

FINANCIAL DISCLOSURE
BY STATE PUBLIC OFFICERS

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I. **Historical Background.**

A. Governor Hugh Carey – Executive Order Nos. 10.1 through 10.3 (requiring filing of Financial Disclosure Statements (FDS) and establishing Board of Public Disclosure, among other things) – Post-Watergate world (May 1975).

1. Evans v. Carey, 40 N.Y.2d 1008, 359 N.E.2d 983, 391 N.Y.S.2d 393 (1976) (generally upholding constitutionality of financial disclosure requirements in Executive Order No. 10) (check Appellate Division’s opinion in Evans v. Carey, 53 A.D.2d 109, 385 N.Y.S.2d 965 (4th Dep’t 1976)) (“ . . . the government can require information based upon stated legitimate governmental concerns with respect to private financial transactions between certain classes of public employees and private financial institutions where the claim is that such disclosure invades the right of privacy or specific constitutional guarantees. . . In our system of government no State interest is more compelling than the assertion of the right of the public to have relevant information concerning the conduct of its government and its employees.”)

2. Hunter v. City of New York, 44 NY2d 708 (1978), *aff’g* 59 AD2d 136 (1st Dep’t 1977), (Opinion on NYC local law: “Examined in this area, the local law challenged is, to the extent it ignores due process, invalid. Local Law No. 1 provides that the required detailed disclosure be filed with the City Clerk, and be made available to the public. It permits anyone, for any reason or no reason, unimpeded access to the financial disclosures of the municipal employees, even where the financial information may have no conceivable relationship to any of the duties of employment. Matters of finance do exist that are so personal in nature and so unrelated to the performance of a public servant's duties, that no useful purpose is to be served by its disclosure. On the contrary, embarrassment may be visited upon the employee for no discernible reason other than to satisfy the curiosity of others. It is suggested that the local law, yet another statute attempting to legislate ethics, may well lie within the competence of the local legislative body to enact. It should, however, be enacted with a view to preserving to the maximum extent possible the right enjoyed by the body politic at large to keep their financial affairs private, consistent with the new-found fervor of the public to know everything about everybody. The right to shield from one's friends as well as one's critics details that have no bearing whatsoever upon the performance of the employee's duties should be accorded to the employee.”)

3. Rapp v. Carey, 44 N.Y.2d 157 (1978) (“The issue is whether under the State Constitution the Governor may, by executive order, without benefit of authorizing legislation, mandate on State employees, many not subject to removal by the Governor, the filing of financial disclosure statements, and the abstention from activities not prohibited by statute. Not at issue is the wisdom of requiring such statements and prohibiting the proscribed activities, or the hardly doubted power to impose such requirements by appropriate legislation. There should be an affirmance [of the Appellate Division opinion striking down the Executive Order]. Neither in the Constitution nor in the statutes is there express or implied authority for the Governor to exact of State employees compliance with the requirements of Executive Order No. 10.1. Nor does the Governor's order merely implement existing legislation relating to conflicts of interest. The order reaches beyond that, and assumes the power of the Legislature to set State policy in an area of concededly increasing public concern.”) (Eliminated from coverage the Executive Order State all employees other than heads of departments, agencies and others who serve strictly at the pleasure of the Governor).

B. Governor Mario Cuomo – Re-established Board of Public Disclosure (Executive Order No. 3 (January 1983)) and Ethics in Government Act (L. 1987, ch.813)

1. Watkins v. New York State Ethics Com., 147 Misc. 2d 350, 554 N.Y.S.2d 955 (Sup. Ct. Albany Co. 1990) (“It is clear that the mere fact that plaintiff is a governmental employee does not mean he is completely devoid of constitutional protection. [citation omitted] However, it is clear also that in matters of financial disclosure, government employees and public officials, due to the significant governmental interest in ensuring the integrity and honesty of government and in fostering public confidence in same, have a diminished expectation of privacy as compared to their counterparts in private industry. [citation omitted]”).

2. Grygas v. New York State Ethics Com., 147 Misc. 2d 312, 554 N.Y.S.2d 779, (Sup. Ct. Albany Co. 1990) (“Where the legislature determines that there shall be an Ethics in Government Law in New York and what form it will take, and that there shall be a financial disclosure requirement for state employees, and determines the parameters of inclusion, namely, those who have ‘policy-making’ duties, a category clearly susceptible to that extrinsic corruptive influence sought to be done away with, and a further category based on a threshold compensation, on the theory that the greater the compensation of a state employee, the more likelihood that his duties will rise to the level of importance at which extrinsic corruption becomes a reasonable and realistic danger, all that is left to the administrative agencies is to decide which persons fit within the law, there is no delegation of legislative power. The determination of who is a policy maker is uniquely an administrative function.”)

C. Governor Andrew Cuomo – Public Integrity Reform Act of 2011 (L. 2011, ch. 399) and Budget Bill (L. 2015, ch. 56, Part CC)

II. Current Law -- Public Officers Law § 73-a (Judiciary covered by Judiciary Law § 211, subd. 4 and 22 NYCRR Subchapter A, Part 40).

A. Generally, must be filed by May 15th of each year for preceding calendar year (Public Officers Law § 73-a, subd. 2, para. (a)) but if filer starts work after May 15th, then must filed within 30 days after commencing work or taking position as party chair (Public Officers Law § 73-a, subd. 2, para. (e)). Academic filers file by November 15th.

B. Filed with Commission or Legislative Ethics Commission (LEC), as the case may warrant. LEC then provides statements to Commission within 45 days.

C. Timing and Procedure for Requesting an Extension of Time for Filing a Financial Disclosure Statement (19 NYCRR Part 936).

D. Random Review Program -- Executive Law § 94, subd. 9 para. (n) authorizes the Commission to conduct a program of random reviews of FDSs submitted to the Commission pursuant to Public Officers Law §73-a, and requires that this program be carried out as follows: (i) FDSs selected for review in a manner pursuant to which the identity of any particular person whose FDS is selected is unknown to the Commission and its staff before its selection; (ii) such review must include a preliminary examination of the selected FDS for internal consistency, a comparison with other records maintained by the Commission, including previously filed statements and requests for advisory opinions, and examination of relevant public information; (iii) upon completion of the preliminary examination, the Commission must determine whether further inquiry is warranted. If so, the filer must be notified in writing that the FDS is under review noting the specific areas of inquiry. The filer will be given an opportunity to provide any relevant information related to the areas of inquiry, and the opportunity to file amendments to the selected FDS on forms provided by the Commission; and (iv) if thereafter sufficient cause exists, the Commission must take additional action.

E. Targeted reviews -- Executive Law § 94, subd. 11: “The commission, or the executive director and staff of the commission if responsibility therefor has been delegated [and it has been so delegated], shall inspect all financial disclosure statements filed with the commission to ascertain whether any person subject to the reporting requirements of section seventy-three-a of the public officers law has failed to file such a statement, has filed a deficient statement or has filed a statement which reveals a possible violation of section seventy-three, seventy-three-a or seventy four of the public officers law.”

F. Required to file include:

1. State officers or employees with an annual salary rate above the job rate of SG-24 (“threshold filers”);
2. State officers or employees designated as “policy-makers” by their appointing authority (status NOT determined by Commission which is mandated by Executive Law § 94, subd. (9) para. (d) to “[a]dopt, amend, and rescind rules and regulations to assist appointing authorities in determining which persons hold policy-making positions for purposes of section seventy-three-a of the public officers law; . . .”);
3. Members or directors of public authorities, other than multi-state authorities, public benefit corporations and commissions at least one of whose members is appointed by the governor, and employees of such authorities, corporations and commissions who receive annual compensation in excess of the filing rate;

4. Members of the Legislature;
5. Legislative employees;
6. Political party chairpersons representing jurisdictions with a population exceeding 300,000;
7. Statewide elected officials; and
8. Candidates for statewide elected office or for member of the Legislature (Public Officers Law § 73-a, sub.d 2, paras. (iii) through (ix)).

III. Threshold filer (CSEA CG-24 Job Rate) v. Policy Maker (annually determined by the appointing authority and reported to the Commission in February).

- A. For **2017** May 15, 2018 (non-academic) November 15, 2018 (academic) \$97,448 (eff. 4/1/18) (up from \$95,534 from the year before)
- B. For **2018** May 15, 2019 (non-academic) November 15, 2019 (academic) \$99,394 (eff. 4/1/19)
- C. For **2019** May 15, 2020 (non-academic) November 16, 2020 (academic) \$101,379 (eff. 4/1/20)
- D. “It is the job rate of the position in which the State officer serves as of April 1st of the year in which the form is due, and not the actual compensation received during the previous calendar year, that determines whether an individual is subject to the financial disclosure requirements.” Advisory Opinion No. 05-02.
- E. “A State officer or employee who is not a policymaker and serves in a position with a full-time salary in excess of the filing rate, but who is hired on a permanent part-time basis and, thus, receives annual compensation that is intended to be less than the filing rate, and cannot exceed the filing rate, is not required to file an Annual Statement of Financial Disclosure with the Commission.” Advisory Opinion No. 09-04.
- F. Members of Boards who are already required to file an FDS because of official position need not list every Board upon which he/she sits in an ex officio capacity. Advisory Opinion No. 96-10.
- G. If individual works for more than one office or employer within the Executive branch and total combined annual salary rates for those jobs is more than \$95,534, the individual must file an FDA. However, if that person works for two different branches of government (e.g., Executive and Legislative) and annual salary rate for each job does not exceed the threshold rate, that person does not have to file an FDS. This is true even if total combined annual salary rate is more than the threshold rate.

