

# House Resolution 5 - Introduced

HOUSE RESOLUTION NO. 5

BY COMMITTEE ON ETHICS

(SUCCESSOR TO HSB 3)

1 A Resolution relating to the code of ethics of the  
2 House of Representatives for the Eighty-sixth  
3 General Assembly.

4 BE IT RESOLVED BY THE HOUSE OF REPRESENTATIVES, That  
5 the House Code of Ethics shall be as follows:

6 HOUSE CODE OF ETHICS

7 PREAMBLE. Every legislator and legislative employee  
8 has a duty to uphold the integrity and honor of the  
9 general assembly, to encourage respect for the law  
10 and for the general assembly, and to observe the house  
11 code of ethics. The members and employees of the house  
12 have a responsibility to conduct themselves so as to  
13 reflect credit on the general assembly, and to inspire  
14 the confidence, respect, and trust of the public. The  
15 following rules are adopted pursuant to chapter 68B of  
16 the Code, to assist the members and employees in the  
17 conduct of their activities:

18 1. DEFINITIONS. The definitions of terms provided  
19 in chapter 68B of the Code apply to the use of those  
20 terms in these rules.

21 2. ECONOMIC INTEREST OF MEMBER OR EMPLOYEE OF  
22 HOUSE.

23 a. *Economic or investment opportunity.* A member  
24 or employee of the house shall not solicit or accept  
25 economic or investment opportunity under circumstances  
26 where the member or employee knows, or should know,  
27 that the opportunity is being afforded with the intent

1 to influence the member's or employee's conduct in  
2 the performance of official duties. If a member  
3 or employee of the house learns that an economic  
4 or investment opportunity previously accepted was  
5 offered with the intent of influencing the member's or  
6 employee's conduct in the performance of the official  
7 duties, the member or employee shall take steps to  
8 divest that member or employee of that investment or  
9 economic opportunity, and shall report the matter  
10 in writing to the chairperson of the house ethics  
11 committee.

12     b. *Excessive charges for services, goods, or*  
13 *property interests.* A member or employee of the  
14 house shall not charge to or accept from a person  
15 known to have a legislative interest, a price, fee,  
16 compensation, or other consideration for the sale or  
17 lease of any property or the furnishing of services  
18 which is in excess of that which the member or employee  
19 would ordinarily charge another person.

20     c. *Use of confidential information.* A member or  
21 employee of the house, in order to further the member's  
22 or employee's own economic interests, or those of any  
23 other person, shall not disclose or use confidential  
24 information acquired in the course of the member's or  
25 employee's official duties. For the purpose of this  
26 rule, information disclosed in open session at a public  
27 meeting and information that is a public record is not  
28 confidential information.

29     d. *Employment.* A member or employee of the house  
30 shall not accept employment, either directly or

1 indirectly, from a political action committee. A  
2 member of the house shall not act as a paid lobbyist  
3 for any organization. However, this paragraph shall  
4 not prohibit a member or employee of the house from  
5 working for a candidate's committee, a political  
6 party's action committee, or a political action  
7 committee which does not expressly advocate the  
8 nomination, election, or defeat of a candidate for  
9 public office in this state or expressly advocate the  
10 passage or defeat of a ballot issue in this state and  
11 which is not interested in issues before the general  
12 assembly.

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

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

28 f. *Certain goods or services.* A member or employee  
29 of the house shall not solicit or obtain goods or  
30 services from another person under circumstances where

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

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

28 4. CONFLICTS OF INTEREST. In order for the general  
29 assembly to function effectively, members of the house  
30 may be required to vote on bills and participate in

1 committee work which will affect their employment and  
2 other areas in which they may have a monetary interest.  
3 Action on bills and committee work which furthers a  
4 member's specific employment, specific investment, or  
5 other specific interest, as opposed to the interests of  
6 the public in general or the interests of a profession,  
7 trade, business, or other class of persons, shall be  
8 avoided. In making a decision relative to a member's  
9 activity on particular bills or in committee work, the  
10 following factors should be considered:

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

14 b. The effect of the member's participation on  
15 public confidence in the integrity of the general  
16 assembly.

