

# STATE OF ALABAMA ETHICS COMMISSION



**ANNUAL REPORT**  
**FISCAL YEAR**  
**2009-2010**



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# **Annual Report**

**Fiscal Year  
2009-2010**

*for the*

**Alabama Ethics Commission**

*is presented to the*

**Governor**

*and the*

**Alabama Legislature**

*in compliance with*

**Section 36-25-3(c), Code of Alabama, 1975**

**Alabama Ethics Commission**

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**James L. Sumner, Jr., Director**



# STATE OF ALABAMA ETHICS COMMISSION



## COMMISSIONERS

Braxton L. Kittrell, Jr., Esq., Chair  
Josephine M. Venable, Vice-Chair  
Anthony Humphries  
Michael K. K. Choy, Esq.  
Rebekah Elgin-Council

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P.O. BOX 4840  
MONTGOMERY, AL  
36103-4840

STREET ADDRESS  
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March 1, 2011

James L. Sumner, Jr.  
Director

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The Honorable Robert J. Bentley, Governor  
State of Alabama  
Montgomery, Alabama 36130

Dear Governor Bentley:

On behalf of the Alabama Ethics Commission, I respectfully present to you and the Alabama Legislature our Annual Report for fiscal year 2009-2010, in compliance with Section 36-25-3(c), Code of Alabama, 1975. Included are details of our actions during the year as we strive to fulfill the responsibilities with which we are charged.

Our Commissioners and Staff are very proud of our accomplishments during this fiscal year, and following are some of the highlights:

- **236** Complaints were filed with the Commission
- **19** Cases were presented to the Commission
- **12** Formal and **40** Informal Opinions were rendered by the Commission
- **\$11,552.88** collected in Fines and Restitution
- **52,256** Statement of Economic Interests forms filed with **75.1%** filed electronically
- **654** Lobbyists registered with **751** Principals represented; **77.22%** filed on-line
- **33** Ethics Seminars presented and **12** DVDs provided for In-House Ethics Training
- **\$56,863.40** deposited into the General Fund

Our Commissioners and Staff are committed to fulfilling our responsibilities to the citizens of the state of Alabama to the fullest extent possible and greatly appreciate your support of the Alabama Ethics Commission.

Sincerely,

James L. Sumner, Jr.  
*Ethics Commission Annual Report*

# Commissioners

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**Michael K. K. Choy, Esq.  
Chair**

**Term Expires 2010**

Michael K. K. Choy, Esq. was confirmed by the Alabama Senate on May 3, 2005, to serve a term on the Alabama Ethics Commission that began on September 1, 2005, and ends on August 31, 2010. Mr. Choy was born in Queens, New York on July 29, 1958. He graduated from Holy Family Catholic High School in Birmingham in 1976. He received his Bachelor of Arts degree in Political Science from the University of Alabama at Birmingham in 1980, and received his Juris Doctorate from the Cumberland School of Law at Samford

University in Birmingham in 1984. He was a law clerk to the Honorable U. W. Clemon, Chief Judge of the United States District Court for the Northern District of Alabama. After seven years as In-House Counsel with BellSouth Corporation, Mr. Choy entered private practice. He is currently Counsel to Burr & Forman LLP in Birmingham. He is a former Alabama State Bar Examiner, and a current member of the State Bar's Character and Fitness Committee. Mr. Choy is a Trustee for the J. Craig and Page T. Smith Scholarship Foundation, which benefits Alabama high school seniors who are first in their family to attend college. He has two daughters.



# Commissioners

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**Linda Lloyd Green**  
**Vice-Chair**  
**Term Expired 2006**

Linda L. Green was confirmed by the Alabama Senate on January 17, 2002 to serve a term which expired August 31, 2006. Mrs. Green has continued to serve until her successor is confirmed. She was elected Chairman at the August 3, 2005 Commission meeting. Mrs. Green was born in 1951 in Huntsville, Alabama and graduated from Huntsville High School in 1969. She has a B.S. degree from the University of Alabama and an M.S. degree from Auburn University. She also holds FINRA licenses — Series 7, Series 24 and Series 63. Beginning in 1976 to 1993, Mrs. Green worked for Parisian, Inc. where she served in a number of roles before managing each of the two stores in Huntsville. From 1993 to 2004 she worked for Colonial Bank where she served as CEO and President of the Northern Region and from