IV. Exemptions from Filing.

- A. Procedure for Requesting an Exemption from Filing a Financial Disclosure Statement (19 NYCRR Part 935) (Executive Law § 94, subd. 9, para. k – available where appointing authority has not otherwise determined that such person is holding a policy-making position).
- B. Procedure for Requesting an Exemption from JCOPE from Publicly Disclosing Client Information Pursuant to Questions 8(b-1), 8(b-2) or 8(c) (19 NYCRR Part 942) (Executive Law § 94, subd. 9, para. (i-1)).
- C. Requests for Exemption through Office of Court Administration (22 NYCRR Part 154) (clients and IPOs).
- D. With respect to request to either the Commission or Office of Court Administration (OCA) for an exemption to disclosing the name of a client or customer in response to questions 8 (b-1), 8 (b-2) and 8 (c), all information which is the subject of or a part of such application shall remain confidential. The name of the client need not be disclosed by the reporting individual unless and until the Commission or OCA formally advises the reporting individual that he or she must disclose such names and the reporting individual agrees to represent the client. Any Commissioner or person employed by the Commission or any person employed by OCA who, intentionally and without authorization from a court of competent jurisdiction releases confidential information related to a request for an exemption received by the commission or the office of court administration shall be guilty of a class A misdemeanor.
- E. Request for deletion of specific information from public inspection or information related to spouse or unemancipated child. Request includes: 1) personal written statement of the specific nature of the duties of the job or position; 2) filer’s most recent performance standards, if applicable and available, containing the job duties and objectives of the position; 3) written statement of reasons in support of the request, stating specifically why the filer seeks to have such information deleted from public inspection or exempted from reporting, and why the filer believes that information has no material bearing on the official duties of the job or position (a mere statement that no such material bearing exists will not be accepted); and 4) completed financial disclosure statement with all the information to be deleted or exempted from reporting highlighted. (Executive Law § 94, subd. 9, paras. (h) and (i)).
- F. Executive Law 94, subd. (m). Commission authorized to “[d]etermine a question common to a class or defined category of persons or items of information required to be disclosed, where determination of the question will prevent undue repetition of requests for exemption or deletion or prevent undue complication in complying with the requirements of such section; . . .”

V. **Consequences for Deficient Filing or Failure to File.**

A. Executive Law § 94, subd. 12: “If a person required to file a financial disclosure statement with the commission has failed to file a disclosure statement or has filed a deficient statement, the commission shall notify the reporting person in writing, state the failure to file or detail the deficiency, provide the person with a fifteen day period to cure the deficiency, and advise the person of the penalties for failure to comply with the reporting requirements. Such notice shall be confidential. If the person fails to make such filing or fails to cure the deficiency within the specified time period, the commission shall send a notice of delinquency [NOD]: (a) to the reporting person; (b) in the case of a statewide elected official, member of the legislature, or a legislative employee, to the temporary president of the senate and the speaker of the assembly; and (c) in the case of a state officer or employee, to the appointing authority for such person.”

B. Condition precedent and time limits on bringing actions are also in Executive law § 94, subd. 12: “Such notice of delinquency may be sent at any time during the reporting person's service as a statewide elected official, state officer or employee, member of the assembly or the senate, or a legislative employee or a political party chair or while a candidate for statewide office, or within one year after termination of such service or candidacy. The jurisdiction of the commission, when acting pursuant to subdivision fourteen of this section with respect to financial disclosure, shall continue notwithstanding that the reporting person separates from state service, or ceases to hold public or political party office, or ceases to be a candidate, provided the commission notifies such person of the alleged failure to file or deficient filing pursuant to this subdivision.”

C. If a person fails to file or files a form that is unclear, incomplete, or is otherwise deficient, the Commission sends a notice to the filer and provides an opportunity to cure. If the deficiency is not cured, the Commission sends the filer and the appointing authority an NOD with a warning about the assessment of penalties. (Executive Law § 94, subd. 15: “A copy of any notice of delinquency or substantial basis investigation report shall be included in the reporting person's file and be available for public inspection and copying pursuant to the provisions of this section.”)

D. Penalties for knowing and willful failure to file or the knowing and willful making a false statement or give information which such individual knows to be false: (1) civil penalty in an amount not to exceed forty thousand dollars (assessed by Commission or Legislative Ethics Commission with respect to persons subject to their respective jurisdictions); or (2) either can refer to a prosecutor as a class A misdemeanor. (Executive Law § 94, subd. 14: “An individual subject to the jurisdiction of the commission who . . . knowingly and willfully fails to file an annual statement of financial disclosure or who knowingly and willfully with intent to deceive makes a false statement or fraudulent omission or gives information which such individual knows to be false on such statement of financial disclosure filed pursuant to section seventy-three-a of the public officers law shall be subject to a civil penalty in an amount not to exceed forty thousand dollars. . .”). There must be a referral for prosecution to take place.

E. A civil penalty for false filing may not be imposed in the event a category of "value" or "amount" reported hereunder is incorrect unless such reported information is falsely understated.

F. Notwithstanding any other provision of law to the contrary, no other penalty, civil or criminal may be imposed for a failure to file, or for a false filing, of such statement, except that the appointing authority may impose disciplinary action as otherwise provided by law.

G. No collateral Penal Law consequences.

VI. Availability of Statements to the Public

A. Commission and its records not subject to the Freedom of Information Law.

B. Executive Law § 94, subd. 19, para. (a), subparas. (1) – (6) govern making disclosure statements and notices of delinquency public. 19 NYCRR Part 937 are regulations governing access to materials.

C. However, under the Public Officers Law, the FDSs of elected officials are available on the Commission’s website. All other FDSs are available upon written request to the Commission. The names of unemancipated children and filers’ home addresses are automatically redacted from copies of FDSs made available for public inspection.

D. Commission posts elected officials’ FDSs for five years within 30 days of receipt of each filing. (Public Officers Law § 73-a, subd. 2, para. (k)).

ANNUAL STATEMENT OF FINANCIAL DISCLOSURE - (For calendar year 2016)

1. Name

2. (a) Title of Position

(b) Department, Agency or other Governmental Entity

(c) Address of Present Office

(d) Office Telephone Number

3. (a) Marital Status _____ . If married, please give spouse's full name including maiden name where applicable.

_____ .

(b) List the names of all unemancipated children.

Answer each of the following questions completely, with respect to calendar year 2016, unless another period or date is otherwise specified. If additional space is needed, attach additional pages.

Whenever a "value" or "amount" is required to be reported herein, such value or amount shall be reported as being within one of the following Categories in Table I or Table II of this subdivision as called for in the question: A reporting individual shall indicate the Category by letter only.

Whenever "income" is required to be reported herein, the term "income" shall mean the aggregate net income before taxes from the source identified.

The term "calendar year" shall mean the year ending the December 31st preceding the date of filing of the annual statement.

4. **(a)** List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the reporting individual with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

NONE

Position	Organization	State or Local Agency

(b) List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the spouse or unemancipated child of the reporting individual, with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

NONE

Position	Organization	State or Local Agency

5. (a) List the name, address and description of any occupation, employment (other than the employment listed under Item 2 above), trade, business or profession engaged in by the reporting individual. If such activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

NONE

Position	Name & Address of Organization	Description	State or Local Agency

- (b) If the spouse or unemancipated child of the reporting individual was engaged in any occupation, employment, trade, business or profession which activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name, address and description of such occupation, employment, trade, business or profession and the name of any such agency.

NONE

Position	Name & Address of Organization	Description	State or Local Agency

6. List any interest, in EXCESS of \$1,000, held by the reporting individual, such individual's spouse or unemancipated child, or partnership of which any such person is a member, or corporation, 10% or more of the stock of which is owned or controlled by any such person, whether vested or contingent, in any contract made or executed by a state or local agency and include the name of the entity which holds such interest and the relationship of the reporting individual or such individual's spouse or such child to such entity and the interest in such contract. Do NOT include bonds and notes. Do NOT list any interest in any such contract on which final payment has been made and all obligations under the contract except for guarantees and warranties have been performed, provided, however, that such an interest must be listed if there has been an ongoing dispute during the calendar year for which this statement is filed with respect to any such guarantees or warranties. Do NOT list any interest in a contract made or executed by a local agency after public notice and pursuant to a process for competitive bidding or a process for competitive requests for proposals.

NONE

Self, Spouse or Child	Entity Which Held Interest in Contract	Relationship to Entity and Interest in Contract	Contracting State or Local Agency	Category of Value of Contract (In Table II)

7. List any position the reporting individual held as an officer of any political party or political organization, as a member of any political party committee, or as a political party district leader. The term "party" shall have the same meaning as "party" in the election law. The term "political organization" means any party or independent body as defined in the election law or any organization that is affiliated with or a subsidiary of a party or independent body.

NONE

8. (a) If the reporting individual practices law, is licensed by the department of state as a real estate broker or agent or practices a profession licensed by the department of education, or works as a member or employee of a firm required to register pursuant to section one-e of the legislative law as a lobbyist, describe the services rendered for which compensation was paid including a general description of the principal subject areas of matters undertaken by such individual and principal duties performed. Specifically state whether the reporting individual provides services directly to clients. Additionally, if such an individual practices with a firm or corporation and is a partner or shareholder of the firm or corporation, give a general description of principal subject areas of matters undertaken by such firm or corporation.

NONE

(b) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER JULY FIRST, TWO THOUSAND TWELVE AND BEFORE DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER JULY FIRST, TWO THOUSAND TWELVE AND BEFORE DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN:

If the reporting individual personally provides services to any person or entity, or works as a member or employee of a partnership or corporation that provides such services (referred to hereinafter as a "firm"), then identify each client or customer to whom the reporting individual personally provided services, or who was referred to the firm by the reporting individual, and from whom the reporting individual or his or her firm earned fees in excess of \$10,000 during the reporting period for such services rendered in direct connection with:

- (i) A contract in an amount totaling \$50,000 or more from the state or any state agency for services, materials, or property;
- (ii) A grant of \$25,000 or more from the state or any state agency during the reporting period;
- (iii) A grant obtained through a legislative initiative during the reporting period; or
- (iv) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period.

For purposes of this question, "referred to the firm" shall mean: having intentionally and knowingly taken a specific act or series of acts to intentionally procure for the reporting individual's firm or knowingly solicit or direct to the reporting individual's firm in whole or substantial part, a person or entity that becomes a client of that firm for the purposes of representation for a matter as defined in subparagraphs (i) through (iv) of this paragraph, as the result of such procurement, solicitation or direction of the reporting individual. A reporting individual need not disclose activities performed while lawfully acting pursuant to paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article.

