City of Annapolis
Ethics Commission
c/o Office of Law
160 Duke of Gloucester Street
Annapolis, MD 21401

ethics@annapolis.gov • 410-263-7954 • Fax 410-268-3916 • www.annapolis.gov

2015 Annual Financial Disclosure Statement for Employees and Appointed Officials

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 2.08.051 of the Annapolis City Code, you must complete and file this statement in accordance with the following instructions. Please note, this Financial Disclosure Statement is considered to be a matter of public record without the consent of the employee or appointed official completing the form.

Who Must File

In accordance with Section 2.08.051.A of the City Code, the following employees and appointed officials must complete and file Financial Disclosure Statements:

1. The City Manager, City Attorney, all department directors and deputies, and all members of the exempt service, and

2. Inspectors and investigators who enforce City Codes, City Procurement Officers and their purchasing staff, and members of the following quasi-judicial boards and commissions: Alcohol Beverage Control Board, the Board of Appeals, the Civil Service Board, the Building Board of Appeals, the Historic Preservation Commission, the Planning Commission, the Board of Supervisors of Elections, the Ethics Commission, Port Wardens, and the Police and Fire Retirement Plan Commission, and

3. All other City officials, employees, contract employees or temporary employees over pay grade 15, F15 (Fire Department), and P15 (Police Department), or who have authority to award or recommend the award of contracts or grants, or who provide advice or counsel to the City on matters pertaining to public policy or acquisition.

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. **On the Financial Disclosure Statement you must answer all questions and sign the back page but only need to complete and sign the Schedules which apply to you, i.e., Schedules for the questions to which you have answered "Yes".**

When and Where to File

Fully completed statements and supporting schedules must be filed with the Ethics Commission **on or before January 31, 2016.** This statement must be mailed or delivered to the City Ethics Commission, c/o City of Annapolis Office of Law, 160 Duke of Gloucester Street, Annapolis, MD 21401.

On-Line Fill-in-able PDF Forms

Fill-in-able 2015 Financial Disclosure Forms are available at www.annapolis.gov under the “Government” and “Forms, Permits, and Licenses in Alphabetical Order” tabs. The form can be completed on-line, saved to your computer, and printed. The printed copy of your FD Statement must be signed and then mailed or delivered to the City Ethics Commission, c/o City of Annapolis Office of Law, 160 Duke of Gloucester Street, Annapolis, MD 21401. Adobe Reader (available as a free download) is needed to view and fill out the form.

Additional Information

If this form is not received by the Ethics Commission on or before its due date, you may be subpoenaed to appear before the Commission. Incomplete forms will be returned for the missing information and a new due date provided. 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.

Definitions

The following definitions from Annapolis City Code 2.08.020 are provided for reference in completing the attached forms:

1. "Business entity" means a corporation, limited liability company, general or limited partnership, sole proprietorship, joint venture, unincorporated association or firm, institution, trust, foundation, or other organization, whether or not operated for profit. "Business entity" does not include a governmental entity.

2. "Commission" means the City of Annapolis Ethics Commission as established in Section 2.08.030.

3. "Compensation" means any money or thing of value, regardless of form, received or to be received by any individual covered by this chapter from an employer for service rendered. For the purposes of Section 2.08.070 of this chapter, if lobbying is only a portion of a person's employment, "compensation" means a prorated amount based on the time devoted to lobbying compared to the time devoted to other employment duties.

4. "Doing business with" means:

   a. Having or negotiating a contract that involves the commitment (either in a single or combination of transactions) of one thousand dollars or more of City controlled funds; or

   b. Being regulated by or otherwise under the authority of the City; or

   c. Being registered as a lobbyist in accordance with Section 2.08.070 of this chapter.

5. "Elected official" includes the Mayor and members of the City Council.

6. "Employee" means an individual who is employed by City of Annapolis. "Employee" does not include an elected official.

7. "Financial interest" means:

   a. Ownership of any interest as the result of which the owner has received, within the past three years, or is presently receiving, or in the future is entitled to receive, more than one thousand dollars per year any compensation; or

   b. Ownership, or the ownership of securities of any kind representing or convertible into ownership, of more than three percent of a business entity by a City official or employee, or the spouse of an official or employee.

