



US Legal Framework and Institutions

M. Kendall Day

Anti-Corruption Advisor

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Introduction

- Public Integrity Section
 - Est. 1976
 - Prosecute
 - Advise and Assist
 - Report



Overview of Case Study

- A Lobbyist = hired to influence public officials on behalf of a particular industry, group, or individual
- Trend in corruption allegations

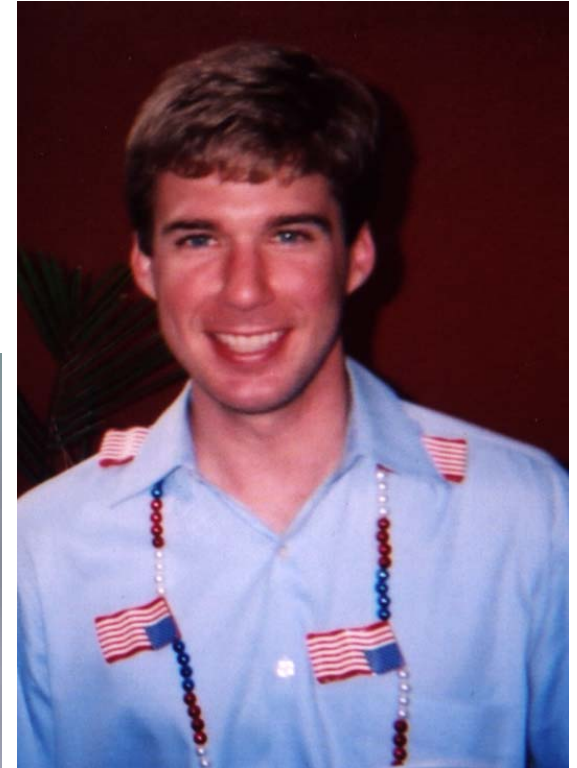


Lobbying Work

- Native American Tribal Clients
- Tribes May Operate Casinos
- Clients wanted to open casinos or prevent competitor casinos from opening



Public Officials



Allegations

- Things of value (trips, tickets to sporting events, illegal campaign contributions)
- Official action (amendment to allow Tribe to open casino)



From: Ney, Bob
Sent: 05/24/2002
To: Heaton, William
Cc:
Bcc:
Subject: Re: Fw: Re:

Ok let's talk sunday- you will be muuch caaaalmer sunday

-----Original Message-----

From: Heaton, William
To: Ney, Bob
Sent: Fri May 24 17:55:51 2002
Subject: Fw: Re:

Tony says there will be some golf on the scotland trip but also a lot drinking and cigars. They need to know by early next week. I say we do it...I can't golf either and we can be drunk by hole 5.

-----Original Message-----

From: rudyt@gtlaw.com
To: Heaton, William
Sent: Fri May 24 17:41:55 2002
Subject: Re:

Yes, drinking and smoking cubans
Tony Rudy

-----Original Message-----

From: Heaton, William
To: 'rudyt@gtlaw.com'
Sent: Fri May 24 17:39:55 2002
Subject: Re:

Will do. Will there be a lot of golf involved being that this is scotland

Other Agencies

Office of Government Ethics

- Background
- Functions
 - Propose new ethics rules and guidelines
 - Resolve questions about existing rules
 - Receive, review, and publish asset disclosure forms
- Cooperation
 - Obtain evidence
 - Obtain witnesses



UNITED STATES HOUSE OF REPRESENTATIVES	FORM A
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2002	For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER (9) ✓
 2003 JUN -2 PM 4:52
 OFFICE OF THE CLERK
 U.S. HOUSE OF REPRESENTATIVES
 (Office Use Only) *ML*

ROBERT WILLIAM NEY
 (Full Name)
2438 RAYBURN HOB
 (Mailing Address)
WASHINGTON DC 20515
 Daytime Telephone: **202-225-6265**

Filer Status	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives	State: OHIO	<input type="checkbox"/> Officer or Employee	Employing Office:
Report Type	<input checked="" type="checkbox"/> Annual (May 15)	District: 18	<input checked="" type="checkbox"/> Amendment	Termination Date:

A \$200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$285 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$285 from one source)? If yes, complete and attach Schedule VII.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

ics in Government Act of 1978, as amended. The Statement will be available to any requesting person free on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and 18 U.S.C. § 1001).

Signature of Reporting Individual	Date (Month, Day, Year)
<i>Robert Ney</i>	6/2/03

Други подаци битни за примену Закона

<i>Врста ствари/права</i>	<i>Опис ствари/права (адреса, место и држава; марка-тип, регистарска ознака; и сл)</i>	<i>Датум закључења уговора; датум од када се користи</i>	<i>Име и презиме корисника/закупца</i>

Изјављујем да су подаци наведени у овом извештају и приложеним документима истинити, потпуни и тачни и да сам их навео/ла савесно и у доброј вери, што својим потписом потврђујем.

