

House Resolution 8 - Introduced

PAG LIN

1 1 HOUSE RESOLUTION NO. _____
1 2 BY COMMITTEE ON ETHICS
1 3 (SUCCESSOR TO HSB 48)
1 4 A Resolution relating to the House code of ethics.
1 5 BE IT RESOLVED BY THE HOUSE OF REPRESENTATIVES,
1 6 That the House Code of Ethics shall be as follows:
1 7 HOUSE CODE OF ETHICS
1 8 PREAMBLE. Every legislator and legislative
1 9 employee has a duty to uphold the integrity and honor
1 10 of the general assembly, to encourage respect for the
1 11 law and for the general assembly, and to observe the
1 12 house code of ethics. The members and employees of
1 13 the house have a responsibility to conduct themselves
1 14 so as to reflect credit on the general assembly, and
1 15 to inspire the confidence, respect, and trust of the
1 16 public. The following rules are adopted pursuant to
1 17 chapter 68B of the Code, to assist the members and
1 18 employees in the conduct of their activities:
1 19 1. DEFINITIONS. The definitions of terms provided
1 20 in chapter 68B of the Code apply to the use of those
1 21 terms in these rules.
1 22 2. ECONOMIC INTEREST OF MEMBER OR EMPLOYEE OF
1 23 HOUSE.
1 24 a. Economic or investment opportunity. A member
1 25 or employee of the house shall not solicit or accept
1 26 economic or investment opportunity under circumstances
1 27 where the member or employee knows, or should know,
1 28 that the opportunity is being afforded with the intent
1 29 to influence the member's or employee's conduct in the
1 30 performance of official duties. If a member or
2 1 employee of the house learns that an economic or
2 2 investment opportunity previously accepted was offered
2 3 with the intent of influencing the member's or
2 4 employee's conduct in the performance of the official
2 5 duties, the member or employee shall take steps to
2 6 divest that member or employee of that investment or
2 7 economic opportunity, and shall report the matter in
2 8 writing to the chairperson of the house ethics
2 9 committee.
2 10 b. Excessive charges for services, goods, or
2 11 property interests. A member or employee of the house
2 12 shall not charge to or accept from a person known to
2 13 have a legislative interest, a price, fee,
2 14 compensation, or other consideration for the sale or
2 15 lease of any property or the furnishing of services
2 16 which is in excess of that which the member or
2 17 employee would ordinarily charge another person.
2 18 c. Use of confidential information. A member or
2 19 employee of the house, in order to further the
2 20 member's or employee's own economic interests, or
2 21 those of any other person, shall not disclose or use
2 22 confidential information acquired in the course of the
2 23 member's or employee's official duties. For the
2 24 purpose of this rule, information disclosed in open
2 25 session at a public meeting under chapter 21 of the
2 26 Code and information that is a public record under
2 27 chapter 22 of the Code is not confidential
2 28 information.
2 29 d. Employment. A member or employee of the house
2 30 shall not accept employment, either directly or
3 1 indirectly, from a political action committee. A
3 2 member of the house shall not act as a paid lobbyist
3 3 for any organization. However, this paragraph shall
3 4 not prohibit a member or employee of the house from
3 5 working for a candidate's committee, a political
3 6 party's action committee, or a political action
3 7 committee which does not expressly advocate the
3 8 nomination, election, or defeat of a candidate for
3 9 public office in this state or expressly advocate the
3 10 passage or defeat of a ballot issue in this state and
3 11 which is not interested in issues before the general

3 12 assembly.

3 13 For the purpose of this rule, a political action
3 14 committee means a committee, but not a candidate's
3 15 committee, which accepts contributions, makes
3 16 expenditures, or incurs indebtedness in the aggregate
3 17 of more than seven hundred fifty dollars in any one
3 18 calendar year to expressly advocate the nomination,
3 19 election, or defeat of a candidate for public office
3 20 or to expressly advocate the passage or defeat of a
3 21 ballot issue or for the purpose of influencing
3 22 legislative action.

