

Senate Study Bill 1070 - Introduced

SENATE RESOLUTION NO. _____

BY (PROPOSED COMMITTEE ON ETHICS RESOLUTION BY
CHAIRPERSON HORN)

1 A Resolution relating to the Senate Code of Ethics
2 governing the conduct of members of the Senate in
3 relation to their senatorial duties during the
4 Eighty-sixth General Assembly.

5 BE IT RESOLVED BY THE SENATE, That the Senate Code
6 of Ethics for the ~~Eighty-fifth~~ Eighty-sixth General
7 Assembly shall be amended to read as follows:

8 SENATE CODE OF ETHICS

9 PREAMBLE. Every legislator owes a duty to uphold
10 the integrity and honor of the general assembly, to
11 encourage respect for the law and for the general
12 assembly and the members thereof, and to observe the
13 legislative code of ethics.

14 In doing so, members of the senate have a duty to
15 conduct themselves so as to reflect credit on the
16 general assembly, and to inspire the confidence,
17 respect, and trust of the public, and to strive to
18 avoid both unethical and illegal conduct and the
19 appearance of unethical and illegal conduct.

20 Recognizing that service in the Iowa general
21 assembly is a part-time endeavor and that members of
22 the general assembly are honorable individuals who
23 are active in the affairs of their localities and
24 elsewhere and that it is necessary that they maintain
25 a livelihood and source of income apart from their
26 legislative compensation, the following rules are
27 adopted pursuant to section 68B.31, to assist the

1 members in the conduct of their legislative affairs.

2 1. ECONOMIC INTEREST OF SENATOR. Taking into
3 account that legislative service is part-time, a
4 senator shall not accept economic or investment
5 opportunity, under circumstances where the senator
6 knows, or should know, that there is a reasonable
7 possibility that the opportunity is being afforded the
8 senator with intent to influence the senator's conduct
9 in the performance of official duties.

10 2. DIVESTITURE. Where a senator learns that
11 an economic or investment opportunity previously
12 accepted was offered with the intent of influencing
13 the senator's conduct in the performance of official
14 duties, the senator shall take steps to divest that
15 senator of that investment or economic opportunity, and
16 shall report the facts of the situation to the senate
17 ethics committee.

18 3. CHARGES FOR SERVICES. A senator shall not
19 charge to or accept from a person, corporation,
20 partnership, or association known to have a legislative
21 interest a price, fee, compensation, or other
22 consideration for the sale or lease of any property or
23 the furnishing of services which is in excess of that
24 which the senator would charge another.

25 4. USE OF CONFIDENTIAL INFORMATION. A senator in
26 order to further the senator's own economic or other
27 interests, or those of any other person, shall not
28 disclose or use confidential information acquired in
29 the course of official duties.

30 5. HONORARIA. A senator shall not accept an

1 honorarium from a restricted donor for a speech,
2 writing for publication, or other similar activity,
3 except as otherwise provided in section 68B.23.

4 6. EMPLOYMENT. A senator shall not accept
5 employment, either directly or indirectly, from a
6 political action committee or from an organization
7 exempt from taxation under section 501(c)(4),
8 501(c)(6), or 527 of the Internal Revenue Code that
9 engages in activities related to the nomination,
10 election, or defeat of a candidate for public office.
11 A senator may accept employment from a political
12 party, but shall disclose the employment relationship
13 in writing to the secretary of the senate within ten
14 days after the beginning of each legislative session.
15 If a senator accepts employment from a political
16 party during a legislative session, the senator shall
17 disclose the employment relationship within ten days
18 after acceptance of the employment.

19 For the purpose of this rule, a political action
20 committee means a committee, but not a candidate's
21 committee, which accepts contributions, makes
22 expenditures, or incurs indebtedness in the aggregate
23 of more than seven hundred fifty dollars in any one
24 calendar year to expressly advocate the nomination,
25 election, or defeat of a candidate for public office
26 or to expressly advocate the passage or defeat of
27 a ballot issue or influencing legislative action,
28 or an association, lodge, society, cooperative,
29 union, fraternity, sorority, educational institution,
30 civic organization, labor organization, religious

1 organization, or professional organization which makes
2 contributions in the aggregate of more than seven
3 hundred fifty dollars in any one calendar year to
4 expressly advocate the nomination, election, or defeat
5 of a candidate for public office or ballot issue or
6 influencing legislative action.

