of certain non-personal gifts you receive, and other information. (Similar information is required for your spouse or domestic partner as well.) You do not have to disclose the amount of your income or your assets and their values.

You are also required to file an updated Statement within 30 days of a substantial change in income, reportable liabilities, or a new position in a non-profit or for-profit corporation, political action committee, ballot question committee or party committee.

1 M.R.S.A. § 1016-G

Are there any restrictions on the kind of work I can do after I leave the Legislature?

Yes, after you leave the Legislature, you may not engage in lobbying activities[7] that would require you to register[8] as a lobbyist or lobbyist associate for a period of one year after your final term in office ends. This restriction does not apply to uncompensated lobbying during the one-year waiting period.

1 M.R.S. § 1024

[7] "Lobbying" means to communicate directly with any official in the legislative branch or any official in the executive branch or with a constitutional officer for the purpose of influencing any legislative action or with the Governor or the Governor's cabinet and staff for the purpose of influencing the approval or veto of a legislative action when reimbursement for expenditures or compensation is made for those activities. 3 M.R.S. § 312-A(9). *See* 3 M.R.S. § 312-A(10) & (10-A) for definitions of "lobbyist" and "lobbyist associate."

[8] An individual is required to register as a lobbyist or lobbyist associate if he or she engages in lobbying activities in excess of 8 hours in a calendar month and is compensated for those services by another person.

Opinions

SUMMARY OF OPINIONS ON LEGISLATIVE ETHICS

For the full version of the Opinions on Legislative Ethics, please go to
http://www.maine.gov/ethics/legislators/opinions.htm

Receipt and Solicitation of Gifts:

A legislator asked whether she could voluntarily solicit contributions, especially foundation grants, for the Kennebec River Future Commission, which was in the process of being created by legislation. The Attorney General said that she could, without compensation, **solicit grants and donations from private sources on behalf of a public entity**. The Attorney General also suggested that she get the approval of both the Governor and the Legislative Council to accept the funds solicited before the legislation creating the new commission became effective; that she refrain from soliciting from those who were interested in matters pending before the Legislature; and that she guard against creating the impression that she was soliciting funds on behalf of the Governor or Legislative Council. *(AG Opinion, Feb. 17, 1981)*

* * *

The Maine Whitewater Outfitters Association invited legislators on a Penobscot River **rafting trip** at a rate of $15 for up to two people, a substantial discount from the going public rate. The invitation noted that there had been significant legislation affecting rivers in the past, and that there would likely be more in the future. The House Speaker asked whether the conflict of interest law allowed legislators to accept the trip at that rate. The Attorney General said that legislators could not accept the trip at that rate, as it appeared to be a gift intended to influence the legislators in the performance of their official duties. *(AG Opinion, Aug. 18, 1983)*

Conflicts of Interest: ***Financial Benefit from Legislation***

A legislator asked whether it would be a conflict of interest for her to vote on a bill to limit future increases in the cost of hospital care, when the **legislator's spouse had provided legal advice** and counsel to a medical practice affiliated with a Maine hospital concerning the bill. Although the Ethics Commission found this to be a conflict, the Attorney General concluded it was not because there was no indication that the client would derive a direct financial benefit from passage or defeat of the legislation, or that the legislator's spouse would derive any financial benefit from passage or defeat of the legislation since, as a lawyer, he would be paid for rendering legal advice on the bill whether or not it was enacted. *(AG Opinion, Jun. 10, 1983)*

* * *

A bill pending before the Legislature would have authorized teacher recognition grants of $1,000 per teacher, for which all full-time teachers in qualifying schools would be eligible. In response to a legislator's inquiry, the Attorney General concluded that it

would not be a conflict of interest for a **legislator who was a full-time teacher,** or whose spouse was a full-time teacher, to vote on the legislation, even though he or she would be eligible to receive a grant if the bill passed. The benefit to be derived by the legislator-teacher (or his or her spouse), although direct, financial, and personal, was not "unique and distinct ...from that of persons engaged in similar professions." The bill applied equally to all members of the teaching profession in public schools in Maine. *(AG Opinion, Sept. 6, 1984)*

* * *

The House speaker asked his counsel whether **legislators who owned or sold mutual insurance policies** had a conflict of interest in voting on a bill that would establish procedures and standards for demutualization of insurance companies. The speaker's counsel determined that there was no conflict of interest for policy owners because the bill did not financially benefit the mutual insurance companies, and even if policy holders received a benefit, it would not be a direct or substantial benefit. With respect to sellers of such policies, the bill would either confer no benefit or confer no benefit that was unique and distinct from others in the business. *(Speaker's Counsel advice, Jun. 10, 1985)*

* * *

A legislator who owned rental property asked the Attorney General whether the conflict of interest law would prevent him from voting on two bills that would require landlords to pay interest on tenant security deposits. The Attorney General advised that the law did not bar the legislator's voting on the bills because the bills would apply equally to all landlords in the State, so the **legislator-landlord's** interest was not unique and distinct from that of other landlords. *(AG advice, Mar. 29, 1991)*

* * *

While the Legislature was considering the recommendations of the Blue Ribbon Commission on Workers' Compensation, legislators asked the Attorney General about the ethical duties of lawyer-legislators who handle, or whose firms handle, workers' compensation cases. The Attorney General's Office advised that all legislators were obliged to disclose their specific sources of income, and lawyer-legislators were required to disclose the major areas of law practice for themselves and their firms. However, **lawyer-legislators who practiced workers' compensation law** were not barred from voting on workers' compensation issues because any benefits that flowed from passage of those recommendations would not be unique and distinct from benefits received by others in that line of work. *(AG advice, Oct. 2, 1992)*

* * *

A **legislator who worked for a private non-profit corporation** as the administrator of a program **that would receive State funds** under pending legislation

was not prohibited from voting on that legislation because the legislator had no personal financial interest in the legislation. The criteria cited by the Ethics Commission in reaching this conclusion included that the non-profit corporation's contract with the state was awarded after a competitive bidding process, that the legislator did not own the non-profit corporation, that the legislator was not a director or an officer of the non-profit corporation, that the legislator's compensation would not be increased if the legislation passed, and that none of the State funds involved could be used for administrative purposes. However, the Ethics Commission said that the legislator may wish to recuse himself merely to avoid the appearance of a conflict of interest. *(Ethics Comm. adv. ops., Apr. 9, 2003 & Aug. 15, 2003)*

* * *

A legislator asked whether it would be a conflict for him to vote on legislation authorizing Maine's involvement in a regional initiative to reduce greenhouse gases, including establishment of a cap and trade program for carbon dioxide emissions. The program could have significant financial implications for the legislator's employer, as the owner of two out of only six small power plants in the State that would likely be required to purchase carbon dioxide allowances. There was no evidence that the legislator's job responsibilities or compensation would be affected. The Commission concluded that it would not be a conflict of interest for the legislator to participate in the legislative process regarding the greenhouse gas initiative, but cautioned him to examine each specific bill related to the initiative to determine its affect on his employer and to consider whether voting on it would constitute an actual or potential conflict. *(Ethics Comm. adv. op., Mar. 7, 2007)*

* * *

A legislator employed as the environmental manager of a paper mill asked if it would be a conflict of interest for him to vote on legislation that would create an exception to the assessment of fines and penalties for failure to report small quantity oil spills. The mill was one of a large number of entities in the state affected by the legislation. The Commission found that this legislator would not derive any benefit unique and distinct from that of others engaged in the same trade or business. Thus, voting on the bill would not present a conflict of interest. *(Ethics Comm. adv. Op., Mar. 12, 2007)*

* * *

Applying the reasoning of the June 10, 1983 Attorney General's advisory opinion, the Ethics Commission found that it was not a conflict of interest for a legislator to vote on legislation to streamline the permitting process for wind power projects when the legislator's spouse was a lawyer who represented wind power companies. There was no indication that the legislator's vote on the bill would have any effect on his spouse's compensation as a lawyer or would result in any financial benefit or detriment to their family. *(Ethics Comm. Adv. Op., Mar. 12, 2010)*

* * *

A legislator who was employed by the University of Maine as a professor and pest management specialist with the University's Cooperative Extension Service asked whether it would be a conflict of interest for him to vote on (A) a budget bill that would provide funds for the integrated pest management programs which he directed, or (B) a bond issue to finance construction of a new Insect and Plant Disease Diagnostic Laboratory, which would allow expansion of the programs he directed. The legislator's salary and benefits were set by a collective bargaining agreement and thus would not be affected by passage of these bills. Applying the reasoning of the June 10, 1983 Attorney General's advisory opinion and the Commission's March 12, 2010 advisory opinion, the Commission staff concluded that voting on these bills would not constitute an actual conflict of interest since neither of these bills would provide a direct pecuniary benefit to the legislator. *(Ethics Commission staff advice, April 7, 2011)*

* * *

A legislator who was employed by an agency providing behavioral health care services in Maine asked whether his past and on-going efforts to promote passage of legislation expanding the MaineCare program to cover a larger number of Maine residents would constitute a conflict of interest. The Commission staff, applying the reasoning of the June 10, 1983 Attorney General's advisory opinion and the Commission's March 12, 2010 advisory opinion, concluded that it would not pose a conflict under § 1014(1)(E) or (F) because the financial impact to his employer would not be unique or distinct from that of other health care providers, and it would not pose a conflict under § 1014(1)(A) due to the lack of any direct personal financial benefit to him as an employee of the provider. *(Ethics Commission staff advice, February 25, 2014)*

* * *

A legislator who had been offered and had accepted a job as CEO of a private school that received a significant amount of state funding asked whether it would be a conflict of interest for him to vote on the state budget, which included funding for the school at the same level as in previous years. The Commission staff relied on the reasoning of the June 10, 1983 Attorney General's advisory opinion and the Commission's March 12, 2010 advisory opinion to conclude that voting on the budget bill would not pose a conflict under § 1014(1)(E) or (F) because the grant of state funds to the school would not provide any direct personal financial benefit to the legislator or his immediate family. *(Ethics Commission staff advice, June 15, 2015)*