3 23 e. A member or employee of the house shall not
3 24 solicit employment on behalf of the member or
3 25 employee, or on behalf of another legislator or
3 26 employee, as a lobbyist while the general assembly is
3 27 in session.

3 28 f. Certain goods or services. A member or
3 29 employee of the house shall not solicit or obtain
3 30 goods or services from another person under
4 1 circumstances where the member or employee knows or
4 2 should know that the goods or services are being
4 3 offered or sold with the intent to influence the
4 4 member's or employee's conduct in the performance of
4 5 official duties. If a member or employee of the house
4 6 is afforded goods or services by another person at a
4 7 price that is not available to other members or
4 8 classes of members of the general public or is
4 9 afforded goods or services that are not available to
4 10 other members or classes of members of the general
4 11 public by another person where the member or employee
4 12 knows or should know that the other person intends to
4 13 influence the member's or employee's official conduct,
4 14 the member or employee shall not take or purchase the
4 15 goods or services.

4 16 3. APPEARANCE BEFORE STATE AGENCY. A member or
4 17 employee of the house may appear before a state agency
4 18 in any representation case but shall not act as a
4 19 lobbyist with respect to the passage, defeat,
4 20 approval, veto, or modification of any legislation,
4 21 rule, or executive order. Whenever a member or
4 22 employee of the house appears before a state agency,
4 23 the member or employee shall carefully avoid all
4 24 conduct which might in any way lead members of the
4 25 general public to conclude that the member or employee
4 26 is using the member's or employee's official position
4 27 to further the member's or employee's professional
4 28 success or personal financial interest.

4 29 4. CONFLICTS OF INTEREST. In order for the
4 30 general assembly to function effectively, members of
5 1 the house may be required to vote on bills and
5 2 participate in committee work which will affect their
5 3 employment and other areas in which they may have a
5 4 monetary interest. Action on bills and committee work
5 5 which furthers a member's specific employment,
5 6 specific investment, or other specific interest, as
5 7 opposed to the interests of the public in general or
5 8 the interests of a profession, trade, business, or
5 9 other class of persons, shall be avoided. In making a
5 10 decision relative to a member's activity on particular
5 11 bills or in committee work, the following factors
5 12 should be considered:

5 13 a. Whether a substantial threat to the member's
5 14 independence of judgment has been created by the
5 15 conflict situation.

5 16 b. The effect of the member's participation on
5 17 public confidence in the integrity of the general
5 18 assembly.

5 19 c. Whether the member's participation is likely to
5 20 have any significant effect on the disposition of the
5 21 matter.

5 22 d. The need for the member's particular
5 23 contribution, such as special knowledge of the subject
5 24 matter, to the effective functioning of the general
5 25 assembly.

5 26 If a member decides not to participate in committee
5 27 work or to abstain from voting because of a possible
5 28 conflict of interest, the member should disclose this
5 29 fact to the legislative body. The member shall not
5 30 vote on any question in which the member has an
6 1 economic interest that is distinguishable from the
6 2 interests of the general public or a substantial class

6 3 of persons.

6 4 5. STATUTORY REQUIREMENTS. Members and employees
6 5 of the house shall comply with the requirements
6 6 contained in chapters 68B (Conflicts of Interest of
6 7 Public Officers and Employees), 721 (Official
6 8 Misconduct), and 722 (Bribery and Corruption), and
6 9 sections 2.18 (Contempt) and 711.4 (Extortion) of the
6 10 Code.

6 11 6. CHARGE ACCOUNTS. Members and employees of the
6 12 house shall not charge any amount or item to a charge
6 13 account to be paid for by a lobbyist or any client of
6 14 a lobbyist.