7 7. ECONOMIC INTERESTS OF LOBBYIST. With the
8 exception of exercising unfettered discretion in
9 supporting or refusing to support proposed legislation,
10 a senator shall not take action intended to affect the
11 economic interests of a lobbyist or citizen supporting
12 or opposing proposed legislation.

13 8. APPEARANCE BEFORE GOVERNMENTAL AGENCY. A
14 senator may appear before a governmental agency or
15 board in any representation case, except that the
16 senator shall not act as a lobbyist. Whenever a
17 senator appears before a governmental agency or board,
18 the senator shall carefully avoid all conduct which
19 might in any way lead members of the general public
20 to conclude that the senator is using the senator's
21 official position to further the senator's professional
22 success or personal financial interest.

23 9. CONFLICTS OF INTERESTS. In order to permit the
24 general assembly to function effectively, a senator
25 will sometimes be required to vote on bills and
26 participate in committee work which will affect the
27 senator's employment and other monetary interests. In
28 making a decision relative to the senator's activity on
29 given bills or committee work which are subject to the
30 code, the following factors shall be considered:

1 a. Whether a substantial threat to the senator's
2 independence of judgment has been created by the
3 conflict situation.

4 b. The effect of the senator's participation on
5 public confidence in the integrity of the legislature.

6 c. The need for the senator's particular
7 contribution, such as special knowledge of the
8 subject matter, to the effective functioning of the
9 legislature.

10 A senator with a conflict of interest may
11 participate in floor debate if prior to debate the
12 senator indicates the conflict of interest.

13 10. GIFTS. Except as otherwise provided in section
14 68B.22, a senator, or that person's immediate family
15 member, shall not, directly or indirectly, accept or
16 receive any gift or series of gifts from a restricted
17 donor.

18 11. DISCLOSURE REQUIRED. Each senator shall file
19 with the secretary of the senate within ten days after
20 the adoption of the code of ethics by the senate, and
21 within ten days after the convening of the second
22 session of the general assembly, a statement under
23 section 68B.35 on forms provided by the secretary of
24 the senate setting forth the following information:

25 The nature of each business in which the senator
26 is engaged and the nature of the business of each
27 company in which the senator has a financial interest.
28 A senator shall not be required to file a report or
29 be assumed to have a financial interest if the annual
30 income derived from the investment in stocks, bonds,

1 bills, notes, mortgages, or other securities offered
2 for sale through recognized financial brokers is less
3 than one thousand dollars.

4 Disclosures required under this rule shall be as
5 of the date filed unless provided to the contrary,
6 and shall be amended to include interests and changes
7 encompassed by this rule that occur while the general
8 assembly is in session. All filings under this rule
9 shall be open to public inspection in the office of the
10 secretary of the senate at all reasonable times.

11 The secretary of the senate shall inform the
12 ethics committee of the statements which are filed
13 and shall report to the ethics committee the names of
14 any senators who appear not to have filed complete
15 statements. The chairperson of the ethics committee
16 shall request in writing that a senator who has failed
17 to complete the report or appears to have filed an
18 incomplete report do so within five days, and, upon
19 the failure of the senator to comply, the ethics
20 committee shall require the senator to appear before
21 the committee.

22 12. STATUTORY VIOLATIONS. Members of the general
23 assembly are urged to familiarize themselves with
24 chapters 68B, 721, and 722.

25 13. CHARGE ACCOUNTS. Senators shall not charge any
26 amount or item to any charge account to be paid for by
27 any lobbyist or any client the lobbyist represents.

28 14. TRAVEL EXPENSES. A senator shall not charge
29 to the state of Iowa amounts for travel and expenses
30 unless the senator actually has incurred those mileage

1 and expense costs. Senators shall not file the
2 vouchers for weekly mileage reimbursement required
3 by section 2.10, subsection 1, unless the travel
4 was actually incurred at commensurate expense to the
5 senator.

