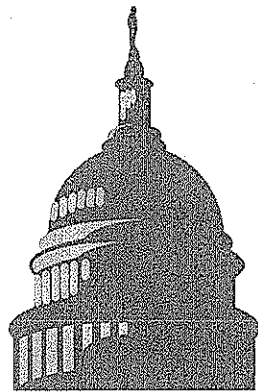
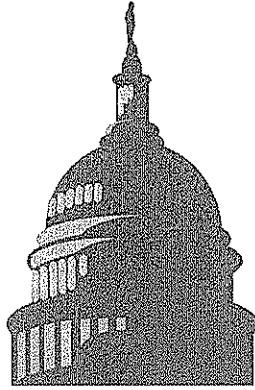


Kentucky Legislative Ethics Commission

ANNUAL REPORT



FY 2005-2006



Kentucky Legislative Ethics
Commission Members

George Troutman, Chair

Rebecca Tomblinson, Vice Chair

Bob Fulkerson
Ann Henn
Romano Mazzoli

Paul Gudgel
Norma Scott
Trib Ball

Commission Staff

Anthony Wilhoit, Executive Director

John Schaaf, Legal Counsel
Donnita Crittenden, Principal Assistant
Connie Evans, Staff Assistant
Lee Rowland, Enforcement Counsel

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FOREWORD

On behalf of the Kentucky Legislative Ethics Commission and its staff, I am pleased to submit our 12th Annual Report to the members of the Legislative Research Commission.

Thirteen years ago, the Code of Legislative Ethics was enacted to provide ethics guidelines for members of the General Assembly and others involved in the legislative process, to provide for registration of lobbyists and their employers and for reporting of their expenses, and to give the public a full accounting of money spent by special interests in the legislative process.

For several years after its enactment, the Code was proclaimed as one of the strongest laws of its type in the nation, primarily because of its scope and effectiveness. In recent years, other states have followed Kentucky's lead and have even surpassed our state in areas such as financial disclosure.

There is a strong level of trust and cooperation between the Commission, the General Assembly, and others covered by the Code of Ethics. It is our hope to maintain that relationship, while continuing to enforce the Code of Ethics as expected by the public.

We respectfully submit this report of activities of the Legislative Ethics Commission as required by KRS 6.666(16).


George C. Troutman, Chair

Legislative Ethics Commission Member Profile

George C. Troutman - Mr. Troutman is the Chairman of the Commission. The Speaker of the House appointed him to the Commission in 1994. Mr. Troutman graduated from St. Xavier High School and Bellarmine University where he majored in accounting. He is currently self-employed as a Certified Public Accountant, a member of the American and Kentucky Society of CPAs and the American Board of Forensic Accounting. Mr. Troutman served on the Registry of Election Finance from 1992 to April of 1994. He and his wife, Mary, reside in Louisville, Kentucky.

Rebecca Parker Tomblinson - Mrs. Tomblinson is the Vice-Chairman of the Commission. The Speaker of the House appointed her in 1996. Mrs. Tomblinson graduated from Madisonville High School and attended Western KY University. She is a former member and Chairman of the Board of the Bowling Green City Schools. She works with her husband in a privately owned business. She and her husband, Ben, reside in Bowling Green, Kentucky.

Ann B. Henn - Mrs. Henn was appointed to the Commission by the President of the Senate in 1997. Mrs. Henn was an attorney for the Court of Appeals for nine years. She received a B.S. from Northern Kentucky University and graduated from the University of Kentucky College of Law. She is licensed to practice law in Kentucky and Ohio and is a member of the state and local bar associations. She and her husband, Bob, reside in Edgewood, Kentucky.

Bob Fulkerson – Mr. Fulkerson was appointed to the Commission by the President of the Senate in 2004. He is a graduate of Owensboro Senior High School and attended Southwestern College, Dallas TX. He is a retired manager from General Electric Appliance Park in Louisville. Currently, he devotes his time to community service and religious activities. In the past, he has been an active participant in his political party both as a candidate for elected office and party official. He and his wife, Edna, reside in Louisville, Kentucky.