6 15 7. TRAVEL EXPENSES. A member or employee of the
6 16 house shall not charge to the state of Iowa amounts
6 17 for travel and expenses unless the member or employee
6 18 actually has incurred those mileage and expense costs.
6 19 Members or employees shall not file the vouchers for
6 20 weekly mileage reimbursement required by section 2.10,
6 21 subsection 1 of the Code, unless the travel expense
6 22 was actually incurred.

6 23 A member or employee of the house shall not file a
6 24 claim for per diem compensation for a meeting of an
6 25 interim study committee or a visitation committee
6 26 unless the member or employee attended the meeting.
6 27 However, the speaker may waive this provision and
6 28 allow a claim to be filed if the member or employee
6 29 attempted to attend the meeting but was unable to do
6 30 so because of circumstances beyond the member's or
7 1 employee's control.

7 2 8. GIFTS ACCEPTED OR RECEIVED. Members and
7 3 employees of the house shall comply with the
7 4 restrictions relating to the receipt or acceptance of
7 5 gifts contained in section 68B.22 of the Code.

7 6 9. HONORARIA RESTRICTIONS. Members and employees
7 7 of the house shall comply with the restrictions
7 8 relating to the receipt of honoraria contained in
7 9 section 68B.23 of the Code.

7 10 10. DISCLOSURE REQUIRED. Each member of the house
7 11 and the chief clerk of the house shall file the
7 12 personal financial disclosure statements required
7 13 under section 68B.35 of the Code by February 15 of
7 14 each year for the prior calendar year.

7 15 11. SEXUAL HARASSMENT. Members and employees of
7 16 the house shall not engage in conduct which
7 17 constitutes sexual harassment as defined in section
7 18 19B.12 of the Code or pursuant to the sexual
7 19 harassment policy adopted by the house committee on
7 20 administration and rules.

7 21 12. COMPLAINTS.

7 22 a. Filing of complaint. Complaints may be filed
7 23 by any person believing that a member or employee of
7 24 the house, a lobbyist, or a client of a lobbyist is
7 25 guilty of a violation of the house code of ethics, the
7 26 house rules governing lobbyists, or chapter 68B of the
7 27 Code.

7 28 b. Complaints by committee. The ethics committee
7 29 may initiate a complaint on its own motion. Committee
7 30 complaints may be initiated by the committee as a
8 1 result of a committee investigation or as a result of
8 2 receipt of any complaint or other information that
8 3 does not meet the requirements of these rules
8 4 regarding the form of a complaint but that contains
8 5 allegations that would form the basis for a valid
8 6 complaint.

8 7 c. Form and contents of complaint. A complaint
8 8 shall be in writing.

8 9 Complaint forms shall be available from the chief
8 10 clerk of the house, but a complaint shall not be
8 11 rejected for failure to use the approved form if it
8 12 complies with the requirements of these rules. The
8 13 complaint shall contain a certification made by the
8 14 complainant, under penalty of perjury, that the facts
8 15 stated in the complaint are true to the best of the
8 16 complainant's knowledge.

8 17 To be valid, a complaint shall allege all of the
8 18 following:

8 19 (1) Facts, that if true, establish a violation of
8 20 a provision of chapter 68B of the Code, the house code
8 21 of ethics, or house rules governing lobbyists for
8 22 which penalties or other remedies are provided.

8 23 (2) That the conduct providing the basis for the

8 24 complaint occurred within three years of the filing of
8 25 the complaint.

8 26 (3) That the party charged with a violation is a
8 27 party subject to the jurisdiction of the ethics
8 28 committee.

8 29 d. Confidentiality of complaint. The filing of
8 30 the complaint and the contents of the complaint shall
9 1 be confidential until the time that the committee
9 2 meets to determine whether the complaint is valid,
9 3 unless either the complainant or the party charged in
9 4 the complaint makes the existence of, or the
9 5 information contained in, the complaint public.
9 6 However, if either the complainant or party alleged to
9 7 have committed the violation requests that the meeting
9 8 to determine whether the complaint is valid be a
9 9 closed meeting and the filing of the complaint or the
9 10 contents of the complaint have not been disclosed, the
9 11 meeting shall be closed.