6 15. COMPLAINTS. Complaints or charges against
7 any senator or any lobbyist shall be in writing, made
8 under oath, and filed with the secretary of the senate
9 or the chairperson of the ethics committee. If filed
10 with the secretary of the senate, the secretary shall
11 immediately advise the chairperson of the ethics
12 committee of the receipt of the complaint.

13 Complaint forms shall be available from the
14 secretary of the senate, or the chairperson of the
15 ethics committee, but a complaint shall not be rejected
16 for failure to use an approved form if the complaint
17 substantially complies with senate requirements.

18 A complainant may submit exhibits and affidavits
19 attached to the complaint.

20 16. FILING OF COMPLAINTS.

21 a. *Persons entitled.* Complaints may be filed by any
22 person believing that a senator, lobbyist, or client
23 of a lobbyist has violated the senate ethics code,
24 the joint rules governing lobbyists, or chapter 68B
25 of the Iowa Code. A violation of the criminal law may
26 be considered to be a violation of this code of ethics
27 if the violation constitutes a serious misdemeanor or
28 greater, or a repetitive and flagrant violation of the
29 law.

30 b. *Committee complaint.* The ethics committee

1 may, upon its own motion, initiate a complaint,
2 investigation, or disciplinary action.

3 c. *Timeliness of filing.* A complaint will be
4 considered to be timely filed if it is filed within
5 three years of the occurrence of the alleged violation
6 of the ethics code.

7 17. PERMANENT RECORD. The secretary of the senate
8 shall maintain a permanent record of all complaints
9 filed, evidence received by the committee, and any
10 transcripts or other recordings made of committee
11 proceedings, including a separate card file containing
12 the date filed, name and address of the complainant,
13 name and address of the respondent, a brief statement
14 of the charges made, and ultimate disposition of
15 the complaint. The secretary shall keep each such
16 complaint confidential until public disclosure is made
17 by the ethics committee.

18 18. PREHEARING PROCEDURE.

19 a. *Defective complaint.* Upon receipt of a
20 complaint, the chairperson and ranking member of the
21 ethics committee shall determine whether the complaint
22 substantially complies with the requirements of this
23 code of ethics and section 68B.31, subsection 6. If
24 the complaint does not substantially comply with
25 the requirements for formal sufficiency under the
26 code of ethics, the complaint may be returned to the
27 complainant with a statement that the complaint is not
28 in compliance with the code and a copy of the code. If
29 the complainant fails to amend the complaint to comply
30 with the code within a reasonable time, the chairperson

1 and ranking member may dismiss the complaint with
2 prejudice for failure to prosecute.

3 b. *Service of complaint on respondent.* Upon
4 receipt of any complaint substantially complying
5 with the requirements of this code of ethics, the
6 chairperson of the ethics committee shall cause a copy
7 of the complaint and any supporting information to be
8 delivered promptly to the respondent, requesting a
9 written response to be filed within ten days. At the
10 time delivery is made to the respondent, delivery of
11 copies of the complaint and any supporting information
12 shall be made to legislative staff assigned to the
13 ethics committee. The response may do any of the
14 following:

- 15 (1) Admit or deny the allegation or allegations.
16 (2) Object that the allegation fails to allege a
17 violation of chapter 68B or the code of ethics.
18 (3) Object to the jurisdiction of the committee.
19 (4) Request a more specific statement of the
20 allegation or allegations.

21 c. *Objection to member.* In addition to the
22 items which may be included in a response pursuant
23 to paragraph "b", the response may also include an
24 objection to the participation of any member of the
25 committee in the consideration of the allegation or
26 allegations on the grounds that the member cannot
27 render an impartial and unbiased decision.

28 d. *Extension of time.* At the request of the
29 respondent and upon a showing of good cause, the
30 committee, or the chairperson and ranking member,

1 may extend the time for response, not to exceed ten
2 additional days.

3 e. *Confidentiality.* If a complaint is not
4 otherwise made public, the members of the committee
5 and legislative staff assigned to the ethics
6 committee shall treat the complaint and all supporting
7 information as confidential until the written response
8 is received from the respondent.

