



City of Annapolis

Ethics Commission

c/o Office of Law
145 Gorman Street, 3rd Fl
Annapolis, MD 21401-2535

Ethics@annapolis.gov • 410-263-7954 • Fax 410-268-3916 • TDD use MD Relay or 711 • www.annapolis.gov

2011 Financial Disclosure Statement

Introduction

The attached statement of financial interests seeks disclosure of potential conflicts between your duties as a municipal representative and your personal or business interests. Under the provisions of Section 2.08.050 of the Annapolis City Code (1996 Edition and Supplement), you must complete and file the statement in accordance with the following instructions.

Who must file

Statements are supplied to all persons who are required by law to make disclosure. If you have received a statement, you must complete and file it in the manner specified below.

What is filed

You must complete and file the attached questionnaire regarding your financial interests, together with any supporting schedules required under the terms of the questionnaire. In completing the questionnaire, you are not required to provide dollar values for the interests covered by the questions.

When to file

Fully completed statements and the necessary schedules must be filed with the Ethics Commission on or before the 31st day of January of each year.

Where to file

The statement must be mailed or delivered to the City Ethics Commission, c/o City of Annapolis Office of Law, address listed at the top, by the applicable filing deadline.

Definitions

As used in these instructions and the attached forms, the underlined terms have the meanings stated:

1. Interest means any legal or equitable interest, whether or not subject to an encumbrance or condition, which was owned or held, in whole or in part, jointly or severally, directly or indirectly, *at any time during the calendar year* for which a required statement is to be filed.

As so defined, interest includes an interest in any stock or similar security, pre-organization certificate of subscription, investment contract, or voting trust certificate; a limited or general partnership, joint venture, or business trust; a certificate of interest or participation in an oil, gas or other mineral royalty or lease, or any other profit-sharing agreement, a certificate or instrument of deposit for any of the foregoing; a certificate or instrument (including convertible instruments) of interest or participation in a guarantee of, or warrant or right to subscribe to or purchase, any of the foregoing; a put, call, straddle, or other option or privilege of subscribing to or purchasing any of the foregoing; or any other equity interest, however evidenced, which entitles the owner or holder thereof, directly or indirectly, along or in concert with others, to receive or direct any part of the profits from, or to exercise any part of the control over, a business entity, as well as any interest

which, conditionally or unconditionally, with or without consideration is convertible thereto. Interest also includes an interest in a note, bond, debenture, or other evidence of interest as a creditor.

Interest does *not* include an interest held solely in the capacity of personal representative, agent, custodian, fiduciary or trustee, nor does it include an interest in a time or demand deposit in a financial institution, nor an interest in an insurance or endowment policy or annuity contract under which an insurance company promises to pay a fixed number of dollars either in a lump sum or periodically for life or some other specified period.

2. Business entity includes a corporation, general or limited partnership, sole proprietorship, joint venture, unincorporated association, real estate investment trust or other business trust.
3. Person includes any natural person, corporation, partnership, trust, unincorporated association, or other organization, entity, or enterprise.
4. Business with the municipality means any one or any combination of sales, purchases, leases or contracts to, from, or with the municipality or any agency thereof, involving consideration of one thousand dollars or more on a cumulative basis during the calendar year for which a statement is required to be filed.
5. Child includes a child, adopted child, stepchild, foster child or grandchild, of whatever age.
6. Gift means the transfer of anything of economic value (regardless of form) without adequate and lawful consideration, whether or not it relates to the performance of official duties. However, gift does *not* include the solicitation, acceptance or receipt of any campaign contributions regulated in accordance with any law pertaining to the conduct of elections or the receipt of political campaign contributions.

Other Reportable Interests

In addition to interests held directly, you must also disclose the following indirect interests:

7. Any interest held by your spouse or child, if such interest was, at any time during the year for which the statement is filed, directly or indirectly controlled by you.
8. Any interest held by a business entity in which you had an interest at any time during the year for which the statement is filed.
9. Any interest held by a trust (other than a common trust fund) under which you held a reversionary interest at any time during the year for which the statement is filed, or under which you were at any time during that year a beneficiary or a trustor (but only if a revocable trust).

