

Senate Study Bill 1092 - Introduced

SENATE RESOLUTION NO. _____

BY (PROPOSED COMMITTEE ON ETHICS RESOLUTION BY
CHAIRPERSON KOELKER)

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)