9 f. *Communications with ethics committee.* After a
10 complaint has been filed or an investigation has been
11 initiated, a party to the complaint or investigation
12 shall not communicate, or cause another to communicate,
13 as to the merits of the complaint or investigation with
14 a member of the committee, except under the following
15 circumstances:

16 (1) During the course of any meetings or other
17 official proceedings of the committee regarding the
18 complaint or investigation.

19 (2) In writing, if a copy of the writing is
20 delivered to the adverse party or the designated
21 representative for the adverse party.

22 (3) Orally, if adequate prior notice of the
23 communication is given to the adverse party or the
24 designated representative for the adverse party.

25 (4) As otherwise authorized by statute, the senate
26 code of ethics, the joint rules governing lobbyists, or
27 vote of the committee.

28 g. *Scheduling hearing.* Upon receipt of the
29 response, the committee shall schedule a public meeting
30 to review the complaint and available information, and

1 shall do one of the following:

2 (1) Notify the complainant that no further
3 action will be taken, unless further substantiating
4 information is produced.

5 (2) Dismiss the complaint for failure to meet the
6 statutory and code of ethics requirements for valid
7 complaints.

8 (3) Take action on the complaint without requesting
9 the appointment of an independent special counsel
10 if the committee determines the complaint is valid
11 and determines no dispute exists between the parties
12 regarding the material facts that establish a
13 violation. The committee may do any of the following:

14 (a) Issue an admonishment to advise against the
15 conduct that formed the basis for the complaint and to
16 exercise care in the future.

17 (b) Issue an order to cease and desist the conduct
18 that formed the basis for the complaint.

19 (c) Make a recommendation to the senate that
20 the person subject to the complaint be censured or
21 reprimanded.

22 (4) Request that the chief justice of the supreme
23 court appoint an independent special counsel to conduct
24 an investigation of the complaint and supporting
25 information, to make a determination of probable cause,
26 and to report the findings to the committee, which
27 shall be received within a reasonable time.

28 h. *Public hearing.* If independent special counsel
29 is appointed, upon receipt of the report of independent
30 special counsel's findings, the committee shall

1 schedule a public meeting to review the report and
2 shall do either of the following:

3 (1) Cause the complaint to be scheduled for a
4 public hearing.

5 (2) Dismiss the complaint based upon a
6 determination by independent special counsel and the
7 committee that insufficient evidence exists to support
8 a finding of probable cause.

9 19. HEARING PROCEDURE.

10 a. *Notice of hearing.* If the committee causes a
11 complaint to be scheduled for a public hearing, notice
12 of the hearing date and time shall be given to the
13 complainant and respondent in writing, and of the
14 respondent's right to appear in person, be represented
15 by legal counsel, present statements and evidence, and
16 examine and cross-examine witnesses. The committee
17 shall not be bound by formal rules of evidence, but
18 shall receive relevant evidence, subject to limitations
19 on repetitiveness. Any evidence taken shall be under
20 oath.

21 b. *Subpoena power.* The committee may require, by
22 subpoena or otherwise, the attendance and testimony of
23 witnesses and the production of such books, records,
24 correspondence, memoranda, papers, documents, and any
25 other things it deems necessary to the conduct of the
26 inquiry.

27 c. *Ex post facto.* An investigation shall not be
28 undertaken by the committee of a violation of a law,
29 rule, or standard of conduct that is not in effect at
30 the time of violation.

1 d. *Disqualification of member.* Members of the
2 committee may disqualify themselves from participating
3 in any investigation of the conduct of another person
4 upon submission of a written statement that the member
5 cannot render an impartial and unbiased decision
6 in a case. A member may also be disqualified by a
7 unanimous vote of the remaining eligible members of the
8 committee.

9 A member of the committee is ineligible to
10 participate in committee meetings, as a member of the
11 committee, in any proceeding relating to the member's
12 own official conduct.

13 If a member of the committee is disqualified or
14 ineligible to act, the majority or minority leader who
15 appointed the member shall appoint a replacement member
16 to serve as a member of the committee during the period
17 of disqualification or ineligibility.

