

1 **Rule 4.18. State Officer or Employee Representation of**  
2 **Others in Transactions involving the State.**

3 A. No state officer or employee shall receive or agree to  
4 receive compensation to represent or assist another individual  
5 or other entity in any transaction involving the state or to  
6 represent another individual or other entity before any state  
7 agency, unless authorized by law. The prohibitions in this  
8 section shall not apply to the practice of law before any court,  
9 nor shall they apply to members of boards, commissions,  
10 authorities and similar public bodies of state agencies for  
11 representation before state agencies other than the agency the  
12 member serves.

13 B. No individual who previously served as a state officer or  
14 employee shall serve as a lobbyist or consultant on lobbying,  
15 until a period of Two (2) Years has passed since the state  
16 officer or employee left state service.

17 C. No individual who previously served as a state officer or  
18 employee shall represent another entity, or act as a consultant  
19 for another entity on any matter involving the agency of which  
20 he or she previously served or had oversight until a period of  
21 Two (2) Years has passed.

22 D. Provided, however, the Two (2) Year period in subsections  
23 (b) and (c) will not begin for any state officer who is elected,

1 retained, or appointed until the term of office for which he or  
2 she was elected, retained, or appointed has ended.

3 E. Subsections B, C, and D of this Rule shall not apply to an  
4 attorney representing a client in a legal, non-lobbying capacity  
5 in a court of law.

6 **Rule 4.22. Waiver for Preexisting Relationship.**

7 A. Pre-Existing Relationship. A state officer or employee may  
8 apply to the Commission for a waiver of a Rule based on a  
9 preexisting relationship between the state officer or employee  
10 and a person whose status restricts or prohibits certain  
11 activities under these Rules.

12 B. Post-Service. An individual who is currently a state officer  
13 or employee, or who is impacted by the restrictions within Rule  
14 4.18 as a former state officer or employee, may request a waiver  
15 of the applicable provisions of Rule 4.18.

16 C. The Commission shall have exclusive authority and discretion  
17 to grant a waiver on a case-by-case basis, based upon the  
18 totality of circumstances and a finding that the purposes of  
19 these Rules will not be impeded or hindered by the waiver.

20 D. A waiver shall have only prospective application.

21 E. The Commission may request whatever information it deems  
22 appropriate from an applicant, including but not limited to  
23 verified statements by the applicant and/or ~~the person with whom~~

1 ~~a preexisting relationship is claimed~~ other persons impacted by  
2 the restriction.

3 F. The restrictions between a state officer or employee and a  
4 person whose status restricts or prohibits certain activities  
5 under these Rules shall not apply when the two are family  
6 members.

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8 **Rule 5.3. Annual Registration for Legislative Liaison and**  
9 **Legislative Lobbyist.**

10 a. Each legislative liaison or legislative lobbyist shall be  
11 required to register with the Ethics Commission each year that  
12 the legislative liaison or legislative lobbyist engages in  
13 lobbying. Each legislative liaison or legislative lobbyist  
14 shall register or renew his or her registration with the  
15 Commission and pay any applicable fees no earlier than December  
16 1 of each year nor later than January 15 of the following year  
17 for the calendar year beginning January 1 or within five (5)  
18 days after engaging in lobbying on behalf of one or more  
19 lobbyist principals. Registration by legislative liaisons or  
20 legislative lobbyists shall be filed electronically, unless  
21 otherwise ordered by the Commission or the Executive Director of  
22 the Commission. Information on the registration shall include  
23 the legislative liaison or legislative lobbyist's name, business

1 address, including electronic mail address and business  
2 telephone numbers, the name and address of each lobbyist  
3 principal by whom the liaison or lobbyist is employed or  
4 retained and the date of the registration.

5 b. No individual who previously served as a state officer or  
6 employee may register as a legislative lobbyist until a period  
7 of two years has passed since the individual served as a state  
8 officer or employee. For any individual who was elected,  
9 retained, or appointed to serve or complete a term of office,  
10 the Two (2) Year period will not begin until the term of office  
11 for which he or she was elected, retained or appointed has  
12 ended.

13 **Rule 5.5. Annual Registration and Termination of Registration**  
14 **for Executive Lobbyist.**

15 a. Each executive lobbyist shall be required to register with  
16 the Ethics Commission. An executive lobbyist may register and  
17 pay any applicable fees no earlier than December 1 of each year  
18 nor later than January 15 of the following year for the calendar  
19 year beginning January 1 or within five (5) days after engaging  
20 in lobbying on behalf of one or more lobbyist principals.

21 Registration by executive lobbyists shall be filed  
22 electronically, unless otherwise ordered by the Commission or  
23 the Executive Director of the Commission. Information on the

1 registration shall include the executive lobbyist's name,  
2 business address, including electronic mail address and business  
3 telephone numbers, the name and address of each lobbyist  
4 principal by whom the lobbyist is employed or retained, the  
5 agency or agencies before which the lobbyist is lobbying and the  
6 date of the registration. The executive lobbyist may terminate  
7 his or her registration at any time by electronically filing a  
8 notice of termination on a form provided by the Commission and  
9 filing a final Executive Lobbyist Report. An executive lobbyist  
10 whose registration has not been terminated by November 30 of any  
11 year shall be required to register as provided in this  
12 subsection for the calendar year beginning the following January  
13 1. Until terminated, the registration shall remain effective,  
14 and the executive lobbyist shall be required to file Executive  
15 Lobbyist Reports as provided by these Rules.

16 b. No individual who previously served as a state officer or  
17 employee may register as an executive lobbyist until a period of  
18 two years has passed since the individual served as a state  
19 officer or employee for that agency. For any individual who was  
20 elected, retained, or appointed to serve or complete a term of  
21 office, the Two (2) Year period will not begin until the term of  
22 office for which he or she was elected, retained or appointed  
23 has ended.

1 **Rule 5.25. Waiver for Preexisting Relationship.**

2 A. Pre-existing Relationship. A state officer or employee may  
3 apply to the Commission for a waiver of a Rule based on a  
4 preexisting relationship between the state officer or employee  
5 and a legislative liaison, legislative lobbyist or executive  
6 lobbyist.

7 B. Post-Service Waiver. A state officer or employee, or person  
8 impacted by the restrictions in Rules 5.3 or 5.5 as a former  
9 state officer or employee, may request a waiver of the  
10 applicable rule(s).

11 C. The Commission shall have exclusive authority and discretion  
12 to grant a waiver on a case-by-case basis, based upon the  
13 totality of circumstances and a finding that the purposes of  
14 these Rules will not be impeded or hindered by the waiver.

15 D. A waiver shall have only prospective application.

16 E. The Commission may request whatever information it deems  
17 appropriate from an applicant, including but not limited to  
18 verified statements by the applicant and/or ~~the legislative~~  
19 ~~liaison, legislative lobbyist or executive lobbyist with whom a~~  
20 ~~preexisting relationship is claimed~~ other persons impacted by  
21 the restriction.

1 | F. The restrictions between a state officer or employee and a  
2 | legislative liaison, legislative lobbyist or executive lobbyist  
3 | shall not apply when the two are family members.