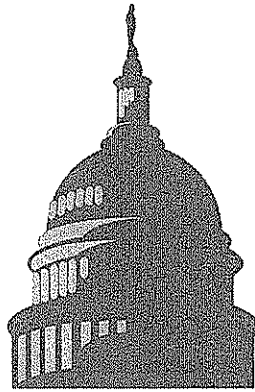
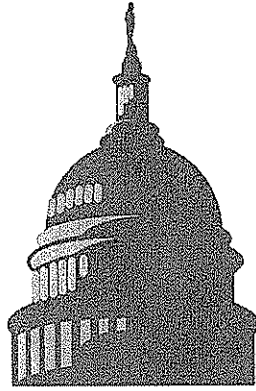


Kentucky Legislative Ethics Commission

ANNUAL REPORT



FY 2004-2005



Kentucky Legislative Ethics

Commission Members

George C. Troutman, Chair

Rebecca P. Tomblinson, Vice Chair

Bob Fulkerson

Ann B. Henn

Norma Scott

*Douglas D. Moseley

*Charles B. Lester

*term ended 2005

Judge Paul Gudgel

Trib Ball

Romano Mazzoli

*Joe Lane Travis

*Lloyd E. Clapp

Commission Staff

Anthony M. Wilhoit, Executive Director

John Schaaf, Legal Counsel

Donnita B. Crittenden, Principal Assistant

Connie Y. Evans, Staff Assistant

Lee W. Rowland, Enforcement Counsel

22 Mill Creek Park

Frankfort, Kentucky 40601

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FOREWORD

On behalf of the Kentucky Legislative Ethics Commission and its staff, I am pleased to submit our 11th Annual Report to the members of the Legislative Research Commission.

Twelve years ago, the Legislative Ethics Code was enacted to provide a code of conduct for members of the General Assembly, 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.

The Code has been proclaimed one of the strongest in the nation. The lobbying law is considered second in the nation in its scope and effectiveness, with Wisconsin being ranked first.

We have moved to a new level of trust between the Commission and the General Assembly and others covered by the Code of Ethics. It is our hope to strengthen that relationship, while at the same time 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 live in Louisville.

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 Kentucky University. She is a former member and Chairman of the Board of the Bowling Green City Schools. She works with her husband Ben in a privately owned business. They live in Bowling Green.

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, where she lives with her husband of 57 years, Dr. Coy E. Ball.

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, Texas. He is a retired manager of 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 live in Louisville.

Judge Paul D. Gudgel - Judge Gudgel was appointed to the Commission 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, as Fayette County Judge, 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 live in Lexington.

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 live in Edgewood.

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 College. Congressman Mazzoli served in the U.S. Army from 1954 to 1956. He and his wife Helen live in Louisville.

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. Mrs. Scott and her husband Gerald live in Madisonville.

***Lloyd Clapp** - Mr. Clapp was appointed to the Commission by the Legislative Research Commission in 1995. Mr. Clapp served 20 years as a member of the House of Representatives, including one term as Speaker Pro Tem. He also served as Legislative Liaison for Governor Brereton Jones. He and his wife Mary are retired and live in Wingo.

***Judge Charles B. Lester** - The Speaker of the House appointed him to the Commission in 1996. Judge Lester served as Chairman of the Commission for five years. Judge Lester retired from the Kentucky Court of Appeals where he served for 20 years, the last five and one-half of which he was Chief Judge. Judge Lester earned an A.B. and B.C.L. degree at the College of William and Mary, Williamsburg, Virginia and continued his legal and judicial education at Harvard Law School, University of Edinburgh, Scotland, and Oxford University, in the United Kingdom. He is member of the Kentucky and Virginia Bar Associations, as well as the National Council of Chief Judges. He and his wife Jackie live in Cold Springs.

***Dr. Douglas D. Moseley** - Dr. Moseley was appointed to the Commission by the President of the Senate in 2001. Dr. Moseley is a United Methodist Minister. He attended Western Kentucky University and graduated with a BA from Kentucky Wesleyan College. He received a Master of Divinity from Emory University. He was awarded an honorary Doctor of Divinity from Union College. He served as State Senator from 1974 to 1987. He was a Professor at Lindsey Wilson College from 1960-70 and Chairman of the Department of Religion. He has also served on the Kentucky Personnel Board and the state's Parole and Probation Board. He and his wife Betty Jean are retired and live in Bowling Green.

