

HOWARD COUNTY ETHICS COMMISSION
3450 COURTHOUSE DRIVE
ELLCOTT CITY, MARYLAND 21043

**HOWARD COUNTY EMPLOYEES AND OFFICIALS
FINANCIAL DISCLOSURE STATEMENT - FORM #1**

This form is to be used by Howard County Employees and Officials, including Candidates to be Elected Officials. This is not the correct form to be used by Board and Commission Members.

Instructions:

1. Fill in the preliminary information requested in the box below. Be sure to correctly identify the reporting period and year.

____ Regular Reporting Period: January 1 through December 31, ____ (insert year).

____ Candidates to be Elected Officials: January 1, ____ (year) through _____, date of filing Certificate of Candidacy with the Board of Elections for Howard County.

OR

Termination Report: January 1 through _____, 20____ (year)

PLEASE PRINT OR TYPE

FIRST NAME	INITIAL	LAST NAME
AGENCY AFFILIATION (<i>INCLUDE DEPARTMENT AND UNIT WHERE APPLICABLE</i>)		
ADDRESS (<i>WHERE YOU CAN BE SENT CORRESPONDENCE</i>)		
CURRENT POSITION OR OFFICE HELD WITH COUNTY, IF ANY (<i>OR OFFICE FOR CANDIDACY</i>)		
E-MAIL ADDRESS		

This financial disclosure statement describes all interests and related transactions and matters required to be disclosed by Howard County Code 22.200. Check the proper block to Questions A through I. Do not leave any questions unanswered. If you check "Yes" to any question by sure to complete the corresponding Schedule and SIGN THE LAST PAGE.

Caution: Please read all instructions on accompanying instruction sheet including all definitions, before completing this form.

	YES	NO
A. I held interests during the reporting period in real property located in or outside Maryland. (If "Yes," complete Schedule A.)		
B. I held interests during the reporting period in corporations, partnerships and similar entities. (If "Yes", complete Schedule B.)		
C. I held interests in a non-corporate business entity which did business with the County, other than a partnership. (If "Yes", complete Schedule C.)		
D. I received gifts during reporting period from persons doing business with the County, regulated by the County, or registered or required to register as lobbyists. (If "Yes," complete Schedule D.)		
E. I or a member of my immediate family was a partner or held an office, directorship, or salaried employment during reporting period in or with a business entity doing business with the County. (If "Yes," complete Schedule E.)		
F. I or a member of my immediate family owed debts (excluding retail credit accounts) during reporting period to persons doing business with the County. (If "Yes," complete Schedule F.)		
G. A member of my immediate family was employed by Howard County during reporting period. (If "Yes," complete Schedule G.)		
H. I or a member of my immediate family received a salary or was sole or partial owner of a business entity from which earned income was received, during the reporting period. (If "Yes," complete Schedule H.)		
I. Is additional information set forth on Schedule I? (If "Yes," complete Schedule I.)		

Return entire packet to the Ethics Commission with the last page signed and dated.

Form 1 - County Employees

Schedule A – Real Property Interests

Do you have any interest (**as an owner or a tenant**, including interests in time shares) in real property in Maryland or in any other state or country?

- Yes
- No (Go to Schedule B)

If Yes; (Answer each question below. A separate Schedule A will be required for each property you need to disclose.)

1. Where is the property located? (You may give location by street address, mailing address, or legal description of the property)

Street address, mailing address or legal description: (Check one) _____

2. What kind of property is it?

Improved (indicate whether property is residential or commercial property): _____

Unimproved (vacant lot): _____

3. Is the interest held directly by you or is it attributable to you?

Direct _____ Attributable _____

4. Are you the owner or tenant?

Owner _____ Tenant _____

5. Do you hold the interest solely or is it jointly held with another?

Solely _____ Jointly _____ Tenants by the Entirety _____

If held jointly, or by tenants by the entirety, the name(s) of the other joint owner(s): _____

6. Are there any legal conditions or encumbrances on the property? (Example: mortgages, liens, contracts, options, etc.)

- Yes
- No

If yes, what is/are the name(s) of the lender(s), creditor(s), lien holder(s), etc? _____

7. What date was the property acquired? _____

8. How was the property acquired? (Example: purchase, gift, inheritance, etc.)

9. From whom was the property acquired? (Name of individual or entity from whom you purchased or inherited the property or who gifted the property to you.)

