

APPENDIX "A"

ANNUAL STATEMENT OF FINANCIAL DISCLOSURE FOR ULSTER COUNTY FOR THE CALENDAR YEAR _____

- 1. Name

- 2. (a) Title of Position
(b) Department or Agency

- 3. (a) Marital Status – If married, please give spouse’s full name including maiden name where applicable: _____
(b) List the name of any domestic partner: _____
(c) List the names of all un-emancipated children:

Answer each of the following questions completely, with respect to calendar year.

If additional space is needed, attach additional pages.

For the purpose of this statement, anywhere the term “local agency” shall appear, such term shall mean a local agency of the County of Ulster as defined in § 810 (12) of the General Municipal Law.

- 4. (a) List any office, trusteeship, directorship, partnership or position of any nature including honorary positions but excluding membership positions, whether compensated or not, held by the reporting individual with any firm, corporation, association, partnership or other organization other than the County of Ulster. If said entity was licensed or regulated by any County 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 County agency, list the names of such agency.

<u>Position</u>	<u>Organization</u>	<u>Agency</u>

(b) List the same information as required by 4(a) above for your spouse/domestic partner and any un-emancipated children.

<u>Position</u>	<u>Organization</u>	<u>Agency</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

5. (a) List the name, address and description of any occupation, employment, trade, business or profession engaged in by the reporting individual. If such activity was licensed or regulated by any Ulster County 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 Ulster County agency, list the names of any such County agency:

<u>Position</u>	<u>Name & Address of Organization</u>	<u>Description</u>	<u>Agency</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

(b) List the name, address and description of any occupation, employment, trade, business or profession engaged in by the spouse/domestic partner or un-emancipated child of the reporting individual. If such activity was licensed or regulated by any Ulster County 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 Ulster County agency, list the names of any such County agency:

<u>Position</u>	<u>Name & Address of Organization</u>	<u>Description</u>	<u>Agency</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

6. List any interest in excess of \$1,000.00, excluding bonds and notes, held by the reporting individual, such individual's spouse/domestic partner or un-emancipated child, or partnership of which any such person is a member, or corporation, ten 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 an Ulster County agency and include the name of the entity which holds such interest and the relationship of the reporting individual or such individual's spouse/domestic partner or such child to such entity and the interest in such contract. 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.

Self, Spouse, Domestic <u>Partner or Child</u>	<u>Entity which Held Interest in Contract</u>	<u>Relationship to Entity and Interest in Contract</u>	<u>Contracting Agency</u>
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7. List any position the reporting individual held as an officer of any political party, 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.

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, given a general description of the principal subject areas of matters undertaken by such individual. 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. Do not list the names 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/domestic partner had an investment in excess of \$1,000.00 excluding investments in publicly traded securities and interests in real property.

9. List each source of gifts, excluding campaign contributions, in excess of \$1,000.00 received during the reporting period for which this statement is filed by the reporting individual or such individual's spouse/domestic partner or un-emancipated child from the same donor, excluding gifts from a relative. Include the name and address of the donor. The term "gift" does not include reimbursements, which term is defined in item 10. Indicate the nature of each gift.

<u>Self, Spouse, Domestic Partner or Child</u>	<u>Nature of Donor</u>	<u>Address</u>	<u>Nature 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 \$1,000.00 from each such source. For purposes of this item, the term "reimbursement" shall mean payment for 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 "reimbursement" does not include gifts reported under item 9.

<u>Source</u>	<u>Description</u>

11. (a) Describe 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 any agreement providing for continuation of payments or benefits to the reporting individual in excess of \$1,000.00 from a prior employer other than Ulster County. (This includes interest in or contributions to a pension fund, profit-sharing plan, or life or health insurance; buy-out agreements, severance payments, etc.)

12. List below the nature of any net income as reported for income tax purposes in excess of \$1,000.00 from each source for the reporting individual and the reporting individual's spouse/domestic partner for the taxable year last occurring prior to the date of filing. Nature of income shall mean salary for government employment, income from other compensated employment whether honorariums, lecture fees, consultant fees and real estate rents. 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 business or professional entity and not by the name of the individual customers, clients or tenants. 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>Domestic Partner</u>	<u>Source</u>	<u>Nature</u>

13. List the sources of any income in excess of \$1,000.00 from each source to be paid to the reporting individual under the terms of any agreement entered into during the calendar year for which the disclosure statement is filed and to be paid following the close of such calendar year. 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, corporate, partnership or association through which the income was derived, but shall not identify individual clients.

Source

14. List each assignment of income in excess of \$1,000.00 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 \$1,000.00, which would otherwise be required to be reported herein and is not or has not been so reported.

Items Assigned or Transferred

Assigned or Transferred To

15. List the name of any corporation of which he or she, or his or her spouse/domestic partner, is an officer, director, or employee, or of which he or she, or his or her spouse/domestic partner, legally or beneficially owns or controls more than five (5) percent of the outstanding stock, and his or her position, and his or her spouse's/domestic partner's position, if any, with the corporation.

Self/Spouse

Domestic Partner

Name of Corporation

Position

16. List the location of any real property within the County or within five miles of the County in which he or she or his or her spouse/domestic partner or other member of his or her household, currently has an ownership or other financial interest.

<u>Self/Spouse/Domestic Partner/Other Party</u>	<u>Address of Real Property</u>
_____	_____
_____	_____
_____	_____
_____	_____

17. List the location of any real property within the County or within five miles of the County in which he or she or his or her spouse/domestic partner or other member of his or her household, has had an ownership or other financial interest within the last five years.

<u>Self/Spouse/Domestic Partner/Other Party</u>	<u>Address of Real Property</u>
_____	_____
_____	_____
_____	_____
_____	_____

18. List below 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 \$5,000.00 including the name of debtor, type of obligation and date due. Debts, notes and accounts receivable owed to the individual by a relative shall not be reported.

<u>Name of Debtor</u>	<u>Type of Obligation and Nature of Collateral, if any</u>
_____	_____
_____	_____
_____	_____
_____	_____

19. List below all liabilities of the reporting individual and such individual's spouse/domestic partner, in excess of \$5,000.00 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/domestic partner or by any proprietorship, partnership or corporation in which the reporting

individual or such individual's spouse/domestic partner 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/domestic partner. 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 \$5,000.00 at the time of filing. 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.

Name of Creditor
and/or Guarantor

Type of Liability and
Collateral, if any

The requirements of law relating to the reporting of financial interest 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)

State of New York }
County of _____} ss.:

On the _____ day of _____ in the year _____ before me the undersigned, a Notary Public in and for said State, personally appeared _____ personally known to me or proved to me on the basis of satisfactory evidence to be the individual whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her capacity and that by his/her signature on the instrument, the individual, or person upon behalf of which the individual acted, executed the instrument.

(Signature and Office of individual taking acknowledgement)