

Local Law Filing

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Text of law should be given as amended. Do not include matter being eliminated and do not use italics or underlining to indicate new matter.

~~County~~

~~City~~

~~Town~~

~~Village~~

of ORANGETOWN

STATE OF NEW YORK
DEPARTMENT OF STATE

FILED

JUL 13 1992

Local Law No. 10 of the year 1992.

A local law amending Local Law No. 10, 1970 (Chapter 1 of the Code of the
(Insert Title)
Town of Orangetown entitled, "Code of Ethics."

Be it enacted by the TOWN BOARD of the
(Name of Legislative Body)

~~County~~

~~City~~

~~Town~~

~~Village~~

of ORANGETOWN

as follows:

LOCAL LAW ATTACHED

(If additional space is needed, attach pages the same size as this sheet, and number each.)

LOCAL LAW NO. 10, 1992
TOWN OF ORANGETOWN

A LOCAL LAW AMENDING LOCAL LAW NO. 10, 1970 (CHAPTER 1 OF THE CODE OF THE TOWN OF ORANGETOWN ENTITLED, "CODE OF ETHICS."

Be it enacted by the Town Board of the Town of Orangetown that Local Law No. 10, 1970 (Chapter 1 of the Code of the Town of Orangetown entitled, "Code of Ethics" be amended as follows:

"1. Title.

This chapter shall be known and cited as the "Ethics in Government Law of the Town of Orangetown."

2. Legislative Intent.

In a democracy, government should be open, accessible, equitable, and efficient. Democratic government requires that elected officials be independent, impartial, and responsible to the people. In order to foster public confidence in the integrity of its government, public officers must not use or be perceived to be using their office for personal gain. In order to enhance public trust in its government, this Code requires disclosure of financial interests that may influence or be perceived to influence the actions of elected officials or town employees.

Therefore, it is the intent of this legislation:

A. To establish high standards of ethical conduct for elected officials and Town employees.

B. To afford elected officials, covered employees and Town employees clear guidance to such standards.

C. To promote public confidence in the integrity of Town government.

D. To require disclosure of financial interests that may influence or be perceived to influence the actions of elected officials, candidates for elected office, and covered employees.

E. To facilitate consideration of potential problems before they arise, minimize unwarranted suspicion and enhance the accountability of government to the people.

3. Scope and Applicability.

A. Nothing contained in this chapter shall be deemed to supercede the provisions of Section 800, 801, 802, 803 and 809 of the General Municipal Law, but rather this chapter is deemed supplementary thereto. However, should a higher standard of disclosure of conflict of interest be required by this chapter, then the provisions of this chapter shall govern.

B. All other legal requirements pertaining to the conduct of elected officials, covered employees and Town employees shall not be deemed to have been superceded by this chapter, including, but not limited to rules of any State or County agency relating to licensing and discipline and any other applicable disciplinary codes.

4. Definitions.

AGENCY - shall mean any town agency, department, division, board,

commission or bureau of the Town of Orangetown.

BOARD - shall mean the Board of Ethics of the Town of Orangetown.

BUSINESS/PROFESSIONAL DEALING OR BUSINESS TRANSACTION - shall mean

(a) having or providing any contract, service or work with the Town;
(b) buying, selling, renting, leasing or otherwise acquiring from or dispensing to the Town any goods, services, or property, or obtaining any approval, grant, loan, license, permit, or other privilege from the Town, excepting that by operation of law.

CANDIDATE FOR ELECTED OFFICIAL - shall mean a candidate for townwide

office who: (a) receives the nomination of a political party, (b) files a designating petition for nomination at a primary election or (c) seeks independent nomination and who has not been designated by a party to receive a nomination. The terms "party," "designation," "primary election," "nomination" and "independent nomination" as used herein shall have the same meanings as those contained in Section 1-104 of the Election Law.

COMPENSATION - shall mean any money, thing of value or financial benefit conferred in return for services rendered or to be rendered.

COVERED EMPLOYEES - shall mean the heads (other than elected officials) of any agency, department, division, council, board, commission, or bureau of the Town and their deputies and assistants, and the officers, employees and consultants on annual retainers of such agencies, departments, divisions, boards, bureaus, commissions or councils who hold policy-making positions as determined by the

Town Board and set forth in a written instrument annexed hereto as Appendix I, which shall be filed with the Board of Ethics.

