

# Senate Study Bill 1022

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1 1 SENATE RESOLUTION NO. \_\_\_\_  
1 2 BY (PROPOSED COMMITTEE ON ETHICS RESOLUTION  
1 3 BY CO=CHAIRPERSONS KIBBIE and LAMBERTI)  
1 4 A Resolution relating to the Senate Code of Ethics  
1 5 governing the conduct of members of the Senate in  
1 6 relation to their senatorial duties during the  
1 7 Eighty-first General Assembly.  
1 8 BE IT RESOLVED BY THE SENATE, That the Senate Code of  
1 9 Ethics for the ~~Eightieth~~ Eighty-first General Assembly shall  
1 10 be amended to read as follows:  
1 11 SENATE CODE OF ETHICS  
1 12 PREAMBLE. Every legislator owes a duty to uphold the  
1 13 integrity and honor of the general assembly, to encourage  
1 14 respect for the law and for the general assembly and the  
1 15 members thereof, and to observe the legislative code of  
1 16 ethics.  
1 17 In doing so, members of the senate have a duty to conduct  
1 18 themselves so as to reflect credit on the general assembly,  
1 19 and to inspire the confidence, respect, and trust of the  
1 20 public, and to strive to avoid both unethical and illegal  
1 21 conduct and the appearance of unethical and illegal conduct.  
1 22 Recognizing that service in the Iowa general assembly is a  
1 23 part-time endeavor and that members of the general assembly  
1 24 are honorable individuals who are active in the affairs of  
1 25 their localities and elsewhere and that it is necessary that  
1 26 they maintain a livelihood and source of income apart from  
1 27 their legislative compensation, the following rules are  
1 28 adopted pursuant to section 68B.31, to assist the members in  
1 29 the conduct of their legislative affairs.  
1 30 1. ECONOMIC INTEREST OF SENATOR. Taking into account that  
1 31 legislative service is part-time, a senator shall not accept  
1 32 economic or investment opportunity, under circumstances where  
1 33 the senator knows, or should know, that there is a reasonable  
1 34 possibility that the opportunity is being afforded the senator  
1 35 with intent to influence the senator's conduct in the  
2 1 performance of official duties.  
2 2 2. DIVESTITURE. Where a senator learns that an economic  
2 3 or investment opportunity previously accepted was offered with  
2 4 the intent of influencing the senator's conduct in the  
2 5 performance of official duties, the senator shall take steps  
2 6 to divest that senator of that investment or economic  
2 7 opportunity, and shall report the facts of the situation to  
2 8 the senate ethics committee.  
2 9 3. CHARGES FOR SERVICES. A senator shall not charge to or  
2 10 accept from a person, corporation, partnership, or association  
2 11 known to have a legislative interest a price, fee,  
2 12 compensation, or other consideration for the sale or lease of  
2 13 any property or the furnishing of services which is in excess  
2 14 of that which the senator would charge another.  
2 15 4. USE OF CONFIDENTIAL INFORMATION. A senator in order to  
2 16 further the senator's own economic or other interests, or  
2 17 those of any other person, shall not disclose or use  
2 18 confidential information acquired in the course of official  
2 19 duties.  
2 20 5. HONORARIA. A senator shall not accept an honorarium  
2 21 from a restricted donor for a speech, writing for publication,  
2 22 or other similar activity, except as otherwise provided in  
2 23 section 68B.23.  
2 24 6. EMPLOYMENT. A senator shall not accept employment,  
2 25 either directly or indirectly, from a political action  
2 26 committee. A senator may accept employment from a political  
2 27 party, but shall disclose the employment relationship in  
2 28 writing to the secretary of the senate within ten days after  
2 29 the beginning of each legislative session. If a senator  
2 30 accepts employment from a political party during a legislative  
2 31 session, the senator shall disclose the employment  
2 32 relationship within ten days after acceptance of the  
2 33 employment.  
2 34 For the purpose of this rule, a political action committee  
2 35 means a committee, but not a candidate's committee, which  
3 1 accepts contributions, makes expenditures, or incurs  
3 2 indebtedness in the aggregate of more than seven hundred fifty

3 3 dollars in any one calendar year to expressly advocate the  
3 4 nomination, election, or defeat of a candidate for public  
3 5 office or to expressly advocate the passage or defeat of a  
3 6 ballot issue or influencing legislative action, or an  
3 7 association, lodge, society, cooperative, union, fraternity,  
3 8 sorority, educational institution, civic organization, labor  
3 9 organization, religious organization, or professional  
3 10 organization which makes contributions in the aggregate of  
3 11 more than seven hundred fifty dollars in any one calendar year  
3 12 to expressly advocate the nomination, election, or defeat of a  
3 13 candidate for public office or ballot issue or influencing  
3 14 legislative action.

3 15 7. ECONOMIC INTERESTS OF LOBBYIST. With the exception of  
3 16 exercising unfettered discretion in supporting or refusing to  
3 17 support proposed legislation, a senator shall not take action  
3 18 intended to affect the economic interests of a lobbyist or  
3 19 citizen supporting or opposing proposed legislation.

3 20 8. APPEARANCE BEFORE GOVERNMENTAL AGENCY. A senator may  
3 21 appear before a governmental agency or board in any  
3 22 representation case, except that the senator shall not act as  
3 23 a lobbyist. Whenever a senator appears before a governmental  
3 24 agency or board, the senator shall carefully avoid all conduct  
3 25 which might in any way lead members of the general public to  
3 26 conclude that the senator is using the senator's official  
3 27 position to further the senator's professional success or  
3 28 personal financial interest.

3 29 9. CONFLICTS OF INTERESTS. In order to permit the general  
3 30 assembly to function effectively, a senator will sometimes be  
3 31 required to vote on bills and participate in committee work  
3 32 which will affect the senator's employment and other monetary  
3 33 interests. In making a decision relative to the senator's  
3 34 activity on given bills or committee work which are subject to  
3 35 the code, the following factors shall be considered:

4 1 a. Whether a substantial threat to the senator's  
4 2 independence of judgment has been created by the conflict  
4 3 situation.

4 4 b. The effect of the senator's participation on public  
4 5 confidence in the integrity of the legislature.

4 6 c. The need for the senator's particular contribution,  
4 7 such as special knowledge of the subject matter, to the  
4 8 effective functioning of the legislature.

4 9 A senator with a conflict of interest may participate in  
4 10 floor debate if prior to debate the senator indicates the  
4 11 conflict of interest.

4 12 10. GIFTS. Except as otherwise provided in section  
4 13 68B.22, a senator, or that person's immediate family member,  
4 14 shall not, directly or indirectly, accept or receive any gift  
4 15 or series of gifts from a restricted donor.

4 16 11. DISCLOSURE REQUIRED. Each senator shall file with the  
4 17 secretary of the senate within ten days after the adoption of  
4 18 the code of ethics by the senate, and within ten days after  
4 19 the convening of the second session of the general assembly, a  
4 20 statement under section 68B.35 on forms provided by the  
4 21 secretary of the senate setting forth the following  
4 22 information:

4 23 The nature of each business in which the senator is engaged  
4 24 and the nature of the business of each company in which the  
4 25 senator has a financial interest. A senator shall not be  
4 26 required to file a report or be assumed to have a financial  
4 27 interest if the annual income derived from the investment in  
4 28 stocks, bonds, bills, notes, mortgages, or other securities  
4 29 offered for sale through recognized financial brokers is less  
4 30 than one thousand dollars.

4 31 Disclosures required under this rule shall be as of the  
4 32 date filed unless provided to the contrary, and shall be  
4 33 amended to include interests and changes encompassed by this  
4 34 rule that occur while the general assembly is in session. All  
4 35 filings under this rule shall be open to public inspection in  
5 1 the office of the secretary of the senate at all reasonable  
5 2 times.

5 3 The secretary of the senate shall inform the ethics  
5 4 committee of the statements which are filed and shall report  
5 5 to the ethics committee the names of any senators who appear  
5 6 not to have filed complete statements. The chairperson of the  
5 7 ethics committee shall request in writing that a senator who  
5 8 has failed to complete the report or appears to have filed an  
5 9 incomplete report do so within five days, and, upon the  
5 10 failure of the senator to comply, the ethics committee shall  
5 11 require the senator to appear before the committee.

5 12 12. STATUTORY VIOLATIONS. Members of the general assembly  
5 13 are urged to familiarize themselves with chapters 68B, 721,

5 14 and 722.

5 15 13. CHARGE ACCOUNTS. Senators shall not charge any amount  
5 16 or item to any charge account to be paid for by any lobbyist  
5 17 or any client the lobbyist represents.

5 18 14. TRAVEL EXPENSES. A senator shall not charge to the  
5 19 state of Iowa amounts for travel and expenses unless the  
5 20 senator actually has incurred those mileage and expense costs.  
5 21 Senators shall not file the vouchers for weekly mileage  
5 22 reimbursement required by section 2.10, subsection 1, unless  
5 23 the travel was actually incurred at commensurate expense to  
5 24 the senator.

5 25 15. COMPLAINTS. Complaints or charges against any senator  
5 26 or any lobbyist shall be in writing, made under oath, and  
5 27 filed with the secretary of the senate or the chairperson of  
5 28 the ethics committee. If filed with the secretary of the  
5 29 senate, the secretary shall immediately advise the chairperson  
5 30 of the ethics committee of the receipt of the complaint.

5 31 Complaint forms shall be available from the secretary of  
5 32 the senate, or the chairperson of the ethics committee, but a  
5 33 complaint shall not be rejected for failure to use an approved  
5 34 form if the complaint substantially complies with senate  
5 35 requirements.

6 1 A complainant may submit exhibits and affidavits attached  
6 2 to the complaint.

6 3 16. FILING OF COMPLAINTS.

6 4 a. Persons entitled. Complaints may be filed by any  
6 5 person believing that a senator or lobbyist has violated the  
6 6 senate ethics code, the senate rules governing lobbyists, or  
6 7 chapter 68B of the Iowa Code. A violation of the criminal law  
6 8 may be considered to be a violation of this code of ethics if  
6 9 the violation constitutes a serious misdemeanor or greater, or  
6 10 a repetitive and flagrant violation of the law.

6 11 b. Committee complaint. The ethics committee may, upon  
6 12 its own motion, initiate a complaint, investigation, or  
6 13 disciplinary action.

6 14 c. Timeliness of filing. A complaint will be considered  
6 15 to be timely filed if it is filed within three years of the  
6 16 occurrence of the alleged violation of the ethics code.

6 17 17. PERMANENT RECORD. The secretary of the senate shall  
6 18 maintain a permanent record of all complaints filed, evidence  
6 19 received by the committee, and any transcripts or other  
6 20 recordings made of committee proceedings, including a separate  
6 21 card file containing the date filed, name and address of the  
6 22 complainant, name and address of the respondent, a brief  
6 23 statement of the charges made, and ultimate disposition of the  
6 24 complaint. The secretary shall keep each such complaint  
6 25 confidential until public disclosure is made by the ethics  
6 26 committee.

6 27 18. PREHEARING PROCEDURE.

6 28 a. Defective complaint. Upon receipt of a complaint, the  
6 29 chairperson and ranking member of the ethics committee shall  
6 30 determine whether the complaint substantially complies with  
6 31 the requirements of this code of ethics and section 68B.31,  
6 32 subsection 6. If the complaint does not substantially comply  
6 33 with the requirements for formal sufficiency under the code of  
6 34 ethics, the complaint may be returned to the complainant with  
6 35 a statement that the complaint is not in compliance with the  
7 1 code and a copy of the code. If the complainant fails to  
7 2 amend the complaint to comply with the code within a  
7 3 reasonable time, the chair and ranking member may dismiss the  
7 4 complaint with prejudice for failure to prosecute.

7 5 b. Service of complaint on respondent. Upon receipt of  
7 6 any complaint substantially complying with the requirements of  
7 7 this code of ethics, the chairperson of the ethics committee  
7 8 shall cause a copy of the complaint and any supporting  
7 9 information to be delivered promptly to the respondent,  
7 10 requesting a written response to be filed within ten days.  
7 11 The response may do any of the following:

7 12 (1) Admit or deny the allegation or allegations.  
7 13 (2) Object that the allegation fails to allege a violation  
7 14 of chapter 68B or the code of ethics.  
7 15 (3) Object to the jurisdiction of the committee.  
7 16 (4) Request a more specific statement of the allegation or  
7 17 allegations.

7 18 c. Objection to member. In addition to the items which  
7 19 may be included in a response pursuant to paragraph "b", the  
7 20 response may also include an objection to the participation of  
7 21 any member of the committee in the consideration of the  
7 22 allegation or allegations on the grounds that the member  
7 23 cannot render an impartial and unbiased decision.

7 24 d. Extension of time. At the request of the respondent

7 25 and upon a showing of good cause, the committee, or the  
7 26 chairperson and ranking member, may extend the time for  
7 27 response, not to exceed ten additional days.

7 28 e. Confidentiality. If a complaint is not otherwise made  
7 29 public, the members of the committee shall treat the complaint  
7 30 and all supporting information as confidential until the  
7 31 written response is received from the respondent.

7 32 f. Communications with ethics committee. After a  
7 33 complaint has been filed or an investigation has been  
7 34 initiated, a party to the complaint or investigation shall not  
7 35 communicate, or cause another to communicate, as to the merits  
8 1 of the complaint or investigation with a member of the  
8 2 committee, except under the following circumstances:

8 3 (1) During the course of any meetings or other official  
8 4 proceedings of the committee regarding the complaint or  
8 5 investigation.

8 6 (2) In writing, if a copy of the writing is delivered to  
8 7 the adverse party or the designated representative for the  
8 8 adverse party.

8 9 (3) Orally, if adequate prior notice of the communication  
8 10 is given to the adverse party or the designated representative  
8 11 for the adverse party.

8 12 (4) As otherwise authorized by statute, the senate code of  
8 13 ethics, the senate rules governing lobbyists, or vote of the  
8 14 committee.

8 15 g. Scheduling hearing. Upon receipt of the response, the  
8 16 committee shall schedule a public meeting to review the  
8 17 complaint and available information, and shall:

8 18 (1) Notify the complainant that no further action will be  
8 19 taken, unless further substantiating information is produced,  
8 20 or

8 21 (2) Dismiss the complaint for failure to meet the  
8 22 statutory and code of ethics requirements for valid  
8 23 complaints, or

8 24 (3) Request that the chief justice of the supreme court  
8 25 appoint an independent special counsel to conduct an  
8 26 investigation of the complaint and supporting information, to  
8 27 make a determination of probable cause, and to report the  
8 28 findings to the committee, which shall be received within a  
8 29 reasonable time.

8 30 h. Public hearing. If independent special counsel is  
8 31 appointed, upon receipt of the report of independent special  
8 32 counsel's findings, the committee shall schedule a public  
8 33 meeting to review the report and shall do either of the  
8 34 following:

8 35 (1) Cause the complaint to be scheduled for a public  
9 1 hearing.

9 2 (2) Dismiss the complaint based upon a determination by  
9 3 independent special counsel and the committee that  
9 4 insufficient evidence exists to support a finding of probable  
9 5 cause.

9 6 19. HEARING PROCEDURE.

9 7 a. Notice of hearing. If the committee causes a complaint  
9 8 to be scheduled for a public hearing, notice of the hearing  
9 9 date and time shall be given to the complainant and respondent  
9 10 in writing, and of the respondent's right to appear in person,  
9 11 be represented by legal counsel, present statements and  
9 12 evidence, and examine and cross-examine witnesses. The  
9 13 committee shall not be bound by formal rules of evidence, but  
9 14 shall receive relevant evidence, subject to limitations on  
9 15 repetitiveness. Any evidence taken shall be under oath.

9 16 b. Subpoena power. The committee may require, by subpoena  
9 17 or otherwise, the attendance and testimony of witnesses and  
9 18 the production of such books, records, correspondence,  
9 19 memoranda, papers, documents, and any other things it deems  
9 20 necessary to the conduct of the inquiry.

9 21 c. Ex post facto. An investigation shall not be  
9 22 undertaken by the committee of a violation of a law, rule, or  
9 23 standard of conduct that is not in effect at the time of  
9 24 violation.

9 25 d. Disqualification of member. Members of the committee  
9 26 may disqualify themselves from participating in any  
9 27 investigation of the conduct of another person upon submission  
9 28 of a written statement that the member cannot render an  
9 29 impartial and unbiased decision in a case. A member may also  
9 30 be disqualified by a unanimous vote of the remaining eligible  
9 31 members of the committee.

9 32 A member of the committee is ineligible to participate in  
9 33 committee meetings, as a member of the committee, in any  
9 34 proceeding relating to the member's own official conduct.

9 35 If a member of the committee is disqualified or ineligible

10 1 to act, the majority or minority leader who appointed the  
10 2 member shall appoint a replacement member to serve as a member  
10 3 of the committee during the period of disqualification or  
10 4 ineligibility.

10 5 e. Hearing. At the hearing, the chairperson shall open  
10 6 the hearing by stating the charges, the purpose of the  
10 7 hearing, and its scope. The burden of proof rests upon the  
10 8 complainant to establish the facts as alleged, by clear and  
10 9 convincing evidence. However, questioning of witnesses shall  
10 10 be conducted by the members of the committee, by independent  
10 11 special counsel, or by a senator. The chairperson shall also  
10 12 permit questioning by legal counsel representing the  
10 13 complainant or respondent.

10 14 The chairperson or other member of the committee presiding  
10 15 at a hearing shall rule upon procedural questions or any  
10 16 question of admissibility of evidence presented to the  
10 17 committee. Rulings may be reversed by a majority vote of the  
10 18 committee members present.

10 19 The committee may continue the hearing to a future date if  
10 20 necessary for appropriate reasons or purposes.

10 21 f. Committee action. Upon receipt of all relevant  
10 22 evidence and arguments, the committee shall consider the same  
10 23 and recommend to the senate:

10 24 (1) That the complaint be dismissed, or

10 25 (2) That the senator or lobbyist be censured or  
10 26 reprimanded, and recommend the appropriate form of censure or  
10 27 reprimand, or

10 28 (3) Any other appropriate sanction, including suspension  
10 29 or expulsion from membership in the senate, or suspension of  
10 30 lobbying privileges.

10 31 g. Disposition resolution. By appropriate resolution, the  
10 32 senate may amend, adopt, or reject the report of the ethics  
10 33 committee, including the committee's recommendations regarding  
10 34 disciplinary action.

10 35 20. COMMITTEE AUTHORIZED TO MEET. The senate ethics  
11 1 committee is authorized to meet at the discretion of the  
11 2 chairperson to conduct hearings and other business that  
11 3 properly may come before it. If the committee submits a  
11 4 report seeking senate action against a senator or lobbyist  
11 5 after the second regular session of a general assembly has  
11 6 adjourned sine die, the report shall be submitted to and  
11 7 considered by the subsequent general assembly. However, the  
11 8 report may be submitted to and considered during any special  
11 9 session which may take place after the second regular session  
11 10 of a general assembly has adjourned sine die, but before the  
11 11 convening of the next general assembly.

11 12 20A. ADVISORY OPINIONS.

11 13 a. Requests for formal opinions. A request for a formal  
11 14 advisory opinion may be filed by any person who is subject to  
11 15 the authority of the ethics committee. The ethics committee  
11 16 may also issue a formal advisory opinion on its own motion,  
11 17 without having previously received a formal request for an  
11 18 opinion, on any issue that is within the jurisdiction of the  
11 19 committee. Requests shall be filed with either the secretary  
11 20 of the senate or the chairperson of the ethics committee.

11 21 b. Form and contents of requests. A request for a formal  
11 22 advisory opinion shall be in writing and may pertain to any  
11 23 subject matter that is related to the application of the  
11 24 senate code of ethics, the senate rules governing lobbyists,  
11 25 or chapter 68B of the Code to any person who is subject to the  
11 26 authority of the ethics committee. Requests shall contain one  
11 27 or more specific questions and shall relate either to future  
11 28 conduct or be stated in the hypothetical. A request for an  
11 29 advisory opinion shall not specifically name any individual or  
11 30 contain any other specific identifying information, unless the  
11 31 request relates to the requester's own conduct. However, any  
11 32 request may contain information which identifies the kind of  
11 33 individual who may be affected by the subject matter of the  
11 34 request. Examples of this latter kind of identifying  
11 35 information may include references to conduct of a category of  
12 1 individuals, such as but not limited to conduct of  
12 2 legislators, legislative staff, or lobbyists.

12 3 c. Confidentiality of formal requests and opinions.

12 4 Requests for formal opinions are not confidential and any  
12 5 deliberations of the committee regarding a request for a  
12 6 formal opinion shall be public. Opinions issued in response  
12 7 to requests for formal opinions are not confidential, shall be  
12 8 in writing, and shall be placed on file in the office of the  
12 9 secretary of the senate. Persons requesting formal opinions  
12 10 shall personally receive a copy of the written formal opinion  
12 11 that is issued in response to the request.

12 12 20B. CALCULATION OF TIME == DAYS. For purposes of these  
12 13 rules, unless the context otherwise requires, the word "day"  
12 14 or "days" shall mean a calendar day except that if the day is  
12 15 the last day of a specific time period and falls upon a  
12 16 Saturday, Sunday, or legal holiday, the time prescribed shall  
12 17 be extended so as to include the whole of the next day in  
12 18 which the offices of the senate and the general assembly are  
12 19 open for official business.

12 20 21. COMPLAINT FILING FORM. The following form shall be  
12 21 used to file a complaint under these rules:

12 22 THE SENATE  
12 23 Ethics Complaint Form  
12 24 Re: \_\_\_\_\_ (Senator/Lobbyist),  
12 25 of \_\_\_\_\_, Iowa.  
12 26 I, \_\_\_\_\_ (Complainant), residing  
12 27 at \_\_\_\_\_, in the City of \_\_\_\_\_,  
12 28 State of \_\_\_\_\_, hereby complain that  
12 29 \_\_\_\_\_ (Senator/Lobbyist), whose  
12 30 address is \_\_\_\_\_,  
12 31 has violated the Senate Code of Ethics or Senate  
12 32 Rules Governing Lobbyists in that:  
12 33 (Explain the basis for the complaint here. Use addi-  
12 34 tional pages, if necessary.)  
12 35 Under penalty of perjury, I certify that the above  
13 1 complaint is true and correct as I verily believe.

13 2  
13 3 \_\_\_\_\_  
13 4 Signature of Complainant  
13 5 SUBSCRIBED AND AFFIRMED to before me this \_\_\_\_\_  
13 6 day of \_\_\_\_\_, \_\_\_\_\_.

13 7 \_\_\_\_\_  
13 8 Notary Public in and for the  
13 9 State of \_\_\_\_\_

13 10 22. COMPLAINT NOTICE FORM. The following form shall be  
13 11 used for notice of a complaint under these rules:

13 12 STATE OF IOWA  
13 13 THE SENATE  
13 14 COMMITTEE ON ETHICS )  
13 15 IOWA STATE SENATE )  
13 16 On The Complaint Of ) NOTICE OF COMPLAINT  
13 17 \_\_\_\_\_ )  
13 18 \_\_\_\_\_ )  
13 19 \_\_\_\_\_ )  
13 20 And Involving )  
13 21 \_\_\_\_\_ )  
13 22 \_\_\_\_\_ )  
13 23 \_\_\_\_\_ )

13 24 TO \_\_\_\_\_,  
13 25 Senator or Lobbyist named above:  
13 26 You are hereby notified that there is now on file with the  
13 27 Secretary of the Senate, State Capitol, Des Moines, Iowa, a  
13 28 complaint which alleges that you have committed a violation of  
13 29 the Senate's Code of Ethics or Senate Rules Governing  
13 30 Lobbyists.

13 31 A copy of the complaint and the Senate rules for processing  
13 32 the same are attached hereto and made a part of this notice.

13 33 You are further notified and requested to file your  
13 34 written answer to the complaint within ten days of the  
13 35 date upon which the notice was caused to be delivered  
14 1 to you, (date) \_\_\_\_\_, \_\_\_\_\_. Your

14 2 answer is to be filed with the Secretary of the Senate,  
14 3 State Capitol, Des Moines, Iowa.  
14 4 Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

14 5  
14 6 \_\_\_\_\_  
14 7 Chair, Senate Ethics Committee,  
14 8 or Secretary of the Senate

14 9 23. HEARING NOTICE FORM. The following form shall be used  
14 10 for notice of a hearing under these rules:

14 11 STATE OF IOWA  
14 12 THE SENATE  
14 13 COMMITTEE ON ETHICS )  
14 14 IOWA STATE SENATE )  
14 15 On The Complaint Of ) NOTICE OF HEARING  
14 16 \_\_\_\_\_ )  
14 17 \_\_\_\_\_ )  
14 18 \_\_\_\_\_ )  
14 19 And Involving )  
14 20 \_\_\_\_\_ )  
14 21 \_\_\_\_\_ )  
14 22 \_\_\_\_\_ )

14 23 TO \_\_\_\_\_,  
14 24 Senator or Lobbyist named above:  
14 25 You are hereby notified that there is now on file with the  
14 26 Secretary of the Senate, State Capitol, Des Moines, Iowa, a  
14 27 complaint which alleges that you have committed a violation of  
14 28 the Senate's Code of Ethics or Senate Rules Governing  
14 29 Lobbyists.

14 30 A copy of the complaint and the Senate rules for processing  
14 31 the same are attached hereto and made a part of this notice.

14 32 You are further notified that, after preliminary  
14 33 review, the committee has caused a public hearing to  
14 34 be scheduled on (date) \_\_\_\_\_,

14 35 \_\_\_\_\_, at (hour) \_\_\_\_\_ (a.m.) (p.m.),  
15 1 in Room \_\_\_\_\_, State Capitol, Des Moines, Iowa.

15 2 At the hearing, you will have the right to appear in  
15 3 person, be represented by legal counsel at your own expense,  
15 4 present statements and evidence, and examine and cross=  
15 5 examine witnesses. The committee shall not be bound by formal  
15 6 rules of evidence, but shall receive relevant evidence,  
15 7 subject to limitations on repetitiveness. Any evidence taken  
15 8 shall be under oath.

15 9 The committee may continue the hearing to a future date if  
15 10 necessary for appropriate reasons or purposes.

15 11 You are further notified that the committee will receive  
15 12 such evidence and take such action as warranted by the  
15 13 evidence.

15 14 Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

15 15 \_\_\_\_\_  
15 16 Chair, Senate Ethics Committee,  
15 17 or Secretary of the Senate

15 18 24. PERSONAL FINANCIAL DISCLOSURE FORM. The following  
15 19 form shall be used for disclosure of economic interests under  
15 20 these rules and section 68B.35:

15 21 STATEMENT OF ECONOMIC INTERESTS

15 22 Name: \_\_\_\_\_  
15 23 (Last) (First) (Middle Initial)

15 24 Address: \_\_\_\_\_  
15 25 (Street Address, Apt.# = P.O. Box)

15 26 \_\_\_\_\_  
15 27 (City) (State) (Zip)

15 28 Phone: (Home) \_\_\_\_\_ = \_\_\_\_\_ = \_\_\_\_\_ (Business) \_\_\_\_\_ = \_\_\_\_\_ = \_\_\_\_\_

15 29 \*\*\*\*\*

15 30 a. Please list each business, occupation, or profession in  
15 31 which you are engaged. In listing the business, occupation,  
15 32 or profession, it is not necessary that your employer or the  
15 33 name of the business be listed, although all businesses,  
15 34 occupations, or professions must be listed, regardless of the  
15 35 amount of income derived or time spent participating in the  
16 1 activity. (Examples of types of businesses, occupations, or  
16 2 professions that may be listed: teacher, lawyer, legislator,  
16 3 real estate agent, insurance adjuster, salesperson....)

- 16 4 (1) \_\_\_\_\_
- 16 5 (2) \_\_\_\_\_
- 16 6 (3) \_\_\_\_\_
- 16 7 (4) \_\_\_\_\_
- 16 8 (5) \_\_\_\_\_

16 9 b. Please list the nature of each of the businesses,  
16 10 occupations, or professions which you listed in paragraph "a",  
16 11 above, unless the nature of the business, occupation, or  
16 12 profession is already apparent from the information indicated  
16 13 above. The descriptions in this paragraph should correspond  
16 14 by number to the numbers for each of the businesses,  
16 15 occupations, or professions listed in paragraph "a".  
16 16 (Examples: If you indicated, for example, that you were a  
16 17 salesperson in subparagraph (1) of paragraph "a", you should  
16 18 list in subparagraph (1) of this paragraph the types of goods  
16 19 or services sold in this item. If you indicated that you were  
16 20 a teacher in subparagraph (2) of paragraph "a", you should  
16 21 indicate in subparagraph (2) of this paragraph the type of  
16 22 school or institution in which you provide instruction or  
16 23 whether the instruction is provided on a private basis. If  
16 24 you indicated that you were a lawyer in subparagraph (3) of  
16 25 paragraph "a", you should indicate your areas of practice and  
16 26 whether you are in private, corporate, or government practice  
16 27 in subparagraph (3) of this paragraph. If you indicated in  
16 28 subparagraph (4) of paragraph "a" that you were a consultant,  
16 29 in subparagraph (4) of this paragraph you should indicate the  
16 30 kind of services provided and types of clients served.)

- 16 31 (1) \_\_\_\_\_
- 16 32 (2) \_\_\_\_\_
- 16 33 (3) \_\_\_\_\_

16 34 (4) \_\_\_\_\_  
16 35 (5) \_\_\_\_\_

17 1 c. Please list each source, by general description, from  
17 2 which you receive, or which generates, more than one thousand  
17 3 dollars in gross annual income in the categories listed below.  
17 4 For purposes of this item, a source produces gross annual  
17 5 income if the revenue produced by the source is subject to  
17 6 federal or state income taxes. In completing this item, it is  
17 7 not necessary to list the name of the company, business,  
17 8 financial institution, corporation, partnership, or other  
17 9 entity which constitutes the source of the income and the  
17 10 amount or value of the holding should not be listed.

17 11 (1) Securities (Here for example, you need not state that  
17 12 you own X number of shares of any specific company by brand or  
17 13 corporate name, or that the stock is of a certain value, but  
17 14 may instead state that you possess stock in a company and  
17 15 indicate the nature of the company's business.):  
17 16 \_\_\_\_\_  
17 17 \_\_\_\_\_  
17 18 \_\_\_\_\_  
17 19 \_\_\_\_\_  
17 20 \_\_\_\_\_

17 21 (2) Instruments of Financial Institutions (You need not  
17 22 indicate, for example, in which institutions you hold  
17 23 certificates of deposit that produce annual income over the  
17 24 one thousand dollar threshold, but simply listing the nature  
17 25 of the institution will suffice, e.g., bank, credit union, or  
17 26 savings and loan association.):  
17 27 \_\_\_\_\_  
17 28 \_\_\_\_\_  
17 29 \_\_\_\_\_  
17 30 \_\_\_\_\_  
17 31 \_\_\_\_\_

17 32 (3) Trusts (The name of the particular trust need not be  
17 33 listed. However, if the income is received from a charitable  
17 34 trust/foundation, such as the Pugh Charitable Trust, in the  
17 35 form of a grant, the fact that the trust is a charitable trust  
18 1 should be noted here.):  
18 2 \_\_\_\_\_  
18 3 \_\_\_\_\_  
18 4 \_\_\_\_\_  
18 5 \_\_\_\_\_  
18 6 \_\_\_\_\_

18 7 (4) Real Estate (When listing real estate, it is not  
18 8 necessary to list the location of the property, but the  
18 9 general nature of the real estate interest should be  
18 10 indicated, e.g. residential leasehold interest or farm  
18 11 leasehold interest.):  
18 12 \_\_\_\_\_  
18 13 \_\_\_\_\_  
18 14 \_\_\_\_\_  
18 15 \_\_\_\_\_  
18 16 \_\_\_\_\_

18 17 (5) Retirement Systems (When listing retirement benefits,  
18 18 it is not necessary to list the name of the particular pension  
18 19 system or company, but rather the type of benefit should be  
18 20 listed, e.g., health benefits, life insurance benefits,  
18 21 private pension, or government pension.):  
18 22 \_\_\_\_\_  
18 23 \_\_\_\_\_  
18 24 \_\_\_\_\_  
18 25 \_\_\_\_\_  
18 26 \_\_\_\_\_

18 27 (6) Other Income Categories Specified in State or Federal  
18 28 Income Tax Regulations (List description of other sources of  
18 29 income producing over one thousand dollars in annual income  
18 30 not previously reported above, but which must be reported for  
18 31 income tax purposes.):  
18 32 \_\_\_\_\_  
18 33 \_\_\_\_\_  
18 34 \_\_\_\_\_  
18 35 \_\_\_\_\_

19 1 \_\_\_\_\_  
19 2 \_\_\_\_\_  
19 3 \_\_\_\_\_  
19 4 (Signature of filer) (Date)

19 5 25. CO=CHAIRPERSONS == DUTIES. For purposes of the  
19 6 Eighty=first General Assembly, all of the following shall  
19 7 apply:

19 8 a. A reference in these rules to the chairperson of the  
19 9 ethics committee shall be considered to be a reference to the



19 10 co=chairpersons of the ethics committee and a reference in  
19 11 these rules to the chairperson and ranking member of the  
19 12 ethics committee shall be considered to be a reference to the  
19 13 co=chairpersons of the ethics committee.

19 14 b. The co=chairpersons shall jointly perform the duties  
19 15 and responsibilities of the committee chairperson, including  
19 16 committee administration, staff assignments, and scheduling.  
19 17 The co=chairpersons shall agree upon a procedure for dividing  
19 18 the duties of presiding at committee meetings. The powers of  
19 19 the committee chairperson shall not be exercised individually  
19 20 by a co=chairperson without the prior agreement of both co=  
19 21 chairpersons, except that any co=chairperson may individually  
19 22 request a study bill on behalf of the committee.

19 23 LSB 1761SC 81

19 24 tm/cf/24