The disclosure requirement in this question shall not require disclosure of clients or customers receiving medical or dental services, mental health services, residential real estate brokering services, or insurance brokering services from the reporting individual or his or her firm. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, or domestic relations matters. With respect to clients represented in other matters, where disclosure of a client's identity is likely to cause harm, the reporting individual shall request an exemption from the joint commission pursuant to paragraph (i-1) of subdivision nine of section ninety-four of the executive law, provided, however, that a reporting individual who first enters public office after July first, two thousand twelve, need not report clients or customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

NONE

Client	Nature of Services Provided

(b-1) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN (FOR PURPOSES OF THIS QUESTION, "SERVICES" SHALL MEAN CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES):

If the reporting individual receives income from employment reportable in question 8(a) and personally provides services to any person or entity, or works as a member or employee of a partnership or corporation that provides such services (referred to hereinafter as a "firm"), the reporting individual shall identify each client or customer to whom the reporting individual personally provided services, or who was referred to the firm by the reporting individual, and from whom the reporting individual or his or her firm earned fees in excess of \$10,000 during the reporting period in direct connection with:

- (i) A contract in an amount totaling \$10,000 or more from the state or any state agency for services, materials, or property;
- (ii) A grant of \$10,000 or more from the state or any state agency during the reporting period;
- (iii) A grant obtained through a legislative initiative during the reporting period; or
- (iv) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period.

For such services rendered by the reporting individual directly to each such client, describe each matter that was the subject of such representation, the services actually provided and the payment received. For payments received from clients referred to the firm

by the reporting individual, if the reporting individual directly received a referral fee or fees for such referral, identify the client and the payment so received.

For purposes of this question, "referred to the firm" shall mean: having intentionally and knowingly taken a specific act or series of acts to intentionally procure for the reporting individual's firm or having knowingly solicited or directed to the reporting individual's firm in whole or substantial part, a person or entity that becomes a client of that firm for the purposes of representation for a matter as defined in clauses (i) through (iv) of this subparagraph, as the result of such procurement, solicitation or direction of the reporting individual. A reporting individual need not disclose activities performed while lawfully acting in his or her capacity as provided in paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article.

NONE

Client	Matter	Nature of Services Provided	Category of Amount (in Table I)

(b-2) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN (FOR PURPOSES OF THIS QUESTION, "SERVICES" SHALL MEAN CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES):

(i) With respect to reporting individuals who receive ten thousand dollars or more from employment or activity reportable under question 8(a), for each client or customer NOT otherwise disclosed or exempted in question 8 or 13, disclose the name of each client or customer known to the reporting individual to whom the reporting individual provided services: (A) who paid the reporting individual in excess of five thousand dollars for such services; or (B) who had been billed with the knowledge of the reporting individual in excess of five thousand dollars by the firm or other entity named in question 8(a) for the reporting individual's services.

NONE

Client	Services Actually Provided	Category of Amount (in Table I)

FOLLOWING IS AN ILLUSTRATIVE, NON-EXCLUSIVE LIST OF EXAMPLES OF DESCRIPTIONS OF "SERVICES ACTUALLY PROVIDED":

- REVIEWED DOCUMENTS AND CORRESPONDENCE;
- REPRESENTED CLIENT (IDENTIFY CLIENT BY NAME) IN LEGAL PROCEEDING;
- PROVIDED LEGAL ADVICE ON CLIENT MATTER (IDENTIFY CLIENT BY NAME);
- CONSULTED WITH CLIENT OR CONSULTED WITH LAW PARTNERS/ASSOCIATES/MEMBERS OF FIRM ON CLIENT MATTER (IDENTIFY CLIENT BY NAME);
- PREPARED CERTIFIED FINANCIAL STATEMENT FOR CLIENT (IDENTIFY CLIENT BY NAME);
- REFERRED INDIVIDUAL OR ENTITY (IDENTIFY CLIENT BY NAME) FOR REPRESENTATION OR CONSULTATION;
- COMMERCIAL BROKERING SERVICES (IDENTIFY CUSTOMER BY NAME);
- PREPARED CERTIFIED ARCHITECTURAL OR ENGINEERING RENDERINGS FOR CLIENT (IDENTIFY CUSTOMER BY NAME);
- COURT APPOINTED GUARDIAN OR EVALUATOR (IDENTIFY COURT NOT CLIENT).

(ii) With respect to reporting individuals who disclosed in question 8(a) that the reporting individual did not provide services to a client but provided services to a firm or business, identify the category of amount received for providing such services and describe the services rendered.

NONE

Services Actually Provided	Category of Amount (Table I)

A reporting individual need not disclose activities performed while lawfully acting in his or her capacity as provided in paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article.

The disclosure requirement in questions (b-1) and (b-2) shall not require disclosing clients or customers receiving medical, pharmaceutical or dental services, mental health services, or residential real estate brokering services from the reporting individual or his or her firm or if federal law prohibits or limits disclosure. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, family court, estate planning, or domestic relations matters, nor shall the reporting individual identify individuals represented pursuant to an insurance policy but the reporting individual shall in such circumstances only report the entity that provides compensation to the reporting individual; with respect to matters in which the client's name is required by law to be kept confidential (such as matters governed by the family court act) or in matters in which the reporting individual represents or provides services to minors, the client's name may be replaced with initials. To the extent that the reporting individual, or his or her firm, provided legal representation with respect to an initial public offering, and professional disciplinary rules, federal law or regulations restrict the disclosure of information relating to such work, the reporting individual shall (i) disclose the identity of the client and the services provided relating to the initial public offering to the office of court administration, who will maintain such information confidentially in a locked box; and (ii) include in his or her response to questions (b-1) and (b-2) that pursuant to this paragraph, a disclosure to the office of court administration has been made. Upon such time that the disclosure of information maintained in the locked box is no longer restricted by professional disciplinary rules, federal law or regulation, the reporting individual shall disclose such information in an amended disclosure statement in response to the disclosure requirements in questions (b-1) and (b-2). The office of court administration shall develop and maintain a secure portal through which information submitted to it pursuant to this paragraph can be safely and confidentially stored. With respect to clients represented in other matters not otherwise exempt, the reporting individual may request an exemption to publicly disclosing the name of that client from the joint commission pursuant to paragraph (i-1) of subdivision nine of section ninety-four of the executive law, or from the office of court administration. In such application, the reporting individual shall state the following: "My client is not currently receiving my services or seeking my services in connection with:

- (i) A proposed bill or resolution in the senate or assembly during the reporting period;
- (ii) A contract in an amount totaling \$10,000 or more from the state or any state agency for services, materials, or property;

- (iii) A grant of \$10,000 or more from the state or any state agency during the reporting period;
- (iv) A grant obtained through a legislative initiative during the reporting period; or
- (v) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period."

In reviewing the request for an exemption, the joint commission or the office of court administration may consult with bar or other professional associations and the legislative ethics commission for individuals subject to its jurisdiction and may consider the rules of professional conduct. In making its determination, the joint commission or the office of court administration shall conduct its own inquiry and shall consider factors including, but not limited to: (i) the nature and the size of the client; (ii) whether the client has any business before the state; and if so, how significant the business is; and whether the client has any particularized interest in pending legislation and if so how significant the interest is; (iii) whether disclosure may reveal trade secrets; (iv) whether disclosure could reasonably result in retaliation against the client; (v) whether disclosure may cause undue harm to the client; (vi) whether disclosure may result in undue harm to the attorney-client relationship; and (vii) whether disclosure may result in an unnecessary invasion of privacy to the client.

The joint commission or, as the case may be, the office of court administration shall promptly make a final determination in response to such request, which shall include an explanation for its determination. The office of court administration shall issue its final determination within three days of receiving the request. Notwithstanding any other provision of law or any professional disciplinary rule to the contrary, the disclosure of the identity of any client or customer in response to this question shall not constitute professional misconduct or a ground for disciplinary action of any kind, or form the basis for any civil or criminal cause of action or proceeding. A reporting individual who first enters public office after January first, two thousand sixteen, need not report clients or customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

(c) APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN:

If the reporting individual receives income of ten thousand dollars or greater from any employment or activity reportable under question 8(a), identify each registered lobbyist who has directly referred to such individual a client who was successfully referred to the reporting individual's business and from whom the reporting individual or firm received a fee for services in excess of five thousand dollars. Report only those referrals that were made to a reporting individual by direct communication from a person known to such reporting individual to be a registered lobbyist at the time the referral is made. With respect to each such referral, the reporting individual shall identify the client, the registered lobbyist who has made the referral, the category of value of the compensation received and a general description of the type of matter so referred. A reporting individual need not disclose activities performed while lawfully acting pursuant to paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article. The disclosure requirements in this question shall not require disclosing clients or customers receiving medical, pharmaceutical or dental services, mental health services, or residential real estate brokering services from the reporting individual or his or her firm or if federal law prohibits or limits disclosure. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, family court, estate planning, or domestic relations matters, nor shall the reporting individual identify individuals represented pursuant to an insurance policy but

the reporting individual shall in such circumstances only report the entity that provides compensation to the reporting individual; with respect to matters in which the client's name is required by law to be kept confidential (such as matters governed by the family court act) or in matters in which the reporting individual represents or provides services to minors, the client's name may be replaced with initials. To the extent that the reporting individual, or his or her firm, provided legal representation with respect to an initial public offering, and federal law or regulations restricts the disclosure of information relating to such work, the reporting individual shall (i) disclose the identity of the client and the services provided relating to the initial public offering to the office of court administration, who will maintain such information confidentially in a locked box; and (ii) include in his or her response a statement that pursuant to this paragraph, a disclosure to the office of court administration has been made. Upon such time that the disclosure of information maintained in the locked box is no longer restricted by federal law or regulation, the reporting individual shall disclose such information in an amended disclosure statement in response to the disclosure requirements of this paragraph. The office of court administration shall develop and maintain a secure portal through which information submitted to it pursuant to this paragraph can be safely and confidentially stored. With respect to clients represented in other matters not otherwise exempt, the reporting individual may request an exemption to publicly disclosing the name of that client from the joint commission pursuant to paragraph (i-1) of subdivision nine of section ninety-four of the executive law, or from the office of court administration. In such application, the reporting individual shall state the following: "My client is not currently receiving my services or seeking my services in connection with:

- (i) A proposed bill or resolution in the senate or assembly during the reporting period;
- (ii) A contract in an amount totaling \$10,000 or more from the state or any state agency for services, materials, or property;
- (iii) A grant of \$10,000 or more from the state or any state agency during the reporting period;
- (iv) A grant obtained through a legislative initiative during the reporting period; or
- (v) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period."