2004 to 2007 as EVP for Colonial Banc-Group as Wealth Management Director. She currently works with Renasant Bank as the President for Madison County. Her professional and civic activities include serving on the UAH Foundation as Treasurer and a member of the Executive Committee, past Chair for Volunteers of America, Madison County Veterans Memorial Board member, and Crestwood Hospital Women's Advisory Group. Her past involvement is varied, including serving as a board member for Intergraph Corporation, Vice-Chair and Chair of the Alabama Space Science Exhibit Commission, the Von Braun Center Board of Control, the Alabama State Banking Board, 1998 Chair for the Huntsville/Madison County Chamber of Commerce, the Board of Directors of United Way, and numerous other civic and charitable organizations. Mrs. Green is married to Randy Green, and they have one son, daughter-in-law, and grandson.

# Commissioners

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**Braxton L. Kittrell, Jr., Esq.**  
**Term Expires 2012**

Braxton L. Kittrell, Jr., was confirmed by the Alabama Senate May 8, 2008, to serve a term on the State of Alabama Ethics Commission ending August 31, 2012. Kittrell received a J.D. degree from the University of Alabama in 1967 and began practicing law in Mobile in 1969. He was elected Circuit Judge for the 13<sup>th</sup> Judicial Circuit (Mobile County) in 1976, and served in that office from January, 1977 until he retired in April of 1999. He served as Presiding Circuit Judge from January 18, 1989 until his retirement. Kittrell was a member of the Judicial Inquiry Commission of the State of Alabama from 1987-99, and served as its Chairman from 1995-99. He was president of the International Academy of State Trial Judges (1982-83); he served as Chairman of the Regional Planning and Advisory Board for Region 6, Alabama Law Enforce-

ment Planning Agency (1980-83) and as a member of the Executive Committee of the State Supervisory Board of the Alabama Law Enforcement Planning Agency (1980-83). He served as Chairman of the Sentencing and Corrections Committee of the American Bar Association, Judicial Administration Division from 1993-97, and as a member of the Executive Committee of the National Conference of State Trial Judges of the American Bar Association from 1995 through 1998. He also served as President of the Alabama Association of Circuit Judges (1996-97), and as a member of the Alabama Supreme Court Court Advisory Committee on Criminal Procedure (1997-99). He presently holds membership in the American, Alabama and Mobile Bar Associations, the Alabama Association of Circuit Judges, the International Academy of State Trial Judges, the American Judicature Society and serves on the board of directors of the Alabama Forest Resources Center.



# Commissioners

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## **Josephine M. Venable** **Term Expires 2013**

Josephine M. Venable was confirmed by the Alabama Senate on May 28, 2008 for a term which began September 1, 2008 and will expire August 31, 2013. Mrs. Venable is a native of Clio, Alabama where she graduated from Barbour County High School. She received a Bachelor of Science degree with Education Certification in Physics, Chemistry and Biology from the University of Alabama in 1961. She taught advanced science and biology in Montgomery before moving with her husband, the late Honorable Jack B. Venable, to Washington, D. C. In 1970 they purchased *The Tallassee Tribune* in Tallassee, Alabama at which time Mrs. Venable became Co-Owner and Associate Publisher. After the death of her husband, she continued the newspaper as Publisher and Editor. She sold *The Tribune* in 2007 and remains as Editor Emeritus. She has

been an active member of the Alabama Press Association for many years, being named to various committees. Mrs. Venable has served her community as President of the Tallassee Chamber of Commerce and Secretary/ Treasurer of the Tallassee Industrial Development Board. She has also served as Chairman of the Community Hospital Board of Directors as well as Chairman of the Alabama Council of Hospital Trustees. She continues her service with the board of Community Hospital as a member of the Executive and Finance Committees. She is a member of the Advisory Board, Elmore Division, BankTrust. Mrs. Venable is a member of First United Methodist Church of Tallassee having served in many areas including Board of Trustees and Lay Leader. She has been named to numerous other community boards and committees. Mrs. Venable and her late husband have two children, daughter Cameron, son-in-law Steve and son Ben.