9 12 e. Notice of complaint. Upon receipt of the
9 13 complaint, the chief clerk of the house shall promptly
9 14 notify the chairperson and ranking member of the
9 15 ethics committee that a complaint has been filed and
9 16 provide both the chairperson and the ranking member
9 17 with copies of the complaint and any supporting
9 18 information. Within two working days, the chief clerk
9 19 shall send notice, either by personal delivery or by
9 20 certified mail, return receipt requested, to the
9 21 person or persons alleged to have committed the
9 22 violation, along with a copy of the complaint and any
9 23 supporting information. The notice to the accused
9 24 person shall contain a request that the person submit
9 25 a written response to the complaint within ten working
9 26 days of the date that the notice was sent by the chief
9 27 clerk. At the request of the accused person, the
9 28 committee may extend the time for the response, not to
9 29 exceed ten additional calendar days.

9 30 f. Hearing regarding validity of complaint. The
10 1 committee chairperson and the ranking member shall
10 2 review the complaint and supporting information to
10 3 determine whether the complaint meets the requirements
10 4 as to form. If the complaint is deficient as to form,
10 5 the complaint shall be returned to the complainant
10 6 with instructions indicating the deficiency unless the
10 7 committee decides to proceed on its own motion. If
10 8 the complaint is in writing and contains the
10 9 appropriate certification, as soon as practicable, the
10 10 chairperson shall call a meeting of the committee to
10 11 review the complaint to determine whether the
10 12 complaint meets the requirements for validity and
10 13 whether the committee should request that the chief
10 14 justice of the supreme court appoint an independent
10 15 special counsel to conduct an investigation to
10 16 determine whether probable cause exists to believe
10 17 that a violation of the house code of ethics, house
10 18 rules governing lobbyists, or chapter 68B of the Code,
10 19 has occurred.

10 20 If the committee finds that a complaint does not
10 21 meet the content requirements for a valid complaint,
10 22 the committee shall dismiss the complaint and notify
10 23 both the complainant and the party alleged to have
10 24 committed the violation of the dismissal and the
10 25 reasons for dismissal. A dismissal for failure to
10 26 meet the formal requirements for the filing of a
10 27 complaint shall be without prejudice and the
10 28 complainant may refile the complaint at any time
10 29 within three years of the date that the alleged
10 30 violation took place. If the dismissal is based upon
11 1 a failure to allege facts and circumstances necessary
11 2 for a valid complaint, the dismissal shall be with
11 3 prejudice and the party shall not be permitted to file
11 4 a complaint based upon the same facts and
11 5 circumstances.

11 6 g. Request for appointment of independent special
11 7 counsel. If, after review of the complaint and any
11 8 response made by the party alleged to have committed
11 9 the violation, the committee determines that the
11 10 complaint meets the requirements for form and content,
11 11 the committee shall request that the chief justice of
11 12 the supreme court appoint independent special counsel
11 13 to investigate the matter and determine whether
11 14 probable cause exists to believe that a violation of

11 15 chapter 68B of the Code, the house code of ethics, or
11 16 the house rules governing lobbyists has occurred.

11 17 h. Receipt of report of independent special
11 18 counsel. The report from the independent special
11 19 counsel regarding probable cause to proceed on a
11 20 complaint shall be filed with the chief clerk of the
11 21 house. Upon receipt of the report of the independent
11 22 special counsel, the chief clerk shall notify the
11 23 chairperson of the filing of the report and shall send
11 24 copies of the report to the members of the ethics
11 25 committee. As soon as practicable after the filing of
11 26 the report, the chairperson shall schedule a public
11 27 meeting for review of the report. The purpose of the
11 28 public meeting shall be to determine whether the
11 29 complaint should be dismissed, whether a formal
11 30 hearing should be held on the complaint, or whether
12 1 other committee action is appropriate. The
12 2 complainant and the person alleged to have committed
12 3 the violation shall be given notice of the public
12 4 meeting, shall have the right to be present at the
12 5 public meeting, and may, at the discretion of the
12 6 committee, present testimony in support of or against
12 7 the recommendations contained in the report.