Additional Information

All incomplete forms will be returned. If this form is not received by the Ethics Commission on or before its due date (January 31, 2012) you may be subpoenaed to appear before the Commission.

If you need additional information or clarification regarding the completion of the statement, please contact the City of Annapolis Office of Law at 410-263-7954.



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2011 Statement of Financial Interests

Name _____ Office/Position _____

Reporting period **January 1, 2011 through December 31, 2011**

This Statement of Financial Interests, together with any required supporting schedules, describes all financial interests and related transactions and other matters required to be disclosed by me under Section 2.08.050, Financial Disclosure, of the Code of the City of Annapolis.

1. Did you during this reporting period hold interest(s) in real property, i.e. land and/or improvements including leasehold(s) and interest(s) in any oil, gas or other mineral royalty or lease? This includes all properties that are leased or owned. Answer yes if you own your residence or live in a rental property.

If yes, complete the attached Schedule 1, using one page for each property or interest. Yes No

2. Did you during this reporting period hold interest(s) in a business entity, whether or not the business entity did business with the City of Annapolis?

If yes, complete the attached Schedule 2. Yes No

3. Did you during this reporting period hold interest(s) in a business entity which does business with the City of Annapolis?

If yes, complete the attached Schedule 3. Yes No

4. Did you during this reporting period hold an office, directorship or salaried position in a corporation or other business entity doing business with the City of Annapolis?

If yes, complete the attached Schedule 4. Yes No

5. Did you or another person at your direction during this reporting period receive a gift of property or a gift of monetary value? This includes the forgiveness of any liability, directly or indirectly, from, or on behalf of, any person who does business with the City of Annapolis or is regulated by the City, exclusive of campaign contributions otherwise reported and exclusive of gifts received from a spouse, or from a relative or the spouse of such relative, but including only the following relatives: parent, grandparent, great grandparent, child, grandchild, great grandchild, brother, sister, uncle, aunt, nephew or niece.

If yes, complete the attached Schedule 5. Yes No

6. Did you during this reporting period have debt(s) (excluding retail credit accounts) owed to a person doing business with the City of Annapolis, or did you during this reporting period become involved in transaction(s) giving rise to debt(s) (excluding retail credit accounts) owed by your spouse or child to a person doing business with the City of Annapolis?

If yes, complete the Schedule 6. Yes No

7. During this reporting period was your spouse or a dependent child employed by the City of Annapolis?

If yes, complete the attached Schedule 7. Yes No

8. I wish to disclose additional interest(s) or information.

If yes, complete the attached Schedule 8. Yes No

I HEREBY CERTIFY AND AFFIRM, under penalty of perjury, that the information contained in this statement and on the attached schedules (if any) is accurate and complete to the best of my knowledge and belief.

Signature _____ Date _____

Mailing address _____

City _____ State _____ Zip _____

Phone(s), day _____

Questions 1-8 above must be answered. Do not leave any blank. If you answer "yes" to any question, you must complete the corresponding schedule. If this form is not received by the ethics commission on or before its due date (January 31, 2012) you may be subpoenaed to appear before the commission.

2011 Statement of Financial Interests

Name _____

Reporting period: January 1, 2011 through December 31, 2011

**SCHEDULE 1
Interests in Real Property**

Property information

Use one sheet for each property reported; photocopies of this form are acceptable.

Location by street address, mailing address or legal description

Nature of property, e.g. zoning, current use, etc. _____

Acquisition information

Date acquired _____

From: Name _____

Address _____

Manner of acquisition, e.g. purchased, rented, etc.

Interest held

Nature of interest e.g. owner in fee, lessee, etc. _____

Extent, i.e. 1/3, 50%; do not include dollar value

If your interest is attributed to you, rather than held directly by you (i.e., you hold indirectly, such as through a trust), explain the basis of the attribution below.

List below any conditions and the name of the holder of any encumbrances on the property (mortgages, leases, etc., not including dollar value).

Other holders: Name _____

Address _____

Interest transferred

Description of transferal if sold, gifted, or transferred during this period.

To: Name _____

Address _____

Signature _____ Date _____