* * *

A legislator asked if it would be a conflict of interest to influence legislation relating to a fishery management issue that was of significant concern to a nonprofit organization for which the legislator served as a volunteer executive director. The Commission staff applied the reasoning of the 1983 and 2010 opinions noted above to conclude that there would be no conflict under § 1014(1)(A), (E) or (F) because the

legislation would have no direct financial effect on the legislator either personally or in the legislator's role as unpaid staff to the nonprofit organization. *(Ethics Commission staff advice, March 16, 2015)*

Conflicts of Interest: ***Committee Assignment***

A legislator asked the Ethics Commission whether his employment as the environmental manager for a major paper mill regulated by the Maine Department of Environmental Protection should preclude his appointment to the legislative committee that oversees that department. The Ethics Commission noted that the statutes acknowledge that most legislators must rely on private sources of income. The Commission also noted that the committees are well served by members who bring relevant specialized knowledge and experience. While the Commission found that the legislator's service on the committee did not create a *per se* conflict of interest, it cautioned him to carefully consider recusing himself from voting on particular matters that affect his employer in order to avoid the appearance of misconduct. *(Ethics Comm. adv. op., Mar. 9, 2006)*

Conflicts of Interest: ***Working as a Lobbyist***

The Deputy Secretary of State asked the Attorney General's Office whether a member of the Legislature could also serve as executive director of the Maine County Commissioners Association when a significant portion of the director's duties would include acting as a lobbyist. The Attorney General's Office advised that such employment would likely violate both the "entire spirit" of the conflict of interest statutes and the common law principles on conflicts of interest. A number of Maine cases have articulated the rule that a public officer is required to be totally faithful to his or her public duties, rather than his or her personal interests. *(AG advice, Jan. 30, 1986)*

Conflicts of Interest/Abuse of Office: ***Contracts with State Agencies***

A legislator who worked as president of a company that received a "**sole source," no-bid contract** to provide claims processing services for the State asked the Ethics Commission whether the company's acceptance of the contract constituted abuse of office under the conflict of interest statute. The Commission understood that the contract was granted on an emergency basis because the previous contractor served notice of withdrawal from its contract without allowing sufficient time for a competitive bid process. For that reason, the State Division of Purchases approved the sole source contract, as it is allowed to do by the State purchasing laws under such circumstances. The Commission also noted that the legislator's company took the contract on the same terms as the previous contractor, with no increase in rates. Further, the Commission noted that the legislator owned no stock in the company. Based on those facts, the Commission determined that no abuse of office conflict of interest had developed through the company's acceptance of the contract. However, the Commission strongly recommended that the legislator abstain from any matter that may raise the appearance of

a conflict of interest due to the contractual relationship between the company and the State. *(Ethics Comm. adv. op., Apr. 30, 1998)*

* * *

A legislator asked the Ethics Commission whether he could accept a contract with the State to serve as the "Dean" of the Maine Leadership Institute under the statute that creates a presumption of a conflict of interest for a legislator or a member of his or her immediate family to have a direct financial interest in a State **contract** that is **not subject to a competitive bid process or established uniform rates**. Before the inquiring legislator was elected, he had received the contract through a sole source contract, and not through competitive bidding. But after he was elected, the contract was put through a competitive bidding process, and the legislator was the winning bidder. The Ethics Commission advised that the legislator had no conflict of interest and could accept the contract because it was offered only after a competitive bidding process. *(Ethics Comm. adv. op., Apr. 9, 2003)*

Conflicts of Interest: ***Undue Influence on State Agencies***

The Real Estate Commission complained to the Ethics Commission about the actions of three legislators who attempted to influence the outcome of a case against a friend of one of the legislators pending before the Real Estate Commission. The influence came in the form of a letter to the Real Estate Commission from all three legislators as well as phone calls from one of the legislators to that commission's chairman, its chief investigator, and the commissioner of the executive department that administered the commission. The Ethics Commission found that the primary legislator's motive was purely to assist his friend in having the friend's case dismissed, and it found that motive to be inappropriate. The Ethics Commission found that the legislators' actions constituted undue influence. One of the legislators was the chair of the legislative committee having oversight over the Real Estate Commission, and while the Ethics Commission found that he had "a legitimate interest in the disciplinary authority and procedures of the Real Estate Commission, . . . that interest provides no proper basis for seeking to influence the outcome of any particular case." *(Ethics Comm. adv. op., Oct. 14, 1988)*

Conflicts of Interest: Assisting Company with Access to State Programs

A Legislator asked whether she could research funding opportunities to improve infrastructure at a mill within her Senate district and to train workers, and share the research with the firm that owns the mill. She also asked whether she could attend meetings between the firm and state officials. Her husband is employed as a manager at the mill. The Commission advised that the proposed activities did not constitute a conflict of interest, undue influence on a state agency or abuse of her office, provided that she did not obtain a special privilege or preferential treatment for the firm that was not available to other businesses in the same class. *(Ethics Comm. adv. op., Apr. 18, 2017)*

Statutes

TITLE 1
CHAPTER 25

GOVERNMENTAL ETHICS

SUBCHAPTER 1
STATEMENT OF PURPOSE

1 § 1001. Statement of purpose

It is essential under the American system of representative government that the people have faith and confidence in the integrity of the election process and the members of the Legislature. In order to strengthen this faith and confidence that the election process reflects the will of the people and that each Legislator considers and casts his vote on the enactment of laws according to the best interests of the public and his constituents, there is created an independent commission on governmental ethics and election practices to guard against corruption or undue influencing of the election process and against acts or the appearance of misconduct by Legislators.

Section History: P.L. 1975, ch. 621, § 1

1 § 1002. Commission on Governmental Ethics and Election Practices

1. Membership. (repealed)

1-A. Membership. The Commission on Governmental Ethics and Election Practices, established by Title 5, section 12004-G, subsection 33 and referred to in this chapter as the "commission," consists of 5 members appointed as follows.

A. By December 1, 2001 and as needed after that date, the appointed leader from each political party in the Senate and the appointed leader from each political party in the House of Representatives jointly shall establish and advertise a 30-day period to allow members of the public and groups and organizations to propose qualified individuals to be nominated for appointment to the commission.

B. By January 1, 2002 and as needed after that date, the appointed leader from each political party in the Senate and the appointed leader from each political party in the House of Representatives each shall present a list of 3 qualified individuals to the Governor for appointment of 4 members to the commission. The appointed leadership from each party in both bodies of the Legislature jointly shall present a list of 3 qualified individuals to the Governor for appointment of a 5th member to the commission.

C. By March 15, 2002, the Governor shall appoint the members of the commission selecting one member from each of the lists of nominees presented in accordance with paragraph A. These nominees are subject to review by the joint standing committee of the Legislature having jurisdiction over legal affairs and confirmation by the Legislature. No more than 2 commission members may be enrolled in the same party.

D. Two initial appointees are appointed for one-year terms, 2 are appointed for 2-year terms and one is appointed for a 3-year term, according to a random lot drawing under the supervision of the Secretary of State. Subsequent appointees are appointed to serve 3-year terms. A person may not serve more than 2 terms.

E. The commission members shall elect one member to serve as chair for at least a 2-year term.

F. Upon a vacancy during an unexpired term, the term must be filled as provided in this paragraph for the unexpired portion of the term only. The nominee must be appointed by the Governor from a list of 3 qualified candidates provided by the leader of the party from the body of the Legislature that suggested the appointee who created the vacancy. If the vacancy during an unexpired term was created by the commission member who was appointed from the list of candidates presented to the Governor by the leaders of each party of each body of the Legislature jointly, the nominee must be appointed from a list of 3 qualified candidates provided jointly by the leaders of each party of each body of the Legislature. If the list of 3 qualified candidates required by this paragraph to be presented to the Governor by the leaders of each party from each body of the Legislature is not produced within 60 days after the vacancy is created, then the leaders of each party from both bodies of the Legislature shall present within the subsequent 15 days a separate list of 3 qualified candidates to the Governor, who shall appoint a candidate from these lists within 30 days of receiving the lists. Nominees appointed pursuant to this paragraph are subject to review by the joint standing committee of the Legislature having jurisdiction over election practices and legislative ethics and to confirmation by the Legislature.

G. Upon a vacancy created by an expired term, the vacancy must be filled as provided in this paragraph. The nominee must be appointed by the Governor from a list of 3 qualified candidates provided by the leader of the party from the body of the Legislature that suggested the appointee whose term expired. When a vacancy is created by an expired term of the commission member who was appointed from the list of candidates presented to the Governor by the leaders of each party of each body of the Legislature jointly, the nominee must be appointed from a list of 3 qualified candidates provided jointly by the leaders of each party of each body of the Legislature. If the list of 3 qualified candidates required by this paragraph to be presented to the Governor by the leaders of each party from each body of the Legislature is not produced within 60 days after the vacancy is created, then the leaders of each party from both bodies of the Legislature shall present within the subsequent 15 days a separate list of 3 qualified candidates to the Governor, who shall appoint a candidate from these lists within 30 days of receiving the lists. Nominees appointed pursuant to this paragraph are subject to review by the joint standing committee of the Legislature having jurisdiction over election practices and legislative ethics and to confirmation by the Legislature.

H. For the purposes of this subsection, "political party" has the same meaning as "party" as defined by Title 21-A, section 1, subsection 28.

2. Qualifications. The members of the commission must be persons of recognized judgment, probity and objectivity. A person may not be appointed to this commission who is a member of the Legislature or who was a member of the previous Legislature, who was a declared candidate for an elective county, state or federal office within 2 years prior to the appointment or who now holds an elective county, state or federal office. A person may not serve on the commission who is an officer, director, employee or primary decision maker of a party committee, political action committee or candidate committee authorized under Title 21-A, section 1013-A, subsection 1, paragraph B.

2-A. Conflict of interest. This subsection governs conflicts of interest of members of the

commission.