***Joe Lane Travis** - Mr. Travis was appointed by the President of the Senate in 2003. Born in Barren County, Mr. Travis graduated from Tompkinsville High School, Western Kentucky University and the University of Kentucky Law School. He served as a Judge Advocate for the U.S. Army, as Glasgow City Attorney, and is currently practicing law in Glasgow. He represented the 9th Senatorial District from 1981-1988. He and his wife Mary Lou live in Glasgow.

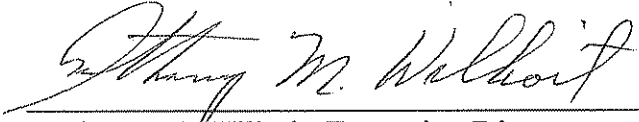
* term expired in 2005

Legislative Ethics Commission

2004-2005

During 2004 and 2005, the Commission and its staff continued to enjoy an effective professional relationship with those covered by the Code of Legislative Ethics. Legislators, employers of legislative agents and legislative agents have almost uniformly displayed an acceptance of the Code and an intent to abide by it. As evidence of this intent, requests for informal advice from the Commission staff continue at a high level.

During the coming year, we look forward to working with those covered by the Code to ensure that the public has confidence in the integrity of the legislative process and the public officials involved in that process.



Anthony M. Wilhoit, Executive Director

Legislative Ethics Commission Staff Profile

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

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 since 1988. His other employment experience includes several years with a Louisville law firm, and a brief stint as editor of 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.

Anthony M. Wilhoit - Executive Director. Judge Wilhoit joined the Legislative Ethics Commission on November 17, 1997. Prior to that, he was a judge on the Kentucky Court of Appeals for 21 years, and was elected 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.

Complaints and Administrative Actions

FY 2004-2005

Complaints:

Four complaints were filed against General Assembly members, one complaint against an employer of a legislative agent, and one complaint against a legislative agent. Three complaints were dismissed due to lack of probable cause that a violation of the Code of Ethics had occurred. One complaint was dismissed after reimbursement of money owed. One complaint resulted in a fine and one complaint resulted in a fine and revocation of a company's right to lobby for three years.

Administrative Fines Levied by the Commission:

Legislative Agents	\$2,300.00
Employers	\$6,950.00
Total Fines Collected	\$9,250.00

These fines were assessed due to failure to file required forms by the designated filing deadlines. Filers are cautioned that late filing of forms could result in additional penalties and possible action by the Commission.

Education and Training
FY 2004-2005

12/5-8/04	Two staff and one Commission member attended Council on Governmental Ethics Laws Conference in San Francisco, CA. Staff participated in Lobbying Update Panel and collected information from all the states, Canada and Great Britain.
12/9/04	Anthony Wilhoit, Executive Director Presentation at the New Legislator Orientation
1/5-6/05	Current Issues Seminar Speaker Walter Baker Speaker Romano Mazzoli Training conducted by LEC Staff
2/7/05	Employer and Legislative Agent Training Session Training conducted by LEC Staff
2/17/05	Anthony Wilhoit, Executive Director Addressed the Northern KY Chamber of Commerce Leadership Group
4/16/05	Anthony Wilhoit, Executive Director Addressed the League of Women Voters
05/18/05	John Schaaf, Counsel Ethics in Government Panel Discussion Scott County High School
6/9-10/05	Anthony Wilhoit, Executive Director Ky. Bar Association Speaker
06/29/05	John Schaaf, Counsel Addressed Legislative Research Commission CLE Seminar

During the fiscal year, we provided in-house training as requested, mailed out two newsletters to all General Assembly members, legislative agents and employers, and conducted several audits.