12 8 If the committee determines that the matter should
12 9 be dismissed, the committee shall cause an order to be
12 10 entered dismissing the matter and notice of the
12 11 dismissal shall be given to the complainant and the
12 12 party alleged to have committed the violation. If the
12 13 committee determines that the complaint should be
12 14 scheduled for formal hearing, the committee shall
12 15 issue a charging statement which contains the charges
12 16 and supporting facts that are to be set for formal
12 17 hearing and notice shall be sent to the complainant
12 18 and the accused person.

12 19 The notice shall include a statement of the nature
12 20 of the charge or charges, a statement of the time and
12 21 place of hearing, a short and plain statement of the
12 22 facts asserted, and a statement of the rights of the
12 23 accused person at the hearing.

12 24 i. Formal hearing. Formal hearings shall be
12 25 public and conducted in the manner provided in section
12 26 68B.31, subsection 8 of the Code. At a formal hearing
12 27 the accused shall have the right to be present and to
12 28 be heard in person and by counsel, to cross-examine
12 29 witnesses, and to present evidence. Members of the
12 30 committee shall also have the right to question
13 1 witnesses.

13 2 Evidence at the formal hearing shall be received in
13 3 accordance with rules and procedures applicable to
13 4 contested cases under chapter 17A of the Code.

13 5 The committee chairperson, or the vice chairperson
13 6 or ranking member in the absence of the chairperson,
13 7 shall preside at the formal hearing and shall rule on
13 8 the admissibility of any evidence received. The
13 9 ruling of the chairperson may be overturned by a
13 10 majority vote of the committee. Independent special
13 11 counsel shall present the evidence in support of the
13 12 charge or charges. The burden shall be on the
13 13 independent special counsel to prove the charge or
13 14 charges by a preponderance of clear and convincing
13 15 evidence. Upon completion of the formal hearing, the
13 16 committee shall adopt written findings of fact and
13 17 conclusions concerning the merits of the charges and
13 18 make its report and recommendation to the house.

13 19 j. Recommendations by the committee. The
13 20 committee shall recommend to the house that the
13 21 complaint be dismissed, or that one or more of the
13 22 following be imposed:

13 23 (1) That the member or employee of the house or
13 24 lobbyist or client of a lobbyist be censured or
13 25 reprimanded, and the recommended appropriate form of
13 26 censure or reprimand be used.

13 27 (2) That the member of the house be suspended or
13 28 expelled from membership in the house and required to
13 29 forfeit the member's salary for that period, the
13 30 employee of the house be suspended or dismissed from
14 1 employment, or that the lobbyist's or lobbyist's
14 2 client's lobbying privileges be suspended.

14 3 13. COMMUNICATIONS WITH ETHICS COMMITTEE. After a
14 4 complaint has been filed or an investigation has been
14 5 initiated, a party to the complaint or investigation

14 6 shall not communicate, or cause another to
14 7 communicate, as to the merits of the complaint or
14 8 investigation with a member of the committee, except
14 9 under the following circumstances:

14 10 a. During the course of any meetings or other
14 11 official proceedings of the committee regarding the
14 12 complaint or investigation.

14 13 b. In writing, if a copy of the writing is
14 14 delivered to the adverse party or the designated
14 15 representative for the adverse party.

14 16 c. Orally, if adequate prior notice of the
14 17 communication is given to the adverse party or the
14 18 designated representative for the adverse party.

14 19 d. As otherwise authorized by statute, the house
14 20 code of ethics, house rules governing lobbyists, or
14 21 vote of the committee.