ELECTED OFFICIAL - shall mean an elected official of the Town of Orangetown.

INTEREST - shall mean a direct or indirect pecuniary or material benefit accruing to an elected official, covered employee or Town employee, his or her spouse, child or dependent, whether as a result of a contract with the Town or otherwise.

LICENSING - shall mean any agency activity respecting the grant, denial, renewal, revocation, enforcement, suspension, annulment, withdrawal, recall, cancellation or amendment of a license, permit or other form of permission conferring the right or privilege to engage in (i) a profession, trade or occupation or (ii) any business or activity regulated by a regulatory agency which, in the absence of such license, permit, or other form of permission would be prohibited.

MINISTERIAL MATTER - shall mean an administrative act carried out in a prescribed manner not allowing for substantial personal discretion.

RELATIVE - shall mean such individual's spouse or unemancipated child as defined herein, or legal dependent as defined by the Internal Revenue Code.

REPRESENTATIVE CAPACITY - shall mean the presentation of the interests of a client or other person pursuant to an agreement, express or implied, for compensation for services.

SPOUSE - shall mean the husband or wife of the reporting individual unless living separate and apart from the reporting individual with the intention of terminating the marriage or providing for permanent separation or unless separated pursuant to: (a) a judicial order, decree or judgment, or (b) a legally binding separation agreement.

TOWN EMPLOYEE - shall mean any employee other than an elected official or covered employee of the Town of Orangetown, whether paid or unpaid.

UNEMANCIPATED CHILD - shall mean any son, daughter, stepson or stepdaughter who is under the age of twenty-one, and living in the household of the reporting individual.

5. Code of Ethics.

A. No elected official, covered employee or Town employee shall directly or indirectly solicit, receive compensation or agree to receive compensation for services rendered concerning matters before any Town agency, nor shall any such person accept other employment or engage in any business transactions or make any investments directly or indirectly which create a conflict with his or her official duties.

B. No elected official, covered employee or Town employee shall have any business or professional dealings, be interested, directly or indirectly, in any manner whatsoever, except by operation of law, in any business or professional dealings with the Town of Orangetown or any agency thereof.

C. No elected official, covered employee or Town employee shall be employed, with or without compensation, as an attorney, agent, broker, director, representative or employee for any person, firm or corporation interested directly or indirectly in any manner whatsoever in business or professional dealings with the Town or any agency thereof unless full disclosure is made as to such employment to the Town Board in writing and such elected official, covered employee or Town employee disqualifies himself or herself from acting in his or her official capacity in matters affecting such person, firm or corporation.

D. No elected official, covered employee or Town employee shall accept any gift or gifts with an aggregate value of Two Hundred (\$200.00) or more, within any twelve month period, whether in the form of a service, loan, personal property, travel, entertainment or promise, or any other form of gratuity, from any person other than a relative, or from any firm, any organization, or any corporation which to his or her knowledge is interested directly or indirectly, in any manner whatsoever, in business or any case, proceeding, or application, or professional dealings with the Town, or any agency thereof.

E. No former elected official, former covered employee or former Town employee shall directly or indirectly appear, render services or have any business transaction before any Town agency concerning a matter in which he or she was personally involved for

two (2) years after termination of his or her service or employment.

F. No firm which has as a member or employee an elected official, covered employee or Town employee may appear before a Town agency.

G. No elected official, covered employee or Town employee shall disclose confidential information concerning the property, government or affairs of the Town except when permitted or required by law, nor shall he or she use such information to advance the financial or other private interests of any person, firm or corporation.

H. Any applicant or any representative of any applicant before any agency, must disclose, in writing, and on the record, any previous business dealings and/or business transactions that said applicant or representative has had with any member of said agency within the previous two (2) years.

6. Financial Disclosure.

A. Each elected official, covered employee and candidate for elective office must file an annual financial disclosure statement containing the information and in the form to be determined by resolution of the Town Board and in accordance with Section 811 and 812 of the General Municipal Law.

7. Board of Ethics.

A. There shall be a Board of Ethics consisting of five (5) members to be appointed by the Town Board, all of whom shall reside

in the Town of Orangetown and who shall serve without compensation. The members of the present Board shall continue in office until December 31, 1992, unless they or any one of them is in violation of any of the provisions of subdivision "B" hereof, in which case, said member or members are deemed to have vacated their office as of the effective date of this Chapter.

