

House Resolution 6 - Introduced

HOUSE RESOLUTION NO. 6

BY COMMITTEE ON ETHICS

(SUCCESSOR TO HSB 97)

1 A Resolution relating to the code of ethics of the
2 House of Representatives for the Eighty-eighth
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 one thousand dollars in any one calendar
18 year to expressly advocate the nomination, election, or
19 defeat of a candidate for public office or to expressly
20 advocate the passage or defeat of a ballot issue or for
21 the purpose of influencing legislative action.

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

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

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

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

27 4. CONFLICTS OF INTEREST. In order for the general
28 assembly to function effectively, members of the house
29 may be required to vote on bills and participate in
30 committee work which will affect their employment and

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

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

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

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

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

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

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

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

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

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

28 8. GIFTS ACCEPTED OR RECEIVED. Members and
29 employees of the house shall comply with the
30 restrictions relating to the receipt or acceptance

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

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

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

19 11. HARASSMENT — SEXUAL HARASSMENT — RETALIATION.
20 Members and employees of the house shall not engage in
21 conduct which constitutes harassment, including sexual
22 harassment as defined in section 19B.12 of the Code, or
23 retaliation, or conduct that is prohibited pursuant to
24 the sexual any harassment policy adopted by the house
25 committee on administration and rules. Harassment is
26 a form of discrimination based on any protected basis,
27 including race, color, national origin, religion,
28 sex, pregnancy, physical or mental disability, age,
29 marital status, veteran status, gender identity, sexual
30 orientation, or any other characteristic protected by

1 law, including the federal Civil Rights Act of 1964,
2 the federal Age Discrimination in Employment Act of
3 1967, the federal Americans with Disabilities Act of
4 1990, and chapter 216 of the Code. Harassment of an
5 individual based on any protected basis is unlawful
6 if submission to or rejection of such conduct by
7 an individual is made the basis for an employment
8 decision affecting the individual or if such conduct
9 is sufficiently severe or pervasive to create a hostile
10 work environment. Members and employees of the house
11 shall not engage in conduct which constitutes unlawful
12 harassment or discrimination based on any protected
13 basis, or retaliation for reporting harassment or
14 discrimination, threatening to report harassment or
15 discrimination, or participating in a harassment or
16 discrimination investigation.

17 12. COMPLAINTS.

18 a. *Filing of complaint.* Complaints may be filed by
19 any person believing that a member or employee of the
20 house, a lobbyist, or a client of a lobbyist is guilty
21 of a violation of the house code of ethics, the joint
22 rules governing lobbyists, or chapter 68B of the Code.

23 b. *Complaints by committee.* The ethics committee
24 may initiate a complaint on its own motion. Committee
25 complaints may be initiated by the committee as a
26 result of a committee investigation or as a result of
27 receipt of any complaint or other information that does
28 not meet the requirements of these rules regarding the
29 form of a complaint but that contains allegations that
30 would form the basis for a valid complaint.

1 c. *Form and contents of complaint.* A complaint
2 shall be in writing.

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

11 To be valid, a complaint shall allege all of the
12 following:

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

17 (2) That the conduct providing the basis for the
18 complaint occurred within three years of the filing of
19 the complaint.

20 (3) That the party charged with a violation is
21 a party subject to the jurisdiction of the ethics
22 committee.

23 d. *Confidentiality of complaint.* The identity of
24 the parties and the contents of the complaint shall
25 be confidential until the time that the committee
26 chairperson and ranking member determine under
27 paragraph "f" that the complaint is sufficient as
28 to form, unless either the complainant or the party
29 charged in the complaint makes the identity of the
30 parties, or the information contained in the complaint,

1 public. The chief clerk of the house and the committee
2 chairperson and ranking member may communicate
3 confidentially with appropriate legislative staff
4 during any stage of the complaint process.

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

24 f. *Hearing regarding validity of complaint.* The
25 committee chairperson and the ranking member shall
26 review the complaint and supporting information to
27 determine whether the complaint meets the requirements
28 as to form. If the complaint is deficient as to form,
29 the complaint shall be returned to the complainant
30 with instructions indicating the deficiency. If the

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

23 If the committee finds that a complaint does not
24 meet the content requirements for a valid complaint,
25 the committee shall dismiss the complaint and notify
26 both the complainant and the party alleged to have
27 committed the violation of the dismissal and the
28 reasons for dismissal. A dismissal for failure to meet
29 the formal requirements for the filing of a complaint
30 shall be without prejudice and the complainant may

1 refile the complaint at any time within three years
2 of the date that the alleged violation took place. If
3 the dismissal is based upon a failure to allege facts
4 and circumstances necessary for a valid complaint, the
5 dismissal shall be with prejudice and the party shall
6 not be permitted to file a complaint based upon the
7 same facts and circumstances.