10. What consideration was given when the property was acquired? (Dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property) _____

11. Have you transferred any interest in this property during the reporting period?

Yes

No

If Yes;

11.A. What percentage of interest did you transfer: _____%

11.B. What consideration did you receive for the interest: _____

11.C. To whom did you transfer the interest: _____

If you have any additional interests in real property, please use additional sheet(s), if necessary, and respond to each above question for each such entry.

Schedule B – Interests in Corporations and Partnerships

Did you have any interest in any corporations, partnerships, limited liability partnerships (LLP) or limited liability companies (LLC) during the reporting period whether or not the entity did business with the County?

- Yes
 No (Go to Schedule C)

If Yes; (Answer each question below. A separate Schedule B will be required for each interest you need to disclose.)

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol: _____

2. Does the stock of the corporation trade on a stock exchange?

- Yes
 No

If "no," the legal address of the entity's principal office.

3. Is the interest held directly by you or is it attributable to you? (See Paragraph E of Instructions for definition of "Attributable.")

Directly: _____ Attributable: _____

4. Do you hold the interest in your name alone, or is it held jointly?

In your name alone: _____ Jointly: _____

If jointly, the percentage of your interest: _____%

5. What is the nature of your interest and its dollar value or the number of shares? (Example: stock, notes, bonds, puts, calls, straddles, purchase options, etc.) If in a non-publicly traded entity or LLP or LLC, report the percentage of ownership.

Type: _____

Dollar Value of Shares: _____ or Number of Shares: _____

percentage of ownership: _____%

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (Example: mortgages, liens, contracts, options, etc.)

- No
 Yes; **If yes**, name of entity holding the encumbrance: _____

7. Did you acquire an interest in the entity during the reporting period?

- Yes
 No

If Yes;

7A. In what month was the interest acquired? _____

7B. How was the interest in the entity acquired? (Example: purchase, gift, will, etc.): _____

7C. From whom did you acquire the interest in the entity? (If you purchased it from a brokerage, the name of the brokerage): _____

7D. What consideration was given when the interest was acquired? (Dollar amount paid, or if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property): _____

8. Have you transferred any interest in this entity during the reporting period?

___ Yes

___ No

If Yes;

8A. What portion of the interest was transferred? _____

8B. What consideration did you receive for the interest in the entity? (Dollar amount paid, or if you received the property as a gift or inherited it, the fair market value and terms at the time you transferred your interest in the property): _____

8C. To whom did you transfer your interest in the entity? _____

If you have additional interests in corporations or partnerships, please use additional sheet(s) if necessary, and answer each of the above questions for each additional entry.

Schedule C – Interests in Non-Corporate Business Entities Doing Business with the County

Do you have an interest in any non-corporate business entity (a sole proprietorship) that did business with the County during the reporting period?

- Yes
- No (Go to Schedule D)

If Yes; (Answer each question below. A separate Schedule C will be required for each business entity to be disclosed.)

1. Name and Address of the Principal office of the business entity?

Name: _____

Address: _____

City/County/Zip: _____

2. Is the interest held directly by you or is it attributable to you? (See Paragraph E of Instructions for definition of "Attributable.")

Direct: _____ Attributable: _____

3. Do you hold the interest solely or is it jointly held with another?

Solely: _____ Jointly: _____

3.A. If jointly, the percentage of your joint interest: _____%

3.B. Dollar value of your interest in the entity: \$_____; or
percentage of your interest in the entity: _____%

4. Are there any legal conditions or encumbrances that apply to your interest in the entity? (Example: mortgages, liens, contracts, options, etc.)

