

House Study Bill 97 - Introduced

HOUSE RESOLUTION NO. \_\_\_\_\_

BY (PROPOSED COMMITTEE ON ETHICS RESOLUTION BY  
CHAIRPERSON MCKEAN)

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

25 12. COMPLAINTS.

26 a. *Filing of complaint.* Complaints may be filed by  
27 any person believing that a member or employee of the  
28 house, a lobbyist, or a client of a lobbyist is guilty  
29 of a violation of the house code of ethics, the joint  
30 rules governing lobbyists, or chapter 68B of the Code.

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

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

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

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

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

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

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



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

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

1 shall not be confidential.

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

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

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

23 The committee may do any of the following:

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

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

29 (3) Make a recommendation to the house that  
30 the person subject to the complaint be censured or

1 reprimanded.

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

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

1 at the public meeting, and may, at the discretion  
2 of the committee, present testimony in support of or  
3 against the recommendations contained in the report.

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

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

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

28 The committee may require, by subpoena or otherwise,  
29 the attendance and testimony of witnesses and the  
30 production of such books, records, correspondence,

1 memoranda, papers, documents, and any other things it  
2 deems necessary to the conduct of the inquiry.

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

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

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

28 A member of the committee is ineligible to  
29 participate in committee meetings, as a member of the  
30 committee, in any proceeding relating to the member's

1 own official conduct.

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

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

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

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

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

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

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

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

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

10    14. PERMANENT RECORD. The chief clerk of the house  
11 shall maintain a permanent record of all complaints  
12 filed and any corresponding committee action. The  
13 permanent record shall be prepared by the ethics  
14 committee and shall contain the date the complaint was  
15 filed, name and address of the complainant, name and  
16 address of the accused person, a brief statement of the  
17 charges made, any evidence received by the committee,  
18 any transcripts or recordings of committee action, and  
19 ultimate disposition of the complaint. ~~Beginning with~~  
20 ~~the 2017 Regular Session of the General Assembly, in~~ In  
21 recording the ultimate disposition of a complaint that  
22 is dismissed, the information shall include whether  
23 the complaint was dismissed due to formal insufficiency  
24 or due to a failure to meet the content requirements  
25 of a valid complaint. Except as provided in rule  
26 12, paragraph "d", the chief clerk shall keep each  
27 complaint confidential until public disclosure is made  
28 by the ethics committee.

29    15. MEETING AUTHORIZATION. The house ethics  
30 committee is authorized to meet at the discretion of



1 the committee chairperson in order to conduct hearings  
2 and other business that properly may come before it.  
3 If the committee submits a report seeking house action  
4 against a member or employee of the house or lobbyist  
5 after the second regular session of a general assembly  
6 has adjourned sine die, the report shall be submitted  
7 to and considered by the subsequent general assembly.

8 16. ADVISORY OPINIONS.

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

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

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

1 may contain information which identifies the kind  
2 of individual who may be affected by the subject  
3 matter of the request. Examples of this latter kind  
4 of identifying information may include references to  
5 conduct of a category of individuals, such as but not  
6 limited to conduct of legislators, legislative staff,  
7 or lobbyists.

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

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

22 STATEMENT OF ECONOMIC INTERESTS

23 Name: \_\_\_\_\_

24 (Last) (First) (Middle Initial)

25 Address: \_\_\_\_\_

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

27 \_\_\_\_\_

28 (City)(State)(Zip)

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

30 \*\*\*\*\*

1 This form is due each year on or before February 15.  
2 The reporting period is the most recently completed  
3 calendar year. An amended form shall be filed if a  
4 change in business, occupation, or profession reported  
5 in Division I of the form has occurred. The amended  
6 form shall include the date the change took effect and  
7 must be filed within thirty days of the first day of  
8 the change in employment or engagement necessitating  
9 the amended form. If the date of the change occurs  
10 between January 1 and February 15, the change shall be  
11 included in the filing due February 15.

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

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

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

22 Division I. Business, Occupation, or Profession.

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

27 Examples:

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

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

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

9 1 \_\_\_\_\_  
10 2 \_\_\_\_\_  
11 3 \_\_\_\_\_  
12 4 \_\_\_\_\_  
13 5 \_\_\_\_\_  
14 6 \_\_\_\_\_

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

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

23 1 \_\_\_\_\_  
24 2 \_\_\_\_\_  
25 3 \_\_\_\_\_  
26 4 \_\_\_\_\_  
27 5 \_\_\_\_\_  
28 6 \_\_\_\_\_

29 Division III. Sources of Gross Income.

30 In each one of the following categories list each

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

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

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

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

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

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

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H.R. \_\_\_\_\_

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4 F. Other Income Categories Specified in State and  
5 Federal Income Tax Regulations.  
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12 (Signature of Filer) \_\_\_\_\_ (Date) \_\_\_\_\_