# Commissioners

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## **Anthony Humphries** **Term Expires 2014**

Anthony Humphries was confirmed by the Alabama Senate on April 23, 2009, to serve a term on the Alabama Ethics Commission that began on September 1, 2009, and ends on August 31, 2014. Mr. Humphries graduated from Good Hope High School in Cullman County in 1973. He received a B.A. degree in Political Science from Auburn University in 1977 and graduated from the Graduate School of Banking at LSU in 1988. He, along with a group of business leaders in Calhoun County, organized a new community bank in 2005. Mr. Humphries has served as the Bank's President & CEO and as a member of the Bank's Board of Directors since September 2005. He has over 30 years of banking experience in the Calhoun County market. He also served on Governor Riley's cabinet as Superintendent of the Alabama Banking Department from 2003 to 2005. Mr. Humphries began his banking career with SouthTrust Bank, gaining experience as he progressed from management trainee to Assistant Vice President, Vice President and Senior Vice President/Senior Lending Officer. After 6 years with

SouthTrust, he was hired by AmSouth Bank where he served as the Senior Vice President/Commercial Banking Sales Manager for 13 years. In 1997, he returned to SouthTrust Bank as the market CEO.

Mr. Humphries volunteers his time with several organizations throughout Calhoun County and the surrounding areas. He is on the Board of Directors of the First National Bankers Bank-Alabama, the Community Bankers Association of Alabama, the Northeast Alabama Regional Medical Center, the Anniston Museum of Natural History Foundation, the Knox Concert Series and the Anniston Country Club. He is a former Chairman of the Calhoun County Chamber of Commerce and serves now as Chairman of its Transportation Task Force. Mr. Humphries is the Vice Chairman of the McClellan Development Authority, the entity charged with the redevelopment of the former Fort McClellan. He is a member of the Anniston Rotary Club and the Oxford Quarterback Club and serves as a Trustee for the Women's Missionary Union (WMU). He is an active member of the First Baptist Church of Oxford where he serves as a Deacon. He is married to the former Cristy Chase and has two sons and one granddaughter.

# Director

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## **James L. (Jim) Sumner, Jr.**

Currently, Mr. Sumner is the Director of the Alabama Ethics Commission. He was appointed to the position by the Commission in April, 1997. Mr. Sumner holds an additional appointment as a Deputy Attorney General.

From October, 1987 to April, 1997, Mr. Sumner served as Assistant to the Vice Chancellor for External Affairs of the University of Alabama System. The UA System is comprised of campuses in Tuscaloosa, Birmingham and Huntsville. At that time, the System had over 43,000 students, 18,500 employees and an annual budget exceeding \$1.35 billion.

From January to October, 1987, Mr. Sumner served as Vice President/Legislative Affairs for the Alabama Hospital Association.

Mr. Sumner was the Executive Assistant to the Lieutenant Governor and served as Chief of Staff in the Lieutenant Governor's Office from January, 1983 to January, 1987.

From January, 1979 to May, 1982, Mr. Sumner served as Corporate Secretary and in-house counsel of Royal Cup, Inc. of Birmingham, the largest coffee roaster in the South.

Mr. Sumner served as an Assistant Attorney General from October, 1974 to January, 1979.

Mr. Sumner is a native of Jasper, Alabama and attended Jasper public schools and Walker County High School.

He was graduated from the University of Alabama in 1970 with a Bachelor of Science Degree.

In 1974, Mr. Sumner received his Doctor of Jurisprudence Degree from Cumberland School of Law at Samford University.

Before joining the Attorney General's staff, Mr. Sumner served for three years as Administrative Assistant to the Chairman of the Democratic Party in Alabama, Robert S. Vance. Vance was later appointed by President Carter to the U. S. Court of Appeals for the Eleventh Circuit.

Mr. Sumner holds membership in the American Bar Association and the Alabama State Bar Association.

He is married to Deanna Benefield Sumner of Huntsville and they have three adult children: Matthew, Amelia and Aaron.

# Commission Staff

## Legal Division

### **Hugh R. Evans, III, General Counsel**

Julie Davis, Executive Secretary and Recording Secretary

Theresa Davis, Legal Research Assistant

## Investigative Division

### **Charles A. Aldridge, Chief Special Agent**

David Green, Special Agent

Vicki Wilson, Special Agent

## Finance & Administrative Division

### **Barbi Lee, Chief**

Julie Kerce, ASA I

Vicky Manning, Accountant Technician

Josh Roper, Laborer

Cathy Taylor, Clerk

Joan Ward, ASA II

Loretta Webb, Clerk

Janice Wolfe, ASA I/Receptionist

## PURPOSE, POWERS AND DUTIES


The Alabama Ethics Commission was established in 1973 by Act No. 1056 of the Alabama Legislature which has subsequently been amended by Acts 75-130, 79-460, 79-698, 82-429, 86-321, 92-342, 95-194, 96-261, 97-651, 2000-797 and Act. No. 2001-474.