8 g. *Action on undisputed complaint.* If the committee
9 determines a complaint is valid and determines no
10 dispute exists between the parties regarding the
11 material facts that establish a violation, the
12 committee may take action on the complaint under this
13 paragraph without requesting the appointment of an
14 independent special counsel.

15 The committee may do any of the following:

16 (1) Issue an admonishment to advise against the
17 conduct that formed the basis for the complaint and to
18 exercise care in the future.

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

21 (3) Make a recommendation to the house that
22 the person subject to the complaint be censured or
23 reprimanded.

24 h. *Request for appointment of independent special*
25 *counsel.* If, after review of the complaint and any
26 response made by the party alleged to have committed
27 the violation, the committee determines that the
28 complaint meets the requirements for form and content
29 and the committee has not taken action under paragraph
30 "g", the committee shall request that the chief justice

1 of the supreme court appoint independent special
2 counsel to investigate the matter and determine whether
3 probable cause exists to believe that a violation of
4 chapter 68B of the Code, the house code of ethics, or
5 the joint rules governing lobbyists has occurred.

6 i. *Receipt of report of independent special counsel.*

7 The report from the independent special counsel
8 regarding probable cause to proceed on a complaint
9 shall be filed with the chief clerk of the house.

10 Upon receipt of the report of the independent special
11 counsel, the chief clerk shall notify the chairperson
12 of the filing of the report and shall send copies of
13 the report to the members of the ethics committee. As
14 soon as practicable after the filing of the report, the
15 chairperson shall schedule a public meeting for review
16 of the report. The purpose of the public meeting
17 shall be to determine whether the complaint should be
18 dismissed, whether a formal hearing should be held on
19 the complaint, or whether other committee action is
20 appropriate. The complainant and the person alleged to
21 have committed the violation shall be given notice of
22 the public meeting, shall have the right to be present
23 at the public meeting, and may, at the discretion
24 of the committee, present testimony in support of or
25 against the recommendations contained in the report.

26 If the committee determines that the matter should
27 be dismissed, the committee shall cause an order to
28 be entered dismissing the matter and notice of the
29 dismissal shall be given to the complainant and the
30 party alleged to have committed the violation. If

1 the committee determines that the complaint should be
2 scheduled for formal hearing, the committee shall issue
3 a charging statement which contains the charges and
4 supporting facts that are to be set for formal hearing
5 and notice shall be sent to the complainant and the
6 accused person.

7 The notice shall include a statement of the nature
8 of the charge or charges, a statement of the time and
9 place of hearing, a short and plain statement of the
10 facts asserted, and a statement of the rights of the
11 accused person at the hearing.

12 j. *Formal hearing.* Formal hearings shall be public
13 and conducted in the manner provided in section 68B.31,
14 subsection 8 of the Code. At a formal hearing the
15 accused shall have the right to be present and to
16 be heard in person and by counsel, to cross-examine
17 witnesses, and to present evidence. Members of
18 the committee shall also have the right to question
19 witnesses.

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

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

28 The committee chairperson, or the vice chairperson
29 or ranking member in the absence of the chairperson,
30 shall preside at the formal hearing and shall rule on

1 the admissibility of any evidence received. The ruling
2 of the chairperson may be overturned by a majority
3 vote of the committee. Independent special counsel
4 shall present the evidence in support of the charge
5 or charges. The burden shall be on the independent
6 special counsel to prove the charge or charges by
7 ~~a preponderance~~ of clear and convincing evidence.
8 Upon completion of the formal hearing, the committee
9 shall adopt written findings of fact and conclusions
10 concerning the merits of the charges and make its
11 report and recommendation to the house.

12 k. *Disqualification of member.* Members of the
13 committee may disqualify themselves from participating
14 in any investigation of the conduct of another person
15 upon submission of a written statement that the member
16 cannot render an impartial and unbiased decision
17 in a case. A member may also be disqualified by a
18 unanimous vote of the remaining eligible members of the
19 committee.

20 A member of the committee is ineligible to
21 participate in committee meetings, as a member of the
22 committee, in any proceeding relating to the member's
23 own official conduct.

24 If a member of the committee is disqualified or
25 ineligible to act, the majority or minority leader who
26 appointed the member shall appoint a replacement member
27 to serve as a member of the committee during the period
28 of disqualification or ineligibility.

29 l. *Recommendations by the committee.* The committee
30 shall recommend to the house that the complaint be

1 dismissed, or that one or more of the following be
2 imposed:

3 (1) That the member or employee of the house
4 or lobbyist or client of a lobbyist be censured or
5 reprimanded, and the recommended appropriate form of
6 censure or reprimand be used.

