

# Senate Resolution 1 - Introduced

SENATE RESOLUTION NO. 1  
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-ninth General Assembly.

5 BE IT RESOLVED BY THE SENATE, That the Senate Code  
6 of Ethics for the ~~Eighty-eighth~~ Eighty-ninth 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 10. GIFTS. Except as otherwise provided in section  
10 68B.22, a senator, or that person's immediate family  
11 member, shall not, directly or indirectly, accept or  
12 receive any gift or series of gifts from a restricted  
13 donor.

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

21 The nature of each business in which the senator  
22 is engaged and the nature of the business of each  
23 company in which the senator has a financial interest.  
24 A senator shall not be required to file a report or  
25 be assumed to have a financial interest if the annual  
26 income derived from the investment in stocks, bonds,  
27 bills, notes, mortgages, or other securities offered  
28 for sale through recognized financial brokers is less  
29 than one thousand dollars.

30 Disclosures required under this rule shall be as

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

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

18 12. STATUTORY VIOLATIONS. Members of the general  
19 assembly are urged to familiarize themselves with  
20 chapters 68B, 721, and 722.

21 12A. HARASSMENT — RETALIATION. Senators,  
22 lobbyists, and clients of lobbyists shall not engage  
23 in conduct that constitutes harassment or retaliation  
24 as provided in the personnel guidelines for the Iowa  
25 Senate.

26 12B. DISCRIMINATION — HARASSMENT — ABUSE. As  
27 provided and defined in the personnel guidelines of the  
28 Iowa Senate, a senator shall not engage in any act of  
29 discrimination, harassment, or abuse of any person.

30 13. CHARGE ACCOUNTS. Senators shall not charge any

1 amount or item to any charge account to be paid for by  
2 any lobbyist or any client the lobbyist represents.

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

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

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

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

25 16. FILING OF COMPLAINTS.

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

1 be a violation of this code of ethics if the violation  
2 constitutes a serious misdemeanor or greater, or a  
3 repetitive and flagrant violation of the law.

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

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

18     18. PREHEARING PROCEDURE.

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

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

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

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

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

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

20     (4) Request a more specific statement of the  
21 allegation or allegations.

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

29     d. *Extension of time.* At the request of the  
30 respondent and upon a showing of good cause, the

1 committee, or the chairperson and ranking member,  
2 may extend the time for response, not to exceed ten  
3 additional days.

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

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

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

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

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

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

29 g. *Scheduling hearing.* Upon receipt of the  
30 response, the committee shall schedule a public meeting

1 to review the complaint and available information, and  
2 shall do one of the following:

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

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

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

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

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

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

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

29 h. *Public hearing.* If independent special counsel  
30 is appointed, upon receipt of the report of independent

1 special counsel's findings, the committee shall  
2 schedule a public meeting to review the report and  
3 shall do either of the following:

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

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

10 19. HEARING PROCEDURE.

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

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

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

1 the time of violation.

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

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

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

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

29 The chairperson or other member of the committee  
30 presiding at a hearing shall rule upon procedural

1 questions or any question of admissibility of evidence  
2 presented to the committee. Rulings may be reversed by  
3 a majority vote of the committee members present.

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

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

10 (1) That the complaint be dismissed.

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

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

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

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

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

6 21. ADVISORY OPINIONS.

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

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

1 matter of the request. Examples of this latter kind  
2 of identifying information may include references to  
3 conduct of a category of individuals, such as but not  
4 limited to conduct of legislators, legislative staff,  
5 lobbyists, or clients of lobbyists.

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

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

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

27 THE SENATE  
28 Ethics Complaint Form

29 Re: \_\_\_\_\_  
30 (Senator/Lobbyist/Client of Lobbyist), of

1 \_\_\_\_\_, Iowa.

2 I, \_\_\_\_\_ (Complainant),

3 residing at \_\_\_\_\_, in the City of

4 \_\_\_\_\_, State of \_\_\_\_\_,

5 hereby complain that \_\_\_\_\_

6 (Senator/Lobbyist/Client of Lobbyist), whose address

7 is \_\_\_\_\_, has

8 violated the Senate Code of Ethics, chapter 68B, or

9 Joint Rules Governing Lobbyists in that:

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

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

14 \_\_\_\_\_  
15 Signature of Complainant

16 SUBSCRIBED AND AFFIRMED to before me this \_\_\_\_\_  
17 day of \_\_\_\_\_, \_\_\_\_\_.

18 \_\_\_\_\_  
19 Notary Public in and for the  
20 State of \_\_\_\_\_

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

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

1 \_\_\_\_\_ )  
 2 \_\_\_\_\_ )  
 3 And Involving )  
 4 \_\_\_\_\_ )  
 5 \_\_\_\_\_ )  
 6 \_\_\_\_\_ )

7 TO \_\_\_\_\_,

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

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

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

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

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

24 Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

25 \_\_\_\_\_  
 26 Chairperson, Senate Ethics  
 27 Committee,  
 28 or Secretary of the Senate

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

1 STATE OF IOWA  
 2 THE SENATE  
 3 COMMITTEE ON ETHICS )  
 4 IOWA STATE SENATE )  
 5 )  
 6 On The Complaint Of ) NOTICE OF HEARING  
 7 )  
 8 \_\_\_\_\_ )  
 9 )  
 10 And Involving )  
 11 )  
 12 \_\_\_\_\_ )  
 13 )

14 TO \_\_\_\_\_,  
 15 Senator or Lobbyist or Client of Lobbyist named  
 16 above:

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

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

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

30 At the hearing, you will have the right to appear

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

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

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

13 Dated this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

14 \_\_\_\_\_  
15 Chairperson, Senate Ethics  
16 Committee,  
17 or Secretary of the Senate

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

21 STATEMENT OF ECONOMIC INTERESTS

22 Name: \_\_\_\_\_

23 (Last) (First) (Middle Initial)

24 Address: \_\_\_\_\_

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

26 \_\_\_\_\_

27 (City) (State) (Zip)

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

29 \*\*\*\*\*

30 a. Please list each business, occupation, or

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

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

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

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

- 12 (1) \_\_\_\_\_
- 13 (2) \_\_\_\_\_
- 14 (3) \_\_\_\_\_
- 15 (4) \_\_\_\_\_
- 16 (5) \_\_\_\_\_

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

29 (1) Securities (Here for example, you need not  
30 state that you own X number of shares of any specific

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

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

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

17 \_\_\_\_\_  
18 \_\_\_\_\_  
19 \_\_\_\_\_  
20 \_\_\_\_\_  
21 \_\_\_\_\_

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

27 \_\_\_\_\_  
28 \_\_\_\_\_  
29 \_\_\_\_\_  
30 \_\_\_\_\_

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

7 \_\_\_\_\_  
8 \_\_\_\_\_  
9 \_\_\_\_\_  
10 \_\_\_\_\_  
11 \_\_\_\_\_

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

18 \_\_\_\_\_  
19 \_\_\_\_\_  
20 \_\_\_\_\_  
21 \_\_\_\_\_  
22 \_\_\_\_\_

23 (Signature of filer) (Date)