*The Mission of this law is to ensure that public officials are independent and impartial; that decisions and policies are made in the proper governmental channels; that public office is not used for private gain; and, most importantly, that there is public confidence in the integrity of government.*

With confirmation from the Alabama Senate, members of the Alabama Ethics Commission are appointed by the:

**Governor**  
**Lieutenant Governor**  
**Speaker of the Alabama House of Representatives**

## Duties and Responsibilities of the Commission

<b>Furnish Disclosure Forms</b>	<b>Publish Procedures</b>	<b>Make Statement of Economic Interests Forms Available to Public</b>
<b>Investigate Alleged Violations</b>		<b>Issue and Publish Advisory Opinions</b>
<b>Present Educational Programs</b>	<b>Preserve Statement of Economic Interests Forms</b>	<b>Promulgate Rules and Regulations</b>



# Expenditures for Fiscal Year 2010 October 1, 2009 - September 30, 2010

EXPENDITURE	FY 09-10	13th Accounting Period	Outstanding Purchase Orders	Rollover to FY 11	TOTAL
Personnel Costs	818,147.97	0.00	0.00	63,401.03	881,549.00
Employee Benefits	297,218.44	0.00	0.00	32,480.56	329,699.00
Travel In-State	7,030.80	569.20	0.00	1,900.00	9,500.00
Travel Out-of-State	3,343.74	0.00	0.00	1,656.26	5,000.00
Repairs and Maintenance	866.50	633.50	0.00	7,000.00	8,500.00
Rentals and Leases	113,313.42	3,029.32	1,657.26	2,000.00	120,000.00
Utilities and Communication	13,040.19	2,337.02	241.57	13,001.22	28,620.00
Professional Services	12,785.51	26,617.49	97.00	117,000.00	156,500.00
Supplies, Materials, and Operating Expenses	30,583.80	1,487.78	12.49	98,370.93	130,455.00
Transportation Equipment Operations	8,384.44	755.44	1,360.12	12,500.00	23,000.00
Transportation Equipment Purchases	0.00	0.00	0.00	0.00	0.00
Other Equipment Purchases	0.00	0.00	0.00	0.00	0.00
	<b>1,304,714.81</b>	<b>35,429.75</b>	<b>3,368.44</b>	<b>349,310.00</b>	<b>1,692,823.00</b>

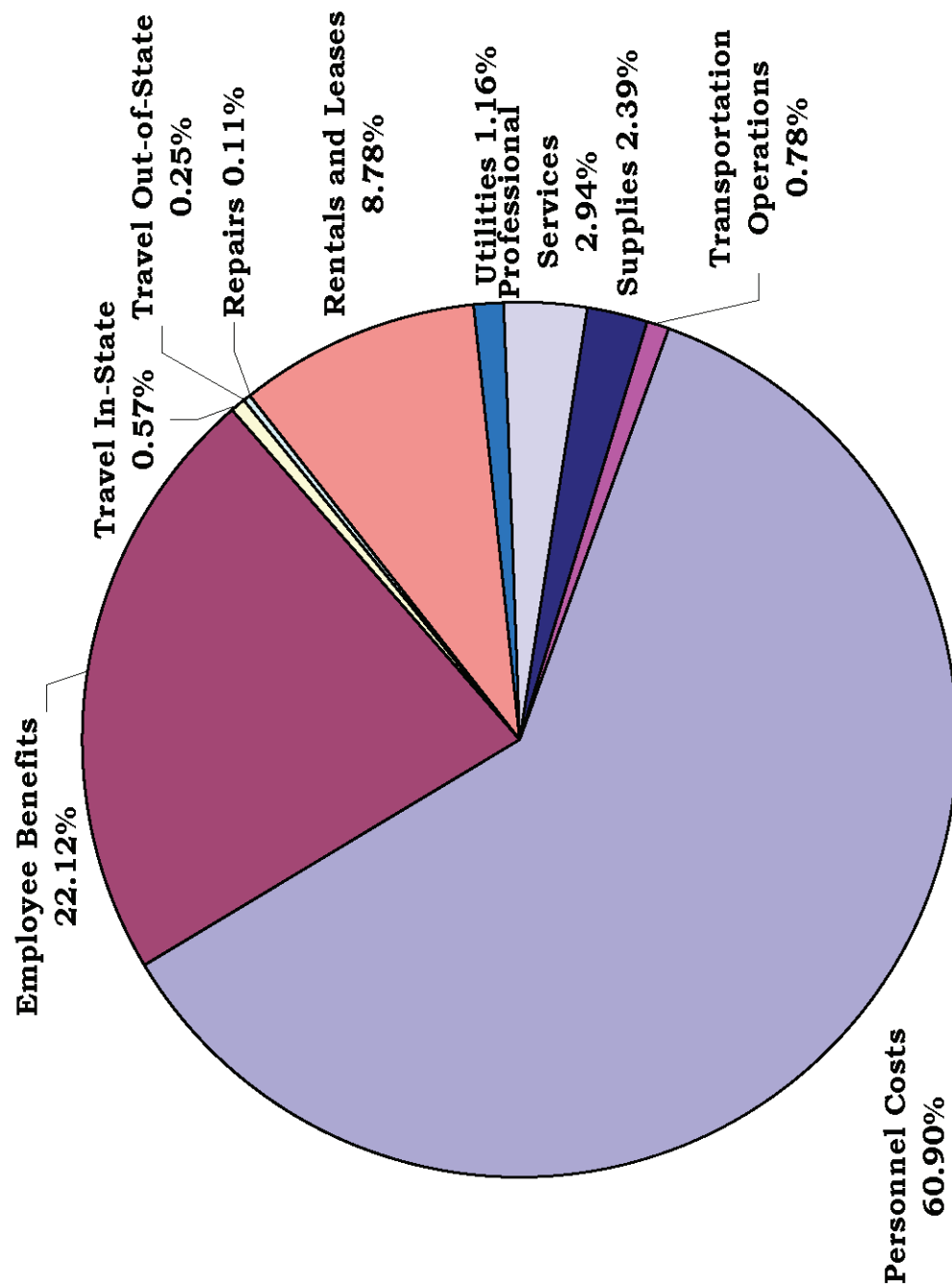
The annual cost of the Alabama Ethics Commission (based on state population of 4.8 million) is 35.2 cents per person.