18 e. *Hearing.* At the hearing, the chairperson shall
19 open the hearing by stating the charges, the purpose of
20 the hearing, and its scope. The burden of proof rests
21 upon the complainant to establish the facts as alleged,
22 by clear and convincing evidence. However, questioning
23 of witnesses shall be conducted by the members of the
24 committee, by independent special counsel, or by a
25 senator. The chairperson shall also permit questioning
26 by legal counsel representing the complainant or
27 respondent.

28 The chairperson or other member of the committee
29 presiding at a hearing shall rule upon procedural
30 questions or any question of admissibility of evidence

1 presented to the committee. Rulings may be reversed by
2 a majority vote of the committee members present.

3 The committee may continue the hearing to a future
4 date if necessary for appropriate reasons or purposes.

5 f. *Committee action.* Upon receipt of all relevant
6 evidence and arguments, the committee shall consider
7 the same and recommend to the senate any of the
8 following:

9 (1) That the complaint be dismissed.

10 (2) That the senator, lobbyist, or client of a
11 lobbyist be censured or reprimanded, and recommend the
12 appropriate form of censure or reprimand.

13 (3) Any other appropriate sanction, including
14 suspension or expulsion from membership in the senate,
15 or suspension of lobbying privileges.

16 g. *Disposition resolution.* By appropriate
17 resolution, the senate may amend, adopt, or reject
18 the report of the ethics committee, including the
19 committee's recommendations regarding disciplinary
20 action.

21 20. COMMITTEE AUTHORIZED TO MEET. The senate
22 ethics committee is authorized to meet at the
23 discretion of the chairperson to conduct hearings and
24 other business that properly may come before it. If
25 the committee submits a report seeking senate action
26 against a senator, lobbyist, or client of a lobbyist
27 after the second regular session of a general assembly
28 has adjourned sine die, the report shall be submitted
29 to and considered by the subsequent general assembly.
30 However, the report may be submitted to and considered

1 during any special session which may take place after
2 the second regular session of a general assembly has
3 adjourned sine die, but before the convening of the
4 next general assembly.

5 21. ADVISORY OPINIONS.

6 a. *Requests for formal opinions.* A request for a
7 formal advisory opinion may be filed by any person who
8 is subject to the authority of the ethics committee.
9 The ethics committee may also issue a formal advisory
10 opinion on its own motion, without having previously
11 received a formal request for an opinion, on any issue
12 that is within the jurisdiction of the committee.
13 Requests shall be filed with either the secretary of
14 the senate or the chairperson of the ethics committee.

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

1 of identifying information may include references to
2 conduct of a category of individuals, such as but not
3 limited to conduct of legislators, legislative staff,
4 lobbyists, or clients of lobbyists.

5 c. *Confidentiality of formal requests and opinions.*
6 Requests for formal opinions are not confidential and
7 any deliberations of the committee regarding a request
8 for a formal opinion shall be public. Opinions issued
9 in response to requests for formal opinions are not
10 confidential, shall be in writing, and shall be placed
11 on file in the office of the secretary of the senate.
12 Persons requesting formal opinions shall personally
13 receive a copy of the written formal opinion that is
14 issued in response to the request.

15 22. CALCULATION OF TIME — DAYS. For purposes of
16 these rules, unless the context otherwise requires,
17 the word "day" or "days" shall mean a calendar day
18 except that if the day is the last day of a specific
19 time period and falls upon a Saturday, Sunday, or legal
20 holiday, the time prescribed shall be extended so as to
21 include the whole of the next day in which the offices
22 of the senate and the general assembly are open for
23 official business.

24 23. COMPLAINT FILING FORM. The following form
25 shall be used to file a complaint under these rules:

26 THE SENATE
27 Ethics Complaint Form

28 Re: _____
29 (Senator/Lobbyist/Client of Lobbyist), of
30 _____, Iowa.

S.R. _____

1 I, _____ (Complainant),
2 residing at _____, in the City of
3 _____, State of _____,
4 hereby complain that _____
5 (Senator/Lobbyist/Client of Lobbyist), whose address
6 is _____, has
7 violated the Senate Code of Ethics or Joint Rules
8 Governing Lobbyists in that:

9 (Explain the basis for the complaint here. Use
10 additional pages, if necessary.)

