

ST. MARY'S COUNTY ETHICS COMMISSION

2012 FINANCIAL INTEREST DISCLOSURE STATEMENT FOR THE CALENDAR YEAR 2011 REPORTING PERIOD

FOR CANDIDATES, EMPLOYEES, AND APPOINTEES TO BOARDS AND COMMISSIONS

UPON COMPLETION, PLEASE RETURN TO:

**ST. MARY'S COUNTY ETHICS COMMISSION
41770 BALDRIDGE STREET
P.O. BOX 653
LEONARDTOWN, MARYLAND 20650**

Ethics Commission Use Only

REVIEWED:

DATE:

APPROVED:

DATE:

NAME: _____

TO AVOID THE RETURN OF YOUR STATEMENT, READ THE FOLLOWING INSTRUCTIONS PRIOR TO COMPLETING IT.

Although the St. Mary's Ethics Ordinance refers to the attached as a "Financial Disclosure Statement," in reality it is a "Financial *Interest* Disclosure Statement" that discloses your interests, not your financial situation. The term "Financial Interest Disclosure Statement" throughout this document is equivalent to what the Ordinance refers to as "Financial Disclosure Statement." Its purpose is to reveal *potential* conflicts of interest related to your county service.

This document covers service during calendar year 2011. It is required by the St. Mary's County Public Ethics Ordinance *even if your service was discontinued prior to the end 2011.*

PLEASE READ CAREFULLY THE "GUIDANCE" INTRODUCING EACH SCHEDULE and note, in addition, the following:

1. Completion of the document requires **your signature sworn in person before a notary public whose signature AND seal must appear** on the Declarations of Personal Data page. Most banks and law offices have employees who are notaries. If you cannot find a notary, someone at the Governmental Center in Leonardtown may be able to notarize your statement. Unattested statements are returned to the filer.
2. **Your name must appear at the top of each Schedule.** FAILURE TO COMPLY WITH THIS REQUIREMENT WILL CAUSE YOUR FORM TO BE RETURNED.
3. The boldface question on each Schedule must be answered by checking the "Yes" or "No" block. If you answer "Yes" you must complete the Schedule.
4. If there is insufficient space on any Schedule, you may attach additional information on a plain piece of paper with your name and clear indication of the Schedule to which the answers are addressed. The attachment becomes a part of the sworn statement.
5. **Failure to abide by filing requirements will result in the return of the form to you for proper completion.**

It is advisable to keep a copy of the completed, signed, notarized form for your records.

The St. Mary's County Public Ethics Ordinance, Section 3, contains the following definitions that will help you complete accurately the accompanying Statement and Schedules.

"Financial interest" means:

- A. Ownership of any interest as the result of which a person has received, within the past calendar year, or is presently receiving, or in the future is entitled to receive more than \$1,000 per calendar year; or
- B. Ownership of or interest in more than five percent (5%) of a business entity.

"Interest" means any legal or equitable monetary interest, whether or not subject to an encumbrance or a condition, which is owned or held, in whole or in part, jointly or severally, directly or indirectly.

"Interest" does not include:

- A. An interest held in the capacity of a personal representative, executor, administrator, agent, representative, custodian, fiduciary or trustee;
- B. An interest in a checking account or time or demand deposit in a financial institution;
- C. An interest in an insurance or endowment policy or annuity contract under which a company promises to pay a fixed number of dollars either in a lump sum or periodically for life or some other specified period; or
- D. A common trust fund or a trust which forms part of a pension or profit-sharing plan which has been determined by the Internal Revenue Code, as amended from time to time.

"Business entity" means corporation, general or limited partnership, sole proprietorship, joint venture, unincorporated association or firm, institution, trust, foundation or other organization, whether or not operated for profit.

“Doing business with” means:

- A. Having or negotiating a contract that involves the commitment (either in a single or combination of transactions within a calendar year) of \$3,500 or more, of county or county-controlled funds;
- B. Being registered as a lobbyist in accordance with Section 8 of this Ordinance; or
- C. Being regulated by the County or an agency thereof.