The annual cost of the Alabama Ethics Commission (based on 309,080 public officials and public employees covered by the Ethics Law) is \$ 5.48 per person.

Original FY 10 Budget Appropriation	1,784,401.00
Rollover from FY 09	<u>96,514.00</u>
Total FY 10 Appropriation	1,880,915.00
Proration - 10%	<u>(188,092.00)</u>
<b>NET FY 10 Budget Appropriation</b>	<b>1,692,823.00</b>
Total FY 10 Expenditures	<b>(1,343,513.00)</b>
Rollover to FY 11	<b>(349,310.00)</b>
13th Acct Period Overage	<u>5,827.50</u>
Reversion to General Fund	<u>5,827.50</u>



# Expenditures by Percentage



# SIGNIFICANT EVENTS FOR FY 2010

## **ADVISORY OPINIONS:**

- 12 Formal Advisory opinions were drafted by the General Counsel and rendered by the Commission
- 40 Informal Advisory opinions were provided by the General Counsel.  
*[These opinions are issued only when the question asked deals with a matter of black letter law or where the Commission has previously addressed the matter with a formal opinion.]*
- All formal opinions may be read in their entirety at our website [www.ethics.alabama.gov](http://www.ethics.alabama.gov).

## **DIGEST OF ADVISORY OPINIONS**

### **AO NO. 2009-09**

A municipal staff planner may not serve as an independent contractor, contracting with private engineering firms to provide planning design for new land developments within the jurisdiction of the city by which he is employed, as these developments would be inspected by his employer.

A municipal staff planner may serve as an independent contractor, contracting with private engineering firms to provide planning design for new land developments outside his jurisdiction, when he would have no interaction or dealings with the city by which he is employed; provided, all work done in connection with his independent contracting firm is done on his own time, and that there is no use of city time, labor, equipment, facilities or other public property under his discretion or control to assist him in performing his independent contracting duties or in obtaining opportunities.

A former municipal staff planner may start a business and serve as an independent contractor, contracting to private engineering firms planning design for new land developments within the jurisdiction of his former employer. However, for a period of two years, he may not represent clients of his consulting company before his former employer.