In reviewing the request for an exemption, the joint commission or the office of court administration may consult with bar or other professional associations and the legislative ethics commission for individuals subject to its jurisdiction and may consider the rules of professional conduct. In making its determination, the joint commission or the office of court administration shall conduct its own inquiry and shall consider factors including, but not limited to: (i) the nature and the size of the client; (ii) whether the client has any business before the state; and if so, how significant the business is; and whether the client has any particularized interest in pending legislation and if so how significant the interest is; (iii) whether disclosure may reveal trade secrets; (iv) whether disclosure could reasonably result in retaliation against the client; (v) whether disclosure may cause undue harm to the client; (vi) whether disclosure may result in undue harm to the attorney-client relationship; and (vii) whether disclosure may result in an unnecessary invasion of privacy to the client.

The joint commission or, as the case may be, the office of court administration shall promptly make a final determination in response to such request, which shall include an explanation for its determination. The office of court administration shall issue its final determination within three days of receiving the request. Notwithstanding any other provision of law or any professional disciplinary rule to the contrary, the disclosure of the identity of any client or customer in response to this question shall not constitute professional misconduct or a ground for disciplinary action of any kind, or form the basis for any civil or criminal cause of action or proceeding. A

reporting individual who first enters public office after December thirty-first, two thousand fifteen, need not report clients or customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

NONE

Client	Name of Lobbyist	Description of Matter	Category of Amount (in Table I)

(d) List the name, principal address and general description or the nature of the business activity of any entity in which the reporting individual or such individual's spouse had an investment in excess of \$1,000 excluding investments in securities and interests in real property.

NONE

9. List each source of gifts, EXCLUDING campaign contributions, in EXCESS of \$1,000, received during the reporting period for which this statement is filed by the reporting individual or such individual's spouse or unemancipated child from the same donor, EXCLUDING gifts from a relative. INCLUDE the name and address of the donor. The term "gifts" does not include reimbursements, which term is defined in item 10. Indicate the value and nature of each such gift.

NONE

Self, Spouse or Child	Name of Donor	Address	Nature of Gift	Category of Value of Gift (In Table I)

10. Identify and briefly describe the source of any reimbursements for expenditures, EXCLUDING campaign expenditures and expenditures in connection with official duties reimbursed by the state, in EXCESS of \$1,000 from each such source. For purposes of this item, the term "reimbursements" shall mean any travel-related expenses provided by nongovernmental sources and for activities related to the reporting individual's official duties such as, speaking engagements, conferences, or factfinding events. The term "reimbursements" does NOT include gifts reported under item 9.

NONE

Source	Description

11. List the identity and value, if reasonably ascertainable, of each interest in a trust, estate or other beneficial interest, including retirement plans (other than retirement plans of the state of New York or the city of New York), and deferred compensation plans (e.g., 401, 403(b), 457, etc.) established in accordance with the internal revenue code, in which the REPORTING INDIVIDUAL held a beneficial interest in EXCESS of \$1,000 at any time during the preceding year. Do NOT report interests in a trust, estate or other beneficial interest established by or for, or the estate of, a relative.

NONE

Identity	Category of Value* (In Table II)

* The value of such interest shall be reported only if reasonably ascertainable.

12. (a) Describe the terms of, and the parties to, any contract, promise, or other agreement between the reporting individual and any person, firm, or corporation with respect to the employment of such individual after leaving office or position (other than a leave of absence).

NONE

(b) Describe the parties to and the terms of any agreement providing for continuation of payments or benefits to the REPORTING INDIVIDUAL in EXCESS of \$1,000 from a prior employer OTHER THAN the State. (This includes interests in or contributions to a pension fund, profit-sharing plan, or life or health insurance; buy-out agreements; severance payments; etc.)

NONE

13. List below the nature and amount of any income in EXCESS of \$1,000 from EACH SOURCE for the reporting individual and such individual's spouse for the taxable year last occurring prior to the date of filing. Each such source must be described with particularity. Nature of income includes, but is not limited to, all income (other than that received from the employment listed under Item 2 above) from compensated employment whether public or private, directorships and other fiduciary positions, contractual arrangements, teaching income, partnerships, honorariums, lecture fees, consultant fees, bank and bond interest, dividends, income derived from a trust, real estate rents, and recognized gains from the sale or exchange of real or other property. Income from a business or profession and real estate rents shall be reported with the source identified by the building address in the case of real estate rents and otherwise by the name of the entity and not by the name of the individual customers, clients or tenants, with the aggregate net income before taxes for each building address or entity. The receipt of maintenance received in connection with a matrimonial action, alimony and child support payments shall not be listed.

NONE

Self/ Spouse	Source	Nature	Category of Amount (In Table I)

14. List the sources of any deferred income (not retirement income) in EXCESS of \$1,000 from each source to be paid to the reporting individual following the close of the calendar year for which this disclosure statement is filed, other than deferred compensation reported in item 11 hereinabove. Deferred income derived from the practice of a profession shall be listed in the aggregate and shall identify as the source, the name of the firm, corporation, partnership or association through which the income was derived, but shall not identify individual clients.

NONE

Source	Category of Amount (In Table I)

15. List each assignment of income in EXCESS of \$1,000, and each transfer other than to a relative during the reporting period for which this statement is filed for less than fair consideration of an interest in a trust, estate or other beneficial interest, securities or real property, by the reporting individual, in excess of \$1,000, which would otherwise be required to be reported herein and is not or has not been so reported.

NONE

Item Assigned or Transferred	Assigned or Transferred to	Category of Amount (In Table I)

16. List below the type and market value of securities held by the reporting individual or such individual's spouse from each issuing entity in EXCESS of \$1,000 at the close of the taxable year last occurring prior to the date of filing, including the name of the issuing entity exclusive of securities held by the reporting individual issued by a professional corporation. Whenever an interest in securities exists through a beneficial interest in a trust, the securities held in such trust shall be listed ONLY IF the reporting individual has knowledge thereof except where the reporting individual or the reporting individual's spouse has transferred assets to such trust for his or her benefit in which event such securities shall be listed unless they are not ascertainable by the reporting individual because the trustee is under an obligation or has been instructed in writing not to disclose the contents of the trust to the reporting individual. Securities of which the reporting individual or the reporting individual's spouse is the owner of record but in which such individual or the reporting individual's spouse has no beneficial interest shall not be listed. Indicate percentage of ownership ONLY if the reporting person or the reporting person's spouse holds more than five percent (5%) of the stock of a corporation in which the stock is publicly traded or more than ten percent (10%) of the stock of a corporation in which the stock is NOT publicly traded. Also list securities owned for investment purposes by a corporation more than fifty percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's spouse. For the purpose of this item the term "securities" shall mean mutual funds, bonds, mortgages, notes, obligations, warrants and stocks of any class, investment interests in limited or general partnerships and certificates of deposits (CDs) and such other evidences of indebtedness and certificates of interest as are usually referred to as securities. The market value for such securities shall be reported only if reasonably ascertainable and shall not be reported if the security is an interest in a general partnership that was listed in item 8 (a) or if the security is corporate stock, NOT publicly traded, in a trade or business of a reporting individual or a reporting individual's spouse.

NONE

Self/Spouse	Issuing Entity	Type of Security	Percentage of corporate stock owned or controlled (if more than 5% of publicly traded stock, or more than 10% if stock not publicly traded, is held)	Category of Market Value as of the close of the taxable year last occurring prior to the filing of this statement (In Table II)

17. List below the location, size, general nature, acquisition date, market value and percentage of ownership of any real property in which any vested or contingent interest in EXCESS of \$1,000 is held by the reporting individual or the reporting individual's spouse. Also list real property owned for investment purposes by a corporation more than fifty percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's spouse. Do NOT list any real property which is the primary or secondary personal residence of the reporting individual or the reporting individual's spouse, except where there is a co-owner who is other than a relative.

NONE

Self/Spouse/ Corporation	Location	Size	General Nature	Acquisition Date	Percentage of Ownership	Category of Market Value (In Table II)

18. List below all notes and accounts receivable, other than from goods or services sold, held by the reporting individual at the close of the taxable year last occurring prior to the date of filing and other debts owed to such individual at the close of the taxable year last occurring prior to the date of filing, in EXCESS of \$1,000, including the name of the debtor, type of obligation, date due and the nature of the collateral securing payment of each, if any, excluding securities reported in item 16 hereinabove. Debts, notes and accounts receivable owed to the individual by a relative shall not be reported.

NONE

Name of Debtor	Type of Obligation, Date Due, and Nature of Collateral, if any	Category of Amount (In Table II)

19.List below all liabilities of the reporting individual and such individual's spouse, in EXCESS of \$10,000 as of the date of filing of this statement, other than liabilities to a relative. Do NOT list liabilities incurred by, or guarantees made by, the reporting individual or such individual's spouse or by any proprietorship, partnership or corporation in which the reporting individual or such individual's spouse has an interest, when incurred or made in the ordinary course of the trade, business or professional practice of the reporting individual or such individual's spouse. Include the name of the creditor and any collateral pledged by such individual to secure payment of any such liability. A reporting individual shall not list any obligation to pay maintenance in connection with a matrimonial action, alimony or child support payments. Any loan issued in the ordinary course of business by a financial institution to finance educational costs, the cost of home purchase or improvements for a primary or secondary residence, or purchase of a personally owned motor vehicle, household furniture or appliances shall be excluded. If any such reportable liability has been guaranteed by any third person, list the liability and name the guarantor.

NONE

Name of Creditor or Guarantor	Type of Liability and Collateral, if any	Category of Amount (In Table II)

The requirements of law relating to the reporting of financial interests are in the public interest and no adverse inference of unethical or illegal conduct or behavior will be drawn merely from compliance with these requirements.

(Signature of Reporting Individual) **Date (month/day/year)**

Please print your home address on the lines below:

REMINDERS:

- Please review the Statement to ensure all questions have been answered, including parts (a) (b) and (c), for questions 3, 4, 5, 8 and 12.
- Please remember to sign and date the Statement.
- Please keep a copy of the completed Statement for your records.
- Please be aware that any sheets attached to the Statement are also subject to public inspection.