Yes, If yes give name of creditor: _____
 No

5. Was any interest acquired during the reporting year?

- Yes
- No

If Yes;

5A. What month was the interest acquired? _____

5B. How was the interest in the entity acquired? (Example: purchase, gift, will, etc.)

5C. From whom did you acquire the interest? _____

5D. What consideration was given when the interest was acquired? (Dollar amount paid or if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property) _____

6. Did you transfer any of your interest during the reporting period?

___ Yes

___ No

If yes;

6A. What percentage of interest, if less than all, was transferred?_____%

6B. What consideration did you receive for the interest in the entity? (Dollar amount paid or if you received the property as a gift or inherited it, the fair market value and terms at the time you transferred your interest in the property): _____

6C. To whom did you transfer your interest in the entity?_____

If you have additional interests in sole proprietorship(s) that did business with the County during the reporting year, please use additional sheet(s) if necessary, and answer each of the above questions for each additional entry.

Schedule D – Gifts

During the reporting period, did you receive any gift(s), directly or indirectly, in excess of a value of \$20 or a series of gifts from the same donor with a cumulative value of \$100 or more from a person or entity who: 1) did business with the County; 2) engaged in an activity that was regulated or controlled by the County; or 3) was a regulated lobbyist? Gifts received from a member of the official’s or employee’s immediate family, another child, or a parent of the individual, do not need to be disclosed.

- Yes
- No (Go to Schedule E)

If Yes; (Answer each question below. A separate Schedule D will be required for each gift.)

1. Who gave you the gift?

2. What was the nature of the gift? (Example: book, restaurant meal, theater tickets, book, etc.)

3. What was the value of the gift?

4. If the gift was given to someone else at your direction, list the identity of the recipient of the gift.

Please use additional sheet(s), if necessary, for any additional entries.

Schedule E – Officers, Directorships, Salaried Employment and Similar Interests

During the reporting period, did you or any member of your immediate family (spouse or dependent child) have any salaried employment or hold any office or directorship with an entity that did business with the County?

- Yes
- No (Go to Schedule F)

If Yes; (Answer each question below. A separate Schedule E will be required for each disclosure.)

1. What is the name and address of the business entity?

Name: _____

Address: _____

City/County/Zip: _____

2. Who was the individual who held the position or interest listed above? (Example: yourself, spouse, dependent child)

Self: _____ Spouse: _____ Dependent child: _____

2A. Name of spouse or dependent child: _____

3. What is the title of the office you, your spouse or dependent child held? (Example: limited partner, director, treasurer, chair of the board of trustees, etc.) _____

4. What year did the position begin? _____

5. With what County Agency(ies) did the business entity do business? _____

6. What was the nature of the business? (Example: regulated by your agency, registered under the lobbying law, or involved with sales and contracts with the County)

If necessary, please use additional sheet(s) for any additional entries.

Schedule F – Debts You Owe

During the reporting period, did you owe a debt (excluding a retail credit account and/or revolving credit accounts) to a financial entity that did business with the County? **[NOTE: If, on Schedule A, B or C you listed a financial entity that did business with the County as the holder of your mortgage or other encumbrance, you must complete Schedule F with regard to that indebtedness.]**

- Yes
- No (Go to Schedule G)

If Yes; (Answer each question below. A separate Schedule F will be required for each debt to be disclosed.)

1. To whom did you owe the debt? (Do not include consumer credit debts)

2. When was the debt incurred? _____

3. What are the interest rate and terms of payment of the debt?

Interest Rate _____

Terms (monthly, bimonthly, annually, etc): _____

4. What was the amount of the debt as of the end of the reporting period. If debt existed during the reporting period but was paid in full at the end of the period, put \$0.

\$ _____

5. Did the principal of the debt increase _____ or decrease _____ during the reporting period, and by how much? \$ _____

6. Was any security given for the debt?

- Yes
- No

If Yes; Please state what type of security was given (home, car, boat, etc):

7. If this is a transaction in which you were involved, but which resulted in a debt being owed by your spouse or dependent child, identify your spouse or child and describe the transaction. _____

If necessary, please use additional sheet(s) for any additional entries.