<i>Датум и место</i>	<i>Потпис</i>

Напомена: Образац који није читко попуњен и потписан сматраће се да није поднет.

Name

ROBERT W. NEY

SCHEDULE VII — TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than \$2,000 for you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were paid or reimbursed by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; or a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination— Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Member? (Y/N)
<i>Examples:</i> Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	
Roycroft Corporation	Aug. 6-11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	
NATIONAL CENTER for Public Policy	Aug 3-9	WASH DC - Scotland - London - A.C.	Y	Y	N
SE.

Other Agencies

Federal Election Commission

- Background
 - Must report (1) source of contribution; (2) amount; and (3) date
- Functions
 - Receive and publish disclosure reports
- Cooperation
 - Obtain evidence
 - Obtain witnesses



You Are Invited To Attend The Washington Wizards vs. The L.A. Clippers Benefiting

CONGRESSMAN BOB NEY

** CHAIRMAN HOUSE ADMINISTRATION **

** CHAIRMAN OF HOUSING AND COMMUNITY OPPORTUNITY **

MEMBER COMMITTEE ON TRANSPORTATION AND INFRASTRUCTURE

*March 5th, 2003
From 7:00 to 9:30 p.m.*

MCI Center
601 F. Street N.W.
Washington, D.C.

\$1,000 per P.A.C.

RSVP and to arrange ticket delivery, Please contact Aaron Poe 740-695-1111 or email at bobney4congress@hotmail.com
TICKETS ARE LIMITED AND ARE AVAILABLE ON A FIRST COME, FIRST SERVE BASIS.

Federal law requires committees to report the name, mailing address, occupation and name of employer for each individual whose contributions aggregate in excess of \$200 in a calendar year. Contributions are not tax deductible as charitable contributions for federal income tax purposes. No corporate checks may be accepted and foreign nationals are prohibited. It is illegal for any person to reimburse another for making a contribution to a political campaign. Each spouse must sign joint contributions.

Paid for by Bob Ney for Congress, John R. Bennett, Treasurer.

Other Agencies

Internal Revenue Service

- Background
- Function
- Cooperation
 - Obtain evidence
 - Obtain witnesses
 - Additional specially trained investigators



EXPENSE REPORT

Employee: Neil Volz 99911-560262

Date: 7/24/2002

Date	Number	Description of Expense	Amount	Other	Total
7/16/2002	48974-010100	taxi to/from capitol	\$28.00		\$28.00
7/8/2002	47537-010100	taxi to/from hill	\$24		\$24.00
7/9/2002	54047-010000	taxi to/from hill	\$33.00		\$33.00
7/10/2002	47537-010100	taxi to/from hill	\$27.00		\$27.00
7/11/2002	48974-010100	taxi to/from hill	\$24.00		\$24.00
7/12/2002	54047-010000	taxi to/from hill	\$24.00		\$24.00
7/13/2002	55367-010100	taxi to/from hill	\$24.00		\$24.00
7/15/2002	48974-010100	taxi to/from hill	\$12.00		\$12.00
7/17/2002	54047-010000	Signatures - lunch (NRCC staff, Rep. Wilson)	\$280.00		\$280.00
7/16/2002	48329-010100	Signatures - dinner (Congressional & Admin. Staff)	\$250.00		\$250.00
7/16/2002	56280-010000	Signatures - dinner (Congressional & Admin. Staff)	\$300.00		\$300.00
7/16/2002	48974-010100	Signatures - dinner (Congressional & Admin. Staff)	\$500.00		\$500.00
7/16/2002	47537-010100	Signatures - dinner (Congressional & Admin. Staff)	\$400.00		\$400.00
7/16/2002	55367-010100	Signatures - dinner (Congressional & Admin. Staff)	\$750.00		\$750.00

SIGNATURES

801 Pennsylvania Ave. Washington, D.C.
Tel: 202-628-5900
Check: 10307

Server: Night Bar	Date: 07/16/2002
Table: 200	Time: 23:37

MSTRCRD
5410658424947362 Expiry: 0410
VOLZ/NEIL
AUTH 084436 ONLINE
MERCHANT# 9999

SUBTOTAL \$ 2037.20

TIP \$ 162.80

TOTAL \$ 2200.00

** CUSTOMER COPY **

Potential Charges

American Criminal Law

- Bribery
- False financial disclosure
- Tax evasion
- One-year ban
- False campaign report or laundering of contribution

Serbian Criminal Law

- Active Bribery, Art. 367, Criminal Code
- Reporting false information, Art. 72, Law on Anti-Corruption Agency
- Tax evasion, Art. 229
- Two-year ban on business relations, Art. 38, Law on Anti-Corruption Agency
- Hiding source of funding, Art. 35, Draft Law on Financing Political Activities



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