TABLE I

Category A	none		
Category B	\$ 1	to under	\$ 1,000
Category C	\$ 1,000	to under	\$ 5,000
Category D	\$ 5,000	to under	\$20,000
Category E	\$ 20,000	to under	\$50,000
Category F	\$ 50,000	to under	\$75,000
Category G	\$ 75,000	to under	\$100,000
Category H	\$ 100,000	to under	\$150,000
Category I	\$ 150,000	to under	\$250,000
Category J	\$ 250,000	to under	\$350,000
Category K	\$ 350,000	to under	\$450,000
Category L	\$ 450,000	to under	\$550,000
Category M	\$ 550,000	to under	\$ 650,000
Category N	\$ 650,000	to under	\$ 750,000
Category O	\$ 750,000	to under	\$ 850,000
Category P	\$ 850,000	to under	\$ 950,000
Category Q	\$ 950,000	to under	\$1,050,000
Category R	\$1,050,000	to under	\$1,150,000
Category S	\$1,150,000	to under	\$1,250,000
Category T	\$1,250,000	to under	\$1,350,000
Category U	\$1,350,000	to under	\$1,450,000
Category V	\$1,450,000	to under	\$1,550,000
Category W	\$1,550,000	to under	\$1,650,000
Category X	\$1,650,000	to under	\$1,750,000
Category Y	\$1,750,000	to under	\$1,850,000
Category Z	\$1,850,000	to under	\$1,950,000
Category AA	\$1,950,000	to under	\$2,050,000

Category BB	\$2,050,000	to under	\$2,150,000
Category CC	\$2,150,000	to under	\$2,250,000
Category DD	\$2,250,000	to under	\$2,350,000
Category EE	\$2,350,000	to under	\$2,450,000
Category FF	\$2,450,000	to under	\$2,550,000
Category GG	\$2,550,000	to under	\$2,650,000
Category HH	\$2,650,000	to under	\$2,750,000
Category II	\$2,750,000	to under	\$2,850,000
Category JJ	\$2,850,000	to under	\$2,950,000
Category KK	\$2,950,000	to under	\$3,050,000
Category LL	\$3,050,000	to under	\$3,150,000
Category MM	\$3,150,000	to under	\$3,250,000
Category NN	\$3,250,000	to under	\$3,350,000
Category OO	\$3,350,000	to under	\$3,450,000
Category PP	\$3,450,000	to under	\$3,550,000
Category QQ	\$3,550,000	to under	\$3,650,000
Category RR	\$3,650,000	to under	\$3,750,000
Category SS	\$3,750,000	to under	\$3,850,000
Category TT	\$3,850,000	to under	\$3,950,000
Category UU	\$3,950,000	to under	\$4,050,000
Category VV	\$4,050,000	to under	\$4,150,000
Category WW	\$4,150,000	to under	\$4,250,000
Category XX	\$4,250,000	to under	\$4,350,000
Category YY	\$4,350,000	to under	\$4,450,000
Category ZZ	\$4,450,000	to under	\$4,550,000
Category AAA	\$4,550,000	to under	\$4,650,000
Category BBB	\$4,650,000	to under	\$4,750,000
Category CCC	\$4,750,000	to under	\$4,850,000
Category DDD	\$4,850,000	to under	\$4,950,000
Category EEE	\$4,950,000	to under	\$5,050,000

Category FFF	\$5,050,000	to under	\$5,150,000
Category GGG	\$5,150,000	to under	\$5,250,000
Category HHH	\$5,250,000	to under	\$5,350,000
Category III	\$5,350,000	to under	\$5,450,000
Category JJJ	\$5,450,000	to under	\$5,550,000
Category KKK	\$5,550,000	to under	\$5,650,000
Category LLL	\$5,650,000	to under	\$5,750,000
Category MMM	\$5,750,000	to under	\$5,850,000
Category NNN	\$5,850,000	to under	\$5,950,000
Category OOO	\$5,950,000	to under	\$6,050,000
Category PPP	\$6,050,000	to under	\$6,150,000
Category QQQ	\$6,150,000	to under	\$6,250,000
Category RRR	\$6,250,000	to under	\$6,350,000
Category SSS	\$6,350,000	to under	\$6,450,000
Category TTT	\$6,450,000	to under	\$6,550,000
Category UUU	\$6,550,000	to under	\$6,650,000
Category VVV	\$6,650,000	to under	\$6,750,000
Category WWW	\$6,750,000	to under	\$6,850,000
Category XXX	\$6,850,000	to under	\$6,950,000
Category YYY	\$6,950,000	to under	\$7,050,000
Category ZZZ	\$7,050,000	to under	\$7,150,000
Category AAAA	\$7,150,000	to under	\$7,250,000
Category BBBB	\$7,250,000	to under	\$7,350,000
Category CCCC	\$7,350,000	to under	\$7,450,000
Category DDDD	\$7,450,000	to under	\$7,550,000
Category EEEE	\$7,550,000	to under	\$7,650,000
Category FFFF	\$7,650,000	to under	\$7,750,000
Category GGGG	\$7,750,000	to under	\$7,850,000
Category HHHH	\$7,850,000	to under	\$7,950,000
Category IIII	\$7,950,000	to under	\$8,050,000

Category JJJJ	\$8,050,000	to under	\$8,150,000
Category KKKK	\$8,150,000	to under	\$8,250,000
Category LLLL	\$8,250,000	to under	\$8,350,000
Category MMMM	\$8,350,000	to under	\$8,450,000
Category NNNN	\$8,450,000	to under	\$8,550,000
Category OOOO	\$8,550,000	to under	\$8,650,000
Category PPPP	\$8,650,000	to under	\$8,750,000
Category QQQQ	\$8,750,000	to under	\$8,850,000
Category RRRR	\$8,850,000	to under	\$8,950,000
Category SSSS	\$8,950,000	to under	\$9,050,000
Category TTTT	\$9,050,000	to under	\$9,150,000
Category UUUU	\$9,150,000	to under	\$9,250,000
Category VVVV	\$9,250,000	to under	\$9,350,000
Category WWWW	\$9,350,000	to under	\$9,450,000
Category XXXX	\$9,450,000	to under	\$9,550,000
Category YYYY	\$9,550,000	to under	\$9,650,000
Category ZZZZ	\$9,650,000	to under	\$9,750,000
Category AAAAA	\$9,750,000	to under	\$9,850,000
Category BBBB	\$9,850,000	to under	\$9,950,000
Category CCCC	\$9,950,000	to under	\$10,000,000
Category DDDDD	\$10,000,000	or over	

TABLE II

Category A	none		
Category B	\$1	to under	\$1,000
Category C	\$1,000	to under	\$5,000
Category D	\$5,000	to under	\$20,000
Category E	\$20,000	to under	\$50,000
Category F	\$50,000	to under	\$75,000
Category G	\$75,000	to under	\$100,000
Category H	\$100,000	to under	\$150,000
Category I	\$150,000	to under	\$250,000
Category J	\$250,000	to under	\$500,000
Category K	\$500,000	to under	\$750,000
Category L	\$750,000	to under	\$1,000,000
Category M	\$1,000,000	to under	\$1,250,000
Category N	\$1,250,000	to under	\$1,500,000
Category O	\$1,500,000	to under	\$1,750,000
Category P	\$1,750,000	to under	\$2,000,000
Category Q	\$2,000,000	to under	\$2,250,000
Category R	\$2,250,000	to under	\$2,500,000
Category S	\$2,500,000	to under	\$2,750,000
Category T	\$2,750,000	to under	\$3,000,000
Category U	\$3,000,000	to under	\$3,250,000
Category V	\$3,250,000	to under	\$3,500,000
Category W	\$3,500,000	to under	\$3,750,000
Category X	\$3,750,000	to under	\$4,000,000
Category Y	\$4,000,000	to under	\$4,250,000
Category Z	\$4,250,000	to under	\$4,500,000
Category AA	\$4,500,000	to under	\$4,750,000
Category BB	\$4,750,000	to under	\$5,000,000

Category CC	\$5,000,000	to under	\$5,250,000
Category DD	\$5,250,000	to under	\$5,500,000
Category EE	\$5,500,000	to under	\$5,750,000
Category FF	\$5,750,000	to under	\$6,000,000
Category GG	\$6,000,000	to under	\$6,250,000
Category HH	\$6,250,000	to under	\$6,500,000
Category II	\$6,500,000	to under	\$6,750,000
Category JJ	\$6,750,000	to under	\$7,000,000
Category KK	\$7,000,000	to under	\$7,250,000
Category LL	\$7,250,000	to under	\$7,500,000
Category MM	\$7,500,000	to under	\$7,750,000
Category NN	\$7,750,000	to under	\$8,000,000
Category OO	\$8,000,000	to under	\$8,250,000
Category PP	\$8,250,000	to under	\$8,500,000
Category QQ	\$8,500,000	to under	\$8,750,000
Category RR	\$8,750,000	to under	\$9,000,000
Category SS	\$9,000,000	to under	\$9,250,000
Category TT	\$9,250,000	to under	\$9,500,000
Category UU	\$9,500,000	or over	

**TOWN OF HUNTINGTON
ANNUAL STATEMENT OF FINANCIAL DISCLOSURE
REPORTING PERIOD: CALENDAR YEAR 20_____**

ALL QUESTIONS MUST BE COMPLETED.

1. NAME AND ADDRESS.

Last Name	Middle Initial	First Name
Title		
Department or Agency		
Department or Agency Address		Telephone No.
Residence Address		Telephone No.

2. SPOUSE AND CHILDREN.

Provide the name of your spouse (if married) and the names of any dependent children: If none, place a check mark in the following box.

none.

Spouse	Child/Age
Child/Age	Child/Age

NOTE: FOR QUESTIONS 3 TO 6. DO NOT REPORT EXACT DOLLAR AMOUNTS. INSTEAD, REPORT CATEGORIES OF AMOUNTS, USING THE FOLLOWING:

- CATEGORY A: UNDER \$5,000
- CATEGORY B: \$5,001 TO UNDER \$10,000
- CATEGORY C: \$10,001 TO UNDER \$25,000
- CATEGORY D: \$25,001 TO UNDER \$50,000
- CATEGORY E: \$50,001 TO UNDER \$100,000
- CATEGORY F: OVER \$100,000

3. FINANCIAL INTERESTS.

a. *Business Positions.* List any office, trusteeship, directorship, partnership, or other position in any business, association, proprietary, or not-for-profit organization held by you and your spouse or your dependent children, if any, and indicate whether, to your knowledge, during the reporting period, these entities had any application, request, claim or interest in any proposal before a Town department, agency, board or commission, or any litigation, negotiations or matter requiring the exercise of discretion to which the Town is a party. If none, place a check mark in the following box.

none

Name of Family Member	Position	Organization	Town Department Agency and Nature or Involvement
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

b. *Outside Employment.* Describe any outside occupation, employment, trade, business, or profession providing more than \$1,000 per year for you and your spouse and dependent children, if any, and indicate whether such activities are regulated by any state or local agency. If none, place a check mark in the following box.

none

Name of Family Member	Position	Name, Address, and Description of Organization	State or Local Agency	Category of Amount
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

c. *Clients and Customers Doing Business with the Town.* Identify any client or customer: (i) from which you know that you, your outside employer, firm, limited liability company, partnership, association, or corporation in which you are the owner of more than five percent of the outstanding shares of corporate stock, derived income in excess of five thousand dollars (\$5,000), and (ii) that you know, during

the reporting period, had any application, request, claim or interest in any proposal before a Town department, agency, board or commission, or any litigation, negotiations or matter requiring the exercise of discretion to which the Town is a party.