8. "Gift" means the transfer of anything of economic value regardless of the 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.

9. "Interest" means any legal or equitable economic interest, whether or not subject to an encumbrance or a condition, which was owned or held, in whole or in part, jointly or severally, directly or indirectly. for purposes of Section 2.08.050 of this chapter, "interest" applies to any interests held at any time during the calendar year for which a required statement is to be filed. "Interest" does not include:

   a. An interest held in the capacity of a personal agent, representative custodian, fiduciary, or trustee, unless the holder has an equitable interest therein;

   b. An interest in a time or demand deposit in a financial institution;

c. 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;

d. A common trust fund or a trust which forms part of a pension or profit sharing plan which has more than twenty-five participants and which has been determined by the internal revenue service to be a qualified trust under §§ 401 and 501 of the Internal Revenue Code of 1954; or

e. An interest in a City pension plan, City deferred compensation plan or a college savings plan under the Internal Revenue Code.

f. An interest in any mutual fund that is publicly traded on a national scale unless the mutual fund is composed primarily of holdings of stock and interests in a specific sector or area that is regulated by the City of Annapolis.

10. "Lobbyist" or "lobbying" means the person or act of communicating in the presence of a City official or employee with the intent to influence any official action of that official or employee; or the person or act of engaging in activities having the express purpose of soliciting others to communicate with a City official or employee with the intent to influence that official or employee; and who expends (exclusive of personal travel and subsistence) in excess of two hundred fifty dollars per calendar year on food, entertainment or gifts for any officials or employees of the City.

11. "Official" means an elected official, an employee of the City directly or by contract, or a person appointed to or employed by a City agency, board, commission, or similar entity whether or not paid in whole or in part with City funds and whether or not compensated.

12. "Person" includes any natural person, or business entity.

13. "Relative", "family", and "immediate family" include spouse, siblings, parents, children, and their spouses.

Other Reportable Interests

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

1. An interest held by a member of your immediate family, if the interest was, at any time during the reporting period, directly or indirectly controlled by you.
2. An interest held by a trust or an estate in which, at any time during the reporting period, you held a reversionary interest or was a beneficiary; or, if a revocable trust, you were a settlor.

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2015 Financial Disclosure Statement for Employees and Appointed Officials

Name _____

Office/Position _____

Reporting period: January 1, 2015 through December 31, 2015

This Financial Disclosure Statement, together with any required supporting schedules, describes all financial interests and related transactions and other matters required to be disclosed by me under Section 2.08.051 of the Annapolis City Code.

1. Did you during this reporting period hold interest(s) in real property located in the State of Maryland? This includes all properties that you own or lease from others in Maryland, including your residence.

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

   If no, please explain: _____

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? This includes ownership of public and privately held corporation stock, trusts, and the participation in partnerships but not the ownership of mutual funds. Business entity is defined on page 2 of the instructions.

   If yes, complete the attached Schedule 2. ___ Yes ___ No

3. Did you or another person at your direction during this reporting period receive a gift of property or a gift of monetary value from a regulated lobbyist, from a person doing or seeking to do business with the City of Annapolis, or from a business entity regulated or controlled by the City?

   If yes, complete the attached Schedule 3. ___ Yes ___ No

4. Did you or a member of your immediate family during this reporting period hold interest(s) in or hold an office, directorship or salaried position in a business entity doing business with the City of Annapolis?

   If yes, complete the attached Schedule 4. ___ Yes ___ No

5. Did you or a member of your immediate family during this reporting period have indebtedness (excluding retail credit accounts) to persons doing business with the City of Annapolis?

   If yes, complete the attached Schedule 5. ___ Yes ___ No

6. Was a member of your immediate family at any time during this reporting period employed by the City of Annapolis?

   If yes, complete the attached Schedule 6. ___ Yes ___ No

This Form Continues with Question 7 on Back Side of this Page

7. Did you or any member of your immediate family (except for a minor child's employment) receive earned income from business entities other than the City of Annapolis during this reporting period?

   If yes, complete the attached Schedule 7. ___ Yes ___ No

8. Do you wish to disclose any 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 ITS ATTACHED SCHEDULES (IF ANY) IS ACCURATE AND COMPLETE TO THE BEST OF MY KNOWLEDGE AND BELIEF.