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

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

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

1 of persons.

2 5. STATUTORY REQUIREMENTS. Members and employees  
3 of the house shall comply with the requirements  
4 contained in chapters 68B (Government Ethics and  
5 Lobbying), 721 (Official Misconduct), and 722 (Bribery  
6 and Corruption), and sections 2.18 (Contempt) and 711.4  
7 (Extortion) of the Code.

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

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

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

29 8. GIFTS ACCEPTED OR RECEIVED. Members and  
30 employees of the house shall comply with the

1 restrictions relating to the receipt or acceptance  
2 of gifts contained in section 68B.22 of the Code.  
3 The sponsor of a function under section 68B.22,  
4 subsection 4, paragraph "s", shall electronically  
5 file a registration with the chief clerk of the house  
6 five days prior to the function disclosing the name of  
7 the sponsor, and the date, time, and location of the  
8 function. The sponsor shall also electronically file a  
9 report of expenditures as required pursuant to section  
10 68B.22, subsection 4, paragraph "s".

11 9. HONORARIA RESTRICTIONS. Members and employees  
12 of the house shall comply with the restrictions  
13 relating to the receipt of honoraria contained in  
14 section 68B.23 of the Code.

15 10. DISCLOSURE REQUIRED. Each member of the  
16 house and the chief clerk of the house shall file the  
17 personal financial disclosure statements required under  
18 section 68B.35 of the Code by February 15 of each year  
19 for the prior calendar year.

20 11. SEXUAL HARASSMENT. Members and employees of  
21 the house shall not engage in conduct which constitutes  
22 sexual harassment as defined in section 19B.12 of  
23 the Code or pursuant to the sexual harassment policy  
24 adopted by the house committee on administration and  
25 rules.

26 12. COMPLAINTS.

27 a. *Filing of complaint.* Complaints may be filed by  
28 any person believing that a member or employee of the  
29 house, a lobbyist, or a client of a lobbyist is guilty  
30 of a violation of the house code of ethics, the joint

1 rules governing lobbyists, or chapter 68B of the Code.

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

10     c. *Form and contents of complaint.* A complaint  
11 shall be in writing.

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

20     To be valid, a complaint shall allege all of the  
21 following:

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

26     (2) That the conduct providing the basis for the  
27 complaint occurred within three years of the filing of  
28 the complaint.

29     (3) That the party charged with a violation is  
30 a party subject to the jurisdiction of the ethics



1 committee.

2     d. *Confidentiality of complaint.* The identity of  
3 the parties and the contents of the complaint shall  
4 be confidential until the time that the committee  
5 chairperson and ranking member determine under  
6 paragraph "f" that the complaint is sufficient as  
7 to form, unless either the complainant or the party  
8 charged in the complaint makes the identity of the  
9 parties, or the information contained in the complaint,  
10 public. The chief clerk of the house and the committee  
11 chairperson and ranking member may communicate  
12 confidentially with appropriate legislative staff  
13 during any stage of the complaint process.

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

1 additional calendar days. A response to a complaint  
2 shall not be confidential.

3 f. *Hearing regarding validity of complaint.* The  
4 committee chairperson and the ranking member shall  
5 review the complaint and supporting information to  
6 determine whether the complaint meets the requirements  
7 as to form. If the complaint is deficient as to form,  
8 the complaint shall be returned to the complainant  
9 with instructions indicating the deficiency. If the  
10 complaint is in writing, is sufficient as to form,  
11 and contains the appropriate certification, as soon  
12 as practicable, the chairperson shall call a meeting  
13 of the committee to review the complaint to determine  
14 whether the complaint meets the requirements for  
15 validity and whether the committee should take action  
16 on the complaint pursuant to paragraph "g" or whether  
17 the committee should request that the chief justice  
18 of the supreme court appoint an independent special  
19 counsel to conduct an investigation to determine  
20 whether probable cause exists to believe that a  
21 violation of the house code of ethics, joint rules  
22 governing lobbyists, or chapter 68B of the Code, has  
23 occurred. The sufficiency as to form determination  
24 and the valid complaint requirements determination  
25 shall be based solely upon the original complaint and  
26 the response to the complaint. Additional documents  
27 or responses shall not be filed by the parties or  
28 otherwise considered by the committee prior to a  
29 validity determination. The committee shall not  
30 receive or consider oral testimony in support of or

1 against a validity determination.