Do not identify any client or customer that received medical, pharmaceutical or dental services, or mental health services.

Do not identify any client or customer that received residential real estate services, other than services rendered in connection with a land use application.

Do not identify any client or customer represented in connection with an investigation or prosecution by law enforcement authorities, bankruptcy, family court, estate planning, or domestic relations matters.

Do not identify any client or customer represented pursuant to an insurance policy, but identify the source of compensation paid to you or the firm.

Do not disclose information prohibited from disclosure by federal or state law, such as information governed by the Family Court Act or the identity of any minor client or customer.

You may seek an exemption from the Board of Ethics in connection with the disclosure of identifying client or customer information.

If none, place a check mark in the following box.

none

Client or Customer	Town Application Claim, Request or Proposal	Amount of Income by Category
_____	_____	_____
_____	_____	_____
_____	_____	_____

d. Future Employment. Describe any contract, promise, or other agreement between you and anyone else with respect to your employment after leaving your Town office or position. If none, place a check mark in the following box.

none

e. Past Employment. Identify the source and nature of any income in excess of \$1,000 per year from any prior employer, including deferred income, contributions to a pension or retirement fund, profit sharing plan, severance pay, or payments under a buy-out agreement. If none, place a check mark in the following box.

none

Name and Address of Income Source	Description of Income (i.e., pension, deferred, etc.)	Category of Amount
_____	_____	_____
_____	_____	_____
_____	_____	_____

f. Investments. Itemize and describe all investments of you, your spouse, and your dependent children, if any, which have a value in excess of \$5,000, or that constitute five percent or more of the debt or equity of any business, limited liability company, partnership, association, or corporation. Include stocks, bonds, loans, pledged collateral, and other investments. List the location of all real estate within the Town of Huntington or within five hundred feet of a boundary of the Town, in which you, your spouse, or your dependent children, if any, have an interest, regardless of its value. If none, place a check mark in the following box.

none

Name of Family Member	Name and Address of Business or Real Estate	Description of Investment	Category of Amount
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

g. Trusts. Identify each interest of you, your spouse, and your dependent children in a trust or estate or similar beneficial interest in any assets in excess of \$2,000. Do not list IRS eligible retirement plans or interests in an estate or trust of a spouse, child, stepchild, dependent, parent, stepparent, sibling or stepsibling. If none, place a check mark in the following box.

none

Name of Family Member	Trustee/Executor	Description Trust/Estate	Category of Amount
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

h. Other Income. Identify the source and nature of any other income in excess of \$1,000 per year from any source not described above, including fiduciary positions, teaching income, lecture fees, consultant fees, contractual income, rents or other income of any nature, or you, your spouse and your dependent children, if any. Income from real estate rents derived from real property located in the Town of Huntington, or within five hundred feet of a boundary of the Town should be identified by the property address. Do not list maintenance, alimony or child support. If none, place a check mark in the following box.

none

Name of Family Member	Name and Address of Income Source	Nature of Income	Category of Amount
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

4. GIFTS AND HONORARIUMS.

List the source of all gifts aggregating in excess of \$250 received during the last year by you, your spouse or dependent child, excluding gifts from a Relative. The term "gifts" includes gifts of cash, property, personal items, payments to third parties on your behalf, forgiveness of debt, honorariums, and any other payments that are not reportable as income. If none, place a check mark in the following box.

none

Name of Family Member	Name and Address of Donor	Category of Amount
_____	_____	_____
_____	_____	_____
_____	_____	_____

5. THIRD-PARTY REIMBURSEMENTS.

Identify and describe the source of any third-party reimbursement for travel-related expenditures in excess of \$250 for any matter that relates to your official duties. The term "reimbursement" includes any travel-related expenses provided by anyone other than the Town of Huntington for speaking engagements, conferences, or fact-finding events that relate to your official duties. If none, place a check mark in the following box.

none

Source	Description	Category of Amount
_____	_____	_____
_____	_____	_____
_____	_____	_____

6. DEBTS.

Describe all debts of you, your spouse, and your dependent children in excess of \$5,000. Do not list any obligation to pay maintenance, alimony or child support. Do not list any loan issued in the ordinary course of business by a financial institution to finance educational costs, the cost of home purchase or improvements for a primary or secondary residence, or purchase of a personally owned motor vehicle, household furniture or appliances. If none, place a check mark in the following box.

none

Name of Family Member	Name and Address of Creditor	Category of Amount
_____	_____	_____
_____	_____	_____

7. INTEREST IN CONTRACTS.

Describe any interest of you, your spouse, or your dependent children in any contract involving the Town of Huntington or any municipality located within the Town. If none, place a check mark in the following box.

none

Name of Family Member

Contract Description

<hr/>	<hr/>
<hr/>	<hr/>
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8. POLITICAL PARTIES.

List any position you held within the last five years as an officer of any political party, political committee, or political organization. The term "political organization" includes any independent body or any organization that is affiliated with or a subsidiary of a political party. If none, place a check mark in the following box.

none

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8. DISCLOSURE BY LICENSED PROFESSIONALS AND LOBBYISTS.

a. If you were licensed to practice law, worked as a licensed real estate broker or agent, practiced a profession licensed by the New York State Education Department, or worked as a member or employee of a firm required by law to register as a lobbyist, give a general description of the principal subject areas of matters that you handled during the reporting period, the compensated services that you performed, and whether you personally provided services directly to clients. If none, place a check mark in the following box.

none

b. If you were licensed to practice law, worked as a licensed real estate broker or agent, practiced a profession licensed by the New York State Education Department, or worked as a member or employee of a firm required by law to register as a lobbyist, and are a partner or shareholder in the firm or corporation that engaged in such activities, give a general description of the principal subject areas of matters that the firm or corporation handled during the reporting period. If none, place a check mark in the following box.

none

I have received and read a copy of the Town of Huntington Code of Ethics.

Signature

Date

DO YOU HAVE QUESTIONS ABOUT THE CODE OF ETHICS? For a confidential advisory opinion, contact the Board of Ethics at the following address, or as provided on the Town's web site:

SECRETARY TO BOARD OF ETHICS
TOWN HALL
100 Main Street
Huntington, NY 11743

**NEW YORK STATE BAR ASSOCIATION
STATE AND LOCAL GOVERNMENT LAW SECTION**

Spring Forum – April 27, 2018

**ANNUAL FINANCIAL DISCLOSURE
FOR LOCAL MUNICIPALITIES**

Presented by: Steven G. Leventhal, Esq.

I. Introduction

Local financial disclosure laws were enacted in response to the adoption by New York State of the Ethics in Government Act of 1987 (the “State Act”). The State Act imposed annual financial reporting requirements on municipalities having populations of 50,000 or more, and established a Temporary State Commission on Local Government Ethics (the “Commission”) to interpret and administer the annual financial reporting requirements. The State Act specified the form and content of the annual financial disclosure that municipalities would be required to use if they did not adopt their own consistent financial disclosure laws by January 1, 1991.

The State Act gave local municipalities the option of adopting their own financial disclosure laws to be administered locally, rather than submitting to regulation under the State Act. However, it did not specify what different form of annual disclosure by local municipalities, if any, would meet the requirements of the State Act.

In a 1991 article, the former Executive Director of the Commission, Mark Davies, criticized the form of financial disclosure set forth in the State Act: “The financial disclosure form set out in the [State Act] is in many instances virtually unintelligible and is far too invasive

of the rights of officials in most municipalities. In some municipalities that form may indeed chill the willingness of good people to serve in local government.” Davies wrote that the Commission was “ever mindful of the chilling effect that overly stringent ethics regulations may have on officials’ willingness to serve, [and therefore] worked closely with its [local government] advisory board to ensure that [the] recommendations, if enacted, [would] not only promote integrity in local government but also increase citizen participation in that government.”

The Commission reviewed the annual financial disclosure form adopted by Chautauqua County, and concluded that it would meet the minimum requirements of [the State Act] if the form were amended in certain respects.

A local annual disclosure form should be written in plain English. This fact alone increases the likelihood that the goals of financial disclosure will be achieved. County officials are more likely to recognize potential conflicts when they are revealed by a form that can be understood. Similarly, public confidence in government is more likely to be fostered by disclosure statements that can be understood.

In a simplified format, the revised annual disclosure form elicits substantially the same information about the outside interests of county employees, their spouses and dependent children as is required to be disclosed by the current form (i.e., business positions, outside employment, future and past employment, investments, trusts, other income, gifts, reimbursements, debts, interest in contracts, and political party positions). The revised form does not require municipal officers and employees to disclose assignments of income, or below market transfers of assets to non-relatives. Unlike the acquisition of an outside interest, which has the potential of creating a conflict of interest, the divestiture of income or assets is not likely to create a conflict. Thus, this information is irrelevant to the legitimate purposes of financial disclosure.

Because its inquiries are limited to information that is reasonably connected with the legitimate goals of financial disclosure, the revised annual disclosure form is less likely to discourage citizen participation in government.

The State Act required various categories of municipal employees to file annual disclosure statements, including officers and employees holding “policy-making” positions. The Commission adopted guidelines for determining which officials in a municipality hold policy-making positions. The Commission guidelines were the basis for an expanded definition of policy-making set forth in the proposed legislation.

II. What Municipalities are Required to Comply?

Municipalities with populations of 50,000 or more

III. Purposes

- a. Annual Reminder of Ethical Obligations
- b. Check on Transactional Disclosure
- c. How Much Disclosure is Reasonable?