11 Under penalty of perjury, I certify that the above
12 complaint is true and correct as I verily believe.

13 _____
14 Signature of Complainant

15 SUBSCRIBED AND AFFIRMED to before me this _____
16 day of _____, _____.

17 _____
18 Notary Public in and for the
19 State of _____

20 24. COMPLAINT NOTICE FORM. The following form
21 shall be used for notice of a complaint under these
22 rules:

23 STATE OF IOWA
24 THE SENATE
25 COMMITTEE ON ETHICS)
26 IOWA STATE SENATE)
27)
28 On The Complaint Of) NOTICE OF COMPLAINT
29)
30 _____)

S.R. _____

1)
2 And Involving)
3)
4 _____)
5)

6 TO _____,

7 Senator or Lobbyist or Client of Lobbyist named
8 above:

9 You are hereby notified that there is now on file
10 with the Secretary of the Senate, State Capitol, Des
11 Moines, Iowa, a complaint which alleges that you have
12 committed a violation of the Senate's Code of Ethics or
13 Joint Rules Governing Lobbyists.

14 A copy of the complaint and the Senate rules for
15 processing the same are attached hereto and made a part
16 of this notice.

17 You are further notified and requested to file your
18 written answer to the complaint within ten days of the
19 date upon which the notice was caused to be delivered
20 to you, (date) _____, _____.

21 Your answer is to be filed with the Secretary of the
22 Senate, State Capitol, Des Moines, Iowa.

23 Dated this _____ day of _____, _____.

24 _____
25 ~~Chair~~ Chairperson, Senate Ethics
26 Committee,
27 or Secretary of the Senate

28 25. HEARING NOTICE FORM. The following form shall
29 be used for notice of a hearing under these rules:

30 STATE OF IOWA

1 THE SENATE
2 COMMITTEE ON ETHICS)
3 IOWA STATE SENATE)
4)
5 On The Complaint Of) NOTICE OF HEARING
6)
7 _____)
8)
9 And Involving)
10)
11 _____)
12)

13 TO _____,
14 Senator or Lobbyist or Client of Lobbyist named
15 above:

16 You are hereby notified that there is now on file
17 with the Secretary of the Senate, State Capitol, Des
18 Moines, Iowa, a complaint which alleges that you have
19 committed a violation of the Senate's Code of Ethics or
20 Joint Rules Governing Lobbyists.

21 A copy of the complaint and the Senate rules for
22 processing the same are attached hereto and made a part
23 of this notice.

24 You are further notified that, after preliminary
25 review, the committee has caused a public hearing to be
26 scheduled on (date) _____, _____, at
27 (hour) _____ (a.m.) (p.m.), in Room _____, State
28 Capitol, Des Moines, Iowa.

29 At the hearing, you will have the right to appear
30 in person, be represented by legal counsel at your own

1 expense, present statements and evidence, and examine
2 and cross-examine witnesses. The committee shall
3 not be bound by formal rules of evidence, but shall
4 receive relevant evidence, subject to limitations on
5 repetitiveness. Any evidence taken shall be under
6 oath.

7 The committee may continue the hearing to a future
8 date if necessary for appropriate reasons or purposes.

9 You are further notified that the committee will
10 receive such evidence and take such action as warranted
11 by the evidence.

12 Dated this _____ day of _____, _____.

13 _____
14 ~~Chair~~ Chairperson, Senate Ethics
15 Committee,
16 or Secretary of the Senate

17 26. PERSONAL FINANCIAL DISCLOSURE FORM. The
18 following form shall be used for disclosure of economic
19 interests under these rules and section 68B.35:

20 STATEMENT OF ECONOMIC INTERESTS

21 Name: _____
22 (Last) (First) (Middle Initial)

23 Address: _____
24 (Street Address, Apt.#/P.O. Box)

25 _____
26 (City) (State) (Zip)

27 Phone: (Home) ____/____-____ (Business) ____/____-____

28 *****

29 a. Please list each business, occupation, or
30 profession in which you are engaged. In listing

1 the business, occupation, or profession, it is
2 not necessary that your employer or the name of
3 the business be listed, although all businesses,
4 occupations, or professions must be listed, regardless
5 of the amount of income derived or time spent
6 participating in the activity. (Examples of types
7 of businesses, occupations, or professions that may
8 be listed: teacher, lawyer, legislator, real estate
9 agent, insurance adjuster, salesperson....)