A. A member of the commission has a conflict of interest in a matter before the commission if the member has a business or close political relationship with a party to the matter. A close political relationship exists when a member has significant past or ongoing involvement with a political committee or a candidate, as defined in Title 21-A, section 1, subsection 30 and subsection 5, respectively, or other organization involved in the matter, that would lead a reasonable person to believe that the member is unable to objectively consider the matter. A close political relationship is not created by making a contribution to a political committee, organization or candidate; party enrollment status; or mere membership in an organization involved in the matter.

B. If members of the commission have a conflict of interest in a matter before the commission, the members shall recuse themselves from the matter and may not vote on or attempt to influence the outcome of the matter. Whether or not recusal is required under this paragraph, members of the commission shall consider recusing themselves from any matter that would give rise to an appearance of a conflict of interest.

2-B. Annual disclosure statement. Each member shall file a disclosure statement with the executive director of the commission by February 15th of each year, which must include:

A. The names of and the positions held in all candidate committees, political action committees, ballot question committees and party committees of which the member or the member's spouse or domestic partner was an officer, director or primary decision maker or fund raiser during the previous calendar year;

B. The names of and positions held in all nonprofit or commercial organizations of which the member or the member's spouse or domestic partner was an owner, officer, director or primary decision maker or fund raiser that, during the previous calendar year, made expenditures of more than $1,500 to influence an election or employed a lobbyist who was required to register with the commission; and

C. Any additional information that the commission determines appropriate.

A member shall notify the executive director if the member becomes an officer, director, employee or primary decision maker or fund raiser of a party committee, political action committee, ballot question committee or candidate committee within 21 days of the event.

3. Oath. Each member shall, within 10 days of his appointment, take an oath of office to faithfully discharge the duties of a commissioner in the form prescribed by the Constitution. Such oath shall be subscribed to by the commissioner taking it, certified by the officer before whom it is taken and immediately filed in the Office of the Secretary of State.

4. Legislative per diem. The members of the commission are entitled to receive legislative per diem according to Title 5, chapter 379.

5. Employees. The commission shall employ an executive director and such other assistance as may be necessary to carry out its duties. The commission also shall retain a general counsel or a computer analyst as an employee of the commission, based on the staffing needs of the executive director. If the commission employs a general counsel, the general counsel may not hold any other state office or otherwise be employed by the State. The commission shall select the executive director by an affirmative vote of at least 4 commission members.

6. Prohibited activities. A member of the commission may not engage in political fund-raising to promote the election or defeat of a candidate, passage or defeat of a ballot measure or endorse a political candidate. This prohibition does not apply to fund-raising for campaigns or endorsement of candidates at the county or municipal level or out-of-state nonfederal elections.

7. Removal of members. A member of the commission may be removed by the Governor for inefficiency, willful neglect of duty, malfeasance in office, engaging in prohibited activities or failure to continually meet the qualifications set out by this section or to comply with the disclosure requirements, but only with the review and concurrence of the joint standing committee of the Legislature having jurisdiction over election practices and legislative ethics upon hearing in executive session, or impeachment by the Legislature. Before removing a board member, the Governor shall notify the President of the Senate and the Speaker of the House of Representatives of the removal and the reasons for the removal.

Section History: P.L. 1975, ch. 621, § 1; P.L. 1983, ch. 812, § 1; P.L. 1989, ch. 503, § B1; P.L. 1991, ch. 86, § 1; P.L. 1991, ch. 880, § 1; I.B. 1995, ch. 1, §§ 1, 2; P.L. 2001, ch. 430, § 1; P.L. 2001, ch. 470, §§ 1-3; P.L. 2003, ch. 381, § 1; P.L. 2005, ch. 271, §§ 1, 2; P.L. 2005, ch. 295, § 1; P.L. 2007, ch. 252, §§ 1, 2; P.L. 2007, ch. 571, §§ 1-4

1 § 1003. Procedures, rules and regulations

1. Procedures, rules and regulations. The commission shall adopt such procedures, rules and regulations as may appear necessary for the orderly, prompt, fair and efficient carrying out of its duties, consistent with this chapter.

2. Records. Except as provided in section 1013, all records of the commission, including business records, reports made to or by the commission, findings of fact and opinions, must be made available to any interested member of the public who may wish to review them. Any member of the public may request copies of any record held by the commission that is available for public inspection. The commission shall furnish these copies upon payment of a fee covering the cost of reproducing them.

Section History: P.L. 1975, ch. 621, § 1; P.L. 1979, ch. 541, § A4; P.L. 2007, ch. 642, § 1

1 § 1004. Meetings

The commission shall meet on the call of the Speaker of the House or the President of the Senate to perform the duties required of it or as specifically provided in this chapter. The commission shall also meet at other times at the call of the chair or at the call of a majority of the members, provided all members are notified of the time, place and purpose of the meeting at least 24 hours in advance.

Section History: P.L. 1975, ch. 621, § 1; P.L. 1977, ch. 252, § 1; P.L. 2001, ch. 430, § 2

1 § 1005. Open meetings

Notwithstanding chapter 13 and except as provided in section 1013, subsection 3-A, all meetings, hearings or sessions of the commission are open to the general public unless, by an affirmative vote of at least 3 members, the commission requires the exclusion of the public.

Section History: P.L. 1975, ch. 621, § 1; P.L. 1997, ch. 562, § D1; P.L. 1997, ch. 562, § D11; P.L. 2001, ch. 430, § 3; P.L. 2007, ch. 642, § 2

1 § 1006. Assistance

The commission may call for the aid or assistance in the performance of its duties on the Attorney General, Secretary of State, Office of the State Auditor or any law enforcement agency in this State. When called upon, these agencies shall comply to the utmost of their ability.

Section History: P.L. 1975, ch. 621, § 1; P.L. 2013, ch. 16 § 10

1 § 1007. Annual report

The commission shall submit to the Legislature and the public an annual report discussing its activities under this chapter and any changes it considers necessary or appropriate regarding ethical standards.

Section History: P.L. 1975, ch. 621, § 1; P.L. 1989, ch. 561, § 1

1 § 1008. General duties

The general duties of the commission shall be:

1. Legislative ethics. To investigate and make advisory recommendations to the appropriate body of any apparent violations of legislative ethics;

2. Election practices. To administer and investigate any violations of the requirements for campaign reports and campaign financing, including the provisions of the Maine Clean Election Act and the Maine Clean Election Fund;

3. Ethics seminar. To conduct, in conjunction with the Attorney General and the Chair of the Legislative Council or their designees, an ethics seminar for Legislators after the general election and before the convening of the Legislature, in every even-numbered year. The Attorney General shall provide each Legislator with a bound compilation of the laws of this State pertaining to legislative ethics and conduct;

4. Lobbyist activities. To administer the lobbyist disclosure laws, Title 3, chapter 15, and enforce the waiting period required before former Legislators may engage in compensated lobbying as provided by section 1024;

5. Maine Clean Election Act and Maine Clean Election Fund. To administer and ensure the effective implementation of the Maine Clean Election Act and the Maine Clean Election Fund according to Title 21-A, chapter 14; and

6. Enhanced monitoring. To provide for enhanced monitoring and enforcement of election practices and the electronic submission of reports and computerized tracking of campaign, election and lobbying information under the commission's jurisdiction.

Section History: P.L. 1975, ch. 621, § 1; P.L. 1977, ch. 337, § 1; P.L. 1989, ch. 561, §§ 2, 3; P.L. 1993, ch. 691, § 1-3; I.B. 1995, ch. 5, §§ 3-6; P.L. 2001, ch. 430, § 4; P.L. 2003, ch. 20, § J-1; P.L. 2005, ch. 301, § 1; P.L. 2007, ch. 642, § 3; P.L. 2013, ch. 129, § 1

1 § 1009. Recommendations to Legislature

Following a general election, the commission may solicit suggestions for improving campaign financing and reporting and the administration of the other areas within the commission's jurisdiction. The commission shall review the suggestions and may submit legislation within 90

days of the general election based on those suggestions or on proposals by individual members of the commission or its staff.

Section History: P.L. 2005, ch. 301, § 2; P.L. 2009, ch. 208, § 1

SUBCHAPTER 2
LEGISLATIVE ETHICS

1 § 1011. Statement of purpose

The Maine Legislature enjoys a high reputation for progressive accomplishment. The vast majority of its members are public officers of integrity and dedication, seeking at all times to maintain high standards of ethical conduct. The public interest is best served by attracting and retaining in the Legislature men and women of high caliber and attainment. The public interest will suffer if unduly stringent requirements deprive government "of the services of all but princes and paupers." Membership in the Legislature is not a full-time occupation and is not compensated on that basis; moreover, it is measured in 2-year terms, requiring each member to recognize and contemplate that his election will not provide him with any career tenure. Most Legislators must look to income from private sources, not their public salaries, for their sustenance and support for their families; moreover, they must plan for the day when they must return to private employment, business or their professions. The increasing complexity of government at all levels, with broader intervention into private affairs, makes conflicts of interest almost inevitable for all part-time public officials, and particularly for Legislators who must cast their votes on measures affecting the lives of almost every citizen or resident of the State. The adoption of broader standards of ethics for Legislators does not impugn either their integrity or their dedication; rather it recognizes the increasing complexity of government and private life and will provide them with helpful advice and guidance when confronted with unprecedented or difficult problems in that gray area involving action which is neither clearly right nor clearly wrong. If public confidence in government is to be maintained and enhanced, it is not enough that public officers avoid acts of misconduct. They must also scrupulously avoid acts which may create an appearance of misconduct. The Legislature cannot legislate morals and the resolution of ethical problems must indeed rest largely in the individual conscience. The Legislature may and should, however, define ethical standards, as most professions have done, to chart the areas of real or apparent impropriety.

Section History: P.L. 1975, ch. 621, § 1

1 § 1012 Definitions

As used in this subchapter, unless the context otherwise indicates, the following terms have the following meanings.