2 If the committee finds that a complaint does not  
3 meet the content requirements for a valid complaint,  
4 the committee shall dismiss the complaint and notify  
5 both the complainant and the party alleged to have  
6 committed the violation of the dismissal and the  
7 reasons for dismissal. A dismissal for failure to meet  
8 the formal requirements for the filing of a complaint  
9 shall be without prejudice and the complainant may  
10 refile the complaint at any time within three years  
11 of the date that the alleged violation took place. If  
12 the dismissal is based upon a failure to allege facts  
13 and circumstances necessary for a valid complaint, the  
14 dismissal shall be with prejudice and the party shall  
15 not be permitted to file a complaint based upon the  
16 same facts and circumstances.

17 g. *Action on undisputed complaint.* If the committee  
18 determines a complaint is valid and determines no  
19 dispute exists between the parties regarding the  
20 material facts that establish a violation, the  
21 committee may take action on the complaint under this  
22 paragraph without requesting the appointment of an  
23 independent special counsel.

24 The committee may do any of the following:

25 (1) Issue an admonishment to advise against the  
26 conduct that formed the basis for the complaint and to  
27 exercise care in the future.

28 (2) Issue an order to cease and desist the conduct  
29 that formed the basis for the complaint.

30 (3) Make a recommendation to the house that

1 the person subject to the complaint be censured or  
2 reprimanded.

3 h. *Request for appointment of independent special*  
4 *counsel.* If, after review of the complaint and any  
5 response made by the party alleged to have committed  
6 the violation, the committee determines that the  
7 complaint meets the requirements for form and content  
8 and the committee has not taken action under paragraph  
9 "g", the committee shall request that the chief justice  
10 of the supreme court appoint independent special  
11 counsel to investigate the matter and determine whether  
12 probable cause exists to believe that a violation of  
13 chapter 68B of the Code, the house code of ethics, or  
14 the joint rules governing lobbyists has occurred.

15 i. *Receipt of report of independent special counsel.*  
16 The report from the independent special counsel  
17 regarding probable cause to proceed on a complaint  
18 shall be filed with the chief clerk of the house.  
19 Upon receipt of the report of the independent special  
20 counsel, the chief clerk shall notify the chairperson  
21 of the filing of the report and shall send copies of  
22 the report to the members of the ethics committee. As  
23 soon as practicable after the filing of the report, the  
24 chairperson shall schedule a public meeting for review  
25 of the report. The purpose of the public meeting  
26 shall be to determine whether the complaint should be  
27 dismissed, whether a formal hearing should be held on  
28 the complaint, or whether other committee action is  
29 appropriate. The complainant and the person alleged to  
30 have committed the violation shall be given notice of

1 the public meeting, shall have the right to be present  
2 at the public meeting, and may, at the discretion  
3 of the committee, present testimony in support of or  
4 against the recommendations contained in the report.

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

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

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

29 The committee may require, by subpoena or otherwise,  
30 the attendance and testimony of witnesses and the

1 production of such books, records, correspondence,  
2 memoranda, papers, documents, and any other things it  
3 deems necessary to the conduct of the inquiry.

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

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

21 k. *Disqualification of member.* Members of the  
22 committee may disqualify themselves from participating  
23 in any investigation of the conduct of another person  
24 upon submission of a written statement that the member  
25 cannot render an impartial and unbiased decision  
26 in a case. A member may also be disqualified by a  
27 unanimous vote of the remaining eligible members of the  
28 committee.