- 10 (1) _____
- 11 (2) _____
- 12 (3) _____
- 13 (4) _____
- 14 (5) _____

15 b. Please list the nature of each of the
16 businesses, occupations, or professions which you
17 listed in paragraph "a", above, unless the nature of
18 the business, occupation, or profession is already
19 apparent from the information indicated above. The
20 descriptions in this paragraph should correspond by
21 number to the numbers for each of the businesses,
22 occupations, or professions listed in paragraph "a".
23 (Examples: If you indicated, for example, that you
24 were a salesperson in subparagraph (1) of paragraph
25 "a", you should list in subparagraph (1) of this
26 paragraph the types of goods or services sold in this
27 item. If you indicated that you were a teacher in
28 subparagraph (2) of paragraph "a", you should indicate
29 in subparagraph (2) of this paragraph the type of
30 school or institution in which you provide instruction

1 or whether the instruction is provided on a private
2 basis. If you indicated that you were a lawyer in
3 subparagraph (3) of paragraph "a", you should indicate
4 your areas of practice and whether you are in private,
5 corporate, or government practice in subparagraph (3)
6 of this paragraph. If you indicated in subparagraph
7 (4) of paragraph "a" that you were a consultant, in
8 subparagraph (4) of this paragraph you should indicate
9 the kind of services provided and types of clients
10 served.)

- 11 (1) _____
- 12 (2) _____
- 13 (3) _____
- 14 (4) _____
- 15 (5) _____

16 c. Please list each source, by general description,
17 from which you receive, or which generates, more than
18 one thousand dollars in gross annual income in the
19 categories listed below. For purposes of this item,
20 a source produces gross annual income if the revenue
21 produced by the source is subject to federal or state
22 income taxes. In completing this item, it is not
23 necessary to list the name of the company, business,
24 financial institution, corporation, partnership, or
25 other entity which constitutes the source of the income
26 and the amount or value of the holding should not be
27 listed.

28 (1) Securities (Here for example, you need not
29 state that you own X number of shares of any specific
30 company by brand or corporate name, or that the stock

1 is of a certain value, but may instead state that you
2 possess stock in a company and indicate the nature of
3 the company's business.):

4 _____
5 _____
6 _____
7 _____
8 _____

9 (2) Instruments of Financial Institutions (You
10 need not indicate, for example, in which institutions
11 you hold certificates of deposit that produce annual
12 income over the one thousand dollar threshold, but
13 simply listing the nature of the institution will
14 suffice, e.g., bank, credit union, or savings and loan
15 association.):

16 _____
17 _____
18 _____
19 _____
20 _____

21 (3) Trusts (The name of the particular trust need
22 not be listed. However, if the income is received
23 from a charitable trust/foundation, such as the Pugh
24 Charitable Trust, in the form of a grant, the fact that
25 the trust is a charitable trust should be noted here.):

26 _____
27 _____
28 _____
29 _____
30 _____

1 (4) Real Estate (When listing real estate, it is
2 not necessary to list the location of the property, but
3 the general nature of the real estate interest should
4 be indicated, e.g., residential leasehold interest or
5 farm leasehold interest.):

6 _____
7 _____
8 _____
9 _____
10 _____

11 (5) Retirement Systems (When listing retirement
12 benefits, it is not necessary to list the name of
13 the particular pension system or company, but rather
14 the type of benefit should be listed, e.g., health
15 benefits, life insurance benefits, private pension, or
16 government pension.):

17 _____
18 _____
19 _____
20 _____
21 _____

22 (6) Other Income Categories Specified in State or
23 Federal Income Tax Regulations (List description of
24 other sources of income producing over one thousand
25 dollars in annual income not previously reported above,
26 but which must be reported for income tax purposes.):

27 _____
28 _____
29 _____
30 _____

S.R. _____

1 _____
2 _____
3 _____
4 (Signature of filer) _____ (Date) _____