Judge Paul D. Gudgel – Judge Gudgel was appointed by the Speaker of the House in 2002. Judge Gudgel received both his BA and LLB degrees from the University of Kentucky. After practicing law in Lexington, he entered judicial service in 1970 serving as a trial commissioner in the municipal and quarterly courts, and as Chief District Judge. In 1979, he was appointed to the Court of Appeals and served on that court until 2002 including five years as Chief Judge. He retired from the Court in November 2002. Judge Gudgel earned a Master of Laws degree from the University of Virginia and also served as a member of the Judicial Conduct Commission for 22 years. He and his wife, Katherine, reside in Lexington, Kentucky.

Trib Ball - Mrs. Ball was appointed to the Commission by the President of the Senate in 2005. She has been an active community volunteer for many years, including service as president of the Daviess County Medical Alliance and the Ellis Park Foundation. She has served on the Owensboro Civil Service Commission and with the Alma Randolph Charitable Foundation, which raises money to provide school clothes for local children. Mrs. Ball is an active member of the First Baptist Church in Owensboro. She and her husband, Dr. Coy E. Ball, reside in Owensboro, Kentucky.

Norma Scott - Mrs. Scott was appointed to the Commission by the President of the Senate in 2005. She graduated from Earlington High School and Western Kentucky University, where she received a B.A. in Elementary Education. A former school teacher, Mrs. Scott is president of Fugate Lumber Co., which has locations in Madisonville, Eddyville, and Powderly. She and her husband, Gerald, reside in Madisonville, Kentucky.


Congressman Romano Mazzoli - Congressman Mazzoli was appointed to the Commission by the Speaker of the House in 2005. He is a Magna Cum Laude graduate of the University of Notre Dame and the University of Louisville School of Law. In 2004, he earned a Masters Degree in Public Administration from Harvard University's John F. Kennedy School of Government. He served in the Kentucky State Senate (1968-1970) and in the U. S. House of Representatives (1971-1995). Congressman Mazzoli was Chairman of the Immigration, International Law and Refugees Subcommittee for 12 years. In 1998, following 27 years of service as an elected official, Congressman Mazzoli was named Senior Distinguished Fellow at the University of Louisville's Brandeis School of Law, where his teaching interests include legislation and immigration. Congressman Mazzoli has received Honorary Doctorate degrees from the University of Notre Dame, Bellarmine University, Spalding University, Centre College, and Sullivan University. Congressman Mazzoli served in the U.S. Army from 1954 to 1956. He and his wife, Helen, reside in Louisville, Kentucky.

Legislative Ethics Commission

2006

During this past year the Commission and its staff have worked with those covered by the Code of Legislative Ethics to promote understanding of and compliance with the Code. We have been gratified by the continued spirit of cooperation by those subject to the Code, as well as their willingness to comply with its provisions.

The number of requests for informal advice from staff reflects both a respect for the Code and the good professional relationship which exists between our staff and those covered by the Code.



Anthony M. Wilhoit, Executive Director

Legislative Ethics Commission Staff Profile

Anthony M. Wilhoit - Executive Director. Judge Wilhoit joined the Legislative Ethics Commission on November 17, 1997. He joined the Court of Appeals in 1976, was appointed Chief Judge in 1996. His other employment experience includes police judge, city attorney, county attorney, state public defender, and deputy justice secretary. He received an AB from Thomas More College, a law degree from the University of Kentucky, and an LLM from the University of Virginia.

H. John Schaaf – Counsel. Mr. Schaaf joined the Legislative Ethics Commission in June 2004. Prior to that, he was the General Counsel and staff attorney for the Legislative Research Commission for 16 years. His other employment experience includes practicing law in Louisville, and working as Editor of the Breckinridge Herald-News, a weekly newspaper. He received a journalism degree from the University of Kentucky and a J.D. from the University of Louisville School of Law.

Donnita B. Crittenden- Mrs. Crittenden is the Principal Assistant in the Commission office. She is a graduate of Franklin County High School, and has a BA in Public Administration from Kentucky State University. Mrs. Crittenden joined the Commission in August 1993. Her previous experience includes a three-year internship with the Kentucky Department of Education, specifically assigned to the State Board of Education.