IV. History

- a. Onerous form incorporated in State Law
- b. Chilling Effect on Public Service
- c. Adoption of Simpler Form

V. Who is Required to File?

- a. Elected Officials
- c. Job Titles Listed in Local Financial Disclosure Law
- d. Policy Makers -- Policy Maker Guidelines (see Appendix)
 - Department Heads, Deputies and Assistants, others
- f. Candidates for Municipality-Wide Elective Office
- e. Local Party Officials – What is a local party official?
 - Election Law section 1-104 (Definitions) provides, in part, that:

... 3. The term "party" means any political organization which at the last preceding election for governor polled at least fifty thousand votes for its candidate for governor.

4. The term "party position" means membership on a party committee or the position of delegate or alternate to a party convention.

5. The term "party officer" means one who holds any party position or any party office whether by election, appointment or otherwise.

6. The term "committee" means any committee chosen, in accordance with the provisions of this chapter, to represent the members of a party in any political unit.

... 12. The term "independent body" means any organization or group of voters which nominates a

candidate or candidates for office to be voted for at an election, and which is not a party as herein provided.

Vi. Exemptions from Filing

- a. How is list Compiled?
- b. Lawsuit by Nassau County ADA's
- c. PERB Decisions

VII. FOIL Requests:

Deletions from Disclosure

- Notification to filer
- Opinions of NYS Committee on Open Government
- Categories of Amount – automatic
- Other Privacy Concerns eg. home addresses, children

VIII. Deadline for Filing

- a. May 15
 - Use of Municipal Home Rule Law
- b. IRS extension automatically extends deadline
- c. Board of Ethics may grant extensions

IX. Protocol for Review of Disclosure Forms

- Duty to review

- Has everyone who is required to file done so?
- Have all questions been answered?
- Compare investments and secondary employers to vendor list
- Review for further inquiry

X. Penalties

Civil Penalty up to \$10,000

- Knowing and willful failure to file
- False information with intention to deceive
- No penalty for unintentional understatement of category of amount
- Referral to D.A. for prosecution as a class A misdemeanor

XI. Appendix

- a. Temp. State Comm. on Local Gov. Ethics – approved form
- b. Simplified Form Incorporating Client Disclosures
- c. Instructions for Completing Disclosure Form
- d. Policy Maker Guidelines

MEMO TO DEPARTMENT HEADS

Each year, the Board of Ethics must receive and approve a list of town officers and employees who are required to file annual statements of financial disclosure based on their job titles and duties. The list must be filed with the Board of Ethics by March 31 of each year.

The Board of Ethics requests that every department head compile a list of town officers and employees in their respective department, including members of boards and commissions, whether paid or unpaid, who meet the broad definition of “policymaker” as that term is used in the Code of Ethics. **Please submit your list to the Board of Ethics no later than March 31.** Enclosed for your reference is a list of officers or employees of your department who were required last year to file financial disclosure statements for the previous reporting year. Please review the list, and make any additions or deletions that may be appropriate.

For the purposes of the Code of Ethics, a person is considered to hold a policymaking position if he or she exercises responsibilities of a broad scope in the formulation of plans for the implementation of goals or policy for a town department, board or agency, or acts as an advisor to a person in such a position.

In determining whether a person holds a policymaking position, the following factors should be considered. These factors should be applied to the powers and duties of the position as set forth in the job description or any applicable law or regulation as well as the actual duties performed by the person:

- Whether the position permits meaningful input into the governmental decision-making process on issues where there is room for principled disagreement on goals or their implementation;
- Whether the powers and duties of the position are broadly defined and require more than the exercise of simple ministerial competence;
- Whether the position permits the person to exercise control over other officers or employees;
- Whether the position involves the establishment of priorities or the development of programs;
- Whether the position requires or authorizes the conducting of studies or entails a significant degree of involvement in the preparation of budgets or budget requests for a local agency or municipality;
- Whether the position authorizes the person to speak on behalf of local elected officials or other policymakers;

- Whether the position entails frequent contact with local elected officials or their principal deputies.

In compiling your list, you may request the advice and assistance of counsel to the Board of Ethics:

Steven G. Leventhal, Esq.
15 Remsen Avenue
Roslyn, NY 11576
(516) 484-5440, ext. 101
sleventhal@lcmblaw.com

**ANNUAL STATEMENT OF FINANCIAL DISCLOSURE FOR
[COUNTY, CITY, TOWN, VILLAGE] OF _____
FOR 20_____**

1. NAME AND ADDRESS.

Last Name	Middle Initial	First Name
Title		
Department or Agency		
Department or Agency Address		Telephone No.
Residence Address		Telephone No.

2. SPOUSE AND CHILDREN.

Provide the name of your spouse (if married) and the names of any dependent children:

Spouse	Child/Age
Child/Age	Child/Age

NOTE: FOR QUESTIONS 3 TO 6. DO NOT REPORT EXACT DOLLAR AMOUNTS. INSTEAD, REPORT CATEGORIES OF AMOUNTS, USING THE FOLLOWING:

- | | |
|--|---|
| CATEGORY A: UNDER \$5,000 | CATEGORY D: \$25,001 TO UNDER \$50,000 |
| CATEGORY B: \$5,001 TO UNDER \$10,000 | CATEGORY E: \$50,001 TO UNDER \$100,000 |
| CATEGORY C: \$10,001 TO UNDER \$25,000 | CATEGORY F: OVER \$100,000 |

3. FINANCIAL INTERESTS.

a. *Business Positions.* List any office, trusteeship, directorship, partnership, or other position in any business, association, proprietary, or not-for-profit organization held by you and your spouse and dependent children, if any, and indicate whether these businesses are involved with the {County, City, Town, Village} of _____ in any manner.

Name of Family Member	Position	Organization	Town Department or Agency and Nature of Involvement

b. *Outside Employment.* Describe any outside occupation, employment, trade, business, or profession providing more than \$1,000 per year for you and your spouse and dependent children, if any, and indicate whether such activities are regulated by any state or local agency.

Name of Family Member	Position	Name, Address, and Description of Organization	State or Local Agency	Category of Amount
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

c. *Future Employment.* Describe any contract, promise, or other agreement between you and anyone else with respect to your employment after leaving your [County, City, Town, Village] office or position.

d. *Past Employment.* Identify the source and nature of any income in excess of \$1,000 per year from any prior employer, including deferred income, contributions to a pension or retirement fund, profit sharing plan, severance pay, or payments under a buy-out agreement.

Name and Address of Income Source	Description of Income (i.e., pension, deferred, etc.)	Category of Amount
_____	_____	_____
_____	_____	_____
_____	_____	_____

e. *Investments.* Itemize and describe all investments in excess of \$5,000 or five percent of the value in any business, corporation, partnership, or other assets, including stocks, bonds, loans, pledged collateral, and other investments, for you and your spouse and dependent children, if any. List the location of all real estate within the [County, City, Town, Village] or within five miles thereof, in which you, your spouse, or dependent children, if any, have an interest, regardless of its value.

Name of Family Member	Name and Address of Business or Real Estate	Description of Investment	Category of Amount
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

f. *Trusts.* Identify each interest in a trust or estate or similar beneficial interest in any assets in excess of \$2,000, except for IRS eligible retirement plans or interests in an estate or trust of a relative, for you and your spouse and dependent children.

Name of Family Member	Trustee/Executor	Description of Trust/Estate	Category of Amount
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

g. *Other Income.* Identify the source and nature of any other income in excess of \$1,000 per year from any source not described above, including teaching income, lecture fees, consultant fees, contractual income, or other income of any nature, for you and your spouse and your dependent children, if any.

Name of Family Member	Name and Address of Income Source	Nature of Income	Category of Amount
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

4. GIFTS AND HONORARIUMS.

List the source of all gifts aggregating in excess of \$250 received during the last year by you, your spouse or dependent child, excluding gifts from a relative. The term "gifts" includes gifts of cash, property, personal items, payments to third parties on your behalf, forgiveness of debt, honorariums, and any other payments that are not reportable as income.

Name of Family Member	Name and Address of Donor	Category of Amount
_____	_____	_____
_____	_____	_____
_____	_____	_____

5. THIRD-PARTY REIMBURSEMENTS.

Identify and describe the source of any third-party reimbursement for travel-related expenditures in excess of \$250 for any matter that relates to your official duties. The term "reimbursement" includes any travel-related expenses provided by anyone other than the [County, City, Town, Village] for speaking engagements, conferences, or fact-finding events that relate to your official duties.

Source	Description	Category of Amount
_____	_____	_____
_____	_____	_____
_____	_____	_____

6. DEBTS.

Describe all debts of you, your spouse, and dependent children in excess of \$5,000.

Name of Family Member	Name and Address of Creditor	Category of Amount
_____	_____	_____
_____	_____	_____
_____	_____	_____

7. INTEREST IN CONTRACTS.

Describe any interest of you, your spouse, or your dependent children in any contract involving the [County, City, Town, Village] or any municipality located within the [County, City, Town, Village].

Name of Family Member	Contract Description
_____	_____
_____	_____
_____	_____

8. POLITICAL PARTIES.

List any position you held within the last five years as an officer of any political party, political committee, or political organization. The term "political organization" includes any independent body or any organization that is affiliated with or a subsidiary of a political party.

Signature Date

DRAFT NOT FINAL

TOWN OF HUNTINGTON

INSTRUCTIONS FOR COMPLETING ANNUAL STATEMENT OF FINANCIAL DISCLOSURE

These instructions were adopted by the Board of Ethics to assist you in completing of the Annual Statement of Financial Disclosure. For further information, you may contact the Board of Ethics at:

Secretary to Board of Ethics
Town Hall
100 Main Street
Huntington, NY 11743
(631) 331-3354
ethics@huntingtonny.gov

FREQUENTLY ASKED QUESTIONS:

Who Must File?

You must file an Annual Statement of Financial Disclosure if you are:

- An elected Town official,
- A department head or deputy department head,
- An Attorney serving in the Town Attorney's office,
- A compensated employee appointed by the Town Board,
- A Town inspector,
- A candidates for elective Town office, or
- A Town officer or employees holding a policymaking position, as that term is broadly defined by the Town Code of Ethics.

Will My Personal Information Remain Private?

The purpose of annual financial disclosure is to promote public confidence in Town Government, and to ensure government integrity by reminding Town officers and employees of potential conflicts of interest that may arise.

