

Senate Resolution 2 - Introduced

SENATE RESOLUTION NO. 2
BY COMMITTEE ON ETHICS
(SUCCESSOR TO SSB 1092)

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-eighth General Assembly.

5 BE IT RESOLVED BY THE SENATE, That the Senate Code
6 of Ethics for the ~~Eighty-seventh~~ Eighty-eighth 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 one thousand dollars in any one calendar
24 year to expressly advocate the nomination, election, or
25 defeat of a candidate for public office or to expressly
26 advocate the passage or defeat of a ballot issue or
27 influencing legislative action, or an association,
28 lodge, society, cooperative, union, fraternity,
29 sorority, educational institution, civic organization,
30 labor organization, religious organization, or

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

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

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

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

30 a. Whether a substantial threat to the senator's

1 independence of judgment has been created by the
2 conflict situation.

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

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

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

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

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

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

1 for sale through recognized financial brokers is less
2 than one thousand dollars.

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

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

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

24 12A. HARASSMENT — RETALIATION. Senators,
25 lobbyists, and clients of lobbyists shall not engage
26 in conduct that constitutes harassment or retaliation
27 as provided in the personnel guidelines for the Iowa
28 Senate.

29 13. CHARGE ACCOUNTS. Senators shall not charge any
30 amount or item to any charge account to be paid for by

1 any lobbyist or any client the lobbyist represents.

2 14. TRAVEL EXPENSES. A senator shall not charge
3 to the state of Iowa amounts for travel and expenses
4 unless the senator actually has incurred those mileage
5 and expense costs. Senators shall not file the
6 vouchers for weekly mileage reimbursement required
7 by section 2.10, subsection 1, unless the travel
8 was actually incurred at commensurate expense to the
9 senator.

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

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

22 A complainant may submit exhibits and affidavits
23 attached to the complaint.

24 16. FILING OF COMPLAINTS.

25 a. *Persons entitled.* Complaints may be filed by any
26 person believing that a senator, lobbyist, or client
27 of a lobbyist has violated the senate ethics code,
28 the joint rules governing lobbyists, or chapter 68B.
29 A violation of the criminal law may be considered to
30 be a violation of this code of ethics if the violation

1 constitutes a serious misdemeanor or greater, or a
2 repetitive and flagrant violation of the law.

3 b. *Committee complaint.* The ethics committee
4 may, upon its own motion, initiate a complaint,
5 investigation, or disciplinary action.

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

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

21 18. PREHEARING PROCEDURE.

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

1 in compliance with the code and a copy of the code. If
2 the complainant fails to amend the complaint to comply
3 with the code within a reasonable time, the chairperson
4 and ranking member may dismiss the complaint with
5 prejudice for failure to prosecute.

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

18 (1) Admit or deny the allegation or allegations.

19 (2) Object that the allegation fails to allege a
20 violation of chapter 68B, the joint rules governing
21 lobbyists, or the code of ethics.

22 (3) Object to the jurisdiction of the committee.

23 (4) Request a more specific statement of the
24 allegation or allegations.

25 c. *Objection to member.* In addition to the
26 items which may be included in a response pursuant
27 to paragraph "b", the response may also include an
28 objection to the participation of any member of the
29 committee in the consideration of the allegation or
30 allegations on the grounds that the member cannot

1 render an impartial and unbiased decision.

2 d. *Extension of time.* At the request of the
3 respondent and upon a showing of good cause, the
4 committee, or the chairperson and ranking member,
5 may extend the time for response, not to exceed ten
6 additional days.

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

13 f. *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 (1) During the course of any meetings or other
21 official proceedings of the committee regarding the
22 complaint or investigation.

23 (2) 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 (3) 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 (4) As otherwise authorized by statute, the senate
30 code of ethics, the joint rules governing lobbyists, or

1 vote of the committee.

2 g. *Scheduling hearing.* Upon receipt of the
3 response, the committee shall schedule a public meeting
4 to review the complaint and available information, and
5 shall do one of the following:

6 (1) Notify the complainant that no further
7 action will be taken, unless further substantiating
8 information is produced.

9 (2) Dismiss the complaint for failure to meet the
10 statutory and code of ethics requirements for valid
11 complaints.