“Gift” means the transfer of anything of economic value, regardless of the form, without adequate and lawful consideration. “Gift” does not include the solicitation, acceptance, receipt or regulation of political campaign contributions regulated in accordance with the provisions of Article 33, Section 26-1 et seq., of the Annotated Code of Maryland or any other provision of state or local law regulating the conduct of elections or the receipt of political campaign contributions.

“Honoraria” means the payment of money or any thing of value for:

- A. Speaking to, participating in or attending a meeting, conference or other function; or
- B. Writing an article, other than a book, that has been or is intended to be published.

“Compensation” means any money or thing of value, regardless of form, received or to be received by any person subject to this Ordinance from a business entity for service rendered. If lobbying is only a portion of a person’s employment, “compensation” means a prorated amount based on the time devoted to lobbying compared to the time devoted to other employment duties. For reporting purposes, a prorated amount shall be labeled as such.

“Official” and/or “Employee” means any person elected to, appointed to, or employed by St. Mary’s County or any St. Mary’s County agency, board, commission, or similar entity, whether or not paid in whole or in part with St. Mary’s County funds, and whether or not compensated.

“Volunteer Member” means any member of any board or commission who serves without compensation or who is paid only a nominal sum or is reimbursed only for actual and necessary expenses approved by the appropriate county official.

“Immediate family” means spouse and/or dependent child.

Everyone completing Financial Interest Disclosure Statements should be familiar with the contents of the St. Mary’s County Public Ethics Ordinance, which is available at <http://www.co.saint-marys.md.us/ethics> or by calling the County Administrator’s office at (301) 475-4200, ext 1320.

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This package may be obtained from the www.co.saint-marys.md.us/ethics/index.asp Web page using the Financial Disclosure Form link and may be completed on a computer with Adobe® Acrobat® Reader™ software installed. The online package uses Adobe® Acrobat® forms to make completion easy, efficient, and free of errors.

For the latest version of the free Adobe® Acrobat® Reader™ software, go to <http://www.adobe.com/products/acrobat/readstep2.html> and click the “Get Adobe Reader” icon.

**STATE OF MARYLAND
ST. MARY'S COUNTY ETHICS COMMISSION
FINANCIAL INTEREST DISCLOSURE DECLARATION FOR CALENDAR YEAR 2011
FOR EMPLOYEES AND APPOINTEES TO BOARDS AND COMMISSIONS**

Declaration of Personal Data

| | | | |
|--|------------------------|----------------------------|--------|
| First name or Initial | Middle Name or Initial | Last name | Suffix |
| Current home address, including city, state, and zip | | | |
| Daytime Telephone Number | | Alternate Telephone Number | |
| Office or Appointment held, or name of Agency, Board, or Commission on which you serve (If more than one, separate with a semicolon) | | | |
| Is this (check one) ____ a report for service rendered during the <i>entire</i> Calendar Year 2011? ____ a report for service that began _____, 2011. ____ a report for service that ended on _____, 2011. | | | |

The following Financial Interest Disclosure Statement describes all interests, transactions and matters required to be disclosed by the St. Mary's County Public Ethics Ordinance with respect to the period specified above and pertaining to the person identified above.

I hereby make oath or affirm that the contents of this Financial Interest Disclosure Declaration, including the schedules attached thereto, are true and correct to the best of my knowledge, information, and belief.