**Legal Division**

## **SIGNIFICANT EVENTS FOR FY 2010**

### **AO NO. 2009-10**

A company owned by the spouse of the Assistant County Transportation Engineer for the Seventh Division of ALDOT, may serve as subcontractor on a state project; provided, the Assistant County Transportation Engineer has played no part in assisting her husband's company in obtaining the work as subcontractor, including but not limited to providing confidential information obtained in the course of her employment to her husband's company, or otherwise been involved in the awarding of the contract, when she knew her husband's company may serve as subcontractor, nor may she inspect any work performed by TECS, or enforce any contracts when TECS is a subcontractor.

A copy of a contract to provide services entered into by a public official, public employee, member of the household of the public official / public employee or a business with that person is associated, which is to be paid in whole or in part out of state, county or municipal funds must be filed with the Ethics Commission within ten (10) days after the contract has been entered into, regardless of the amount of that contract, or whether or not the contract was obtained through competitive bid.

### **AO NO. 2009-11**

A former member of the Bessemer Airport Authority may serve as part-time Airport Director after his resignation; provided, that when he resigned from the Board, there was no prearranged understanding that he would be hired; that he did not use his influence as a Board member to obtain the position; where the Board, after reviewing qualified applicants, determines that the former member is the most qualified applicant for the position; and further, where he was not involved in creating the vacancy.

### **AO NO. 2009-12 (Continued and then rendered 2/1/10)**

A former municipal employee, who worked on a loan / grant involving an apartment housing development, may accept employment with a business, where that business has a minor ownership interest in the limited partnership that received the loan / grant and manages the apartment development that was the subject of the grant, where her involvement was merely ministerial in checking to see that the requirements of the application and expenditures were in accordance with set-out guidelines.

For a period of two years after leaving the City of Montgomery, the former municipal employee may not represent clients, including her own business or Summit Sherwood Apartments, Ltd., before the City of Montgomery.

**Legal Division**

## **SIGNIFICANT EVENTS FOR FY 2010**

### **AO NO. 2009-13**

The State Coordinator of Deaf and Hard of Hearing Services for the Alabama Department of Rehabilitation Services may not, for a period of two years after her retirement, contract back with the Alabama Department of Rehabilitation Services to coordinate the Southeast Regional Institute on Deafness conference on behalf of the Department of Rehabilitation Services, nor may she act as a consultant to provide consumer services and assist in program grants for the Department.

### **AO NO. 2010-01**

The former Chairman of the Birmingham-Jefferson County Transit Authority may not be hired as Executive Director of the Birmingham-Jefferson County Transit Authority upon his resignation, as he played a substantial role in the hiring process prior to his resignation.

The former Chairman of the Birmingham-Jefferson County Transit Authority may not lobby current Board members seeking their support for his hiring. While third persons may lobby the Board on his behalf, based on his prior involvement in the hiring process, he may not accept the position without violating the Ethics Law.

### **AO NO. 2010-02(A) & B** **NO OPINION**

### **AO NO. 2010-03**

The Mayor of the City of Evergreen, who is involved in an election contest, may not vote, attempt to influence or otherwise participate with the City Council on matters relating to a challenge to the Trial Court's Order changing the City's election procedure, as the result from the Supreme Court may directly affect his election contest.

The Mayor of the City of Evergreen may vote to approve fees and expenses associated with the City's challenge to the Trial Court's Order changing the City's election procedure, as this matter is easily separated from, and has no relation to, or impact on his election contest.

### **AO NO. 2010-04**

A member of the Bessemer City Council, who was indicted and prosecuted in her official capacity for violating the Alabama Ethics Law, but who was acquitted of the charges, may not seek reimbursement for payment of her attorneys' fees, expert fees and other fees by the City of Bessemer, as there is no proper corporate interest involved on the part of the City of Bessemer.

**Legal Division**

## **SIGNIFICANT EVENTS FOR FY 2010**

### **AO NO. 2010-05**

An appointed member of a municipal agency, board or commission may not represent clients before the municipal agency, board or commission on which he or she serves, regardless of whether he or she recuses himself or herself.

The employer of a member of a municipal agency, board or commission may represent clients before the municipal agency, board or commission on which that employees serves; provided, the member recuses himself or herself from all activities relating to that matter, including but not limited to voting, attempting to influence or in any manner participating in the issue.

For a period of two years after their term expires, former members of a municipal agency board or commission may not represent clients, including their employer, before the municipal agency, board or commission on which they served.

For purposes of the Alabama Ethics Law, it does not matter whether an individual appointed to serve on a municipal agency, board or commission is compensated for that service for the provisions of the Ethics Law to apply.

A member of a municipal agency, board or commission may not use his or her position as a member of that municipal agency, board or commission to solicit clients without violating the Alabama Ethics Law.