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

18 (a) Issue an admonishment to advise against the
19 conduct that formed the basis for the complaint and to
20 exercise care in the future.

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

23 (c) Make a recommendation to the senate that
24 the person subject to the complaint be censured or
25 reprimanded.

26 (4) Request that the chief justice of the supreme
27 court appoint an independent special counsel to conduct
28 an investigation of the complaint and supporting
29 information, to make a determination of probable cause,
30 and to report the findings to the committee, which

1 shall be received within a reasonable time.

2 h. *Public hearing.* If independent special counsel
3 is appointed, upon receipt of the report of independent
4 special counsel's findings, the committee shall
5 schedule a public meeting to review the report and
6 shall do either of the following:

7 (1) Cause the complaint to be scheduled for a
8 public hearing.

9 (2) Dismiss the complaint based upon a
10 determination by independent special counsel and the
11 committee that insufficient evidence exists to support
12 a finding of probable cause.

13 19. HEARING PROCEDURE.

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

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

1 c. *Ex post facto.* An investigation shall not be
2 undertaken by the committee of a violation of a law,
3 rule, or standard of conduct that is not in effect at
4 the time of violation.

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

13 A member of the committee is ineligible to
14 participate in committee meetings, as a member of the
15 committee, in any proceeding relating to the member's
16 own official conduct.

17 If a member of the committee is disqualified or
18 ineligible to act, the majority or minority leader who
19 appointed the member shall appoint a replacement member
20 to serve as a member of the committee during the period
21 of disqualification or ineligibility.

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

1 respondent.

2 The chairperson or other member of the committee
3 presiding at a hearing shall rule upon procedural
4 questions or any question of admissibility of evidence
5 presented to the committee. Rulings may be reversed by
6 a majority vote of the committee members present.

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

9 f. *Committee action.* Upon receipt of all relevant
10 evidence and arguments, the committee shall consider
11 the same and recommend to the senate any of the
12 following:

13 (1) That the complaint be dismissed.

14 (2) That the senator, lobbyist, or client of a
15 lobbyist be censured or reprimanded, and recommend the
16 appropriate form of censure or reprimand.

17 (3) Any other appropriate sanction, including
18 suspension or expulsion from membership in the senate,
19 or suspension of lobbying privileges.

20 g. *Disposition resolution.* By appropriate
21 resolution, the senate may amend, adopt, or reject
22 the report of the ethics committee, including the
23 committee's recommendations regarding disciplinary
24 action.

25 20. COMMITTEE AUTHORIZED TO MEET. The senate
26 ethics committee is authorized to meet at the
27 discretion of the chairperson to conduct hearings and
28 other business that properly may come before it. If
29 the committee submits a report seeking senate action
30 against a senator, lobbyist, or client of a lobbyist

1 after the second regular session of a general assembly
2 has adjourned sine die, the report shall be submitted
3 to and considered by the subsequent general assembly.
4 However, the report may be submitted to and considered
5 during any special session which may take place after
6 the second regular session of a general assembly has
7 adjourned sine die, but before the convening of the
8 next general assembly.

9 21. ADVISORY OPINIONS.

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

17 Requests shall be filed with either the secretary of
18 the senate or the chairperson of the ethics committee.

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

1 Ethics Complaint Form

2 Re: _____
3 (Senator/Lobbyist/Client of Lobbyist), of
4 _____, Iowa.

5 I, _____ (Complainant),
6 residing at _____, in the City of
7 _____, State of _____,
8 hereby complain that _____

9 (Senator/Lobbyist/Client of Lobbyist), whose address
10 is _____, has
11 violated the Senate Code of Ethics, chapter 68B, or
12 Joint Rules Governing Lobbyists in that:

13 (Explain the basis for the complaint here. Use
14 additional pages, if necessary.)

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

17 _____
18 Signature of Complainant

19 SUBSCRIBED AND AFFIRMED to before me this _____
20 day of _____, _____.

21 _____
22 Notary Public in and for the
23 State of _____

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

27 STATE OF IOWA
28 THE SENATE
29 COMMITTEE ON ETHICS)
30 IOWA STATE SENATE)

1)
 2 On The Complaint Of) NOTICE OF COMPLAINT
 3)
 4 _____)
 5)
 6 And Involving)
 7)
 8 _____)
 9)

10 TO _____,

11 Senator or Lobbyist or Client of Lobbyist named
12 above:

13 You are hereby notified that there is now on file
14 with the Secretary of the Senate, State Capitol, Des
15 Moines, Iowa, a complaint which alleges that you have
16 committed a violation of the Senate's Code of Ethics,
17 chapter 68B, or Joint Rules Governing Lobbyists.