Connie Y. Evans - Mrs. Evans is the Staff Assistant in the Commission office. She is a graduate of Lebanon High School, Lebanon, Kentucky. Her previous experience includes legal secretary for 15 years, elementary school secretary for 11 years, and judicial secretary for 3 1/2 years in the Court of Appeals. She joined the Commission in January 1998.

Lee W. Rowland - Mr. Roland is the Enforcement Counsel for the Commission. He is a partner in the law firm, Baldani, Rowland and Richardson in Lexington, Kentucky. Mr. Rowland graduated from the University of Kentucky School of Law.

Complaints and Administrative Actions

FY 2005-2006

Complaints:

One complaint was filed against a General Assembly member. It was dismissed due to lack of probable cause that a violation of the Code of Ethics had occurred.

Administrative Fines Levied by the Commission:

Legislative Agents	\$1000
Employers	\$3200
Total Fines Assessed	\$4200

These fines were assessed due to failure to file updated registration statements by the designated filing deadlines. Filers are cautioned that chronic late filing of forms results in additional penalties and possible action by the Commission.

**Education and Training
FY 2005-2006**

- 09/15/05 Anthony Wilhoit, John Schaaf and Rebecca Tomblinson,
Presentation - Lobbyist Retreat at Dale Hollow State Park
- 11/3-4/05 Anthony Wilhoit and John Schaaf
Speech at the Southern Legislative Conference
- 12/3-7/05 Congressman Romano Mazzoli and John Schaaf attended the
Council on Governmental Ethics Laws Conference in Boston,
MA. They collected ethics information from all states, Canada
and Britain.
- 1/4-5/06 Current Issues Seminar
Speaker, Dr. Alan Rosenthal, Eagleton Institute of Politics
Speaker, Peggy Kerns, Director of NCSL's Center for Ethics
Training conducted by LEC Staff
- 1/5/06 Employer and Legislative Agent Training Session
Conducted by LEC Staff
- 1/23/06 Anthony Wilhoit, Testimony in Washington, DC in support of
creating an Independent Ethics Commission in Congress
- 3/27/06 Anthony Wilhoit, Executive Director
Addressed the Northern KY Chamber of Commerce
Leadership Group
- 6/6/06 John Schaaf, Legal Counsel
Legislative Research Commission
Presentation on Legislative Ethics at Continuing Legal
Education Seminar
- 6/15-16/06 Anthony Wilhoit, Executive Director
Ky. Bar Association Speaker

During the fiscal year, we provided various in-house training as requested, issued one formal opinion and 35 informal advisory opinions, and numerous letters and phone calls answering specific questions, mailed out one Ethics Reporter to all General Assembly members, legislative agents and employers.

**Legislative Ethics Commission
Registration of Lobbyists and Employers**

FY 2005-2006

Number of Employers: 622

Number of Legislative Agents: 653

Reports were filed on September 15, 2005, January 15, 2006, February 15, 2006, March 15, 2006, April 15, 2006, and May 15, 2006.

The Kentucky Legislative Ethics Commission (KLEC) has enhanced its database and web site, making more information available to the public regarding legislative agents (lobbyists) and their employers.

By accessing KLEC's web site, citizens can review a variety of reports, including a list of legislative agents and their employers, legislative agent compensation, employer expenses sorted by the employer's name, and employer expenses sorted by industries, such as "gaming" or "health care."



KENTUCKY LEGISLATIVE ETHICS COMMISSION

George Troutman, Chair
Rebecca Tomblinson, Vice Chair

Norma Scott
Romano Mazzoli
Paul Gudgel

Anthony M. Wilhoit, Executive Director

Ann Henn
Trib Ball
Bob Fulkerson

OPINION

OLEC 06-01

January 4, 2006

QUESTIONS PRESENTED:

May a legislative agent also be a candidate for election to the General Assembly?

DISCUSSION:

There is no provision in the Code of Legislative Ethics (KRS 6.606 et seq.) which forbids a legislative agent from also being a candidate for election to the General Assembly. However, there are provisions of the Code which, as written, place restrictions upon the conduct of legislative agents with respect to legislative elections.