### **AO NO. 2010-06**

Members of the Escambia County Commission may not make personal monetary gifts to County employees in appreciation for their work, when there is no program or policy in place by the county establishing guidelines and limits for the gifts.

### **AO NO. 2010-07**

The former General Counsel for the Alabama Real Estate Commission may apply to the Alabama Real Estate Commission to become an approved instructor, either by forming his own school and applying to the Real Estate Commission for a school license, or teaching for a school licensed by the Commission as an independent contractor, as the Revolving Door provisions of Sections 36-25-13(b) and (d) are not applicable in this scenario.

### **AO NO. 2010-08**

A member of the Town Council of Boligee, regardless of the condition of her home, may not participate in a grant from the Alabama Department of Economic and Community Affairs (ADECA) administered by the Town of Boligee until all other applicants similarly situated have been awarded the grant money.

**Legal Division**

## **SIGNIFICANT EVENTS FOR FY 2010**

### **COMPLAINTS:**

- 236 Complaints were filed with the Ethics Commission
- 261 Complaints were closed by staff after Preliminary Inquiry.  
*[This number includes complaints received prior to October 1, 2009, but closed during the current Fiscal Year.]*

### **CASE PRESENTATIONS:**

- 19 Cases were presented to the Commission
  - 2 Cases were Closed with No Probable Cause
  - 13 Cases were handled Administratively
  - 2 Cases were forwarded to the Attorney General of Alabama or the appropriate District Attorney for further action
  - 2 Cases were continued for further investigation

### **PENALTIES AND RESTITUTION:**

- \$7,525 in penalties levied and collected by Commission from Investigations
- \$4,027.88 collected in Restitution recovered for State, County and City Entities from Investigations

**Investigative Division**



# SIGNIFICANT EVENTS FOR FY 2010

## **STATEMENT OF ECONOMIC INTERESTS:**

The Alabama Ethics Law requires a Statement of Economic Interests Form to be filed no later than April 30th of each year covering the preceding calendar year for individuals who fall into one of 24 categories.

In Fiscal Year 2010:



- 52,256 forms filed with the Ethics Commission
- 39,199 forms or 75.1% were filed online
- Electronic Filing Percentage Increase = 12.9%

## **LOBBYIST REGISTRATIONS:**

The Alabama Ethics Law requires all lobbyists to register with the Commission by January 31st of each year or within 10 days after the first undertaking requiring such registration.

In Fiscal Year 2010:



- 654 Lobbyists registered with the Ethics Commission
- 751 Principals were represented
- 505 people or 77.22% registered electronically
- Electronic Filing Percentage Increase = 13.49%

### **Top 10 Lobbying Subjects**

- |                         |                         |
|-------------------------|-------------------------|
| 1. Health / Health Care | 6. Economic Development |
| 2. Education            | 7. Utilities            |
| 3. Business             | 8. Banking              |
| 4. Environmental        | 9. Transportation       |
| 5. Insurance            | 10. Appropriations      |

**Finance & Administrative Division**

# SIGNIFICANT EVENTS FOR FY 2010

## **EDUCATIONAL PROGRAMS:**

- 33 Ethics Seminars and Educational Programs Presented
- 2,213 Individuals Trained on Ethics Law
- 2 Job Fairs Attended to Promote Law Enforcement Careers
- 12 DVDs Provided to Entities to Conduct In-House Ethics Training



*An aspiring attorney in-the-making looks over the information provided on careers in Law Enforcement.*



*Special Agent Vicki Wilson discusses careers in Law Enforcement with Students at Highland Avenue Elementary School.*

## **ACCESS TO COMMISSION RECORDS:**

- 1,817 Requests Received to Review Statement of Economic Interests Forms
- 348 Requests Received to Review Lobbyists Registrations

## ANNUAL COMPARISONS FISCAL YEARS 2009 AND 2010

	Fiscal Year 2009	Fiscal Year 2010
Commission Meetings Held	6	7
Educational Programs Presented	44	33
Statements of Economic Interests Forms Received	49,381	52,256
Forms Viewed by the Public	1,000	2,165
Formal Advisory Opinions	5	12
Informal Advisory Opinions	65	40
Registered Lobbyists	692	654
Principals Represented by Lobbyists	874	751
Complaints Filed with Ethics Commission	263	236
Complaints Closed After Preliminary Inquiry	264*	261*
Cases Presented to Commissioners	25	19
Cases Closed by Ruling of Commissioners	2	2
Cases Forwarded to District Attorney or Attorney General	6	2
Administrative Penalties Assessed by Ethics Commission	16	13
Fines Collected by Ethics Commission	\$ 6,435.64	\$ 7,525.00
Restitution Collected	\$32,439.25	\$ 4,027.88
Lobbyists' Fees Collected	\$52,700.00	\$49,300.00
Copies of Forms & Lobbyists' Lists Fees Collected	\$ 1,681.50	\$ 1,901.00
General Fund Deposits	\$59,135.64	\$56,863.40
Staff Members	16	14