18 A copy of the complaint and the Senate rules for
19 processing the same are attached hereto and made a part
20 of this notice.

21 You are further notified and requested to file your
22 written answer to the complaint within ten days of the
23 date upon which the notice was caused to be delivered
24 to you, (date) _____, _____.

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

27 Dated this _____ day of _____, _____.

28 _____
 29 Chairperson, Senate Ethics
 30 Committee,

1 or Secretary of the Senate
2 25. HEARING NOTICE FORM. The following form shall
3 be used for notice of a hearing under these rules:

4 STATE OF IOWA
5 THE SENATE
6 COMMITTEE ON ETHICS)
7 IOWA STATE SENATE)
8)
9 On The Complaint Of) NOTICE OF HEARING
10)
11 _____)
12)
13 And Involving)
14)
15 _____)
16)

17 TO _____,
18 Senator or Lobbyist or Client of Lobbyist named
19 above:

20 You are hereby notified that there is now on file
21 with the Secretary of the Senate, State Capitol, Des
22 Moines, Iowa, a complaint which alleges that you have
23 committed a violation of the Senate's Code of Ethics,
24 chapter 68B, or Joint Rules Governing Lobbyists.

25 A copy of the complaint and the Senate rules for
26 processing the same are attached hereto and made a part
27 of this notice.

28 You are further notified that, after preliminary
29 review, the committee has caused a public hearing to be
30 scheduled on (date) _____, _____, at

1 (hour) _____ (a.m.) (p.m.), in Room _____, State
2 Capitol, Des Moines, Iowa.

3 At the hearing, you will have the right to appear
4 in person, be represented by legal counsel at your own
5 expense, present statements and evidence, and examine
6 and cross-examine witnesses. The committee shall
7 not be bound by formal rules of evidence, but shall
8 receive relevant evidence, subject to limitations on
9 repetitiveness. Any evidence taken shall be under
10 oath.

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

13 You are further notified that the committee will
14 receive such evidence and take such action as warranted
15 by the evidence.

16 Dated this _____ day of _____, _____.

17 _____
18 Chairperson, Senate Ethics
19 Committee,
20 or Secretary of the Senate

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

24 STATEMENT OF ECONOMIC INTERESTS

25 Name: _____

26 (Last) (First) (Middle Initial)

27 Address: _____

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

29 _____

30 (City) (State) (Zip)

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

2 *****

3 a. Please list each business, occupation, or
4 profession in which you are engaged. In listing
5 the business, occupation, or profession, it is
6 not necessary that your employer or the name of
7 the business be listed, although all businesses,
8 occupations, or professions must be listed, regardless
9 of the amount of income derived or time spent
10 participating in the activity. (Examples of types
11 of businesses, occupations, or professions that may
12 be listed: teacher, lawyer, legislator, real estate
13 agent, insurance adjuster, salesperson....)

- 14 (1) _____
- 15 (2) _____
- 16 (3) _____
- 17 (4) _____
- 18 (5) _____

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

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

- 15 (1) _____
- 16 (2) _____
- 17 (3) _____
- 18 (4) _____
- 19 (5) _____

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

1 listed.

2 (1) Securities (Here for example, you need not
3 state that you own X number of shares of any specific
4 company by brand or corporate name, or that the stock
5 is of a certain value, but may instead state that you
6 possess stock in a company and indicate the nature of
7 the company's business.):

8 _____
9 _____
10 _____
11 _____
12 _____

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

20 _____
21 _____
22 _____
23 _____
24 _____

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

30 _____

1 _____
2 _____
3 _____
4 _____

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

10 _____
11 _____
12 _____
13 _____
14 _____

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

21 _____
22 _____
23 _____
24 _____
25 _____

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

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1 _____
2 _____
3 _____
4 _____
5 _____
6 _____
7 _____
8 (Signature of filer) _____ (Date) _____