Annual Statements of Financial Disclosure are generally available for public inspection

and copying pursuant to the New York Freedom of Information Law. Before releasing a disclosure statement for public inspection, the Board of Ethics will remove the categories of value, your home address, and the names of your dependent children. You may request that the Board of Ethics also withhold from public disclosure other information that, if released, would result in an unwarranted invasion of your personal privacy. The Board of Ethics will consider your request, and make its determination based on the requirements of the Freedom of Information Law.

When Must I file?

Unless you are a candidate for Town elective office, you must file your financial disclosure statement with the Board of Ethics on or before May 15 of each year. **(Note, for 2015 only, the date for filing your financial disclosure statement has been extended to December 15).**

If you are a candidate for Town elective office, you must file your financial disclosure statements with the Board of Ethics within thirty days of your nomination or designation pursuant to the New York election law.

How do I Request an Exemption from Filing?

If you have been designated as a person required to file an annual disclosure statement solely because you hold of a policymaking position, you may apply to the Board of Ethics for reconsideration of your filing status, and the Board of Ethics may grant an exemption from filing based upon factors set forth in Section 29-22(b) of the Town Code of Ethics.

Exemptions from filing may be requested by individuals, or by a Town department, agency, board or committee on behalf of a class of individuals holding the same position.

A timely request for exemption from filing, submitted to the Board of Ethics prior to the date for filing an annual disclosure statement, will automatically extend the date for filing until such time as the Board of Ethics either grants or denies the request.

How do I Request an Extension of my Time to File?

You may request that the Board of Ethics grant an extension of your time to file, based on justifiable cause or undue hardship.

In addition, the Board of Ethics will grant a request for extension of your time to file an annual statement of financial disclosure if you have filed an Application for Automatic Extension of Time to File U.S. Individual Income Tax Return (IRS Form 4868). In making such a request, you must submit a copy of the application that you filed with the Internal Revenue Service.

A timely request for extension of your time to file, submitted to the Board of Ethics prior to the date for filing an annual disclosure statement, will automatically extend the date for filing until such time as the Board of Ethics either grants or denies the request.

Where do I File?

You must file your annual statement of financial disclosure with the Town Clerk.

GENERAL INSTRUCTIONS FOR COMPLETING ALL QUESTIONS

- All questions relate to the prior calendar year.
- Your answers must be legible (please print or type your answers)
- You must complete every part of each question.
- In the answer to a question is “none”, check the box for none.
- Do not answer any question with the phrase “not applicable.”
- If two or more questions require the same response, you may reference one in response to the other.
- You may attach additional pages if more space is needed. Each additional page should include your name and the question number.

If you fail to file an annual statement of financial disclosure, or file a deficient statement, you may be subject to penalties authorized by the Town Code of Ethics, including disciplinary action and a civil fine of up to \$10,000.

It is a crime to knowingly file an annual statement of financial disclosure that contains false information.

INSTRUCTIONS FOR ANSWERING INDIVIDUAL QUESTIONS

1. NAME AND ADDRESS.

Report your full name, including any middle name or initial.

Report your official title, and your functional title if different.

Report the Town department, agency, board or committee that you work for, or to which you are appointed.

Report your Town office address and telephone number, and your home address and telephone number

2. SPOUSE AND CHILDREN.

If you were married at any time during the reporting year, report the name of your spouse.

Report the full names and ages of your dependent children.

NOTE: FOR QUESTIONS 3 TO 6, DO NOT REPORT EXACT DOLLAR AMOUNTS. INSTEAD, REPORT CATEGORIES OF AMOUNTS, USING THE FOLLOWING:

- CATEGORY A: UNDER \$5,000
- CATEGORY B: \$5,001 TO UNDER \$10,000
- CATEGORY C: \$10,001 TO UNDER \$25,000
- CATEGORY D: \$25,001 TO UNDER \$50,000
- CATEGORY E: \$50,001 TO UNDER \$100,000
- CATEGORY F: OVER \$100,000

3. FINANCIAL INTERESTS.

a. Business Positions.

Report the positions that you held (other than your Town position), or that were held by your spouse or dependent children.

Identify the position held and the name of the organization.

List any applications that the organization had pending before the Town, and any negotiations, litigation or financial interest that the organization had in a matter involving the Town.

b. Outside Employment.

Report any outside employment, business or professional activity from which you, your spouse, or your dependent children derived more than \$1,000 during the reporting year.

Identify the position held and the name of the organization.

Indicate whether the activities were regulated by and state or local government agency. List the category of amount derived from the outside employment, business or professional activity.

c. Clients and Customers Doing Business with the Town.

Identify any client or customer from which you derived more than \$5,000 in the reporting year, if you know that the client or customer had any application, claim, request or proposal pending before the Town, or any negotiations, litigation or financial interest in a matter involving the Town.

Also identify any clients or customers of your outside employer, business or professional activity, including any corporation in which you are the owner of more than five percent of the outstanding shares of corporate stock, if you know that the client or customer had any application, claim, request or proposal pending before the Town, or any negotiations, litigation or financial interest in a matter involving the Town.

Do not identify any client or customer that received medical, pharmaceutical or dental services, or mental health services.

Do not identify any client or customer that received residential real estate services, other than services rendered in connection with a land use application.

Do not identify any client or customer represented in connection with an investigation or prosecution by law enforcement authorities, bankruptcy, family court, estate planning, or domestic relations matters.

Do not identify any client or customer represented pursuant to an insurance policy, but identify the source of compensation paid to you or the firm.

Do not disclose information prohibited from disclosure by federal or state law, such as information governed by the Family Court Act or the identity of any minor client or customer.

You may seek an exemption from the Board of Ethics in connection with the disclosure of identifying client or customer information.

d. Future Employment.

Describe any contract, promise, or other agreement between you and anyone else for your

employment after leaving your Town office or position.

e. Past Employment. Identify

Report any income in excess of \$1,000 from a prior employer, including deferred income, contributions to a pension or retirement fund, profit sharing plan, severance pay, or payments under a buy-out agreement.

f. Investments.

Individually describe each investments of you, your spouse, and your dependent children, that either:

- have a value in excess of \$5,000, *or*
- constitute five percent or more of the ownership or debt any business. Include stocks, bonds, loans, pledged collateral, and other investments.

Identify mutual or investment funds, including those held through an Individual Retirement Account, but do not list the individual securities held by such mutual funds.

List the location of all real estate within the Town of Huntington or within five hundred feet of a boundary of the Town, in which you, your spouse, or your dependent children have an interest, *regardless of its value.*

Do not list any notes or mortgages that are made to a spouse, child, stepchild, dependent, parent, stepparent, sibling or stepsibling.

Do not list accounts held for a minor under the Uniform Transfer to Minors Act.

Do not list savings, checking or money market accounts.

g. Trusts.

Report each interest of more than \$2,000 that you, your spouse, and your dependent children had in a trust or estate or other beneficial interest.

For the purpose of this question, the term “interest” means a right, claim or legal share I a trust or estate, or any other beneficial interest, even if you did not receive benefits in the reporting year.

Do not report IRS eligible retirement plans or interests in an estate or trust of a spouse, child, stepchild, dependent, parent, stepparent, sibling or stepsibling.

h. Other Income.

Report all income in excess of \$1,000 from any source not reported in answering another question, including but not limited to fiduciary positions, teaching income, lecture fees, consultant fees, contractual income, rents that you, your spouse and your dependent children.

Income from real estate rents derived from real property located in the Town of Huntington, or within five hundred feet of a boundary of the Town should be identified by the property address.

Do not list maintenance, alimony or child support.

Do not list unemployment insurance benefits, workers compensation payments, disability payments, social security benefits or public assistance benefits.

Do not list proceeds of a life insurance policy or other death benefits.

4. GIFTS AND HONORARIUMS.

Report all gifts in excess of \$250 received during the last year by you, your spouse or dependent child, including gifts of cash, property, personal items, payments to third parties on your behalf, forgiveness of debt, honorariums, and any other payments that are not reportable as income.

Multiple gifts during the reporting year from the same source should added together and treated as a single gift for purposes of determining whether they exceed \$250.

Do not report gifts from a spouse, child, stepchild, dependent, parent, stepparent, sibling or stepsibling.

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5. THIRD-PARTY REIMBURSEMENTS.

Report reimbursements of travel related expenses of more than \$250 received from anyone other than the Town for activities related to your official duties, including speaking engagements, conferences, or fact-finding events.

Multiple reimbursements during the reporting year from the same source should added together and treated as a single reimbursement for purposes of determining whether they exceed \$250.

6. DEBTS.

Report all debts in excess of \$5,000 owed by you, your spouse, or your dependent child.

Do not list any obligation to pay maintenance, alimony or child support.

Do not list debts owed to a spouse, child, stepchild, dependent, parent, stepparent, sibling or stepsibling.

Do not list any loan issued in the ordinary course of business by a financial institution to finance educational costs, the cost of home purchase or improvements for a primary or secondary residence, or purchase of a personally owned motor vehicle, household furniture or appliances.

Do not list liabilities incurred in the ordinary course of a trade, business or professional practice of you or your spouse.

7. INTEREST IN CONTRACTS.

Describe any interest of you, your spouse, or your dependent children in a contract involving the Town of Huntington or any municipality located within the Town.

Also identify any such interest of your outside employer, business or professional practice, including any corporation in which you are the owner of more than five percent of the outstanding shares of corporate stock, if you know that the employer, business or professional practice has such an interest.

8. POLITICAL PARTIES.

List any position you held within the last *five years* as an officer of any political party, political committee, or political organization.

The term "political organization" includes any independent body or any organization that is affiliated with or a subsidiary of a political party.

8. DISCLOSURE BY LICENSED PROFESSIONALS AND LOBBYISTS.

If you were licensed to practice law, worked as a licensed real estate broker or agent, practiced a profession licensed by the New York State Education Department, or worked as a member or employee of a firm required by law to register as a lobbyist,

- a. give a general description of
 - the principal subject areas of matters that you handled during the reporting period,
 - the compensated services that you performed, and

- whether you personally provided services directly to clients.
- b. give a general description of the principal subject areas of matters that the firm or corporation handled during the reporting period.

YOU MUST SIGN AND DATE YOUR DISCLOSURE STATEMENT

DO YOU HAVE QUESTIONS ABOUT THE CODE OF ETHICS?

For a confidential advisory opinion, contact the Board of Ethics at the following address and telephone number, or as provided on the Town's web site:

Secretary to Board of Ethics
Town Hall
100 Main Street
Huntington, NY 11743
(631) 331-3354
ethics@huntingtonny.gov