(\*Includes complaints / cases that were received prior to October 1, but closed during the current fiscal year.)

# COMMISSION MEETING HIGHLIGHTS

## **October 7, 2009, Montgomery, Alabama**

The Commission, chaired by Michael K. K. Choy, heard two cases. One was handled administratively and one case was continued for further investigation.

## **December 2, 2009, Montgomery, Alabama**

The Commission heard six cases. Four were handled administratively, one case was referred to the Attorney General's Office and one case was continued for further investigation.

## **February 3, 2010, Montgomery, Alabama**

The Commission heard three cases. One was referred to the Attorney General's Office and two were handled administratively.

## **March 3, 2010, Montgomery, Alabama**

A Special-Called Meeting was called by the Commission Members to hear Advisory Opinions only.

## **April 7, 2010, Montgomery, Alabama**

The Commission heard two cases, and both were handled administratively.

## **June 2, 2010, Montgomery, Alabama**

The Commission heard three cases. All were handled administratively.

## **August 4, 2010, Montgomery, Alabama**

The Commission heard three cases. Two were closed with no probable cause and one was handled administratively. The Commission elected Linda Green as Chair and Braxton Kittrell as Vice Chair. The Commission then presented Mr. Choy with a Plaque of Appreciation for his service on the Commission. Meeting dates for 2011 were approved.

# ALABAMA ETHICS COMMISSION COMMISSIONERS

## Years Served

## Commissioner

1973-1976	Donald Comer, III
1973-1977	Dr. George E. Bagley
1973-1978	Alto Lee, III
1973-1979	Dr. Leslie S. Wright
1973-1975	Connie Entrekin
1977-1980	Maynard Layman
1977-1981	Bester Bonner
1978-1982	Dr. George E. Bagley
1979-1982	Reverend John Vickers
1979-1983	Adolph Weil, Jr.
1979-1984	Neil O. Davis
1981-1985	William H. Lovin
1981-1986	Edward C. Sherling, Jr.
1983-1988	Jack W. Boykin
1983-1989	Dr. James J. Hicks
1984-1991	Dr. Cordell Wynn
1985-1992	Dr. Sandra K. Martin McLeod
1986-1992	James H. Anderson, Esq.
1987-1992	J. Ray Warren
1989-1993	Lee McGriff
1991-1994	Whit Armstrong
1992-1995	Frank L. Mason
1992-1996	H. Dean Buttram, Jr.
1992-1997	James T. Pursell
1993-1998	Henry B. Gray, III
1994-1999	Camille S. Butrus
1995-2000	Helen Shores Lee, Esq.
1998-2002	John H. Watson
1998-2002	Lewis G. Odom, Jr., Esq.
1998-2003	Russell Jackson Drake, Esq.
1999-2004	J. Harold Sorrells
2000-2000	Dr. Cordell Wynn
2000-2005	Raymond L. Bell, Jr., Esq.
2001-2009**	Linda L. Green
2002-2008	Nancy Edwards Eldridge
2003-2008	John H. Cooper, Esq.
2004-2009	Cameron McDonald Vowell, Ph.D.
2005-2010**	Michael K. K. Choy, Esq.
2007-2012	Braxton L. Kittrell, Jr., Esq.
2008-2013	Josephine M. Venable
2009-2014	Anthony Humphries

*\*\*Mrs. Green and Mr. Choy continue to serve until a replacement is confirmed by the Alabama Senate*

# ALABAMA ETHICS COMMISSION DIRECTORS

**1997 – Present**

**James L. Sumner, Jr., *Director***

**February – April 1997**

**Hugh R. Evans, III, *Acting Director***

**1994 – 1997**

**E. J. “Mac” McArthur, *Director***

**April – September 1994**

**Howard McKenzie, *Acting Director***

**1974 – 1994**

**Melvin Cooper, *Director***