1. Close economic association. "Close economic association" means the employers, employees, partners or clients of the Legislator or a member of the Legislator's immediate family; corporations in which the Legislator or a member of the Legislator's immediate family is an officer, director or agent or owns 10% or more of the outstanding capital stock; a business which is a significant unsecured creditor of the Legislator or a member of the Legislator's immediate family; or a business of which the Legislator or a member of the Legislator's immediate family is a significant unsecured creditor.

1-A. Associated organization. "Associated organization" means any organization in which a Legislator or a member of the Legislator's 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.

2. Commission. "Commission" means the Commission on Governmental Ethics and Election Practices.

2-A. Domestic partner. "Domestic partner" means the partner of a Legislator who:

A. Has been legally domiciled with the Legislator for at least 12 months;

B. Is not legally married to or legally separated from an individual;

C. Is the sole partner of the Legislator and expects to remain so; and

D. Is jointly responsible with the Legislator for each other's common welfare as evidenced by joint living arrangements, joint financial arrangements or joint ownership of real or personal property.

3. Employee. "Employee" means a person in any employment position, including public or private employment, employment with a nonprofit, religious, charitable or educational organization, or any other compensated service under an expressed, implied, oral or written contract for hire, but does not include a self-employed person.

4. Gift. "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 the Legislator has reason to believe that the gift was provided because of the Legislator's 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.

5. Honorarium. "Honorarium" means a payment of money or anything with a monetary resale value to a Legislator for an appearance or a speech by the Legislator. 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 a speech that is unrelated to the person's official capacity or duties as a member of the Legislature.

6. Immediate family. "Immediate family" means a Legislator's spouse, domestic partner or

dependent children.

7. Income. "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 money to be spent on behalf of a client for payment of a licensing or filing fee.

A, B. (repealed)

7-A. Managerial employee. "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.

8. Relative. "Relative" means an individual who is related to the Legislator or the Legislator's spouse or the Legislator's domestic partner as father, mother, son, daughter, brother, sister, uncle, aunt, great aunt, great uncle, first cousin, nephew, niece, husband, wife, domestic partner, 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 the fiance or fiancee of the Legislator.

8-A. Reportable liability. "Reportable liability" means any unsecured loan of $3,000 or more received from a person who is not a relative. "Reportable liability" does not include:

A. A credit card liability;

B. An educational loan made or guaranteed by a governmental entity, educational institution or nonprofit organization; or

C. A loan made from a state or federally regulated financial institution for business purposes.

9. Self-employed. "Self-employed" means that the person qualifies as an independent contractor under Title 39-A, section 102, subsection 13-A.

10. Violation of legislative ethics. "Violation of legislative ethics" means a violation of the prohibitions in section 1014 or 1015.

Section History: P.L. 1975, ch. 621, § 1; P.L. 1989, ch. 561, § 4; P.L. 1991, ch. 885, § E1; P.L. 1991, ch. 885, § E47; P.L. 1995, ch. 33, §§ 1, 2; P.L. 2001, ch. 430, § 5; R.R. 2001, ch. 1, § 6; P.L. 2003, ch. 268, § 1; P.L. 2007, ch. 642, §§ 4-5; P.L. 2009, ch. 208, §§ 2-4; P.L. 2009, ch. 258, § 1; P.L. 2011, ch. 634, §§ 1-5; P.L. 2011, ch. 643, § 1.

1 § 1013. Authority; procedures

1. Authority. The commission has authority:

A. To issue, on request of any Legislator on an issue involving that Legislator, or on its own motion, written advisory opinions and guidance on problems or questions involving possible violations of legislative ethics;

B. To investigate complaints alleging a violation of legislative ethics against any Legislator, to investigate a possible violation of legislative ethics upon the commission's own motion, to hold hearings on an alleged or possible violation if the commission determines it is appropriate and to issue findings of fact together with its opinion; and

C. To administer the disclosure of sources of income by Legislators as required by this subchapter.

2. Procedure. The following procedures apply.

A. Requests for advisory opinions by members of the Legislature must be filed with the commission in writing and signed by the Legislator requesting the opinion and must contain such supporting data as the commission requires. Commission staff shall inform a Legislator upon that Legislator's request for an advisory opinion that written opinions issued by the commission are public and are submitted to the Clerk of the House and the Secretary of the Senate and entered into the legislative record. When preparing an advisory opinion on its own motion, the commission shall notify the Legislator concerned and allow the Legislator to provide additional information to the commission. In preparing an advisory opinion, either upon request or on its own motion, the commission may make such an investigation as it determines necessary. A copy of the commission's advisory opinion must be sent to the Legislator concerned and to the presiding officer of the legislative body of which the Legislator is a member.

B. (repealed)

B-1. Any person may file a complaint against a Legislator alleging a violation of legislative ethics only as described in sections 1014 and 1015. The complaint must be filed in writing and signed under oath and must specify the facts of the alleged violation citing the specific provisions of sections 1014 and 1015 that are alleged to have been violated, the approximate date of the alleged violation and such other information as the commission requires. A complainant shall agree in writing not to disclose any information about the complaint during the time the commission is determining whether or not to pursue the complaint or during the investigation of a complaint. A complaint that does not meet the criteria of this paragraph is considered incomplete and will not be forwarded to the commission.

(1) The Legislator against whom a complaint is filed must immediately be given a copy of the complaint and the name of the complainant. Before deciding whether to conduct an investigation or to hold any hearings, the commission shall afford the Legislator an opportunity to answer the complaint in writing and in person to the commission. The commission staff may gather preliminary factual information that will assist the commission in deciding whether to conduct a full investigation or to hold hearings.

(2) The commission shall consider only complaints against Legislators in office at the time of the filing of the complaint and only complaints relating to activity that occurred or was ongoing within 2 years of the complaint. Upon a majority vote of the commission, the commission shall conduct an investigation and hold hearings as it determines necessary.

(3) The commission shall issue its findings of fact together with its opinion regarding the alleged violation of legislative ethics to the legislative body of which the Legislator concerned is a member. That legislative body may take whatever action it determines appropriate, in accordance with the Constitution of Maine.

(4) If the commission determines that a Legislator has potentially violated professional standards set by a licensing board, its opinion and such other information as may be appropriate must be referred to the licensing board that oversees the Legislator's professional conduct.

B-2. If the commission receives information other than through a complaint suggesting that a Legislator may have committed a violation of legislative ethics, the commission may commence an investigation or conduct hearings when there is probable cause to believe that a violation has occurred. The commission may consider only activities by a Legislator in office at the time of the investigation that occurred or were ongoing within 2 years of the investigation. The commission shall provide the Legislator with written notice of the possible violation and an opportunity to be heard in accordance with the requirements of paragraph B-1. The commission's consideration of the possible violation is subject to the confidentiality provisions of subsection 3-A.

C. When the conduct of a particular Legislator is under inquiry and a hearing is to be held, the Legislator must be given written notification of the time and place at which the hearing is to be held. Such notification must be given not less than 10 days prior to the date set for the hearing.

D. The commission has authority, through its chair or any member designated by the chair, to administer oaths, subpoena witnesses and compel the production of books, records, papers, documents, correspondence and other material and records the commission determines relevant. The State, its agencies and instrumentalities shall furnish to the commission any information, records or documents the commission designates as being necessary for the exercise of its functions and duties. In the case of refusal of any person to obey an order or subpoena of the commission, the Superior Court, upon application of the commission, has jurisdiction and authority to require compliance with the order or subpoena. Any failure of any person to obey an order of the Superior Court may be punished by that court as contempt thereof.

E. The commission shall adopt rules consistent with due process for the conduct of investigations and hearings under this subchapter. Rules adopted pursuant to this paragraph are major substantive rules pursuant to Title 5, chapter 375, subchapter 2-A.

The commission is not bound by the strict rules of evidence, but its findings and opinions must be based upon competent and substantial evidence.

E-1. The commission may permit the complainant to make a presentation to the commission as part of its consideration whether to conduct an investigation or public hearing.

F. If the commission concludes that it appears that a Legislator has violated a criminal law, a copy of its findings of fact, its opinion and such other information as may be appropriate must be referred to the Attorney General. Any determination by the commission or by a legislative body that a violation of legislative ethics has occurred does not preclude any criminal action relating to the violation that may be brought against the Legislator.

G. If the commission determines that a complaint filed under oath is frivolous or was filed in bad faith or if the complainant fails to appear at the hearing without being excused by the commission, the commission may order the complainant to pay to the Legislator against whom the complaint has been filed that Legislator's costs of investigation and defense, including any reasonable attorney's fees. This order is considered a final agency action, and the complainant may appeal the order pursuant to the Maine Administrative Procedure Act. If the commission determines that the complaint was filed in bad faith, the commission shall refer the case to the Attorney General for investigation.

Such an order does not preclude any other remedy available to the Legislator against whom the complaint has been filed, including, but not limited to, an action brought in Superior Court against the complainant for damages to the Legislator's reputation.

H. The commission shall file with the Clerk of the House and the Secretary of the Senate a copy of written advisory opinions and guidance issued by the commission that were formally requested by a Legislator and that were considered by the commission at a public meeting, with such deletions and changes as the commission considers necessary to protect the identity of the person seeking the opinions or others. The Clerk of the House shall keep a copy of such opinions and guidance in a special binder and shall finally publish them in the Legislative Record. The commission may exempt an opinion or a part of an opinion from release, publication or inspection if it considers such action appropriate for the protection of 3rd parties and makes available to the public an explanatory statement to that effect.

I. A copy of the commission's findings of fact and opinions regarding complaints against Legislators must also be filed with the Clerk of the House and the Secretary of the Senate. The Clerk of the House shall keep them in a special binder and shall finally publish them in the Legislative Record.

J. (repealed)

K. When a Legislator has a question or problem of an emergency nature about a possible violation of legislative ethics or an issue involving that Legislator that arises during the course of legislative action, the Legislator may request an advisory opinion from the presiding officer of the legislative body of which the Legislator is a member. The presiding officer may issue an advisory opinion. An advisory opinion issued by the presiding officer must be in accordance with the principles of this subchapter, be in writing and be reported to the commission. The commission may then issue a further opinion on the matter. The presiding officer may refer such a question or problem

directly to the commission, which shall meet as soon as possible to consider the question or problem.

L. The commission shall make reasonable efforts to resolve a complaint within 90 days of its filing.

3. Confidentiality. (repealed)

3-A. Confidentiality of records and proceedings relating to screening complaints alleging a violation of legislative ethics. Notwithstanding chapter 13, a complaint alleging a violation of legislative ethics is confidential and is not a public record until after the commission has voted pursuant to subsection 2, paragraph B-1 to pursue the complaint, and a commission proceeding to determine whether to pursue a complaint must be conducted in executive session. If the commission does not vote to pursue the complaint, the complaint and records relating to the investigation of that complaint remain confidential and are not public records unless the Legislator against whom the complaint is made submits a written request that the complaint and all accompanying materials be made public. This subsection does not prohibit a complainant from disclosing information that the complainant provided to the commission as part of the complaint or investigation once the commission has determined not to pursue the complaint or the investigation of a complaint is complete. This subsection does not prevent the commission from including general information about complaints in any report to the Legislature. Any person who knowingly breaches the confidentiality of a complaint investigation commits a Class D crime. This subsection does not prevent commission staff from disclosing information to a person from whom the commission is seeking information or evidence relevant to the complaint that is necessary to investigate the complaint or prevent the complainant or the Legislator against whom the complaint is made from discussing the complaint with an attorney or other person assisting them with the complaint. The commission or commission staff shall inform any person with whom they communicate of the requirement to keep any information regarding the complaint investigation confidential.

4. Confidentiality of records other than complaints. Commission records other than complaints are governed by this subsection.

A. Investigative records relating to complaints that the commission has voted to pursue are confidential unless they are provided to commission members or otherwise distributed at a public hearing of the commission.

B. Legislators' statements of sources of income are public records.

C. Findings of fact and recommendations of the commission on complaints alleging violation of legislative ethics are public records.

D. Advisory opinions of the commission and requests for advisory opinions from the commission are public records, except as provided in subsection 2, paragraph H.

5. Prohibited communications. Communications concerning a complaint filed under this section between commission members and a complainant or between commission members and the subject of a complaint are prohibited until after the commission has voted not to pursue a complaint or the commission has taken final action on the complaint.

Section History: P.L. 1975, ch. 621, § 1; P.L. 1977, ch. 252, § 2; P.L. 1989, ch. 561, §§ 5, 6; P.L. 2007, ch. 642, § 6; P.L. 2011, ch. 471, §§ 1-3.

1 § 1014. Violations of Legislative Ethics

1. Situations involving conflict of interest. A Legislator engages in a violation of legislative ethics if that Legislator votes on a question in connection with a conflict of interest in committee or in either body of the Legislature or attempts to influence the outcome of that question unless a presiding officer in accordance with the Joint Rules of the Legislature requires a Legislator to vote or advises the Legislator that there is no conflict in accordance with section 1013, subsection 2, paragraph K. A conflict of interest includes:

A. When a Legislator or a member of the Legislator's immediate family has or acquires a direct substantial personal financial interest, distinct from that of the general public, in an enterprise that would be financially benefited by proposed legislation, or derives a direct substantial personal financial benefit from close economic association with a person known by the Legislator to have a direct financial interest in an enterprise affected by proposed legislation;

B. When a Legislator or a member of the Legislator's immediate family accepts gifts, other than campaign contributions duly recorded as required by law, from persons affected by legislation or who have an interest in an entity affected by proposed legislation and the Legislator knows or reasonably should know that the purpose of the donor in making the gift is to influence the Legislator in the performance of the Legislator's official duties or vote or is intended as a reward for action on the Legislator's part;

C. Receiving compensation or reimbursement not authorized by law for services, advice or assistance as a Legislator;

D. Appearing for, representing or advocating on behalf of another before the Legislature, unless without compensation and for the benefit of a citizen;

E. When a Legislator or a member of the Legislator's immediate family accepts or engages in employment that could impair the Legislator's judgment, or when the Legislator knows that there is a substantial possibility that an opportunity for employment is being afforded the Legislator or a member of the Legislator's immediate family with intent to influence the performance of the Legislator's official duties, or when the Legislator or a member of his immediate family stands to derive a personal private gain or loss from employment, because of legislative action, distinct from the gain or losses of other employees or the general community; and

F. When a Legislator or a member of the Legislator's immediate family has an interest in legislation relating to a profession, trade, business or employment in which the Legislator or a member of the Legislator's immediate family is engaged and the benefit derived by the Legislator or a member of the Legislator's immediate family is unique and distinct from that of the general public or persons engaged in similar professions, trades, businesses or employment.

2. Undue influence. (repealed)

2-A. Undue influence. It is a violation of legislative ethics for a Legislator to engage in conduct that constitutes the exertion of undue influence, including, but not limited to:

A. Appearing for, representing or advocating for another person in a matter before a state agency or authority, for compensation other than compensation as a Legislator, if the

Legislator makes reference to that Legislator's legislative capacity, communicates with the agency or authority on legislative stationery or makes threats or implications relating to legislative action;

B. Appearing for, representing or advocating for another person in a matter before a state agency or authority if the Legislator oversees the policies of the agency or authority as a result of the Legislator's committee responsibilities, unless:

(1) The appearance, representation or advocacy is provided without compensation and for the benefit of a constituent;

(2) The Legislator is engaged in the conduct of the Legislator's profession and is in good standing with a licensing board, if any, that oversees the Legislator's profession;

(3) The appearance, representation or advocacy is provided before a court or office of the judicial branch; or

(4) The representation consists of filing records or reports or performing other routine tasks that do not involve the exercise of discretion on the part of the agency or authority; and

C. Representing or assisting another person in the sale of goods or services to the State, a state agency or a state authority, unless the transaction occurs after public notice and competitive bidding.

3. Abuse of office or position. It is a violation of legislative ethics for a Legislator to engage in conduct that constitutes an abuse of office or position, including but not limited to:

A. When a Legislator or a member of the Legislator's immediate family has a direct financial interest or an interest through a close economic associate in a contract for goods or services with the State, a state agency or state authority, unless the contract is awarded through competitive bidding or is exempt from competitive bidding pursuant to state purchasing laws or the payment provisions are based on uniform rates established by the State, a state agency, a state authority or other governmental entity;

B. Granting or obtaining special privilege, exemption or preferential treatment to or for oneself or another, which privilege, exemption or treatment is not readily available to members of the general community or class to which the beneficiary belongs; and

C. Use or disclosure of confidential information obtained because of office or position for the benefit of self or another.

4. Contract with state governmental agency. It is a violation of legislative ethics for a Legislator or an associated organization to enter with a state agency into any contract that is to be paid in whole or in part out of governmental funds unless the contract has been awarded through a process of public notice and competitive bidding or is exempt from competitive bidding pursuant to state purchasing laws.

Section History: P.L. 1975, ch. 621, § 1; P.L. 2007, ch. 642, § 7; P.L. 2009, ch. 258, §§ 2, 3

1 § 1015. Prohibited campaign contributions and solicitations

1. Actions precluded. (repealed)

2. Reports. (repealed)

3. Campaign contributions and solicitations prohibited. The following provisions prohibit certain campaign contributions and solicitation of campaign contributions during a legislative session.

A. As used in this subsection, the terms "employer," "lobbyist" and "lobbyist associate" have the same meanings as in Title 3, section 312-A. As used in this subsection, "contribution" has the same meaning as in Title 21-A, section 1012 and includes seed money contributions as defined in Title 21-A, section 1122, subsection 9.

B. The Governor, a member of the Legislature or any constitutional officer or the staff or agent of the Governor, a member of the Legislature or any constitutional officer may not intentionally solicit or accept a contribution from a lobbyist, lobbyist associate or employer during any period of time in which the Legislature is convened before final adjournment, except for a qualifying contribution as defined under Title 21-A, section 1122, subsection 7. A lobbyist, lobbyist associate or employer may not intentionally give, offer or promise a contribution, other than a qualifying contribution, to the Governor, a member of the Legislature or any constitutional officer or the staff or agent of the Governor, a member of the Legislature or any constitutional officer during any time in which the Legislature is convened before final adjournment. These prohibitions apply to contributions directly and indirectly solicited or accepted by, or given, offered and promised to a political action committee, ballot question committee or party committee of which the Governor, a member of the Legislature, a constitutional officer or the staff or agent of these officials is a treasurer, officer or primary fund-raiser or decision maker.

C. This subsection does not apply to:

(1) Solicitations or contributions for bona fide social events hosted for nonpartisan, charitable purposes;

(2) Solicitations or contributions relating to a special election to fill a vacancy from the time of announcement of the election until the election; and

(3) (repealed)

(4) Solicitations or contributions accepted by a member of the Legislature supporting that member's campaign for federal office.

C-1. This subsection does not prohibit the attendance of the Governor, a member of the Legislature or any constitutional officer or the staff or agent of the Governor, a member of the Legislature or any constitutional officer at fund-raising events held by a municipal, county, state or national political party organized pursuant to Title 21-A, chapter 5, nor the advertisement of the expected presence of any such official at any such event, as long as any such official has no involvement in soliciting attendance at the event and all proceeds are paid directly to the political party organization hosting the event or a nonprofit charitable organization.

D. A person who intentionally violates this subsection is subject to a civil penalty not to exceed $1,000, payable to the State and recoverable in a civil action.

4. Contract with state governmental agency. (repealed)

Section History: P.L. 1975, ch. 621, § 1; P.L. 1989, ch. 561, § 7; P.L. 1997, ch. 529, § 1; P.L. 1999, ch. 273, § 1; P.L. 1999, ch. 648, § 1; P.L. 2003, ch. 268, § 2; P.L. 2005, ch. 301, § 3; P.L. 2007, ch. 279, §§ 1, 2; P.L. 2007, ch. 642, § 8; P.L. 2009, ch. 286, § 1

1 § 1016. Statement of sources of income (repealed)

1 § 1016-A. Disclosure of specific sources of income (repealed)

1 § 1016-B. Disclosure of reportable liabilities (repealed)

1 § 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.

Section History: P.L. 1991, ch. 880, § 2; P.L. 2011, ch. 471, § 4; P.L. 2011, ch. 634, § 8

1 § 1016-D. Disclosure of bids on government contracts

When a Legislator or associated organization bids on a contract with a state governmental agency, the Legislator or associated organization shall file a statement with the commission no later than 5:00 p.m. on the day the bid is submitted that discloses the subject of the bid and the names of the Legislator, associated organization and state governmental agency as appropriate. The bid disclosure statement filed under this section must be on a form prescribed by the commission and is a public record as defined in section 402.

Section History: P.L. 2003, ch. 268, § 3

1 § 1016-E. Disclosure of interests (repealed)

1 § 1016-F. Internet disclosure (repealed)

§ 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.

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;

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;

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;

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;

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;

F. The specific source of each gift received by the Legislator;

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;

H. Each source of honoraria of $2,000 or more that the Legislator accepted;

I. Each executive branch agency before which the Legislator or any immediate family member has represented or assisted others for compensation;

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;

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;

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

M. All reportable liabilities incurred by the Legislator or a member of the Legislator's immediate family during the reporting period.

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.

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.

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.

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.

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.

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 assistant to the Legislator to ensure property and timely placement of the required statements on the publicly accessible website.

Section History: P.L. 2011, ch. 634, § 11; P.L. 2013, ch. 401 §§ 1, 2

1 § 1017. Form; contents (repealed)

1 § 1017-A. Civil penalties; late and incomplete statements; failure to file (repealed)

1 § 1018. Updating statement (repealed)

1 § 1019. False statement; failure to file (repealed)

1 § 1020. Penalty for false accusations

Any person who files a false charge of a conflict of interest with the commission or any member of the commission, which he does not believe to be true, or whoever induces another to file a false charge of a conflict of interest, which he does not believe to be true, shall be guilty of a Class E crime.

Section History: P.L. 1975, ch. 621, § 1; P.L. 1977, ch. 696, § 13

1 § 1021. Membership on boards, authorities or commissions

It shall not be a conflict of interest for a Legislator to serve on a public board, authority or commission created by the Legislature so long as there is no consideration paid to the Legislator other than his actual expenses.

Section History: P.L. 1975, ch. 621, § 1

1 § 1022. Disciplinary guidelines

The Legislature shall adopt, publish, maintain and implement, as authorized in the Constitution of Maine, Article IV, Part Third, Section 4, disciplinary guidelines and procedures for Legislators, including the violations of ethical standards, penalties of reprimand, censure or expulsion and the procedures under which these or other penalties may be imposed.

Section History: P.L. 1989, ch. 561, § 12

1 § 1023. Code of ethics

The Legislature by Joint Rule shall adopt and publish a code of ethics for Legislators and legislative employees.

Section History: P.L. 1989, ch. 561, § 12

1 § 1024. Waiting period before engaging in lobbying activities

1. Actions precluded. Beginning with the convening of the 127th Legislature, a person who has served as a Legislator may not engage in activities that would require registration as a lobbyist or lobbyist associate as defined by Title 3, section 312-A, subsections 10 and 10-A, respectively, until one year after that person's term as a Legislator ends. This subsection may not be construed to prohibit uncompensated lobbying by a former Legislator during the one-year period following the end of that Legislator's most recent term in office.

2. Complaints and investigations. A person may file a complaint with the commission specifying an alleged violation of this section. The commission staff shall notify the party against whom the complaint has been filed and may undertake the investigation of the alleged

violation if directed by the commission. The commission may direct commission staff to undertake an investigation of an alleged violation of this section on its own motion.

3. Penalty. A person who intentionally violates this section is subject to a civil penalty not to exceed $1,000, payable to the State and recoverable in a civil action.

Section History: P.L. 2013, ch. 129, § 2

TITLE 3
CHAPTER 7

LEGISLATIVE COUNCIL

SUBCHAPTER 1
GENERAL PROVISIONS

3 § 170. Partisan employees; restricted activities

Partisan legislative employees who assume active roles in campaigns shall either limit their activities to evenings and weekends or take leave to pursue these activities if they occur during the Legislature's regular business day, which is 8 a.m. to 5 p.m. This includes fund raising for campaign efforts as well as other activities that are directly related to election or reelection efforts.

Section History: P.L. 1995, ch. 100, § 1

3 § 170-A. Use of legislative equipment and resources

Legislative employees are prohibited from at any time using the computer system, telephones, copying machines and other legislative equipment for work related to campaigns.

Section History: P.L. 1995, ch. 100, § 1

TITLE 17-A
MAINE CRIMINAL CODE

CHAPTER 1
PRELIMINARY

17-A § 2. Definitions

As used in this code, unless a different meaning is plainly required, the following words and variants thereof have the following meanings.

****

21. "Public servant" means any official officer or employee of any branch of government and any person participating as juror, advisor, consultant or otherwise, in performing a governmental function. A person is considered a public servant upon his election, appointment or other designation as such, although the person may not yet officially occupy that position.

Section History: P.L. 1975, ch. 499, § 1; P.L. 2007, ch. 173, § 2

TITLE 17-A
MAINE CRIMINAL CODE

CHAPTER 25
BRIBERY AND CORRUPT PRACTICES

17-A § 601. Scope of chapter

Nothing in this chapter shall be construed to prohibit the giving or receiving of campaign contributions made for the purpose of defraying the costs of a political campaign. No person shall be convicted of an offense solely on the evidence that a campaign contribution was made, and that an appointment or nomination was subsequently made by the person to whose campaign or political party the contribution was made.

Section History: P.L. 1975, ch. 499, § 1

17-A § 602. Bribery in official and political matters

1. A person is guilty of bribery in official and political matters if:

A. He promises, offers, or gives any pecuniary benefit to another with the intention of influencing the other's action, decision, opinion, recommendation, vote, nomination or other exercise of discretion as a public servant, party official or voter;

B. Being a public servant, party official, candidate for electoral office or voter, he solicits, accepts or agrees to accept any pecuniary benefit from another knowing or believing the other's purpose to be as described in paragraph A, or fails to report to a law enforcement officer that he has been offered or promised a pecuniary benefit in violation of paragraph A; or

C. That person promises, offers or gives any pecuniary benefit to another with the intention of obtaining the other's signature on an absentee ballot under Title 21-A, chapter 9, subchapter IV, or referendum petition under Title 21-A, chapter 11, or that person solicits, accepts or agrees to accept any pecuniary benefit from another knowing or believing the other's purpose is to obtain that person's signature on an absentee ballot or referendum petition, or fails to report to a law enforcement officer that the person has been offered or promised a pecuniary benefit in violation of this paragraph.

2. As used in this section and other sections of this chapter, the following definitions apply.

A. A person is a "candidate for electoral office" upon his public announcement of his candidacy.

B. "Party official" means any person holding any post in a political party whether by election, appointment or otherwise.

C. "Pecuniary benefit" means any advantage in the form of money, property, commercial interest or anything else, the primary significance of which is economic gain; it does not include economic advantage applicable to the public generally, such as tax reduction or increased prosperity generally. "Pecuniary benefit" does not include the following:

(1) A meal, if the meal is provided by industry or special interest organizations as part of an informational program presented to a group of public servants;

(2) A meal, if the meal is a prayer breakfast or a meal served during a meeting to establish a prayer breakfast; or

(3) A subscription to a newspaper, news magazine or other news publication.

3. Bribery in official and political matters is a Class C crime.

Section History: P.L. 1975, ch. 499, § 1; P.L. 1981, ch. 349, §§ 1, 2; P.L. 1983, ch. 583, § 8; P.L. 1989, ch. 502, § A47; P.L. 1993, ch. 396, § 1; P.L. 1997, ch. 223, § 1; P.L. 1995, ch. 33, § 3; P.L. 1997, ch. 223, § 1; R R ch. 1, § 12; P.L. 2001, ch. 471, § A-22

17-A § 603. Improper influence

1. A person is guilty of improper influence if he:

A. Threatens any harm to a public servant, party official or voter with the purpose of influencing his action, decision, opinion, recommendation, nomination, vote or other exercise of discretion;

B. Privately addresses to any public servant who has or will have an official discretion in a judicial or administrative proceeding any representation, argument or other communication with the intention of influencing that discretion on the basis of considerations other than those authorized by law; or

C. Being a public servant or party official, fails to report to a law enforcement officer conduct designed to influence him in violation of paragraphs A or B.

2. "Harm" means any disadvantage or injury, pecuniary or otherwise, including disadvantage or injury to any other person or entity in whose welfare the public servant, party official or voter is interested.