29 A member of the committee is ineligible to  
30 participate in committee meetings, as a member of the

1 committee, in any proceeding relating to the member's  
2 own official conduct.

3 If a member of the committee is disqualified or  
4 ineligible to act, the majority or minority leader who  
5 appointed the member shall appoint a replacement member  
6 to serve as a member of the committee during the period  
7 of disqualification or ineligibility.

8 1. *Recommendations by the committee.* The committee  
9 shall recommend to the house that the complaint be  
10 dismissed, or that one or more of the following be  
11 imposed:

12 (1) That the member or employee of the house  
13 or lobbyist or client of a lobbyist be censured or  
14 reprimanded, and the recommended appropriate form of  
15 censure or reprimand be used.

16 (2) That the member of the house be suspended or  
17 expelled from membership in the house and required  
18 to forfeit the member's salary for that period, the  
19 employee of the house be suspended or dismissed from  
20 employment, or that the lobbyist's or lobbyist's  
21 client's lobbying privileges be suspended.

22 13. COMMUNICATIONS WITH ETHICS COMMITTEE. After a  
23 complaint has been filed or an investigation has been  
24 initiated, a party to the complaint or investigation  
25 shall not communicate, or cause another to communicate,  
26 as to the merits of the complaint or investigation with  
27 a member of the committee, except under the following  
28 circumstances:

29 a. During the course of any meetings or other  
30 official proceedings of the committee regarding the

1 complaint or investigation.

2     b. In writing, if a copy of the writing is  
3 delivered to the adverse party or the designated  
4 representative for the adverse party.

5     c. Orally, if adequate prior notice of the  
6 communication is given to the adverse party or the  
7 designated representative for the adverse party.

8     d. As otherwise authorized by statute, the house  
9 code of ethics, joint rules governing lobbyists, or  
10 vote of the committee.

11     14. PERMANENT RECORD. The chief clerk of the house  
12 shall maintain a permanent record of all complaints  
13 filed and any corresponding committee action. The  
14 permanent record shall be prepared by the ethics  
15 committee and shall contain the date the complaint was  
16 filed, name and address of the complainant, name and  
17 address of the accused person, a brief statement of the  
18 charges made, any evidence received by the committee,  
19 any transcripts or recordings of committee action,  
20 and ultimate disposition of the complaint. Except as  
21 provided in rule 12, paragraph "d", the chief clerk  
22 shall keep each complaint confidential until public  
23 disclosure is made by the ethics committee.

24     15. MEETING AUTHORIZATION. The house ethics  
25 committee is authorized to meet at the discretion of  
26 the committee chairperson in order to conduct hearings  
27 and other business that properly may come before it.  
28 If the committee submits a report seeking house action  
29 against a member or employee of the house or lobbyist  
30 after the second regular session of a general assembly



1 has adjourned sine die, the report shall be submitted  
2 to and considered by the subsequent general assembly.

3 16. ADVISORY OPINIONS.

4 a. *Requests for formal opinions.* A request for a  
5 formal advisory opinion may be filed by any person who  
6 is subject to the authority of the ethics committee.  
7 The ethics committee may also issue a formal advisory  
8 opinion on its own motion, without having previously  
9 received a formal request for an opinion, on any issue  
10 that is within the jurisdiction of the committee.

11 Requests shall be filed with either the chief clerk of  
12 the house or the chairperson of the ethics committee.

13 b. *Form and contents of requests.* A request for  
14 a formal advisory opinion shall be in writing and  
15 may pertain to any subject matter that is related to  
16 application of the house code of ethics, the joint  
17 rules governing lobbyists, or chapter 68B of the  
18 Code to any person who is subject to the authority of  
19 the ethics committee. Requests shall contain one or  
20 more specific questions and shall relate either to  
21 future conduct or be stated in the hypothetical. A  
22 request for an advisory opinion shall not specifically  
23 name any individual or contain any other specific  
24 identifying information, unless the request relates  
25 to the requester's own conduct. However, any request  
26 may contain information which identifies the kind  
27 of individual who may be affected by the subject  
28 matter of the request. Examples of this latter kind  
29 of identifying information may include references to  
30 conduct of a category of individuals, such as but not

1 limited to conduct of legislators, legislative staff,  
2 or lobbyists.