Signature of Person Filing: _____

Date: _____

Sworn to before me this ____ *day of* _____, 20__

Signature of Notary Public: _____

Printed/Typed Name of Notary Public: _____

My commission expires _____

2012 Financial Interest Disclosure Statement

Schedule A – Real Property Reporting Period Calendar Year 2011

Name

Did you have any financial interest* in real property within or outside St. Mary’s County in Calendar Year 2011?**

Yes

No

Guidance: See the Introduction to this document for the meaning of “financial interest.” County Employees and members of Board of Education, Alcohol Beverage Board, Housing Authority, Metropolitan Commission, Planning Commission, Zoning Board of Appeals, and Ethics Commission must report ALL interest in real estate, whether owned or leased. Members of any other Boards/Commissions must report only interests in real estate with a relationship to the general scope of inquiry of the Board or Commission you served in 2011. *See definitions in the Introduction. **Think: home, business property, rental property, other.

| | Property 1 | Property 2 | Property 3 |
|---|------------|------------|------------|
| Complete Address (OR legal description) | | | |
| Size: acreage or dimensions | | | |
| Type of Property (residential, commercial, industrial, or other) | | | |
| (1) Percentage of interest in the property you, as an individual, hold; | 1. | 1. | 1. |
| (2)(a) Name of other individuals (e.g., spouse, sibling, parent) holding interest in the property; and | 2.(a) | 2.(a) | 2.(a) |
| (2)(b) their relationship to you. | 2.(b) | 2.(b) | 2.(b) |
| The nature of any encumbrances (e.g., mortgage) on the property | | | |

2012 Financial Interest Disclosure Statement

Schedule B – Business Interest

Reporting Period: Calendar Year 2011

Name

Did you have any financial interest in a corporation, partnership, company, or other business entity located in or outside of St. Mary’s County that conducts business in St. Mary’s County or with the St. Mary’s County government during calendar year 2011?

Yes

No

Guidance: Employees, candidates, and members of the Board of Education, Alcohol Beverage Board, Housing Authority, Metropolitan Commission, Planning Commission, Zoning Board of Appeals, and Ethics Commission report ALL financial interests in a business entity. Board/commission members not listed above report any financial interest in a business entity with a relationship to the general scope of inquiry of the board or commission you served. Do NOT report business interests that are publicly held and traded on a national stock exchange.

| Column 1 | Column 2 | Column 3 |
|--|---|--|
| <p>Name of Business Entity #1</p> <hr/> <p>A. Conducts business in St. Mary’s County <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>B. Conducts business with St. Mary’s County <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>C. Owns real property in St. Mary’s County <input type="checkbox"/> Yes <input type="checkbox"/> No</p> | <p>Business Entity #1 primary address Address 1</p> <p>Address 2 (if needed)</p> <p>City State Zip</p> <p>Name of business product or service</p> <hr/> | <p>If you checked “Yes” to any item in Column 1, list here the name and address of partners, shareholders, or investors holding an interest of 5% or more.</p> <p>Name Address City State Zip</p> <p>Name Address City State Zip</p> |
| <p>Name of Business Entity #2</p> <hr/> <p>A. Conducts business in St. Mary’s County <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>B. Conducts business with St. Mary’s County <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>C. Owns real property in St. Mary’s County <input type="checkbox"/> Yes <input type="checkbox"/> No</p> | <p>Business Entity #2 primary address Address 1</p> <p>Address 2 (if needed)</p> <p>City State Zip</p> <p>Name of business product or service</p> <hr/> | <p>If you checked “Yes” to any item in Column 1, list here the name and address of partners, shareholders, or investors holding an interest of 5% or more.</p> <p>Name Address City State Zip</p> <p>Name Address City State Zip</p> |

2012 Financial Interest Disclosure Statement

Schedule C – Gifts

Reporting Period Calendar Year 2011

Name

Did you in 2011 receive a gift from, or direct that a gift be given to, a person or business entity (1) doing business with St. Mary’s County or with the office, agency, board, or commission with which you are affiliated OR (2) that holds an interest that may be substantially and materially affected, in a manner distinguishable from that of the public generally, by the performance or nonperformance of your official duty?