A legislative agent may not serve as a campaign treasurer or as a "fundraiser" as described in KRS 121.170(2) for a legislator or candidate for the Legislature. [KRS 6.811(5)]. A legislative agent also may not make a campaign contribution to a legislator, a candidate for the Legislature or the campaign committee of either. If a legislative agent violates either of these

provisions, he or she is guilty of ethical misconduct for the first such violation and of a Class D felony for the second.

It would not seem that these provisions were intended by the General Assembly to apply in a case in which the candidate and legislative agent in question is one and the same person. Indeed, a restriction upon a candidate's using his personal funds in his campaign would run afoul of the First Amendment to the United States Constitution. See Buckley v. Valeo, 423 U.S. 1 (1976). However, in issuing an advisory opinion, the Commission is precluded from considering legislative intent beyond that expressed by a statute as written. See KRS 6.681(3).

OPINION:

The Code of Legislative Ethics does not prohibit a legislative agent from also being a candidate for the General Assembly.

EMPLOYER'S LOBBYING EXPENSES AS REPORTED 1994 – 2006

YEAR	EMP. FB	EMP. RME	EMP EXP	LA FB	LA RME	LA EXP	LA COMP	TOTAL
2006**	\$280	\$194,038	\$717,828	\$0	\$13,037	0.00*	\$10,202,796	\$11,127,979
2005	\$420	\$214,397	\$615,303	\$268	\$24,663	0.00*	\$10,808,709	\$11,663,760
2004	\$561	\$204,701	\$819,692	\$150	\$10,003	0.00*	\$10,836,866	\$11,871,973
2003	\$542	\$193,663	\$848,670	\$0	\$4639	0.00*	\$8,141,073	\$9,188,587
2002	\$262	\$188,446	\$1,008,768	\$20	\$8,248	0.00*	\$9,088,595	\$10,294,339
2001	\$160	\$136,819	\$608,853	\$73	\$4,201	0.00*	\$6,132,887	\$6,882,993
2000	\$95	\$136,032	\$857,075	0.00	\$13,424	0.00*	\$8,295,998	\$9,302,624
1999	\$248	\$30,082	\$411,981	0.00.	\$1,562	0.00*	\$3,989,617	\$4,433,490
1998	\$20	\$82,741	\$939,643	\$10	\$4,500	0.00*	\$7,086,054	\$8,112,968
1997	\$14	\$22,072	\$420,529	0.00	\$4,019	0.00*	\$3,137,175	\$3,583,809
1996	\$589	\$40,822	\$880,518	\$301	\$3,939	\$341,893	\$6,037,002	\$7,305,064
1995	\$177	\$15,692	\$318,105	\$107	\$534	\$144,098	\$2,254,114	\$2,732,827
1994	\$852	\$34,117	\$1,356,719	\$350	\$2,305	\$514,701	\$4,557,014	\$6,466,058
TOTALS	\$4,220	\$1,493,622	\$9,803,684	\$1279	\$95,074	\$1,000,692	\$90,567,900	\$102,966,471

Guide to Abbreviations:

EMP.FB (Employer Food and Beverage)
 EMP.RME (Employer Reception, Meals & Events)
 EMP,EXP (Employer Expenses)

LA.FB (Legislative Agent Food and Beverage)
 LA. RME (Legislative Agent Reception, Meals & Events)
 LA. EXP (Legislative Agent Expenses)
 LA. COMP (Legislative Agent Compensation)

* Employer forms were amended to delete section dealing with reimbursed expenses to legislative agents. Staff discovered that employers were listing amounts reimbursed to legislative agents for expenses and legislative agents were reporting these figures during the same period. Double reporting resulted.

**Not all reporting periods for 2006 (9-1 to 12-31) are included in these figures.

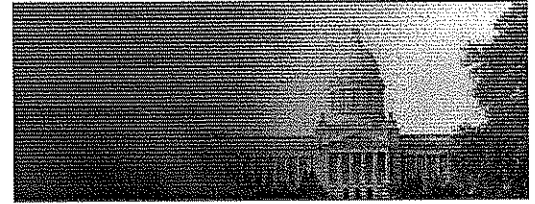
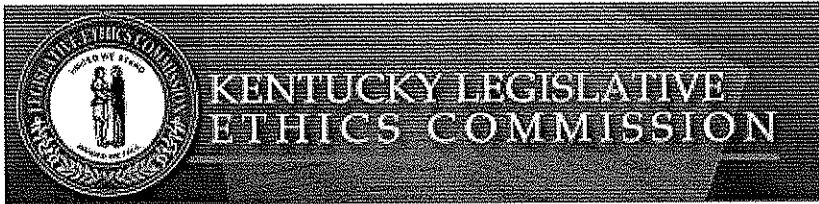
NOTE: Numbers have been rounded up to next dollar for convenience.

**MONEY SPENT ON LEGISLATIVE ACTIVITY SINCE THE ENACTMENT
OF THE LEGISLATIVE ETHICS CODE - JANUARY 1994**

Legislative Year	\$ for food and beverages for legislators and their families.	\$ for food and beverages at recognized events.	Total expenses/ expenditures for lobbying. (Includes legislative agent salary.)
1994	852	34,117	6,466,058
1995	177	15,692	2,732,827
1996	589	40,822	7,305,064
1997	14	22,072	3,583,810
1998	20	82,741	8,112,968
1999	248	30,082	4,433,490
2000	95	136,032	9,302,624
2001*	160	136,819	6,882,993
2002	262	188,446	10,286,071
2003	542	193,664	9,183,948
2004	561	204,701	11,871,973
2005	420	214,397	11,663,760
2006**	280	194,038	11,127,979

*2001 Reflects totals from the first annual session in an odd-numbered year.

**From 1994 to September 2006, \$102,966,471 was reported. Of that figure, \$90,567,900 was attributed to salaries of legislative agents and \$12,398,571 was for other lobbying expenses.



Thank you for visiting the Kentucky Legislative Ethics Commission (KLEC) Web site. We hope the information you find here will be helpful.

KLEC has jurisdiction over:

- Legislative agents (lobbyists),
- Employers (individuals or entities who engage legislative agents), and
- Members of the General Assembly.

The legislative ethics law covers four broad subject matters:

- Registration of legislative agents and employers;
- Statements by legislative agents and employers of:
 - lobbying expenditures and expenses, and financial transactions;
- Conduct of members of the General Assembly; and
- Financial disclosure statements of the General Assembly, legislative candidates, and key legislative staff.

Lobbyist & Employer Lists

Employers of Legislative Agents (Lobbyists)

[pdf format](#)
[word format](#)
[text format](#)
[Active Employers Extract\(text file\)](#)

Legislative Agents (Lobbyists)

[pdf format](#)
[word format](#)
[text format](#)
[Active Agents Extract\(text file\)](#)

SEARCHABLE REGISTER

You may now search our entire database including expense records for employers and their legislative agents. Records are updated as they are entered into the database. All viewable reports are updated at 5:00 p.m. daily.

Searchable Register

If you have questions regarding our searchable register, please contact

See Also...

[Ky. Executive Branch Ethics Commission](#)

The Executive Branch Code of Ethics establishes the ethical standards that govern the conduct of all executive branch employees.

[Ky. Legislative Research Commission](#)

A fact finding and service body for the legislature consisting of a 16 member panel of Democrats and Republican leaders from the General Assembly.

[Ky. Registry of Election Finance](#)

The Kentucky Registry of Election Finance administers and enforces the laws regulating the financing of state and local elections in Kentucky.

Link Disclaimer

Some of the links on this site may resolve to non-governmental agencies. The information on these pages is not controlled by the Kentucky Legislative Ethics Commission or the Commonwealth of Kentucky.

External links are identified with the following icon:

Donnita Crittenden.

CONTACT US

US MAIL:

**Kentucky Legislative Ethics Commission
22 Mill Creek Park
Frankfort, Kentucky 40601**

**PHONE: (502) 573-2863
FAX: (502) 573-2929**

For directions, see the "About Us" section of this site.

EMAIL:

Executive Director: tony.wilhoit@lrc.ky.gov

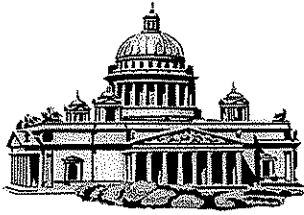
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Last Updated 11/7/2005

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THE ETHICS REPORTER

Kentucky Legislative Ethics Commission

February 2006

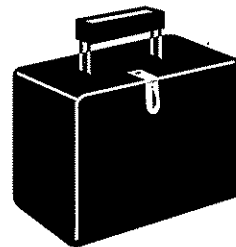
Legislative Ethics Commission Web Site

The Kentucky Legislative Ethics Commission (KLEC) has enhanced its web site, making more information available to the public regarding General Assembly members, legislative agents (lobbyists) and their employers. The new web site is accessible at this address: <http://klec.ky.gov>.

By accessing KLEC's web site, citizens can review a variety of reports, including financial disclosure forms filed by General Assembly members, a list of legislative agents and their employers, legislative agent compensation, employer expenses sorted by the employer's name, and employer expenses sorted by industries, such as "gaming" or "health care." These reports are updated daily by Commission staff.

KLEC is working with Ky.gov to enhance the searchable register located on the Commission's homepage. This will allow legislative agents and their employers to electronically file initial registration forms and updated registration statements.

Reminder: The Legislative Ethics Commission's Black Box



Once again, we have arranged for a locked box that will allow you to submit your updated registration statements to us. The Legislative Research Commission (LRC) has agreed to let us place the box in the LRC Library which is located in the basement of the Capitol Annex.

We will retrieve the forms from the box weekly and will stamp the forms received on that date. The box will be available for your use during the months of January, February, March, and April only. We ask that you get the forms to us in the normal fashion for the reporting periods of May 1st through August 31st and September 1st through December 31st.

We hope this box will be helpful to you during the session.

2006 Reporting Deadlines

<u>Period</u>	<u>Due</u>
1/1/06 – 1/31/06	2/15/06
2/1/06 – 2/28/06	3/15/06
3/1/06 – 3/31/06	4/17/06
4/1/06 – 4/30/06	5/15/06
5/1/06 – 8/31/06	9/15/06
9/1/06 – 12/31/06	1/16/07



CAMPAIGN INFORMATION

With Kentucky's 2006 General Assembly reaching its mid-point, and primary and general elections in May and November, it may be helpful to review the ethics issues which relate to lobbyist involvement in legislative campaigns.

Two key statutes on this subject are **KRS 6.811(6)**, which states that "a legislative agent shall not make a campaign contribution to a legislator, a candidate, or his campaign committee;" and **KRS 6.767**, which prohibits a member of the General Assembly, a candidate for the General Assembly, or the campaign committee of either from accepting a campaign contribution from a legislative agent.

Since the Legislative Ethics Commission was created in 1993, it has been asked several times for opinions (designated as OLEC) on the extent to which legislative agents can make or control campaign contributions which may be used in legislative campaigns.

In **OLEC 93-44**, the Commission concluded that a legislative agent may contribute to a political action committee (PAC) and raise money for a PAC, but a legislative agent is prohibited by the Code of Legislative Ethics from exercising control over a campaign contribution from a PAC, and is prohibited from directing it to a specific state legislator, candidate or committee. **OLEC 93-64** held that a legislative agent may provide a wide range of information to a PAC engaged in the process of developing contribution strategies related to legislative candidates.

In **OLEC 93-54**, the Ethics Code was interpreted to prohibit a legislator from soliciting help from a legislative agent in obtaining a campaign contribution from a PAC.

OLEC 93-67 held that a legislative agent may volunteer for a wide range of campaign activities on behalf of a state legislative campaign, as long as they are not directed in this activity by an employer.

In **OLEC 95-8**, the Commission advised that a legislative agent is prohibited by the Code from controlling, directing, or delivering a contribution to a legislator, legislative candidate, or campaign committee.

In **OLEC 95-10**, the Commission found that a Code provision allowing legislators to solicit contributions on behalf of civic entities was broad enough to include political parties, and legislators may properly work with a political party on fund-raising events, provided the fund-raising solicitations were "broad-based and not directed solely or primarily at legislative agents" as specified in KRS 6.626(1). The Commission said that while legislators "may clearly participate in a political party fund-raising event, they may not direct or otherwise exercise control over a particular legislative agent's contribution for the benefit of a selected legislator."

In **OLEC 95-14**, the Commission said a legislative agent may voluntarily solicit campaign contributions for legislators and legislative candidates, so long as the agent is not acting at the direction and control of his employer, the legislator or the legislative candidate, and it is improper for a legislator to solicit help from a legislative agent in obtaining funds for a campaign.

OLEC 95-15 held that a legislator who is also a candidate for Congress may accept contributions for the congressional race from legislative agents because federal law controls campaign finance issues in federal elections.

In **OLEC 98-2**, the Commission found that campaign contributions solicited or accepted during a legislative session from an individual or entity with a legislative interest “should be subject to a high level of scrutiny by the individual legislator and by the Commission.”

In **OLEC 99-3**, the Commission said that, during legislative sessions, legislators should “apply the strict scrutiny test as set out in **OLEC 98-2** to the solicitation and acceptance of contributions for a political party as well as for the legislator’s own campaign.”

In **OLEC 01-01**, the Commission held that a legislator may not solicit a campaign contribution from a legislative agent for the campaign of another legislator. The Commission said that kind of solicitation by a legislator “takes on the strong appearance of a legislator’s using his official position as a legislator to secure an advantage or treatment of another in direct contravention of the public interest at large as expressed in KRS 6.731,” which could constitute a Class A misdemeanor as well as a violation of the Ethics Code.

OLEC 05-01 held that a legislative agent may not make a campaign contribution to any of the four caucus campaign committees, and a legislator may not solicit a campaign contribution from a legislative agent for any of the four caucus campaign committees.

Any questions regarding the application of ethics laws to legislative campaigns should be directed to the Commission at 502-573-2863.

OPINION UPDATE

OLEC 05-01:

Question: May a legislative agent (lobbyist) make a campaign contribution to any of the caucus campaign committees provided for in the recently enacted 2005 Senate Bill 112?

Opinion: A legislative agent (lobbyist) may not make a campaign contribution to any of the four caucus campaign committees provided for in 2005 SB 112.

Question: May a legislator solicit a campaign contribution from a legislative agent (lobbyist) for any of the caucus campaign committees?

Opinion: A legislator may not solicit a campaign contribution from a legislative agent (lobbyist) for any of the four caucus campaign committees provided in 2005 SB 112.

OLEC 06-01:

Question: May a legislative agent also be a candidate for election to the General Assembly?

Opinion: The Code of Legislative Ethics does not prohibit a legislative agent from also being a candidate for the General Assembly.



FORMS, FORMS AND MORE FORMS!!!

Last year, the Commission assessed administrative penalties in the amount of \$7000 for late filings of the employer and legislative agent updated registration statements and the initial registration statements. Please be sure to complete and submit your forms in a timely manner.

If you are late in filing your forms, you will receive a letter outlining the amount of your fine. There are several explanations which will not exempt you from the fine process. One of these is: "I didn't receive blank forms." The Commission mails out blank forms with appropriate filing deadlines already printed on them, but it is your responsibility to timely file the forms with the Commission. Blank forms are available by downloading them from the Commission web site located at <http://klec.ky.gov>. You may also request a diskette which contains all of the blank forms, or you may make copies of the forms you have in your office.

Another common explanation is: "We had no lobbying activity" during the period. As long as you are registered with the Commission you are required to file updated registration statements. The only way to avoid filing forms is to terminate your registration.

The Commission considers updated registration statements timely if postmarked or faxed by the due date listed on the form. The Commission is permitted to grant a reasonable extension of time, for good cause shown, for filing the updated registration statement. (KRS 6.807) If you would like to fax your report, our fax number is (502) 573-2929. Please do not mail if you fax the form.

KY Legislative Ethics Commission
22 Mill Creek Park
Frankfort, KY 40601
502/573-2863, Fax - 502/573-2929
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