Schedule G – Family Members Employed by the County

During the reporting period, were any members of your immediate family (spouse or dependent children) employed by the County in any capacity?

- Yes
- No (Go to Schedule H)

If Yes; (Answer each question below. A separate Schedule G will be required for each member of the immediate family who is employed by the County.)

1. What is the relation and name of the immediate family member employed by the County? _____
2. What is the name of the agency that employed the member of your immediate family?

3. What was the title of your immediate family member’s position in the County agency during the reporting period? _____

If necessary, please use additional sheet(s) for any additional entries.

Schedule H – Employment/Business Ownership

During the reporting period, did you or any member of your immediate family, receive any earned income from an entity other than Howard County Government? Please note that your dependent child's employment or business ownership does not need to be disclosed unless the place of employment or the business entity is subject to regulation or the authority of your agency or has contracts with your agency.

Yes

No (Go to Schedule I)

If Yes; (Answer each question below. A separate Schedule H will be required for each member of the immediate family who had employment or ownership of a business entity.)

1. If, during the reporting period, you or a member of your immediate family had employment from which you or they earned income, list the relation, name, and address of the employment.

Name: _____

Relationship: _____

Name of Employer: _____

Address: _____

City/County/Zip: _____

2. If, during the reporting period, you or a member of your immediate family wholly or partially owned any business entity from which income was earned, list the relation, name and address of the business entity.

Name: _____

Relationship: _____

Name of Business Entity: _____

Address: _____

City/County/Zip: _____

If necessary, please use additional sheet(s) for any additional entries.

Schedule I – Other

Is there any additional information or interest you would like to disclose?

____NO

____YES: _____

STANDARDS OF CONDUCT

The Howard County Public Ethics Law includes standards of conduct applicable to financial disclosure filers and other County officials and employees. The standards address disqualification from participation, prohibited secondary employment, prohibited ownership interests, misuse of position, prohibited solicitation and acceptance of gifts, misuse of confidential information, post-employment limitations, prohibited dealings with the County, and procurement specifications assistance restrictions. The Law provides for exceptions and exemptions under certain circumstances. Consistent with the Charter, contracts may be void and employees may be required to forfeit office when there has been a violation of the conflict of interest provisions. The Code can be found at <http://library.municode.com/index.aspx?clientId=14680> or www.howardcountymd.gov under the link for the Ethics Commission.

ETHICS COMMISSION

The Ethics Commission is a five member panel appointed by the Executive with the concurrence of the County Council. It is the advisory body responsible for interpreting the ethics code and advising employees regarding its application. The Commission reviews each Financial Disclosure Statement. The Commission is authorized to assess a late fee of \$2 per day up to a maximum of \$250 for a failure to file a timely Financial Disclosure Statement. Generally, the Commission meets once a month. Agenda items or requests for advisory opinions need to be in writing and received at least two weeks prior to the scheduled meeting. All requests should be addressed to Beverly Heydon, Assistant County Solicitor, Executive Secretary to the Ethics Commission at bheydon@howardcountymd.gov or 410-313-2103.

PRIVACY NOTICE

The Public Ethics Law set forth in Howard County Code 22.200 requires the collection of this information, which will be used primarily to determine compliance with the Law. Pursuant to 22.206 (H) the Commission shall make financial disclosure statements available during normal office hours, for examination and copying by the public. The Commission will notify the employee by email and provide the employee or official with a copy of the name and home address of the person who reviewed the official's or employee's financial disclosure statement. Financial Disclosure statements shall not be used in any way for, or be made available for commercial purposes.

CERTIFICATION: I swear, affirm and certify, under the penalty of perjury, that I am the person described herein and that the information contained in these schedules, which constitute the statement of my financial interests, is true, correct, and complete to the best of my knowledge, information and belief.

Signature

Date

Rev 7/20/17