Yes

No

Guidance: Employees, candidates, and members of the Board of Education, Alcohol Beverage Board, Housing Authority, Metropolitan Commission, Planning Commission, Zoning Board of Appeals, and Ethics Commission report ALL gifts received from (or given at your direction by) a person or business that engages in business with the County. Board/Commission members not listed above report gifts received from (or given at your direction by) a person or business that may have affected (or given the appearance of affecting) substantially and materially the general scope of inquiry or action taken by the board or commission of which you are a member. To determine if you must report gifts of tickets or free admission to a professional or collegiate sporting event or a charitable, cultural, or political event, please consult Section 5.d. Solicitation and acceptance of gifts, of the St. Mary’s County Ethics Ordinance. You need NOT report, however, honoraria, certificates of recognition, plaques, trophies, or reasonable expenses for travel, food, lodging or scheduled entertainment in exchange for participation in a panel or speaking at an event.

| Description of gift | Gift 1 | Gift 2 | Gift 3 |
|--|--------|--------|--------|
| Value of gift | | | |
| Name and <i>complete</i> address of person or business from whom you received a gift | | | |
| Name and <i>complete</i> address of any person who received a gift at your direction from an affected person or business | | | |

2012 Financial Interest Disclosure Statement

Schedule D – Employment Reporting Period Calendar Year 2011

Name

Did you hold a position, paid or non-paid, with any business entity other than those listed in Schedule B or Schedule C in calendar year 2011?

Guidance: Employees, candidates, and members of the Board of Education, Alcohol Beverage Board, Housing Authority, Metropolitan Commission, Planning Commission, Zoning Board of Appeals, and Ethics Commission report ALL positions with a business or organization not reported on Schedules B. Board/Commission members not listed above report any position with a business or organization not already reported on Schedule B that had or may have had a relationship to the general scope of inquiry of the board or commission you served; or that was or may have been affected, directly or indirectly, by any action taken by the board or commission you served.

Yes

No

| | Position 1 | Position 2 | Position 3 |
|--|---|---|---|
| Name and complete address of employer | | | |
| Position | | | |
| Compensation | <input type="checkbox"/> Paid <input type="checkbox"/> Non-Paid | <input type="checkbox"/> Paid <input type="checkbox"/> Non-Paid | <input type="checkbox"/> Paid <input type="checkbox"/> Non-Paid |

2012 Financial Interest Disclosure Statement

Schedule E – Indebtedness Reporting Period Calendar Year 2011

Name

Did you in 2011 have an indebtedness of \$1,000.00 or more (not including retail accounts) to any person or business (1) that conducts business in or with St. Mary’s County OR (2) that holds an interest that may be substantially and materially affected, in a manner distinguishable from that of the public generally, by the performance or nonperformance of your official duties?

Yes

No

Guidance: Employees, candidates, and members of the Board of Education, Alcohol Beverage Board, Housing Authority, Metropolitan Commission, Planning Commission, Zoning Board of Appeals, and Ethics Commission report ALL debts of \$1,000 or more. Board/commission members not listed above report any debts of \$1,000 or more that had or may have a relationship to the general scope of inquiry of the board of commission on which you serve - or that was or may have been affected, directly or indirectly, by any action taken by the board or commission on which you serve.

| | Debt 1 | Debt 2 | Debt 3 |
|---|--------|--------|--------|
| Name & complete address of debt holder | | | |
| | Debt 4 | Debt 5 | Debt 6 |
| Name & complete address of debt holder | | | |

2012 Financial Interest Disclosure Statement
Schedule F – Other Interests and opportunity to request an advisory opinion
 Reporting Period Calendar Year 2011

Name

Did you have any other interests in calendar year 2011, not reported on Schedules A through E, that (a) could be considered a conflict of interest, (b) present the perception of a conflict of interest from a contact or transaction with a person or business conducting business with or regulated by agency, board or commission on which you serve, or, (3) you want the Ethics Commission to consider in order to give you an advisory opinion on whether a conflict of interest exists as you perform your duties as a paid or non-paid official/employee of St. Mary's County ?

Yes

No

Situation where conflict of interest or perception of conflict of interest may exist:

Name, address, and relationship of person(s) or organization(s) where this situation exists:

I would like to request an advisory opinion from the Ethics Commission. Yes No

Please contact me at this phone number during the day: