



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

To: Commissioners
From: Martha Currier, Assistant Director
Date: March 22, 2022
Re: Legislators Who Have Filed Late Financial Disclosure Statements

Legislators must file annual Statements of Sources of Income (SOSOI) by February 15th, which disclose certain elements of their personal finances covering the previous year. Despite clear and frequent communications by Commission staff, Representatives Chad Grignon, Frances Head, and MaryAnne Kinney filed their reports about three weeks past the deadline and are subject to a finding of violation or \$100 penalty for late filing.

LEGAL REQUIREMENTS

1 M.R.S. § 1016-G outlines the information required to be provided to the Commission annually such as sources of income received, positions held, and reportable liabilities incurred during the previous calendar year by the Legislator or members of their immediate family. The Commission has an e-filing website to accept this information. This is the second year legislators have been required to use the website, rather than paper forms. If a legislator filed a SOSOI the previous year, that information can be imported into the current report and amended as needed, which saves them data entry time as often a legislator's disclosure rarely changes from year to year. Staff estimate it takes less than 10 minutes to complete the disclosure.

1 M.R.S. § 1016-G(3)(A) provides a grace period for the late SOSOI filer that allows them to avoid a finding of civil violation and penalty. “Failing to file a statement within 15 days of having been notified by the Commission is a civil violation for which a fine of not more than \$100 may be adjudged...” In this case, that letter was sent by email, by regular mail to their homes, and via interoffice mail to their desks at the Maine Legislature on March 4.

STAFF ANALYSIS

Commission staff sent Reps. Grignon, Head and Kinney six e-mail notices of their statutory requirement to file the SOSOI (January 13, January 31, February 8, February 14, February 16, and March 4); twice by regular mail to their home address (February 16, and March 4); and sent two courtesy emails to their caucus chief of staff Billy Thompson (February 7 and February 11). All notices sent to the Legislators outlined the critical need to file a timely report and cited the potential \$100 penalty, information about how to contact staff if they needed assistance, their username, and the SOSOI website.

Fourth term Reps. Head and Kinney filed their SOSOI disclosures on March 9 (twenty-two days late). Third term Rep. Grignon his SOSOI disclosure on March 10 (twenty-three days late). Of note, Rep. Grignon also filed his 2020 SOSOI late in July 2021. All three reports do not appear to have any new information from 2020. As seasoned Legislators, all have previously filed annual SOSOI disclosures. None of the Legislators contacted this office until after receiving the finding of violation notice dated March 4.

Historically, the staff have not brought these issues to the Commission's attention if filers eventually filed their SOSOI. However, the Legislature has made clear by enacting the penalty provision in 1 M.R.S. § 1016-G(3)(A) that this financial disclosure is a priority for them and important for the public. As such, it is important for the Commission to consider whether filers be strictly held to the law.

As of this writing, none of the three legislators have submitted comments to the Commission responding to the proposed violation or penalty as suggested in the March 4 letter advising them this matter would be on the agenda for the March 30 meeting. The Commission send an additional letter on March 21 to confirm they understood this matter would be on your March 30 agenda and they had an opportunity to respond.

STAFF RECOMMENDATION

The legislators violated 1 M.R.S. § 1016-G(2) by not filing the annual statement by the February 15 deadline. You therefore have the discretion to make a finding that they violated the statute. In addition, you may refer them to the Office of the Attorney General for collection of a penalty of up to \$100 because they did not file the statement within 15 days of receiving the four pre-deadline emails and the February 16 notice, which was sent by email and regular mail. These actions are not required, however. Unlike the penalty statutes that apply when a candidate, PAC, or party committee files a campaign finance report late (21-A M.R.S. § §1020-A(6) & 1062-A), the law does not establish a presumptive penalty when an official files a SOSOI late. The Legislature has created different late-filing procedures for the two types of disclosures.

The Commission staff sees that you have three enforcement options, depending on what you view as a proportional response:

- 1) take no enforcement action against Reps. Grignon, Head and Kinney because they ultimately filed the reports,
- 2) find that they violated 1 M.R.S. § 1016-G(2), or
- 3) refer the Legislators to the Office of Attorney General for collection of a penalty of up to \$100 through a civil action.

Thank you for your careful consideration of this matter because your action in this case will become a baseline for how we handle late SOSOI filings by legislators in future years.



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

February 16, 2022

Hon. Chad Grignon
181 Fox Hill Road
Athens, ME 04912

Re: Violation Notice – 2021 Statement of Sources of Income

Dear Representative Grignon:

Your 2021 Statement of Sources of Income (SOSOI) covering 1/1/2021 – 12/31/2021 is past due pursuant to 1 M.R.S. § 1016-G(2)(A).

Failing to file a statement within 15 days of having been notified by the Commission is a civil violation for which a fine up to \$100 may be assessed. 1 M.R.S. § 1016-G(3)(A).

To avoid a penalty, please file this report no later than Thursday, March 3, 2022. If the statement is not filed by that date, the Commission will consider whether to find you in violation of the statute and assess a penalty at a future meeting.

If you require assistance using our electronic filing system to file your final SOSOI please contact Commission Assistant Lorrie Brann at 287-4179.

Sincerely,

A handwritten signature in blue ink that reads "Martha Currier".

Martha Currier
Assistant Director



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February 16, 2022

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Athens, ME 04912

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Martha Currier
Assistant Director



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AND ELECTION PRACTICES
135 STATE HOUSE STATION
AUGUSTA, MAINE 04333-0135

March 22, 2022

Via email and Regular US Mail

Hon. Chad Grignon
181 Fox Hill Road
Athens, ME 04912

Re: Late-Filed 2021 Statement of Sources of Income

Dear Representative Grignon:

Thank you for filing your 2021 Statement of Sources of Income on March 10, 2022. Because the statement was filed 23 days late, the Commission on Governmental Ethics Commission will be considering at its March 30, 2022 meeting whether to find you in violation of 1 M.R.S. § 1016-G for not filing the statement by the statutory deadline of February 15, 2022. The Commission may also consider whether to refer the late filing to the Office of the Attorney General for collection of a civil penalty of up to \$100 through a civil action.

If you would like to respond to these proposed actions by the Commission, you are welcome to participate in the March 30, 2022 meeting and/or submit written comments prior to the meeting. The meeting will be held in the Commission office at 45 Memorial Circle in Augusta, beginning at 9:00 am. This will be the first item on the agenda for the meeting. You may participate remotely by Zoom as well. If you would like to submit comments, please send them to me at Martha.Currier@maine.gov, and I will forward them to the Commissioners upon receiving them.

Please email me or call me at 287-4179 if you have any questions about this enforcement matter.

Sincerely,

A handwritten signature in cursive script that reads "Martha Currier".

Martha Currier
Assistant Director



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

February 16, 2022

Hon. Frances Head
PO Box 61
West Bethel, ME 04217

Re: Violation Notice – 2021 Statement of Sources of Income

Dear Representative Head:

Your 2021 Statement of Sources of Income (SOSOI) covering 1/1/2021 – 12/31/2021 is past due pursuant to 1 M.R.S. § 1016-G(2)(A).

Failing to file a statement within 15 days of having been notified by the Commission is a civil violation for which a fine up to \$100 may be assessed. 1 M.R.S. § 1016-G(3)(A).

To avoid a penalty, please file this report no later than Thursday, March 3, 2022. If the statement is not filed by that date, the Commission will consider whether to find you in violation of the statute and assess a penalty at a future meeting.

If you require assistance using our electronic filing system to file your final SOSOI please contact Commission Assistant Lorrie Brann at 287-4179.

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Martha Currier
Assistant Director



STATE OF MAINE
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AND ELECTION PRACTICES
135 STATE HOUSE STATION
AUGUSTA, MAINE 04333-0135

March 4, 2022

By Email and U.S. Mail

Hon. Frances Head
PO Box 61
West Bethel, ME 04217

Re: Violation Notice – Commission Action Pending
2021 Statement of Sources of Income

Dear Representative Head:

Your 2021 Statement of Sources of Income (SOSOI) covering 1/1/2021 – 12/31/2021 that was due on February 15th has not been filed pursuant to 1 M.R.S. § 1016-G(2)(A). The law states that since you failed to file this statement within 15 days of having been notified by this office on February 16, 2022, you are in violation of 1 M.R.S. § 1016-G(3)(A).

This matter will now be forwarded to the Commission members for consideration of a finding of civil violation for which a fine up to \$100 may be assessed at its meeting on March 30th. You may respond to the proposed finding of violation and penalty by participating in the March meeting or submitting written comments no later than March 18th containing a full explanation of the reasons you failed to file this statement. Upon receiving your request, the staff will include your letter with our recommendation to the Commission for the March 30th meeting.

Sincerely,

A handwritten signature in blue ink that reads "Martha Currier".

Martha Currier
Assistant Director



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

March 22, 2022

By Email and U.S. Mail

Hon. Frances Head
PO Box 61
West Bethel, ME 04217

Re: Late-Filed 2021 Statement of Sources of Income

Dear Representative Head:

Thank you for filing your 2021 Statement of Sources of Income on March 9, 2022. Because the statement was filed 22 days late, the Commission on Governmental Ethics Commission will be considering at its March 30, 2022 meeting whether to find you in violation of 1 M.R.S. § 1016-G for not filing the statement by the statutory deadline of February 15, 2022. The Commission may also consider whether to refer the late filing to the Office of the Attorney General for collection of a civil penalty of up to \$100 through a civil action.

If you would like to respond to these proposed actions by the Commission, you are welcome to participate in the March 30, 2022 meeting and/or submit written comments prior to the meeting. The meeting will be held in the Commission office at 45 Memorial Circle in Augusta, beginning at 9:00 am. This will be the first item on the agenda for the meeting. You may participate remotely by Zoom as well. If you would like to submit comments, please send them to me at Martha.Currier@maine.gov, and I will forward them to the Commissioners upon receiving them.

Please email me or call me at 287-4179 if you have any questions about this enforcement matter.

Sincerely,

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Martha Currier
Assistant Director



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AND ELECTION PRACTICES
135 STATE HOUSE STATION
AUGUSTA, MAINE 04333-0135

February 16, 2022

Honorable MaryAnne Kinney
40 Maple Lane
Knox, ME 04986

Re: Violation Notice – 2021 Statement of Sources of Income

Dear Representative Kinney:

Your 2021 Statement of Sources of Income (SOSOI) covering 1/1/2021 – 12/31/2021 is past due pursuant to 1 M.R.S. § 1016-G(2)(A).

Failing to file a statement within 15 days of having been notified by the Commission is a civil violation for which a fine up to \$100 may be assessed. 1 M.R.S. § 1016-G(3)(A).

To avoid a penalty, please file this report no later than Thursday, March 3, 2022. If the statement is not filed by that date, the Commission will consider whether to find you in violation of the statute and assess a penalty at a future meeting.

If you require assistance using our electronic filing system to file your final SOSOI please contact Commission Assistant Lorrie Brann at 287-4179.

Sincerely,

A handwritten signature in blue ink that reads "Martha Currier".

Martha Currier
Assistant Director



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

March 4, 2022

By Email and U.S. Mail

Hon. MaryAnne Kinney
40 Maple Lane
Knox, ME 04986

Re: Violation Notice – Commission Action Pending
2021 Statement of Sources of Income

Dear Representative Kinney:

Your 2021 Statement of Sources of Income (SOSOI) covering 1/1/2021 – 12/31/2021 that was due on February 15th has not been filed pursuant to 1 M.R.S. § 1016-G(2)(A). The law states that since you failed to file this statement within 15 days of having been notified by this office on February 16, 2022, you are in violation of 1 M.R.S. § 1016-G(3)(A).

This matter will now be forwarded to the Commission members for consideration of a finding of civil violation for which a fine up to \$100 may be assessed at its meeting on March 30th. You may respond to the proposed finding of violation and penalty by participating in the March meeting or submitting written comments no later than March 18th containing a full explanation of the reasons you failed to file this statement. Upon receiving your request, the staff will include your letter with our recommendation to the Commission for the March 30th meeting.

Sincerely,

A handwritten signature in blue ink that reads "Martha Currier".

Martha Currier
Assistant Director



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COMMISSION ON GOVERNMENTAL ETHICS
AND ELECTION PRACTICES
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AUGUSTA, MAINE 04333-0135

March 22, 2022

By Email and U.S. Mail

Hon. MaryAnne Kinney
40 Maple Lane
Knox, ME 04986

Re: Late-Filed 2021 Statement of Sources of Income

Dear Representative Kinney:

Thank you for filing your 2021 Statement of Sources of Income on March 9, 2022. Because the statement was filed 22 days late, the Commission on Governmental Ethics Commission will be considering at its March 30, 2022 meeting whether to find you in violation of 1 M.R.S. § 1016-G for not filing the statement by the statutory deadline of February 15, 2022. The Commission may also consider whether to refer the late filing to the Office of the Attorney General for collection of a civil penalty of up to \$100 through a civil action.

If you would like to respond to these proposed actions by the Commission, you are welcome to participate in the March 30, 2022 meeting and/or submit written comments prior to the meeting. The meeting will be held in the Commission office at 45 Memorial Circle in Augusta, beginning at 9:00 am. This will be the first item on the agenda for the meeting. You may participate remotely by Zoom as well. If you would like to submit comments, please send them to me at Martha.Currier@maine.gov, and I will forward them to the Commissioners upon receiving them.

Please email me or call me at 287-4179 if you have any questions about this enforcement matter.

Sincerely,

A handwritten signature in cursive script that reads 'Martha Currier'.

Martha Currier
Assistant Director



STATEMENT OF SOURCES OF INCOME FOR LEGISLATORS

Statement Type	Filing Year	Due Date	Filed Date
Annual	2021	02/15/2022	03/10/2022
Name: Chad Grignon		Office and District: Representative, District 118	
Mailing Address: 181 FOX HILL ROAD		Phone: (207) 612-6499	
City/Town, State, Zip: ATHENS, ME 04912		E-mail Address: chad.grignon@legislature.maine.gov	

Income from Employment by Another			
Employer	Address	Business Activity of Employer	Job Title
None			

Income from Self-Employment		
Business/Trade Name	Address	Business Activity
Pine State Drilling, Inc.	PO Box 196, Athens, ME 04912	Construction
Client or Customer	Address	Business Activity of Client

Business Entities		
Business	Address	Business Activity
Pine State Drilling	140 South Main Street, Athens, ME 04912	Construction
Pine State Drilling Inc	140 South Main Street, Athens, ME 04912	Construction

Income from Practice of Law			
Practice or Firm	Address	Major Practice Area	Position
None			

Income from Any Other Source		
Source	Address	Description of Income
None		

Compensation Income of Immediate Family Members

Name and Job Title	Employer's Name and Address	Business Activity of Employer
Veronique Grignon, Office Manager	Pine State Drilling, Inc., PO Box 196, Athens, ME 04912	Construction
Dependent 1, Helper	Pine State Drilling, Inc., PO Box 196, Athens, ME 04912	Construction
Dependent 2, Cashier	Athens Corner Store, 8 S Main Street, Athens, ME 04912	Retail Business

Other Sources of Income of Immediate Family Members

Spouse or Partner	Source of Income Name and Address	Type of Income
None		

Loans

Lender's Name	Address	Business Activity of Lender
None		

Gifts, Including Travel and Accommodations

Source of Gift	Type of Gift	Description
None		

Honoraria

Source of Honoraria

None

Positions in Political Action, Ballot Question or Party Committees

Committee	Official or Family Member	Title
None		

Conducting Business with State Agencies

Agency	Individual/Organization Selling Goods or Services	Description of Goods or Services
None		

Representing Others Before State Agencies

Agency	Individual Receiving Compensation
None	

Positions in For-Profit and Non-Profit Organizations

Organization/Business and Address	Title	Position Holder	Relationship to Official	Compensated
None				

Certification

I, Chad Grignon, certify that I have examined this statement and to the best of my knowledge it is true, correct, and complete.

Statement Filed By: Chad Grignon

Statement Filed On: 03/10/2022

Last Modified:

Filer ID: 371245



STATEMENT OF SOURCES OF INCOME FOR LEGISLATORS

Statement Type	Filing Year	Due Date	Filed Date
Annual	2021	02/15/2022	03/09/2022
Name: Frances M. Head		Office and District: Representative, District 117	
Mailing Address: PO Box 61		Phone: (207) 650-1351	
City/Town, State, Zip: West Bethel, ME 04217		E-mail Address: franmillshead@gmail.com	

Income from Employment by Another			
Employer	Address	Business Activity of Employer	Job Title
None			

Income from Self-Employment		
Business/Trade Name	Address	Business Activity
None		
Client or Customer	Address	Business Activity of Client
None		

Business Entities		
Business	Address	Business Activity
Maine Street Realty	20 Railroad Street, Bethel, ME 04286	Real Estate Sales

Income from Practice of Law			
Practice or Firm	Address	Major Practice Area	Position
None			

Income from Any Other Source		
Source	Address	Description of Income
Social Security Administration	Unknown, Washington, DC 20024	Social Security Retirement Benefits

Compensation Income of Immediate Family Members

Name and Job Title	Employer's Name and Address	Business Activity of Employer
David A. Head, Unknown	Unknown, Unknown, Bethel, ME 04286	Property Rental