3. Improper influence is a Class D crime.

Section History: P.L. 1975, ch. 499, § 1

17-A § 604. Improper compensation for past action

1. A person is guilty of improper compensation for past action if:

A. Being a public servant, he solicits, accepts or agrees to accept any pecuniary benefit in return for having given a decision, opinion, recommendation, nomination, vote, otherwise exercised his discretion, or for having violated his duty; or

B. He promises, offers or gives any pecuniary benefit, acceptance of which would be a violation of paragraph A.

2. Improper compensation for past action is a Class D crime.

Section History: P.L. 1975, ch. 499, § 1

17-A § 605. Improper gifts to public servants

1. A person is guilty of improper gifts to public servants if:

A. Being a public servant that person solicits, accepts or agrees to accept any pecuniary benefit from a person if the public servant knows or reasonably should know that the purpose of the donor in making the gift is to influence the public

servant in the performance of the public servant's official duties or vote, or is intended as a reward for action on the part of the public servant; or

B. He knowingly gives, offers, or promises any pecuniary benefit prohibited by paragraph A.

2. Improper gifts to public servants is a Class E crime.

Section History: P.L. 1975, ch. 499, § 1; 1999, ch. 149, § 1

17-A § 606. Improper compensation for services

1. A person is guilty of improper compensation for services if:

A. Being a public servant, he solicits, accepts or agrees to accept any pecuniary benefit in return for advice or other assistance in preparing or promoting a bill, contract, claim or other transaction or proposal as to which he knows that he has or is likely to have an official discretion to exercise; or

B. He gives, offers or promises any pecuniary benefit, knowing that it is prohibited by paragraph A.

2. Improper compensation for services is a Class E crime.

Section History: P.L. 1975, ch. 499, § 1

17-A § 607. Purchase of public office

1. A person is guilty of purchase of public office if:

A. He solicits, accepts or agrees to accept, for himself, another person, or a political party, money or any other pecuniary benefit as compensation for his endorsement, nomination, appointment, approval or disapproval of any person for a position as a public servant or for the advancement of any public servant; or

B. He knowingly gives, offers or promises any pecuniary benefit prohibited by paragraph A.

2. Purchase of public office is a Class D crime.

Section History: P.L. 1975, ch. 499, § 1

17-A § 608. Official oppression

1. A person is guilty of official oppression if, being a public servant and acting with the intention to benefit himself or another or to harm another, he knowingly commits an unauthorized act which purports to be an act of his office, or knowingly refrains from performing a duty imposed on him by law or clearly inherent in the nature of his office.

2. Official oppression is a Class E crime.

Section History: P.L. 1975, ch. 499, § 1

17-A § 609. Misuse of information

1. A person is guilty of misuse of information if, being a public servant and knowing that official action is contemplated, or acting in reliance on information which he has acquired by virtue of his office or from another public servant, he:

A. Acquires or divests himself of a pecuniary interest in any property, transaction or enterprise that may be affected by such official action or information;

B. Speculates or wagers on the basis of such official action or information; or

C. Knowingly aids another to do any of the things described in paragraphs A and B.

2. Misuse of information is a Class E crime.

Section History: P.L. 1975, ch. 499, § 1; R.R. 2013, ch. 2, § 31

TITLE 21-A
CHAPTER 1

ELECTIONS - GENERAL PROVISIONS
GENERAL PENALTIES

21-A § 32. Violations and penalties

****

3. CLASS C CRIME. A person commits a Class C crime if that person misuses a state government computer system. For purposes of this subsection, a person is guilty of misuse of a state government computer system if that person knowingly uses a computer system operated by a state department or agency, the Judicial Department or the Legislature:

A. To prepare materials with the intent to expressly advocate, to those eligible to vote, for the election or defeat of any candidate for a federal office, a constitutional office or elective municipal, county or state office, including leadership positions in the State Senate and the State House of Representatives; or

B. With the intent to solicit contributions reportable under chapter 13.

For purposes of this subsection, "computer system" has the same meaning as in Title 17-A, section 431 and "leadership positions" means the presiding officers of each House of the Legislature, party leaders, the Clerk of the House, the Assistant Clerk of the House, the Secretary of the Senate and the Assistant Secretary of the Senate.

This subsection may not be construed to prohibit a public employer from deducting dues or other funds from an employee's pay, as authorized by the employee and provided through a collective bargaining agreement, and remitting those funds to an account or fund owned by the employee's collective bargaining agent, even if the funds might be used for political or legislative purposes.

Section History: P.L.1993, ch. 473, §§ 2, 46; P.L. 2003, ch. 176, § 3; P.L. 2009, ch. 144, § 1

TITLE 21-A
CHAPTER 13

CAMPAIGN REPORTS AND FINANCES
POLITICAL ACTION COMMITTEES

21-A § 1054-B. Payments to Legislators by political action committees

If a Legislator is a principal officer or treasurer of a political action committee or is one of the individuals primarily responsible for raising contributions or making decisions for the political action committee, the committee may not compensate the Legislator for services provided to the committee. The committee may not make payments to or compensate a business owned or operated by the Legislator. The committee may reimburse the Legislator for expenses incurred in the proper performance of the duties of the Legislator, for purchases made on behalf of the committee and for travel expenses associated with volunteering for the committee. Allowable reimbursement for expenses does not include payments from the committee that are determined by the commission to be for the purpose of personal financial enrichment of the Legislator.

Section History: P.L. 2017, ch. 98, § 1.

Rules

LEGISLATIVE CODE OF ETHICS

Any public office holder is charged with responsible conduct commensurate with the trust placed in him/her by the electorate. In a free government the official is entrusted with the security, safety, health, prosperity, and general well-being of those whom he/she serves. With such a trust high moral and ethical standards producing the public's confidence, with the reduction to a minimum of any conflict between private interests and official duties, should be observed. No state legislator will accept any employment which can possibly impair his/her independence and integrity of judgment or will he/she exercise his/her position of trust to secure unwarranted privileges for themselves or for others. The Maine legislator will be ever mindful of the ordinary citizen who might otherwise be unrepresented, and will endeavor conscientiously to pursue the highest standards of legislative conduct.

Adopted by the 100th Legislature

JOINT RULES OF THE LEGISLATURE

Rule 104. Conflict of Interest.

A member may not vote on any question in committee when that question immediately involves that member's private right, as distinct from the public interest.

HOUSE RULES

Rule 401. Section 12. Voting.

...A member may not vote on any question before the House when that question immediately involves that member's private right as distinct from the public interest.

SENATE RULES

Rule 401. Section 3. Duty to vote.

Every Senator who is present shall vote unless excused by the Senate, or excluded by interest...

Rule 401. Section 10. Paid representative.

A member of the Senate may not act as a paid representative for any party before the Legislature or any legislative committee.

Guidance

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
E-mail: ethics @maine.gov
Phone: 207-287-4179
Fax: 207-287-6775

Prohibited Contributions during the Legislative Session

Who is prohibited from making campaign contributions during a legislative session?

Lobbyists, lobbyist associates, their clients, and political action committees that are affiliated with a client of a lobbyist are prohibited from making contributions to certain elected officials and their staff members and agents. (A lobbyist associate is a colleague or employee of a lobbyist who also lobbies on behalf of a client.)

What officials are covered by the ban?

The Governor, Legislators, the constitutional officers, their agents, and members of their staffs ("covered officials") are the only officials covered by the ban.

Does the ban apply to leadership PACs, legislative caucus PACs, and other political committees affiliated with a covered official?

Any PAC, ballot question committee, or political party committee of which a covered official is a treasurer, officer, or primary fund-raiser or decision maker is prohibited from soliciting or accepting a contribution from lobbyists, lobbyist associates, clients of lobbyists, or a PAC affiliated with a client of a lobbyist during a legislative session.

Lobbyists, lobbyist associates, and their clients and affiliated PACs may not give, offer, or promise a contribution during a legislative session to a PAC, ballot question committee, or political party committee of which a covered official is a treasurer, officer, or primary fund-raiser or decision maker.

[Note: This restriction does not apply to contributions solicited or accepted by a federal campaign committee organized by a covered official running for federal office.]

Does the prohibition apply to all gubernatorial and legislative candidates?

No, the prohibition only applies to contributions to a sitting Governor, Legislator, constitutional officer, and staff members and agents of these officials, whether they are a candidate or not. Contributions to any other candidates for statewide or constitutional offices are not subject to the prohibition.

Can other donors make contributions during a legislative session?

Yes. Covered officials may accept contributions from other sources that are not lobbyists and do not employ lobbyists in Maine. Legislative caucus PACs, leadership PACs, and other political committees in which the covered official holds an office or position may also accept contributions during the legislative session from these other sources.

When does the ban apply?

The ban is in effect during any period when the Legislature is convened until the final adjournment. This includes the first and second regular sessions and any special session.

What if a covered official solicits a contribution before the session, but the contribution is not received until after the session begins? Is this allowed?

No. Acceptance means the receipt or deposit of a contribution. If a covered official receives a contribution from a prohibited source after the Legislature convenes, the official must return the contribution. The donor may make another contribution after the Legislature has finally adjourned.

Does the prohibition apply to seed money contributions or qualifying contributions given to covered officials intending to participate in the Maine Clean Election Act?

During the session, lobbyists and lobbyist associates are not permitted to make seed money contributions ($100 contributions to candidates intending to participate in the Maine Clean Election Act), but they may make qualifying contributions (donations to the Maine Clean Election Fund) in support of a covered official seeking to qualify for Maine Clean Election Act funds.

Is a covered official allowed to go to fundraising events for a political party during the session?

Yes. A covered official may attend a fundraising event held by a party committee, so long as the official was not involved in soliciting attendance at the event and all proceeds of the event are paid directly to the party organization hosting the event or to a charitable organization.

Who is responsible for checking if a contribution is prohibited?

It is the covered official's responsibility to screen contributions to make sure they are not from prohibited sources. The current lists of lobbyists, lobbyist associates, and their clients can be found on the Commission's public disclosure website (www.mainecampaignfinance.com). It is also the responsibility of lobbyists, lobbyist associates, and their clients to avoid making contributions during the session to covered officials and political committees in which they hold an office or position.

Are there any exceptions to the prohibition?

Yes. The following contributions are *not* covered by the prohibition:

- contributions accepted by a covered official for a campaign for federal office;
- contributions relating to a special election to fill a vacancy that are made from the time of the announcement of the election until the election occurs; and
- contributions for bona fide social events hosted for nonpartisan, charitable purposes.

For more information, please contact the Commission staff at 287-4179

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
E-mail: ethics@maine.gov
Phone: 207-287-4179
Fax: 207-287-6775

Disclosure of Bids on State Contracts

Am I required to notify the Ethics Commission if I bid on a contract?