Members appointed for the period commencing January 1, 1993 and thereafter shall be appointed for a five (5) year term, except that initially the appointments shall be staggered so that one member shall be appointed for one year, one member shall be appointed for two years, one member shall be appointed for three years, one member shall be appointed for four years and one member shall be appointed for five years.

There shall be no more than two members from each political party. The members of the Board shall elect a Chairman and Secretary annually.

B. No member of the Board shall:

1. Hold any public office, elected or appointed, or be a public officer or employee of the Town of Orangetown.

2. Hold office in any political party or be employed as a lobbyist.

3. Be a relative, as that term is defined in section #4 of this Chapter, of a person holding any office or position described in 1 or 2 above.

C. Any vacancy occurring on the Board shall be filled within sixty (60) days of its occurrence by the Town Board in the same manner as the member whose vacancy is being filled was appointed. A person appointed to fill a vacancy shall be appointed for the unexpired term of the member he or she succeeds.

D. Three (3) members of the Board shall constitute a quorum, and the Board shall have power to act by a majority vote of the total number of members of the Board without vacancy.

E. Members of the Board may be removed by the Town Board for substantial neglect of duty, gross misconduct in office, inability to discharge the powers or duties of office or violation of this Chapter, after written notice and opportunity for a reply.

F. The members of the Board shall not receive compensation but shall be reimbursed for reasonable expenses incurred in the performance of their official duties.

G. The Board shall be the repository for all financial disclosure statements required pursuant to the provisions of this chapter. All documents filed with the Board, except as otherwise provided in this chapter, shall be kept confidential and shall not be used for any purpose outside of the jurisdiction of the Board, except pursuant to a lawfully issued subpoena by or on behalf of a law enforcement agency. The Board shall notify the Temporary State Commission on Local Government Ethics, if such Commission be in

existence and if not, shall file a statement with the Town Clerk, that it is the authorized repository for completed annual statements of financial disclosure and that on account thereof, such completed statements will be filed with it and not with the Commission.

H. The Board shall inspect all financial disclosure statements filed with the Board to ascertain whether any person subject to the reporting requirements of this Chapter has failed to file such a statement, has filed a deficient statement or has filed a statement which reveals a possible violation of Section 811 or Section 812 of the General Municipal Law or of this Chapter, as the case may be.

I. The Board shall obtain from the Rockland County Board of Elections lists of all candidates for elected office. The Board shall determine from such lists those candidates who have not, after the required date for filing such statement, filed the statement required by this chapter.

J. The Board shall meet at least annually in the month of June for purposes of organization and to review the status of all confidential memoranda required to be on file with it and to transact any other business as may properly come before it, and shall report publicly to the Town Board not later than the 15th day of September annually on its current state of organization, and on the timeliness of all reports required to be on file and for which notices of delinquency have been issued and on any other matters which it may appear to be a just and proper exercise of its responsibility. The

Board shall submit a reasonable budget to the Town Board and may make reasonable expenditures from funds budgeted to effectuate the purposes of this law.

K. The Board shall adopt, amend and rescind rules and regulations to govern procedures of the Board, which shall include, but not be limited to, the procedure whereby a person who is required to file an annual financial disclosure statement with the Board may request an additional period of time within which to file such statement, due to justifiable cause or undue hardship. Such rules or regulations shall provide for a date beyond which, in all cases of justifiable cause or undue hardship, no further extension of time will be granted.

L. The Board shall receive only sworn complaints alleging a violation of any of the provisions of this Chapter. The source of the complaint shall be verified prior to the commencement of any investigation thereof.

M. The Board shall permit any person required to file a statement of financial disclosure to request an exemption from any requirement to report one or more items of information which pertains to such person's spouse or unemancipated children which item or items may be exempted by the Board upon a finding by a majority of the total number of members of the Board without vacancy that the reporting individual's spouse on his or her own behalf, or on behalf of an unemancipated child, objects to providing the information necessary to make such disclosure and that the information which

would otherwise be required to be reported will have no material bearing on the discharge of the reporting person's official duties.

N. Upon written request from any person who is subject to the jurisdiction of the Board, the Board shall render advisory opinions on the requirements of the provisions of this chapter. An opinion rendered by the Board, until and unless amended or revoked, shall be binding on the Board in any subsequent proceeding concerning the person who requested the opinion and who acted in good faith unless material facts were omitted or misstated by the person in the request for an opinion. Such opinion may also be relied upon by such person, and may be introduced and shall be a defense, in any criminal or civil action. Such request and any such opinions shall be confidential..

O. If a person required to file a financial disclosure statement with the Board has failed to file a disclosure statement or has filed a deficient statement, the Board shall notify the reporting person in writing, state the failure to file or detail the deficiency, provide the person with a fifteen (15) 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 Board shall send a notice of delinquency: (1) to the reporting person and (2) in the case of a covered employee, to the appointing authority for such person. Such notice shall be available for public inspection.

P. If a reporting person has filed a statement which reveals a possible violation of the Code of Ethics of this chapter, or the Board received a sworn complaint alleging such a violation, or if the Board determines on its own initiative to investigate a possible or alleged violation, the Board shall notify the reporting person in writing, describe the possible or alleged violation of such Code of Ethics and provide the person with a fifteen (15) day period in which to submit a written response setting forth information relating to the activities cited as a possible or alleged violation of law. If the Board thereafter makes a determination that further inquiry is justified, it shall give the reporting person an opportunity to be heard. The Board shall also inform the reporting person of its rules regarding the conduct of adjudicatory proceedings and the due process procedural mechanisms available to such individual. If the Board determines, at any state of the proceeding, that there is no violation or that any potential conflict of interest violation has been rectified, it shall so advise the reporting person and the complainant, if any. All the foregoing proceedings shall be confidential. If the Board determines that there is reasonable cause to believe that a violation has occurred, it shall send notice of reasonable cause (1) to the reporting person; (2) to the complainant, if any; and (3) in the case of a covered employee, to the appointing authority for such person. Such notice shall be available for public inspection.

Q. The Board shall adopt rules governing the conduct of

adjudicatory proceedings relating to the assessment of civil penalties herein authorized. Such rules shall provide for due process procedural mechanisms substantially similar to those set forth in Article Three of the State Administrative Procedure Act, but such mechanisms need not be identical in terms or scope. Assessment of a civil penalty shall be final unless modified, suspended or vacated within thirty (30) days of imposition, and, upon becoming final, shall be subject to review at the instance of the affected reporting individual in a proceeding commenced against the appropriate body pursuant to Article Seventy-Eight of the Civil Practice Law and Rules.

R. The Board shall conduct any investigation necessary to carry out the provisions of this Chapter. Pursuant to this power and duty, the Board may administer oaths or affirmations, subpoena witnesses, compel their attendance and require the production of any books or records which it may deem relevant or material.

S. All decisions of the Board not otherwise required to be kept confidential, shall be printed and made public within thirty (30) days after their decision and shall be filed with the Town Clerk and shall be available for public inspection during regular business hours.

8. Penalties and Enforcement.

A. Any person who shall violate any of the provisions of Section 5 of this chapter shall be subject to a civil fine in an amount not to exceed Three Thousand Five Hundred Dollars (\$3,500) for

each violation. Assessment of a civil penalty hereunder shall be made by the Board.

B. An elected official, covered employee or candidate for elected official who knowingly and wilfully fails to file an annual statement of financial disclosure or who knowingly and wilfully, with intent to deceive, makes a false statement or gives information which such individual knows to be false on such statement of financial disclosure filed pursuant to Section 6 of this chapter shall be assessed a civil penalty in an amount not to exceed Ten Thousand Dollars (\$10,000). A civil penalty for false filing may not be imposed hereunder in the event a category of "value" or "amount" reported hereunder is incorrect, unless such reported information is falsely understated. 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 Board may impose disciplinary action as otherwise provided by law.

C. In the event that a civil penalty assessed by the Board shall become final and shall not be reviewed pursuant to Article Seventy-Eight of the Civil Practice Law and Rules, or, if so reviewed, such civil penalty shall be sustained or modified and, as so modified, sustained in part, the Board is hereby directed to review the facts and, if appropriate, to file appropriate disciplinary charges and to impose disciplinary action as provided by law.

9. Duties of Town Clerk.

A. The Town Clerk shall file with the Temporary State Commission on Local Government Ethics established by Section Eight Hundred Thirteen of the General Municipal Law, and in all events shall maintain as a record subject to public inspection:

1. A copy of this chapter or any amendments hereto adopted within thirty (30) days after the adoption thereof.

2. A statement that the Town of Orangetown has established a Board of Ethics in accordance with this chapter, and the composition of such Board, within thirty (30) days after the establishment of such Board.

3. A copy of the form of annual statement of financial disclosure and a statement of the date such annual statement form was promulgated by this chapter.

10. Removal.

Notwithstanding anything to the contrary contained in this chapter, the Town of Orangetown hereby elects to remove itself from the ambit of all of the provisions of Section Eight Hundred Twelve, other than Subdivision Three of such Section, of the General Municipal Law in accordance with the provisions of Subdivision Three of such Section.

11. Severability.

If any clause, sentence, paragraph, section or part of this local law shall be adjudged by any Court of competent jurisdiction to be invalid, such judgment shall not affect, impair or invalidate the

remainder thereof, but shall be confined in its operation to the clause, sentence, paragraph, section or part thereof directly involved in the controversy in which such judgement shall have been rendered.

12. Effective Date.

This local law shall take effect upon publishing, posting, and upon filing a copy with the Secretary of State as required by law.

APPENDIX I

It is the determination of the Town Board of the Town of Orangetown that the heads (other than elected officials) of any agency, department, division, council, board, commission or bureau of the Town and their deputies and assistants, and the officers, employees and consultants on annual retainers of such agencies, departments, divisions, boards, bureaus, commissions or councils who hold policy-making positions are as follows:

1. Confidential Assistant to the Supervisor.
2. Director of Finance.
3. Town Attorney.
4. Deputy Town Attorney(s).
5. Designee of Superintendent of Highways to act in his absence.
6. Director of the Department of Environmental Control.
7. Deputy Director(s) of Department of Environmental Control.
8. Landfill Supervisor (Consultant).
9. Building Inspector.
10. Acting Building Inspector.
11. Tax Assessor.
12. Comptroller
13. Deputy or Assistant Comptroller.
14. Chief of Police.
15. Police Captains.
16. Director of Purchasing.

17. Deputy or Assistant Receiver of Taxaes.
18. Superintendent of Parks and Recreation.
19. Deputy or Assistant Superintendent(s) of Parks & Recreation.
20. Planning Consultant.
21. All members of the following Boards & Commissions:
 - a. Architectural Review Board
 - b. Board of Ethics
 - c. Bureau of Fire Protection
 - d. Planning Board
 - e. Police Commission
 - f. Zoning Board of Appeals
 - g. Sanitation Commission
 - h. Board of Assessment Review
 - i. Historical Area Board of Review

This instrument shall be filed with the Board of Ethics within thirty (30) days of the effective date of the Ethics in Government Law of the Town of Orangetown. Any Town Board resolution changing or amending this instrument must be filed with the Board of Ethics during either the month of January or February in order for said resolution to be effective for that calendar year. Where such resolution is filed with the Board of Ethics later than February, such resolution shall become effective the following calendar year.

Any reporting individual who has filed a financial disclosure statement in the previous year may, in lieu of filing a new statement, submit an affidavit swearing that either there have been no changes from the previous year, or if changes have occurred in five or less items, then such changes shall be disclosed in the affidavit.

ANNUAL STATEMENT OF FINANCIAL DISCLOSURE FORM

TOWN OF ORANGETOWN - For Calendar Year

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 _____, 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: Category A - under \$5,000; Category B -

\$5,000 to under \$20,000; Category C - \$20,000 to under \$60,000; Category D - \$60,000 to under \$100,000; Category E - \$100,000 to under \$250,000; and Category F - \$250,000 or over. A reporting individual shall indicate the Category by letter only.

For the purposes of this statement, anywhere the term, "local agency" shall appear, such term shall mean a local agency, as defined in Section Eight Hundred Ten of the General Municipal Law.

4. List any office, trusteeship, directorship, partnership, or position of any nature, including honorary positions, if known, and excluding membership positions, whether compensated or not, held by the reporting individual, spouse or unemancipated child, with any firm, corporation, association, partnership, or other organization other than the State of New York or Town of Orangetown. If said 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.

<u>Self</u> <u>Spouse,</u> <u>or Child</u>	<u>Position</u>	<u>Organization</u>	Relationship With State or Local Agency
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5. List the name, address and description of any occupation, employment, trade, business or profession engaged in by the reporting individual, spouse or unemancipated child. 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.

Self, Spouse, or Child	Position	Name Address of Org.	Description	State or Local Agency	Relationship With Local Agency

6. List any interest, in excess of \$1,000, excluding bonds and notes, held by the reporting individual, such individual's spouse or unemancipated child, or partnership of which any such person is a member, or corporation, five per centum 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 list any interest in any such contract which has been performed and on which final payment has been made, except for guarantees or warranties where an ongoing dispute exists with regard to such guarantees or warranties. Do not list any interest in a contract made or executed by a state agency after public notice and pursuant to a process for competitive bidding.

<u>Self</u> <u>Spouse</u> <u>or</u> <u>Child</u>	<u>Entity</u> <u>Which Held</u> <u>Interest In</u> <u>Contract</u>	<u>Relationship</u> <u>to Entity</u> <u>and Interest</u> <u>in Contract</u>	<u>Contracting</u> <u>State or</u> <u>Local</u> <u>Agency</u>	<u>Category</u> <u>of</u> <u>Value of</u> <u>Contract</u>
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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.

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, give a general description of the principal subject areas of matters undertaken by such individual. Additionally, if such an individual practices with a firm, give a general description of principal subject areas of matters undertaken by such firm. Do not list the name of the individual clients, customers or patients.

(b) 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.

9. List each source of gifts, excluding campaign contributions, in excess of \$1,000, received by the reporting individual or such individual's spouse or unemancipated child from the same donor, excluding gifts from a relative, and 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.

<u>Self, Spouse or Child</u>	<u>Name of Donor</u>	<u>Address</u>	<u>Nature of Gift</u>	<u>Category of Value of Gift</u>

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 political subdivision for which this statement has been filed, 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 non-governmental sources and for activities related to the reporting individual's official duties such as, speaking engagements, conferences, or fact-finding events. The term "reimbursements" does not include gifts reported under Item #9.

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 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, the estate of a relative.

Identity

Category of Value*

* 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).

(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 political subdivision for which this statement is filed. (This includes interests in or contributions to a pension fund, profit-sharing plan, or life or health insurance; buy-out agreements; severance payments; etc.)

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. Nature of income includes, but is not limited to, salary for government employment, income from other 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.

<u>Self/Spouse</u>	<u>Source</u>	<u>Nature</u>	<u>Category of Amount</u>

14. List the sources of any deferred 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, but shall not identify individual clients.

<u>Source</u>	<u>Category of Amount</u>

15. List each assignment of income, or transfer of property for less than fair consideration other than to a relative, by the reporting individual of any item, in excess of \$1,000, which would otherwise be required to be reported herein and is not or has not been so reported.

<u>Item Assigned</u>	<u>Assigned or Transferred to</u>	<u>Category of Value</u>

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. If any obligation to the reporting person is guaranteed by a third person, list the obligation and the name of such person. Debts, notes and accounts receivable owed to the individual by a relative shall not be reported.

<u>Name of Debtor or Guarantor</u>	<u>Type of Obligation, Date Due and Nature of Collateral, if any</u>	<u>Category of Amount</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

19. List below all liabilities of the reporting individual and such individual's spouse, in excess of \$5,000 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. Revolving charge account information shall only be set forth if liability thereon is in excess of \$5,000 certificates of interest as are usually referred to as securities. The market value for such securities shall be reported only if reasonably ascertainable.

<u>Self/ Spouse</u>	<u>Issuing Entity</u>	<u>Type of Security</u>	<u>Category of Market Value as of the Close of the Taxable Year Last Occurring Prior to the Filing of this Statement</u>	<u>Percentage of Corporate Stock Owned or Controlled</u>
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

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, together with the names of all individuals or entities who share a direct or indirect

interest therein if known to the reporting individual. Also list real property owned for investment purposes by a corporation more than fifty percent of the stock of which is owned or controlled by the reporting individual or such individual's spouse.

Self/Spouse Other Party <u>With Interest</u>	<u>Location</u>	<u>Size</u>	<u>General Nature</u>	<u>Category of Acquisition Date</u>	Percentage Market Value Of <u>Ownership</u>
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

18. List below all notes and accounts receivable, other than from goods or services sold, held by the reporting individual.