14 22 14. PERMANENT RECORD. The chief clerk of the
14 23 house shall maintain a permanent record of all
14 24 complaints filed and any corresponding committee
14 25 action. The permanent record shall be prepared by the
14 26 ethics committee and shall contain the date the
14 27 complaint was filed, name and address of the
14 28 complainant, name and address of the accused person, a
14 29 brief statement of the charges made, any evidence
14 30 received by the committee, any transcripts or
15 1 recordings of committee action, and ultimate
15 2 disposition of the complaint. The chief clerk shall
15 3 keep each complaint confidential until public
15 4 disclosure is made by the ethics committee.

15 5 15. MEETING AUTHORIZATION. The house ethics
15 6 committee is authorized to meet at the discretion of
15 7 the committee chairperson in order to conduct hearings
15 8 and other business that properly may come before it.
15 9 If the committee submits a report seeking house action
15 10 against a member or employee of the house or lobbyist
15 11 after the second regular session of a general assembly
15 12 has adjourned sine die, the report shall be submitted
15 13 to and considered by the subsequent general assembly.

15 14 16. ADVISORY OPINIONS.

15 15 a. Requests for formal opinions. A request for a
15 16 formal advisory opinion may be filed by any person who
15 17 is subject to the authority of the ethics committee.
15 18 The ethics committee may also issue a formal advisory
15 19 opinion on its own motion, without having previously
15 20 received a formal request for an opinion, on any issue
15 21 that is within the jurisdiction of the committee.
15 22 Requests shall be filed with either the chief clerk of
15 23 the house or the chairperson of the ethics committee.

15 24 b. Form and contents of requests. A request for a
15 25 formal advisory opinion shall be in writing and may
15 26 pertain to any subject matter that is related to
15 27 application of the house code of ethics, the house
15 28 rules governing lobbyists, or chapter 68B of the Code
15 29 to any person who is subject to the authority of the
15 30 ethics committee. Requests shall contain one or more
16 1 specific questions and shall relate either to future
16 2 conduct or be stated in the hypothetical. A request
16 3 for an advisory opinion shall not specifically name
16 4 any individual or contain any other specific
16 5 identifying information, unless the request relates to
16 6 the requester's own conduct. However, any request may
16 7 contain information which identifies the kind of
16 8 individual who may be affected by the subject matter
16 9 of the request. Examples of this latter kind of
16 10 identifying information may include references to
16 11 conduct of a category of individuals, such as but not
16 12 limited to conduct of legislators, legislative staff,
16 13 or lobbyists.

16 14 c. Confidentiality of formal requests and
16 15 opinions. Requests for formal opinions are not
16 16 confidential and any deliberations of the committee
16 17 regarding a request for a formal opinion shall be
16 18 public. Opinions issued in response to requests for
16 19 formal opinions are not confidential, shall be in
16 20 writing, and shall be placed on file in the office of
16 21 the chief clerk of the house. Persons requesting
16 22 formal opinions shall personally receive a copy of the
16 23 written formal opinion that is issued in response to
16 24 the request.

16 25 17. PERSONAL FINANCIAL DISCLOSURE FORM. The
16 26 following form shall be used for disclosure of

16 27 economic interests under these rules and section
16 28 68B.35 of the Code:

16 29 STATEMENT OF ECONOMIC INTERESTS

16 30 Name: _____
17 1 (Last) (First) (Middle Initial)
17 2 Address: _____
17 3 (Street Address, Apt.#/P.O. Box)
17 4 _____
17 5 (City) (State) (Zip)

17 6 Phone:(Home)_____/____=(Business)_____/____=
17 7 *****

17 8 This form is due each year on or before February
17 9 15. The reporting period is the most recently
17 10 completed calendar year.

17 11 In completing Division III of this form, if your
17 12 percentage of ownership of an asset is less than 100
17 13 percent, multiply your percentage of ownership by the
17 14 total revenue produced to determine if you have
17 15 reached the \$1,000 threshold.

17 16 Do not report income received by your spouse or
17 17 other family members.

17 18 In completing this form, if insufficient space is
17 19 provided for your answer, you may attach additional
17 20 information/answers on full-size sheets of paper.

17 21 Division I. Business, Occupation, Profession.

17 22 List each business, occupation, or profession in
17 23 which you are engaged, the nature of the business if
17 24 not evident, and your position or job title. No
17 25 income threshold or time requirement applies.

17 26 Examples:

17 27 If you are employed by an individual, state the
17 28 name of the individual employer, the nature of the
17 29 business, and your position.

17 30 If you are self-employed and are not incorporated
18 1 or are not doing business under a particular business
18 2 name, state that you are self-employed, the nature of
18 3 the business, and your position.

18 4 If you own your own corporation, are employed by a
18 5 corporation, or are doing business under a particular
18 6 business name, state the name and nature of the
18 7 business or corporation and your position.

18 8 _____
18 9 _____
18 10 _____
18 11 _____
18 12 _____
18 13 _____

18 14 Division II. Commissions from Sales of Goods or
18 15 Services to Political Subdivisions.

18 16 This part is to be completed only by Legislators.
18 17 If you received income in the form of a commission
18 18 from the sale of goods or services to a political
18 19 subdivision, state the name of the purchasing
18 20 political subdivision. The amount of commission
18 21 earned is not required to be listed.

18 22 _____
18 23 _____
18 24 _____
18 25 _____
18 26 _____
18 27 _____

18 28 Division III. Sources of Gross Income.

18 29 In each one of the following categories list each
18 30 source which produces more than \$1,000 in annual gross
19 1 income, if the revenue produced by the source was
19 2 subject to federal or state income taxes last year.
19 3 List the nature or type of each company, business,
19 4 financial institution, corporation, partnership, or
19 5 other entity which produces more than \$1,000 of annual
19 6 gross income. Neither the amount of income produced
19 7 nor value of the holding is required to be listed in
19 8 any of the items.

19 9 A. Securities: State the nature of the business of
19 10 any company in which you hold stock, bonds, or other
19 11 pecuniary interests that generate more than \$1,000 in
19 12 annual gross income. Income generated by multiple
19 13 holdings in a single company are deemed received from
19 14 a single source.

19 15 _____
19 16 _____
19 17 _____

19 18 _____
19 19 _____
19 20 _____
19 21 B. Instruments of Financial Institutions: State the
19 22 types of institutions in which you hold financial
19 23 instruments, such as certificates of deposit, savings
19 24 accounts, etc., that produce annual gross income in
19 25 excess of \$1,000, e.g., banks, savings and loans, or
19 26 credit unions.

19 27 _____
19 28 _____
19 29 _____
19 30 _____

20 1 _____
20 2 _____
20 3 C. Trusts: State the nature or type of any trust
20 4 from which you receive more than \$1,000 of gross
20 5 income annually.

20 6 _____
20 7 _____
20 8 _____
20 9 _____

20 10 _____
20 11 _____

20 12 D. Real Estate: State the general nature of real
20 13 estate interests that generate more than \$1,000 of
20 14 gross income annually, e.g., residential leasehold
20 15 interest or farm leasehold interest. The size or
20 16 location of the property interest is not required to
20 17 be listed.

20 18 _____
20 19 _____
20 20 _____
20 21 _____
20 22 _____
20 23 _____

20 24 E. Retirement Systems: State the name of each
20 25 pension plan or other corporation or company that pays
20 26 you more than \$1,000 annually in retirement benefits.

20 27 _____
20 28 _____
20 29 _____
20 30 _____

21 1 _____
21 2 _____

21 3 F. Other Income Categories Specified in State and
21 4 Federal Income Tax Regulations.

21 5 _____
21 6 _____
21 7 _____
21 8 _____
21 9 _____
21 10 _____

21 11 _____

21 12 (Signature of Filer) _____ (Date) _____
21 13 LSB 1959HV 82
21 14 tm:rj/gg/14