

NEW YORK STATE JOINT COMMISSION ON PUBLIC ETHICS

2014

Financial Disclosure Statement Supplemental Form for Certain Municipal Officials

INTRODUCTION

Pursuant to Resolution 16-01 of the Joint Commission on Public Ethics ("JCOPE"), certain individuals required to submit an annual statement of financial disclosure (an "FDS") may be permitted to submit this FDS Supplemental Form ("Supplemental Form") in lieu of the complete filing.

ELIGIBILITY

This Supplemental Form may be utilized by any individual who is required to file both: an FDS with JCOPE pursuant to Section 73-a of the Public Officers Law; and an Annual Disclosure Report with the New York City Conflicts of Interest Board ("COIB") pursuant to Section 12-110 of the New York City Administrative Code.

PROCEDURE

In order to use the Supplemental Form, the filer must:

1. Complete all questions in the Annual Disclosure Report;
2. Complete all questions in the Supplemental Form;
3. Submit to JCOPE this Supplemental Form and an *un-redacted* copy of the filer's Annual Disclosure Report (and any amendments), as filed with COIB.

INSTRUCTIONS

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

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 Disclosure Report.

<i>Employee Details</i>	
<i>Name</i>	
<i>State Agency</i>	
<i>Title of position</i>	
<i>Filing Year</i>	

**Client Disclosure and Business Relationships
FDS Questions 8(a)-(b)**

8(a) If the reporting individual 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 is a partner or shareholder of the firm, give a general description of principal subject areas of matters undertaken by such firm.

NONE

8(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 JCOPE pursuant to paragraph (i) 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

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)