Yes. In 2003, the Legislature instituted a disclosure requirement for Legislators and organizations associated with Legislators that bid on contracts with State agencies. The law states that when a Legislator or an "associated organization" bids on a contract with a State agency, the Legislator or organization must file a statement with the Ethics Commission disclosing the subject of the bid, and the names of the Legislator, the organization (if appropriate), and the State agency. (1 M.R.S.A. § 1016-D)

What is an associated organization?

"Associated organization" means any organization in which a Legislator or a member of the Legislator's 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.

What is a managerial employee?

"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. Financial management does not include tasks that are considered clerical in nature.

What is the deadline for filing the disclosure statement?

The statement must be filed no later than 5:00 p.m. on the day that the bid is submitted.

What does the Ethics Commission do with the disclosure statement?

The statement is posted on the Commission's website for the public to access.

How do I obtain a blank copy of the disclosure statement?

Please telephone the Commission staff at 287-4179 or go to the Commission's website at

www.maine.gov/ethics/legislators.

Did the Legislative Ethics law impose any other restrictions or requirements?

Yes. It is a violation of legislative ethics for a Legislator or an associated organization to enter into any contract with a state agency that is to be paid in whole or in part out of government funds unless the contract has been awarded through a process of public notice and competitive bidding or is exempt from competitive bidding pursuant to state purchasing laws. (1 M.R.S.A. § 1014(4))

Who do I call if I have more questions?

Please telephone the Commission staff at 287-4179.

Rev. 11/17/2014

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
E-mail: ethics@maine.gov
Phone: 207-287-4179
Fax: 207-287-6775

Guidelines on Acceptance of Gifts

Adopted October 21, 1999 and updated November 18, 2014

The State Legislature in 1975 created an independent commission on governmental ethics and election practices to guard against corruption or undue influencing of the election process and against acts or the appearance of misconduct by Legislators. That Commission is charged with the responsibility to investigate and make advisory recommendations to the appropriate body of any apparent violations of the ethical standards set by the Legislature and to conduct an ethics seminar for Legislators. Along with those duties, the Commission is authorized to issue advisory opinions and guidelines on problems or questions involving possible conflicts of interest in matters under consideration by, or pertaining to, the Legislature.

A frequently troublesome area is that of "gifts." The question periodically is asked whether a "gift" to a Legislator violates the legislative ethics law or any other provision of Maine law. Two statutes raise possible barriers to the acceptance by Legislators of gift offers. The first limitation is found in the legislative ethics law [1 M.R.S.A. § 1014(1)(B)] which provides that a **conflict of interest** occurs when a Legislator or a member of the Legislator's immediate family accepts a gift, other than a campaign contribution, from any person affected by legislation or who has an interest in a business affected by proposed legislation, **where it is known or reasonably should be known that the purpose of the gift is to influence the performance of the Legislator's official duties or vote, or is intended as a reward for action on the Legislator's part.**

As used in that provision, **"gift" means anything of value**, including the forgiveness of an obligation or debt, given to a person **without** that person providing **equal or greater consideration** to the giver. However, "gift" **does not include** things of value received from a **single source** during the reporting period with an **aggregate value of $300 or less**; a bequest or other form of inheritance; 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 Maine registered lobbyist or lobbyist associate, unless the Legislator has reason to believe that the gift was provided because of the Legislator's official position and not because of a personal friendship; a subscription to a newspaper, news magazine or other news publication; legal services provided in a matter of legislative ethics; a meal, if the meal is a prayer breakfast or a meal served during a meeting to establish a prayer breakfast; or 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.

The key questions that must be answered are: (1) Is the offer of anything of value to a Legislator intended to influence the performance of the Legislator's duty or vote or as a reward for any action on the Legislator's part; and (2) Does the offer constitute a "gift" under the legislative ethics law's definition of that term? Thus, the applicability of the legislative ethics law with respect to the acceptance of a gift would depend on the **purpose** of the offer and the **nature and value** of the thing offered. If the purpose is to influence or reward a Legislator in the performance of official duties, and/or if the value of the thing offered exceeds $300, the item would be a prohibited "gift" for purposes of the applicability of the legislative ethics law.

However, a second limiting statutory provision, the stricter (narrower standard) Maine Criminal Code (17-A M.R.S.A. § 605), provides that it is improper for a public servant to solicit, accept or agree to accept any

pecuniary benefit from a person "if the public servant knows or reasonably should know that the purpose of the donor in making the gift is to influence the public servant in the performance of the public servant's official duties or vote, or is intended as a reward for action on the part of the public servant."

As used in the Criminal Code provision, the term **"pecuniary benefit"** means **any advantage** in the form of money, property, commercial interest or anything else, the **primary significance** of which is **economic gain**. It does not include economic advantage applicable to the public generally, such as tax reduction or increased prosperity generally. "Pecuniary benefit" **does not include a meal**, if the meal is provided by industry or special interest organizations as **part of an informational program** presented to a **group of public servants**; **a meal**, if the meal is a **prayer breakfast** or meal served during a meeting to establish a prayer breakfast; or a **subscription** to a newspaper, news magazine or other news publication.

What must be answered, then, is: (1) Does the giver of the gift have an interest in a matter before the Legislature or a matter that is expected to come before the Legislature; and (2) Would the gift result in any economic advantage to the recipient that is not applicable to the general public or otherwise permitted by the law? Under the criminal law standard, the value of the gift is not a factor. Any economic gain or advantage is enough to invoke the proscription of the statute.

The comment that accompanied the Legislature's 1975 enactment of the criminal law provision stated:

> It seems to be a warranted assumption that gifts from persons who have an interest in an official matter before the public servant would be so often **made with the hope and intent of influencing** [that public servant] that it is appropriate to **prohibit all such gifts generally**. This prohibition also serves to contribute significantly to the appearance, as well as the substance, of public integrity.

The Legislature has assigned to the Ethics Commission the responsibility to investigate and make advisory recommendations to the Legislature of any apparent violations of the ethical standards set by the Legislature. However, the Attorney General enforces the provisions of the Maine Criminal Code. Therefore, the Ethics Commission is the arbiter regarding the applicability of the legislative ethics law, while the Attorney General's Office is the final authority concerning the applicability of the criminal law provisions.

Individual Legislators are encouraged to consult with the Commission's staff, which includes the availability of legal counsel from the Attorney General's Office, about the particular facts of a potential gift situation before embarking on a course of action with respect to the acceptance of that particular gift. That is especially true with respect to the acceptance of offers of expense-paid trips, including reimbursement for travel, meals, and accommodations. The Commission and its staff will make every reasonable attempt to review the facts and offer advice in a timely manner within the limits of the Commission's authority. In that regard, some examples of gift situations that the Commission has addressed in the recent past are illustrative:

1. In 1996 a Legislator requested the Commission's guidance concerning the propriety of a member of the Legislature accepting an expense-paid trip to a conference sponsored by a national trade association. After reviewing the specific facts presented, the Commission concluded that acceptance of the trip would not constitute a violation of Maine's legislative ethics law because the conference would be an educational opportunity that would serve to benefit the Legislator in the discharge of the Legislator's duties. However, the Commission questioned the propriety of attending a conference at which such diversions as golf and deep-sea fishing are offered as part of the program and referred the requesting Legislator to the State law regarding the purpose of the donor in making the gift and the relation of that purpose to possibly influencing that Legislator in the performance of official duties or as a reward for past actions. Additionally, the Attorney General was asked to render a formal opinion regarding the questions raised.

2. Also in 1996, the Commission concluded that a Legislator's acceptance of an expense-paid trip of unknown value to another state to participate in a conference sponsored by a Maine political action committee, including hotel accommodations and travel expenses associated with the trip, was not a conflict of interest. However, the Commission encouraged the Legislator in the future to seek advice before accepting anything of value from anyone with a potential interest in proposed legislation. The Commission also reminded the Legislator of the responsibility to ascertain the value of those goods or services that may bear upon the question of the propriety of accepting such "gifts." Finally, the Commission reminded the Legislator of Maine's financial disclosure law that requires Legislators to report annually the source of any gifts received with an aggregate value of more than $300.

3. In 1997 the permissibility was questioned of a paper company inviting certain members of the Legislature to tour Maine's northern woodlands, including payment for overnight accommodations, one restaurant meal, and bus transportation to view the woodlands. The invitation was valued at less than $100 per Legislator, not including transportation to and from the point of departure. The program included various presentations, but no lobbying was planned. Legislation involving woodland issues was pending before the Legislature. The Commission concluded that Legislators who participated in the tour would not be in violation of the Legislative ethics law because the value to each Legislator was considerably less than the $300 threshold by which a "gift" is defined. However, the Commission recommended that the Attorney General be consulted regarding the applicability of the criminal law provisions involving improper gifts to public servants.

4. Finally, in 1997 the Commission considered whether the offer of the services of a free community-service web page on the Internet and 20 hours of free Internet access per month, including installation of the appropriate software on the Legislator's at-home personal computer, offered to certain Legislators by a communications company would constitute a violation of State law. Issues were expected to arise on the legislative agenda that would affect the future health of the Internet and telecommunications industries in Maine. The company acknowledged its belief that "hands-on experience will help [the benefited Legislators] make informed decisions about legislation as these issues come before you." The Commission concluded that the applicability of the Legislative Ethics Act with respect to the question of whether the offer constituted a "gift" would depend upon whether the value of the services to be rendered was less than $300 per year in the aggregate so as not to trigger the "gift" prohibition. However, the Commission decided that the acceptance of the offer was prohibited because of the appearance that the offer may have been intended to influence Legislators in the performance of their official duties or vote at some time in the future. Moreover, the Commission concluded that the acceptance of the offer would violate the State's criminal law prohibition against public servants accepting any "pecuniary benefit" in the form of a "commercial interest" or advantage that is not generally available to other members of the general public.

Consequently, Legislators and prospective sponsors of so-called "fact finding," "educational," or "informational" programs that may include sponsor-paid offers of meals, travel, and transportation routinely question the propriety of accepting proposed offers of such "gifts."