KENTUCKY LEGISLATIVE ETHICS COMMISSION

George Troutman, Chair
Rebecca Tomblinson, Vice Chair

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Joe Lane Travis
Charles Lester
Paul Gudgel

Anthony M. Wilhoit, Executive Director

Bob Fulkerson
Ann Henn
Doug Moseley

OPINION

(OLEC 04-03)

August 23, 2004

QUESTIONS PRESENTED:

1. Is an employer of a legislative agent required to report to the Commission the expenses incurred by the employer in hosting a reception at a national political party convention to which reception convention delegates, officials, guests and their family members are invited and at which food and beverages are furnished?
2. If any of the attendees at such a reception is also a member of the Kentucky General Assembly, but attending the reception solely in his or her capacity as a convention delegate, is the employer or the employer's legislative agent required to report any expenses of the reception to the Commission?

DISCUSSION:

There is no provision in the Code of Legislative Ethics requiring an employer of a legislative agent to report to the Ethics Commission expenses incurred by the employer in hosting a reception at a national political convention for individuals attending the convention as delegates or convention officials, their family members, etc. However, if a legislator or a member of his or her immediate family attends the reception, or the Governor, the secretary of any cabinet listed in KRS 12.250, or any member of the staff of these officials, attends the reception, then the costs of their attendance would be reported as an expenditure pursuant to KRS 6.821. See, e.g., OLEC 93-28.

The fact that a legislator or member of his or her immediate family attends a reception in a capacity other than that of being a legislator or family member of a legislator does not contravene the provisions of the Code governing their interaction with an employer of a legislative agent or a legislative agent. Cf. OLEC 94-40.

OLEC 04-03
Page Two
August 23, 2004

The Code of Legislative Ethics provides that a legislative agent or employer of a legislative agent shall not knowingly offer, give or agree to give "anything of value to a legislator, his spouse or child." KRS 6.811(4). Likewise, the Code provides that "a legislator or his spouse shall not solicit, accept, or agree to accept anything of value from a legislative agent or an employer." See KRS 6.751(2).

KRS 6.611(2)(b)(7) does exempt from the definition of "anything of value" food and beverages which are consumed on the premises. A legislator may attend any reception or event sponsored by an employer of a legislative agent so long as only food and beverages consumed on the premises are provided. See OLEC 93-16. However, a legislative agent and his or her employer may not collectively spend more than \$100 in a calendar year for food and beverages for an individual legislator and his immediate family, collectively. See KRS 6.811(7)(a). The only exception to this dollar limitation is for food and beverages consumed at an event qualifying under KRS 6.611(2)(b) 8, 11 or 12. The kind of reception described in the question presented is not such an event.

OPINION:

Pursuant to KRS 6.821, the employer of a legislative agent is required to report to the Commission the expenditures made for each legislator or member of the legislator's immediate family, as well as for the Governor, the secretary of any cabinet listed in KRS 12.250 or a member of the staff of any of these officials who attends a reception hosted by the employer.

The costs of food and beverages consumed on the premises for each legislator or member of a legislator's immediate family who attends the reception must be reported in accordance with KRS 6.821(2) and is subject to the \$100 annual limitation contained in KRS 6.811(2)(a), unless the reception is one qualifying under KRS 6.611(2)(b) 8, 11, or 12.



KENTUCKY LEGISLATIVE ETHICS COMMISSION

George Troutman, Chair
Rebecca Tomblinson, Vice Chair

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Norma Scott
Romano Mazzoli
Paul Gudgel

Anthony M. Wilhoit, Executive Director

Bob Fulkerson
Ann Henn
Trib Ball

OPINION

OLEC 05-01

JUNE 27, 2005

QUESTIONS PRESENTED:

1. 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?
2. May a legislator solicit a campaign contribution from a legislative agent (lobbyist) for any of the caucus campaign committees?

DISCUSSION:

The Commission has received numerous inquiries raising the questions presented. These inquiries have been prompted by the establishment of at least two of the caucus campaign committees provided for in SB 112 (codified at KRS 121.015 et al.) and the application of two provisions of the Code of Legislative Ethics. One of those statutes, KRS 6.811(6), forbids a lobbyist from making a campaign contribution to a legislator, candidate for the Legislature, or his campaign committee. The other statute, KRS 6.767, forbids a legislator, candidate for the Legislature, or his campaign committee from accepting a campaign contribution from a lobbyist.

SB 112 amends KRS 121.015 to provide for the creation of four entities, whose members may "receive contributions and make expenditures to support or oppose one or more specific candidates or slates of candidates for nomination or election" The four entities are:

1. House Democratic caucus campaign committee;
2. House Republican caucus campaign committee;
3. Senate Democratic caucus campaign committee; and
4. Senate Republican caucus campaign committee.

A sponsor of SB 112, together with a member of House leadership who supported passage of the final bill, appeared before the Commission to assist it in better understanding the purpose of the legislation. Both legislators said a factor motivating the creation of the caucus committees was to provide greater transparency as to who is contributing to legislative races. Their reasoning was that contributions made to a political party to be used for legislative races are disclosed only as contributions to the party, and the disclosure does not indicate the money was contributed for legislative races. In contrast, with required disclosure of contributions to the caucus committees, the public would know who contributed to legislative races in this manner.

Both legislators said the caucus committees will employ non-legislators to advise on the most effective use of contributions and to function as treasurers of the respective committees. The members of the caucus or its leaders, however, will determine what is to be spent and on which campaigns it will be spent. Although the purpose of the committees is primarily to raise money for legislative races, one of the legislators observed that the law did not prevent them from allocating money to non-legislative races. The two legislators made plain that the committees will be set up to operate in the same way as the political parties do with respect to fund raising and reporting.

[The SB 112 amendments to KRS Chapter 121 place the caucus committees on similar footing as political party executive committees with respect to limitations on contributions and requirements for reporting to the Registry of Election Finance. However, in at least one important respect, SB 112 treats the caucus committees like permanent committees (PACs). It applies to caucus committees the same 50 percent limitation on contributions to a campaign that applies to PAC contributions to a campaign. *See KRS 121.150(24)(c)*. A provision of 1993 Senate Bill 7, creating the Code of Legislative Ethics, prohibits members of the General Assembly from organizing, forming, or registering a permanent committee. *KRS 121.170(7)*]

The legislators further stated that any caucus committee solicitation of contributors which included lobbyists would be broad-based and not directed primarily at the lobbyists. Understandably, they believed this type of solicitation would be consistent with the Commission's opinion in OLEC 95-10, relating to lobbyist contributions to party fund raising.

In rendering an advisory opinion, the Commission is required by KRS 6.681(3) to base that opinion on the Kentucky Revised Statutes as written and not "on the personal opinions of Commission members." KRS 6.811(6) plainly forbids a lobbyist from contributing to the campaign of a legislator or his committee, while KRS 6.767 plainly forbids a legislator or his committee from accepting such a contribution. KRS 446.020 makes plain that the use of the singular in a statute, e.g. "legislator" or "committee" may be extended to include the plural. Thus, to say that a statute forbidding contributions by a lobbyist to a legislator or a committee would not also forbid contributions to groups of legislators or committees formed by them would not only be an anomaly but also would violate the clear meaning of the statutes as written.

The Commission has consistently ruled that a legislator may not solicit the help of a lobbyist in raising campaign funds for the legislator himself or for another legislator. *See OLEC 93-54, 95-14 and 01-01.* This follows logically from the KRS 6.767 prohibition against a legislator accepting a contribution from a lobbyist, as well as from the KRS 6.731(3) prohibition against a legislator using his position to secure advantages or treatment for himself, herself or others in contravention of the public interest, when the relationship between a legislator and lobbyist is taken into account.

Nevertheless, OLEC 95-10 held that a legislator could work with a political party in soliciting funds to be used by the party for legislative races, even if lobbyists were among those being solicited, so long as the solicitations were broad-based and not directed primarily at lobbyists. Citing the statute which permits legislators to make broad-based solicitations on behalf of "civic entities" [KRS 6.626(1)], the Commission reasoned that the term "civic entity" included a political party. The Commission then concluded that although legislators could participate in party fund raising, "they may not direct or otherwise exercise control over a particular legislative agent's contribution for the benefit of a selected legislator."

As an initial matter, it seems there are some fundamental differences between political parties and the caucus campaign committees. The latter are established and exist primarily, if not solely, as a vehicle for raising funds for legislative races. Their very existence is provided for through an amendment to the statutes dealing with campaign finance regulation, and each committee consists of the legislators who are members of one of the party caucuses in the Senate or House of Representatives.

Political parties, on the other hand, have a much wider "civic" role in society than simply raising funds for their candidates, although that is certainly one of their major enterprises. For example, parties adopt and seek to put into law platforms which they believe will better society. They have structured organizations from the local to the national level. Political parties nominate the candidates who run in most elections, and in Kentucky alone, the parties consist of more than 2.5 million members, all of whom are given a voice in party affairs if they choose to use it.

Finally, OLEC 95-10 stated that the legislators who participated in the party fund raising could not exercise any control over the contribution of a lobbyist or direct such contributions to a selected legislator. The caucus committees or their leaders, all of whom are legislators, would be doing just that.

OPINION:

1. A legislative agent (lobbyist) may not make a campaign contribution to any of the four caucus campaign committees provided for in 2005 SB 112.
2. 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.

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

Current Registration:

Employers: 568

Legislative Agents: 632

In 2004 and 2005, reports were filed on January 15, February 15, March 15, April 15, May 15, and September 15.

The Kentucky Legislative Ethics Commission worked with Frank Bush, Commonwealth Office of Technology (COT), and Kentucky.gov to enhance the current database and web site. The updated system allows us to enter compensation paid to individual lobbyists, generate specific reports and sort information upon request. The web site now provides information that previously required a visit to the Commission office. To view these changes, access the Commission web site at <http://klec.ky.gov>.

Reports currently available on the Commission web site: list of lobbyists sorted by employer or agent name, legislative agent compensation, employer expenses sorted by name, and employer expenses sorted by industry (e.g. healthcare, banking). Reports can be viewed in a word, text or pdf format. If the text format is selected, the data is sorted by semicolon to allow the reader to generate mail merge documents (e.g. labels, letters). The reports on the Commission web site are updated daily by Commission staff. We will continue to work with Kentucky.gov and COT to update the web site and improve the database.

EMPLOYER'S LOBBYING EXPENSES AS REPORTED 1994 – 2005

YEAR	EMP. FB	EMP. RME	EMP EXP	LA FB	LA RME	LA EXP	LA COMP	TOTAL
2005**	100	113,772	454,455	0	5,361	0	6,172,488	6,746,176
2004	\$561	\$204,701	\$819,692	\$0	\$10,003	0.00*	\$10,836,866	\$11,861,819
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	\$3,620	1,198,958	8,925,008	\$861	62,735	\$1,000,692	75,728,883	86,910,754

Guide to Abbreviations:

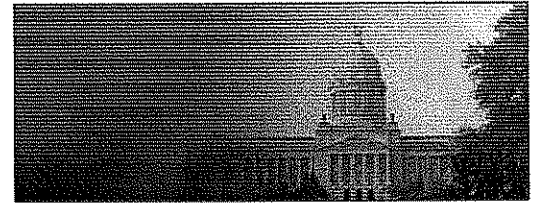
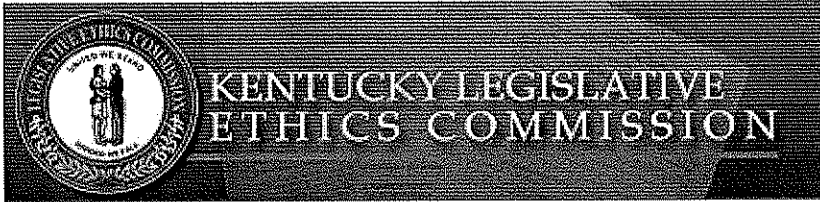
EMP.FB (Employer Food and Beverage)
 EMP.RME (Employer Reception, Meals & Events)
 EMP.EXP (Employer Expenses)

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 2005 (9-15-05 and 1-15-06) are included in these figures.

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



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.

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: 

Searchable Register

If you have questions regarding our searchable register, please contact Donnita Crittenden.

CONTACT US

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

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Principal Assistant: donnita.crittenden@lrc.ky.gov

Staff Assistant: connie.evans@lrc.ky.gov

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THE ETHICS REPORTER

Kentucky Legislative Ethics Commission

May 2005

Legislative Ethics Commission Web Site

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."

"We have worked hard to make user-friendly information available to people, so the public can better understand what interests are represented by lobbyists and their employers," said George Troutman, chairman of the Ethics Commission.

KLEC worked with the Commonwealth Office of Technology to enhance the database and web site. The changes can be seen at KLEC's web site: <http://lrc.ky.gov/Ethics/ethics.htm>, click on "searchable register," then select Employer and Agent Reports. Reports are available in a Word, text, or pdf format, and are updated daily by KLEC staff.

The Ethics Commission is also working on a new vastly improved web site, which will provide a wealth of information in a format that is user friendly. The new web site will be ready June 1st and will be accessible at this address: <http://klec.ky.gov>

When our new web site is ready, users clicking on the old address will be re-directed to the new site.

**Legislative Agents, Legislators and
Campaign Contributions**
(A REMINDER)

Legislators and legislative agents seem to fully understand that a legislative agent may not make a contribution to a legislative campaign or to a legislator who is running for another state office. Since other prohibitions might not be as well understood, this is to remind folks of one of these:

A legislator may not ask a legislative agent to help him obtain a campaign contribution for himself or another legislative candidate whether from an agent's family, friends, employer(s), etc. See OLEC 93-54, 95-14 and 98-3.

But, a legislative agent, acting completely on his or her own volition, is always free to recommend to third parties or to PAC's that they should make political contributions to certain legislators or legislative candidates. See OLEC 95-14.

COMINGS & GOINGS AT THE ETHICS COMMISSION:

Senate President David Williams has made the following appointments to the Commission:

- Mrs. Ann Henn, of Edgewood, who has served on the Commission since 1997;
- Mrs. Trib Ball, of Owensboro, to succeed Dr. Doug Moseley whose term expired on April 30, 2005;
- Mrs. Norma Scott, of Madisonville, to complete former Senator Joe Lane Travis's term, which ends in April 2007.

House Speaker Jody Richards has appointed former Congressman Romano Mazzoli to succeed Judge Charles Lester whose term expired on April 30, 2005.

John Schaaf has joined the Legislative Ethics Commission as Counsel. He was General Counsel and a staff attorney for the Legislative Research Commission since November 1988. His other employment experience includes working as an attorney for a Louisville law firm, editor of a weekly newspaper, and several years in LRC's Public Information Office. He received a journalism degree from the University of Kentucky and a J.D. from the Brandeis School of Law at the University of Louisville.



LATE FILINGS:

Last year, the Commission assessed administrative penalties in the amount of \$8,300 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. The reporting periods and due dates are as follows:

<u>Reporting Period:</u>	<u>Due:</u>
January 1 - 31	February 15 th
February 1 - 28	March 15 th
March 1 - 31	April 15 th
April 1 - 30	May 15 th
May 1 - August 31	September 15 th
Sept. 1 - December 31	January 15 th

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.

OPINION UPDATE

OLEC 04-02 A legislator may accept tickets to an out-of-state ballgame from a state institution of higher education which employs a legislative agent, provided the ballgame is sponsored or coordinated by the state institution, and the legislator receives prior approval from a majority of the Legislative Research Commission to attend the event.

OLEC 04-03 Pursuant to KRS 6.821, the employer of a legislative agent is required to report to the Commission the expenditures made for each legislator or member of the legislator's immediate family, as well as for the Governor, the secretary of any cabinet listed in KRS 12.250 or a member of the staff of any of these officials who attends a reception hosted by the employer.

The costs of food and beverages consumed on the premises for each legislator or member of a legislator's immediate family who attends the reception must be reported in accordance with KRS 6.821(2) and is subject to the \$100 annual limitation contained in KRS 6.811(2)(a), unless the reception is one qualifying under KRS 6.611(2)(b) 8, 11, or 12.



Updated Registration Statements for the reporting period April 1 to April 30, 2005 are due on Monday, May 16, 2005.

NOTE: All reporting forms must be postmarked or faxed by the deadline.

**KY Legislative Ethics Commission
22 Mill Creek Park
Frankfort, KY 40601
502/573-2863, Fax - 502/573-2929
lrc.ky.gov/Ethics/ethics.htm**

**Commission Members:
George Troutman, Chair
Rebecca Tomblinson, Vice Chair
Trib Ball
Lloyd Clapp
Bob Fulkerson
Paul Gudgel
Ann Henn
Romano Mazzoli
Norma Scott**

**Staff:
Anthony Wilhoit, Director
Donnita Crittenden
Connie Evans
John Schaaf
Lee Rowland**