Signature _____ Date _____

Mail address _____

City _____ ST _____ Zip _____

Phone(s), day _____

Questions 1 to 8 above must all be answered. If you answer "yes" to any question, you must complete, date, and sign the corresponding schedule. If this form is not received by the Ethics Commission on or before January 31, 2016, you may be subpoenaed to appear before the Commission.

Statement of Financial Interests

Name _____

Reporting period: January 1, 2015 through December 31, 2015

SCHEDULE 1
Interests in Real Property Located in Maryland

1. Property Information

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

Location by street address, mailing address, and description of property:

_____

2. Interest Held

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

Extent of interest held, 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(s) of any encumbrances on the property (mortgages, leases, etc., not including dollar value:

_____

3. Acquisition Information

Date acquired: _____

From: Name(s): _____

Address: _____

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

4. Other Holders with Interest in this Property

Name(s): _____

5. If Interest Transferred During This Reporting Period

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

Method of Transfer: _____

Date of Transfer: _____

Transferred to:

Name(s): _____

Address: _____

Signature _____ Date _____

Statement of Financial Interests

Name _____

Reporting period: January 1, 2015 through December 31, 2015

SCHEDULE 2

Interest in Business Entities *

* The value of your interest in business entities does not need to be reported. The names of and your interest in mutual funds does not need to be reported.

Name of Business Entity, i.e., of the corporation, partnership, limited liability partnership, or limited liability corporation

Signature _____ Date _____

Statement of Financial Interests

Name _____

Reporting period: January 1, 2015 through December 31, 2015

SCHEDULE 3
Gifts from Persons Doing Business with or Regulated by the City of Annapolis *

* Reportable gifts include meals and beverages costing more than $35.00 each and each gift in excess of $20.00 or a series of lesser valued gifts totaling over $100.00 from any one person within the calendar year. Gifts received from a person related to you by blood or marriage, or any other individual who is a member of your household, should not be reported.

Nature, value of gift, and date received.	Identity of person from whom gift was received	Identity of recipient of gift if not yourself

Signature _____ Date _____

Statement of Financial Interests

Name _____

Reporting period: January 1, 2015 through December 31, 2015

SCHEDULE 4

Offices, Directorships and Salaried Employment Held by you or Members of your Immediate Family in Business Entities Doing Business with the City of Annapolis

Name of person and relationship if other than yourself	Name and address of principal office of Business Entity	Title and nature of Office, Directorship or Salaried Employment held and date it commenced	City Agency with which involved as defined in Doing business with, paragraph 4 of the provided definitions

Signature _____ Date _____

Statement of Financial Interests

Name _____

Reporting period: January 1, 2015 through December 31, 2015

SCHEDULE 5

Debts Owed by You or Your immediate Family to Entities Doing Business with the City of Annapolis *

* Do not include retail credit accounts, which do not have to be reported.

Name of person and relationship if other than yourself	Identity of person to whom debt owed and date liability was incurred	Amount of liability owed at end of reporting period	Terms of payment, extent to which liability increased or reduced during the year, identification of security given, if any

Signature _____ Date _____

Statement of Financial Interests

Name _____

Reporting period: January 1, 2015 through December 31, 2015

SCHEDULE 6

Members of Immediate Family Employed by the City of Annapolis

In any capacity at any time during the reporting period

Identity of spouse, sibling, parent, children, or their spouses who are employed by the City	Nature and title of position held	Length of employment

Signature _____ Date _____

Statement of Financial Interests

Name _____

Reporting period: January 1, 2015 through December 31, 2015

SCHEDULE 7

Earned Income by you or Members of your Immediate Family*
from Business Entities other than the City of Annapolis

* A minor child's employment or business ownership need not be disclosed if the agency that employs the individual does not regulate, exercise authority over, or contract with the place of employment or business entity of the minor child.

Name of person and relationship if other than yourself	Name and address of each employer or business entity providing earned income during the reporting period

Signature _____ Date _____

Statement of Financial Interests

Name _____

Reporting period: January 1, 2015 through December 31, 2015

SCHEDULE 8
Additional interest(s) or Information Disclosure

Nature of interest or transaction	Other pertinent information

Signature _____ Date _____