Other Sources of Income of Immediate Family Members

Spouse or Partner	Source of Income Name and Address	Type of Income
David A. Head	Social Security Administration, Unknown, Washington, DC 20024	Social Security Retirement Benefits

Loans

Lender's Name	Address	Business Activity of Lender
None		

Gifts, Including Travel and Accommodations

Source of Gift	Type of Gift	Description
None		

Honoraria

Source of Honoraria
None

Positions in Political Action, Ballot Question or Party Committees

Committee	Official or Family Member	Title
None		

Conducting Business with State Agencies

Agency	Individual/Organization Selling Goods or Services	Description of Goods or Services
None		

Representing Others Before State Agencies

Agency	Individual Receiving Compensation
None	

Positions in For-Profit and Non-Profit Organizations

Organization/Business and Address	Title	Position Holder	Relationship to Official	Compensated
Whites Brook Estates, Mountain Vista Road, Gilead, ME 04217	President	David A. Head	<input type="checkbox"/> Self <input checked="" type="checkbox"/> Spouse/Domestic Partner <input type="checkbox"/> Dependent	No

Certification

I, Frances M. Head, certify that I have examined this statement and to the best of my knowledge it is true, correct, and complete.

Statement Filed By: Frances M. Head

Statement Filed On: 03/09/2022

Last Modified:

Filer ID: 371256



STATEMENT OF SOURCES OF INCOME FOR LEGISLATORS

Statement Type	Filing Year	Due Date	Filed Date
Annual	2021	02/15/2022	03/09/2022
Name: MaryAnne Kinney		Office and District: Representative, District 99	
Mailing Address: 40 Maple Lane		Phone: (207) 568-7577	
City/Town, State, Zip: Knox, ME 04986		E-mail Address: maplenut@uninets.net	

Income from Employment by Another			
Employer	Address	Business Activity of Employer	Job Title
None			

Income from Self-Employment		
Business/Trade Name	Address	Business Activity
Knox Ridge Farm	40 Maple Lane, Knox, ME 04986	Farming and Agriculture
Kinney's Sugarhouse	200 Abbott Road, Knox, ME 04986	Farming and Agriculture
Client or Customer	Address	Business Activity of Client

Business Entities		
Business	Address	Business Activity
None		

Income from Practice of Law			
Practice or Firm	Address	Major Practice Area	Position
None			

Income from Any Other Source		
Source	Address	Description of Income
None		

Compensation Income of Immediate Family Members

Name and Job Title	Employer's Name and Address	Business Activity of Employer
Wesley A Kinney III, Sole Proprietor	Self, 40 Maple Ln, Knox, ME 04986	Farming and Agriculture

Other Sources of Income of Immediate Family Members

Spouse or Partner	Source of Income Name and Address	Type of Income
None		

Loans

Lender's Name	Address	Business Activity of Lender
None		

Gifts, Including Travel and Accommodations

Source of Gift	Type of Gift	Description
None		

Honoraria

Source of Honoraria

None

Positions in Political Action, Ballot Question or Party Committees

Committee	Official or Family Member	Title
None		

Conducting Business with State Agencies

Agency	Individual/Organization Selling Goods or Services	Description of Goods or Services
None		

Representing Others Before State Agencies

Agency	Individual Receiving Compensation
None	

Positions in For-Profit and Non-Profit Organizations

Organization/Business and Address	Title	Position Holder	Relationship to Official	Compensated
Maine Farm Bureau, 4 Gabriel Drive, Suite 1, Augusta, ME 04330	State Director	Lee Kinney III	<input type="checkbox"/> Self <input checked="" type="checkbox"/> Spouse/Domestic Partner <input type="checkbox"/> Dependent	No

Certification

I, MaryAnne Kinney, certify that I have examined this statement and to the best of my knowledge it is true, correct, and complete.

Statement Filed By: MaryAnne Kinney

Statement Filed On: 03/09/2022

Last Modified:

Filer ID: 371273

Currier, Martha

From: Currier, Martha
Sent: Friday, January 14, 2022 2:42 PM
To: Grignon, Chad
Subject: ACTION NEEDED - Ethics Commission - 2021 Statement of Sources of Income

To: Representative Chad Grignon
From: Martha Currier, Assistant Director
Maine Commission on Governmental Ethics and Election Practices
Date: January 13, 2022
Re: Annual Statement of Sources of Income

Thank you for your attention to filing the annual Statement of Sources of Income (SOSOI). The statement for 2021 is due **Tuesday, February 15, 2022**. This email has been sent to the address we have on file for your disclosure statement. Last year we launched an e-filing system for the SOSOI, which uses different login credentials than your campaign finance reports but has a similar look and feel. You'll know that you've logged into the SOSOI site when you see a purple banner with "Ethics Disclosure" at the top of the screen. From start to finish, we estimate it will take you 10 minutes to file the SOSOI.

To file go to <https://mainecampaignfinance.com> and enter your disclosure site username and password. If you do not remember your password, you can request a reminder from that page to be sent to the same email address as this notice. Visual directions for filing are located under the Notices section at www.maine.gov/ethics.

What about filing on paper? 1 M.R.S. § 1016-G(5) says if a Legislator attests an inability to access or use the electronic filing format that the Commission provides assistance in the filing, which we interpret to be training and not a paper reporting option. Considering the technical changes Legislators have experienced due to the pandemic (performing legislative meetings on Zoom, communicating with one another and your constituents by email and other electronic means) adapting to the SOSOI e-filing system will be easy. However, if you need training on the system, please contact me to make an appointment.

Tips for filing the 2021 statement:

- You can import your 2020 information into the 2021 statement. If you choose to import, review all information, ensure it is accurate, and click through the remaining sections to complete the form.
- All financial sources for your spouse or significant other must be reported including jobs, retirement income, etc.
- The penalty for failing to file an SOSOI, or one that fails to confirm to the requirements of 1 M.R.S. § 1016-G, can be subject to a civil violation and assessed a fine up to \$100.
- The deadline to file the SOSOI is **Tuesday, February 15, 2022**.

If you have any questions please call the Commission Assistant Lorrie Brann at 287-4179 or email ethics@maine.gov.

Currier, Martha

From: Currier, Martha
Sent: Monday, January 31, 2022 3:10 PM
To: Head, Frances
Subject: Ethics Commission - 2nd Notice - Statement of Sources of Income Due in 2 weeks!

To: Representative Frances Head
From: Martha Currier, Assistant Director
Maine Commission on Governmental Ethics and Election Practices
Date: January 31, 2022
Re: **SECOND NOTICE** - Annual Statement of Sources of Income

This is a reminder that your annual Statement of Sources of Income (SOSOI) for 2021 is due **Tuesday, February 15, 2022**, which has not been filed yet. This email has been sent to the address we have on file for your disclosure statement. Last year we launched an e-filing system for the SOSOI, which uses different login credentials than your campaign finance reports but has a similar look and feel. You'll know that you've logged into the SOSOI site when you see a purple banner with "Ethics Disclosure" at the top of the screen. From start to finish, we estimate it will take you 10 minutes to file the SOSOI.

To file go to <https://mainecampaignfinance.com> and enter your disclosure site username ! . If you do not remember your password, you can request a reminder from that page to be sent to the same email address as this notice. Visual directions for filing are attached to this email.

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- The penalty for failing to file an SOSOI, or one that fails to confirm to the requirements of 1 M.R.S. § 1016-G, can be subject to a civil violation and assessed a fine up to \$100.
- The deadline to file the SOSOI is **Tuesday, February 15, 2022**.

If you have any questions please call the Commission Assistant Lorrie Brann at 287-4179 or email ethics@maine.gov.

Currier, Martha

From: Currier, Martha
Sent: Monday, February 7, 2022 10:34 AM
To: Thompson, William; Walsh, Katie
Subject: Action Needed - Sources of Income

Importance: High

Billy & Katie,

We're about a week out from the Statement of Sources of Income (SOSOI) deadline and I wanted to make you aware of the reps who have not yet filed their forms with us.

I'll be sending out a 3rd reminder tomorrow, but if you can also nudge your folks to file their SOSOI's I would appreciate it.

Alley	Dolloff	Hutchins	Millett	Riseman	Tucker
Arford	Downes	Hymanson	Millett	Roberts	Warren
Babbidge	Drinkwater	Jayner	Morales	Rudnicki	White
Bell	Ducharme	Kinney	Morris	Sampson	Wood
Bernard	Evangelos	Lemelin	O'Connor	Sheehan	
Berry	Evans	Libby	O'Neil	Stanley	
Blier	Geiger	Lookner	Ordway	Stetkis	
Blume	Gere	Lyford	Paulhus	Supica	
Brooks	Gifford	Madigan	Perkins	Sylvester	
Caiazzo	Gramlich	Martin	Perry	Talbot Ross	
Carlow	Greenwood	Mason	Pickett	Tepler	
Carmichael	Grignon	McCrea	Pierce	Terry	
Collings	Grohoski	McDonald	Pluecker	Theriault	
Costain	Haggan	Melaragno	Prescott	Thorne	
Dillingham	Hall				
	Harrington				
	Head				

Have a good week.
Martha

Currier, Martha

From: Currier, Martha
Sent: Tuesday, February 8, 2022 9:34 AM
To: Kinney, MaryAnne
Subject: ACTION NEEDED - 3rd Notice - Ethics Commission Income Disclosure Due by Feb. 15!

To: Representative MaryAnne Kinney
From: Martha Currier, Assistant Director
Maine Commission on Governmental Ethics and Election Practices
Date: February 8, 2022
Re: **THIRD NOTICE** - Annual Statement of Sources of Income **due by February 15, 2022**

The penalty for failing to file an SOSOI can be subject to a civil violation and assessed a fine up to \$100. (1 M.R.S. § 1016-G)

We have not received your 2021 Statement of Sources of Income (SOSOI) for 2021, which is due one week from today on **Tuesday, February 15th**. Last year we launched an e-filing system for the SOSOI, which uses different login credentials than your campaign finance reports but has a similar look and feel. You'll know that you've logged into the SOSOI site when you see a purple banner with "Ethics Disclosure" at the top of the screen. From start to finish, we estimate it will take you 10 minutes to file the SOSOI.

To file go to <https://mainecampaignfinance.com> and enter your disclosure site username . If you do not remember your password, you can request a reminder from that page to be sent to the same email address as this notice.

What about filing on paper? 1 M.R.S. § 1016-G(5) says if a Legislator attests an inability to access or use the electronic filing format that the Commission provides assistance in the filing, which we interpret to be training and not a paper reporting option. Considering the technical changes Legislators have experienced due to the pandemic (performing legislative meetings on Zoom, communicating with one another and your constituents by email and other electronic means) adapting to the SOSOI e-filing system will be easy. However, if you need training on the system, please contact me to make an appointment.

Tips for filing the 2021 statement:

- You can import your 2020 information into the 2021 statement. If you choose to import, review all information, ensure it is accurate, and click through the remaining sections to complete the form.
- All financial sources for your spouse or significant other must be reported including jobs, retirement income, etc.
- The penalty for failing to file an SOSOI, or one that fails to confirm to the requirements of 1 M.R.S. § 1016-G, can be subject to a civil violation and assessed a fine up to \$100.

If you have any questions please call the Commission Assistant Lorrie Brann at 287-4179 or email ethics@maine.gov.

Currier, Martha

From: Currier, Martha
Sent: Friday, February 11, 2022 4:59 PM
To: Thompson, William; Priest, Heather; Walsh, Katie; Rochelo, Megan; Rush, Max; Mullin, Isabel
Subject: Action Needed - Members Who Haven't Filed SOSOI - Due Tuesday
Importance: High

Happy Friday, Gang!

The following legislators have not filed their 2021 Statement of Sources of Income, which are due by 11:59 pm on Tuesday, February 15th.

If you can be of any assistance to remind them to file this document with us – they've gotten at least 3 emails from me – ASAP, I would appreciate it so that they can avoid the penalty process and an assessment of a fine by the Commission at a public meeting.

Poppy	Arford
Mark	Blier
Lydia	Blume
Heidi	Brooks
Meldon	Carmichael
Benjamin	Chipman
Benjamin	Collings
Glenn	Curry
Matthea	Daughtry
Susan	Deschambault
Kathleen	Dillingham
Josanne	Dolloff
Traci	Gere
Jeffrey	Gifford
Lori	Gramlich
Randall	Greenwood
Chad	Grignon
David	Haggan
Randall	Hall

Matthew	Harrington
Frances	Head
Sherman	Hutchins
MaryAnne	Kinney
Mark	Lawrence
Laurel	Libby
Grayson	Lookner
Peter	Lyford
Thomas	Martin
Richard	Mason
Genevieve	McDonald
H.Sawin	Millett
Victoria	Morales
Joshua	Morris
Beth	O'Connor
Sean	Paulhus
Michael	Perkins
Joseph	Perry
Richard	Pickett
Dwayne	Prescott
Walter	Riseman
Kimberley	Rosen
Peggy	Stanley
Joel	Stetkis
Laura	Supica
Michael	Sylvester
Rachel	Talbot Ross
Denise	Tepler
Maureen	Terry
Tim	Therault
Sophia	Warren
Dustin	White

Martha Currier

Currier, Martha

From: Currier, Martha
Sent: Monday, February 14, 2022 2:05 PM
To: Grignon, Chad
Subject: ACTION NEEDED - FINAL NOTICE - Ethics Commission Income Disclosure Due Tomorrow!!

To: Representative Chad Grignon
From: Martha Currier, Assistant Director
Maine Commission on Governmental Ethics and Election Practices
Date: February 14, 2022
Re: **FINAL NOTICE** - Annual Statement of Sources of Income **due TOMORROW**

The penalty for failing to file an SOSOI can be subject to a civil violation and assessed a fine up to \$100. (1 M.R.S. § 1016-G)

You are receiving this email because we have not received your 2021 Statement of Sources of Income (SOSOI), which you are required to file by 11:59 p.m. on Tuesday, February 15, 2022.

Please address this matter immediately to avoid the late-filing penalty.

Your report must be filed electronically.

Please refer to my earlier emails to this address for instructions and tips to file the report.

If you have any questions please call the Commission Assistant Lorrie Brann at 287-4179 or email ethics@maine.gov.

§1016-G. Disclosure of specific sources of income, interests and reportable liabilities

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

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

The statement must identify:

- A. If the Legislator is an employee of another person, firm, corporation, association or organization that has provided the Legislator with compensation of \$2,000 or more, the name and address of the employer. The Legislator shall identify the title and position held by the Legislator; [PL 2011, c. 634, §11 (NEW).]
- B. If the Legislator is self-employed, the name and address of the Legislator's business and each source of income derived from self-employment that represents more than 10% of the Legislator's gross income from self-employment or \$2,000, whichever is greater; [PL 2011, c. 634, §11 (NEW).]
- C. The name, address and principal economic or business activity of any corporation, partnership, limited liability company or other business in which the Legislator or members of the Legislator's immediate family own or control, directly or indirectly, more than 5% of the outstanding equity, whether individually or in the aggregate, that has received revenue of \$2,000 or more; [PL 2013, c. 401, §1 (AMD).]
- D. Each source of income of \$2,000 or more the Legislator derived from providing services as an attorney, the major areas of law practiced by the Legislator and, if associated with a law firm, the major areas of practice of the firm; [PL 2011, c. 634, §11 (NEW).]
- E. Each source of income of \$2,000 or more received by the Legislator and a description of the nature of the income, such as rental income, dividend income and capital gains; [PL 2013, c. 401, §1 (AMD).]
- F. The specific source of each gift received by the Legislator; [PL 2011, c. 634, §11 (NEW).]
- G. Each source of income of \$2,000 or more received by any member of the immediate family of the Legislator, except that the Legislator is not required to identify the names of dependent children. If the member of the Legislator's immediate family received income of \$2,000 or more in compensation, the Legislator shall identify the source of the compensation, the type of the economic activity and the title of the position held by the immediate family member; [PL 2011, c. 634, §11 (NEW).]
- H. Each source of honoraria of \$2,000 or more that the Legislator accepted; [PL 2011, c. 634, §11 (NEW).]
- I. Each executive branch agency before which the Legislator or any immediate family member has represented or assisted others for compensation; [PL 2011, c. 634, §11 (NEW).]

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

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

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

M. All reportable liabilities incurred by the Legislator or a member of the Legislator's immediate family during the reporting period. [PL 2011, c. 634, §11 (NEW).]
[PL 2013, c. 401, §1 (AMD).]

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

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

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

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

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

B. The intentional filing of a false statement is a Class E crime. If the commission concludes that it appears that a Legislator has willfully filed a false statement, it shall refer its findings of fact to the Attorney General. If the commission determines that a Legislator has willfully failed to file a statement required by this subchapter or has willfully filed a false statement, the Legislator is presumed to have a conflict of interest on every question. [PL 2019, c. 534, §5 (AMD).]

[PL 2019, c. 534, §5 (AMD).]

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

[PL 2011, c. 634, §11 (NEW).]

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

[PL 2013, c. 401, §2 (AMD).]

SECTION HISTORY

PL 2011, c. 634, §11 (NEW). PL 2013, c. 401, §§1, 2 (AMD). PL 2019, c. 534, §5 (AMD).