3 c. *Confidentiality of formal requests and opinions.*

4 Requests for formal opinions are not confidential and  
5 any deliberations of the committee regarding a request  
6 for a formal opinion shall be public. Opinions issued  
7 in response to requests for formal opinions are not  
8 confidential, shall be in writing, and shall be placed  
9 on file in the office of the chief clerk of the house.

10 Persons requesting formal opinions shall personally  
11 receive a copy of the written formal opinion that is  
12 issued in response to the request.

13 17. PERSONAL FINANCIAL DISCLOSURE FORM. The  
14 following form shall be used for disclosure of economic  
15 interests under these rules and section 68B.35 of the  
16 Code:

17 STATEMENT OF ECONOMIC INTERESTS

18 Name: \_\_\_\_\_

19 (Last) (First) (Middle Initial)

20 Address: \_\_\_\_\_

21 (Street Address, Apt.#/P.O. Box)

22 \_\_\_\_\_

23 (City)(State)(Zip)

24 Phone:(Home)\_\_\_\_\_/\_\_\_\_\_-\_\_\_\_\_(Business)\_\_\_\_\_/\_\_\_\_\_-\_\_\_\_\_

25 \*\*\*\*\*

26 This form is due each year on or before February 15.  
27 The reporting period is the most recently completed  
28 calendar year. An amended form shall be filed if a  
29 change in business, occupation, or profession reported  
30 in Division I of the form has occurred. The amended

1 form shall include the date the change took effect and  
2 must be filed within thirty days of the first day of  
3 the change in employment or engagement necessitating  
4 the amended form. If the date of the change occurs  
5 between January 1 and February 15, the change shall be  
6 included in the filing due February 15.

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

12 Do not report income received by your spouse or  
13 other family members.

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

17 Division I. Business, Occupation, or Profession.

18 List each business, occupation, or profession in  
19 which you are engaged, the nature of the business if  
20 not evident, and your position or job title. No income  
21 threshold or time requirement applies.

22 Examples:

23 If you are employed by an individual, state the name  
24 of the individual employer, the nature of the business,  
25 and your position.

26 If you are self-employed and are not incorporated  
27 or are not doing business under a particular business  
28 name, state that you are self-employed, the nature of  
29 the business, and your position.

30 If you own your own corporation, are employed by a

1 corporation, or are doing business under a particular  
2 business name, state the name and nature of the  
3 business or corporation and your position.

4 \_\_\_\_\_  
5 \_\_\_\_\_  
6 \_\_\_\_\_  
7 \_\_\_\_\_  
8 \_\_\_\_\_  
9 \_\_\_\_\_

10 Division II. Commissions from Sales of Goods or  
11 Services to Political Subdivisions.

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

18 \_\_\_\_\_  
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20 \_\_\_\_\_  
21 \_\_\_\_\_  
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23 \_\_\_\_\_

24 Division III. Sources of Gross Income.

25 In each one of the following categories list each  
26 source which produces more than \$1,000 in annual gross  
27 income, if the revenue produced by the source was  
28 subject to federal or state income taxes last year.  
29 List the nature or type of each company, business,  
30 financial institution, corporation, partnership, or

1 other entity which produces more than \$1,000 of annual  
2 gross income. Neither the amount of income produced  
3 nor value of the holding is required to be listed in  
4 any of the items.

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

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

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29 C. Trusts: State the nature or type of any trust  
30 from which you receive more than \$1,000 of gross income

1 annually.

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

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

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29 F. Other Income Categories Specified in State and  
30 Federal Income Tax Regulations.

H.R. 5

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7 (Signature of Filer) \_\_\_\_\_ (Date) \_\_\_\_\_