7 (2) That the member of the house be suspended or
8 expelled from membership in the house and required
9 to forfeit the member's salary for that period, the
10 employee of the house be suspended or dismissed from
11 employment, or that the lobbyist's or lobbyist's
12 client's lobbying privileges be suspended.

13 13. COMMUNICATIONS WITH ETHICS COMMITTEE. After a
14 complaint has been filed or an investigation has been
15 initiated, a party to the complaint or investigation
16 shall not communicate, or cause another to communicate,
17 as to the merits of the complaint or investigation with
18 a member of the committee, except under the following
19 circumstances:

20 a. During the course of any meetings or other
21 official proceedings of the committee regarding the
22 complaint or investigation.

23 b. In writing, if a copy of the writing is
24 delivered to the adverse party or the designated
25 representative for the adverse party.

26 c. Orally, if adequate prior notice of the
27 communication is given to the adverse party or the
28 designated representative for the adverse party.

29 d. As otherwise authorized by statute, the house
30 code of ethics, joint rules governing lobbyists, or

1 vote of the committee.

2 14. PERMANENT RECORD. The chief clerk of the house
3 shall maintain a permanent record of all complaints
4 filed and any corresponding committee action. The
5 permanent record shall be prepared by the ethics
6 committee and shall contain the date the complaint was
7 filed, name and address of the complainant, name and
8 address of the accused person, a brief statement of the
9 charges made, any evidence received by the committee,
10 any transcripts or recordings of committee action, and
11 ultimate disposition of the complaint. ~~Beginning with~~
12 ~~the 2017 Regular Session of the General Assembly, in~~ In
13 recording the ultimate disposition of a complaint that
14 is dismissed, the information shall include whether
15 the complaint was dismissed due to formal insufficiency
16 or due to a failure to meet the content requirements
17 of a valid complaint. Except as provided in rule
18 12, paragraph "d", the chief clerk shall keep each
19 complaint confidential until public disclosure is made
20 by the ethics committee.

21 15. MEETING AUTHORIZATION. The house ethics
22 committee is authorized to meet at the discretion of
23 the committee chairperson in order to conduct hearings
24 and other business that properly may come before it.
25 If the committee submits a report seeking house action
26 against a member or employee of the house or 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 16. ADVISORY OPINIONS.

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

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

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

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

1 Requests for formal opinions are not confidential and
2 any deliberations of the committee regarding a request
3 for a formal opinion shall be public. Opinions issued
4 in response to requests for formal opinions are not
5 confidential, shall be in writing, and shall be placed
6 on file in the office of the chief clerk of the house.
7 Persons requesting formal opinions shall personally
8 receive a copy of the written formal opinion that is
9 issued in response to the request.

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

14 STATEMENT OF ECONOMIC INTERESTS

15 Name: _____

16 (Last) (First) (Middle Initial)

17 Address: _____

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

19 _____

20 (City)(State)(Zip)

21 Phone:(Home)_____/_____-_____(Business)_____/_____-_____

22 *****

23 This form is due each year on or before February 15.
24 The reporting period is the most recently completed
25 calendar year. An amended form shall be filed if a
26 change in business, occupation, or profession reported
27 in Division I of the form has occurred. The amended
28 form shall include the date the change took effect and
29 must be filed within thirty days of the first day of
30 the change in employment or engagement necessitating

1 the amended form. If the date of the change occurs
2 between January 1 and February 15, the change shall be
3 included in the filing due February 15.

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

9 Do not report income received by your spouse or
10 other family members.

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

14 Division I. Business, Occupation, or Profession.

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

19 Examples:

20 If you are employed by an individual, state the name
21 of the individual employer, the nature of the business,
22 and your position.

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

27 If you own your own corporation, are employed by a
28 corporation, or are doing business under a particular
29 business name, state the name and nature of the
30 business or corporation and your position.

1 1 _____
2 2 _____
3 3 _____
4 4 _____
5 5 _____
6 6 _____

7 Division II. Commissions from Sales of Goods or
8 Services to Political Subdivisions.

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

15 1 _____
16 2 _____
17 3 _____
18 4 _____
19 5 _____
20 6 _____

21 Division III. Sources of Gross Income.

22 In each one of the following categories list each
23 source which produces more than \$1,000 in annual gross
24 income, if the revenue produced by the source was
25 subject to federal or state income taxes last year.
26 List the nature or type of each company, business,
27 financial institution, corporation, partnership, or
28 other entity which produces more than \$1,000 of annual
29 gross income. Neither the amount of income produced
30 nor value of the holding is required to be listed in

1 any of the items.

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

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

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

29 _____
30 _____

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

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

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26 F. Other Income Categories Specified in State and
27 Federal Income Tax Regulations.

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2 _____
3 _____
4 (Signature of Filer) _____ (Date) _____