

ALBANY COUNTY

ANNUAL FINANCIAL DISCLOSURE

Combined Form A, B, and C

Annual Statement of Financial Disclosure
to the Albany County Ethics Commission
for the 12 months prior to the execution of this form

Filer's Last Name

Filer's First Name

Filer's Middle Initial

(Clearly Print or Type Only)

Officers and employees required to file:

Each Policy Making Official, as defined in subdivision twenty-five (25) of Section Four of Local Law 8 of 2011, candidates, officers and employees holding the job titles or positions indicated in Appendix A, and individuals who voluntarily serve on County boards, commissions and advisory councils shall be required to file a signed annual disclosure statement.

Filer's Category:

Please select the category that best describes your role with Albany County.

(Select ALL that apply)

- A. Policy Making Official** - County officers, employees involved in the negotiation, authorization, or approval of County laws, rules, contracts, licenses, and permits. Or a candidate (any person who, in an attempt to hold an elective position in the County Legislature or one of the Countywide elective offices set forth in Article 8 of the County Law: a) receives the nomination of a political party, b) files a designating petition for nomination at a primary election, c) seeks independent nomination and who obtains the requisite number of signatures on an independent nominating petition as required by Election Law section 6-142(2), or d) receives the designation of a committee to fill vacancies pursuant to Election Law sections 6-148 and 6-152. The terms "party," "designation," "primary election," "nomination" and "independent nomination" as used in Local Law No. 8 for 2008 shall have the same meanings as those contained in New York Election Law section 1-104 and New York Election Law section 6-140).
- B. Volunteer Member of a County Board or Commission**
- C. High Ranking County Position** - Any elected County office, any commissioner or deputy commissioner position, as well as, Policy Making Official positions within the County Legislature, Office of the County Executive, Office of Management and Budget, and Office of Audit and Finance, or the equivalents of such positions.

Answer the questions that correspond with your Filer Category selection(s) on previous page.

Filers in Category A and B, provide responses to questions 1-6. Filers in Category C, provide responses to all questions.

A, B, C Question 1

Filer's Last Name	Filer's First Name	Middle Initial
Home Address	Phone	
Work Address	Phone	
County Title	Department	
Board Title	Board/Commission	

A, B, C Question 2

(a) For the Filer, their Spouse (as defined in Section 4(29) of Local Law 8 for 2011), house hold member or relative (as defined in Section 4(17) of Local Law No. 8 for 2011), list the name of any outside employer or business, the nature of its business, and whether it is self-employment, sole proprietorship, or, if an entity, the type of entity. State the nature of the Filer's Spouse's or Household Member's relationship to it, i.e., owner, partner, officer, director, member, or shareholder.

Employer	Nature of Business	Self Employment Sole Proprietorship or Type of Entity	Nature of Relationship

I have no outside employment.

(b) Name of Filer's Spouse _____

Employer	Nature of Business	Self Employment Sole Proprietorship or Type of Entity	Nature of Relationship

My spouse has no outside employment.

(c) Name of Filer's Household Member _____

Employer	Nature of Business	Self Employment Sole Proprietorship or Type of Entity	Nature of Relationship

None of my household members have outside employment.

A, B, C Question 3

(a) For the Filer, their Spouse (as defined in Section 4(29) of Local Law 8 for 2011), or house hold member or relative (as defined in Section 4(17) and 4(28) of Local Law 8 for 2011), list the location of any real property within Albany County or within one mile of the boundary of Albany County in which the Filer or their spouse or relative has a financial interest:

Location of Real Property	Nature of Interest

I do not have a financial interest in real property in Albany County or within one mile of the boundary of Albany County.

(b) Name of Filer's Spouse _____

Location of Real Property	Nature of Interest

My spouse does not have a financial interest in real property in Albany County or within one mile of the boundary of Albany County.

(c) Name of Filer's Household Member _____

Location of Real Property	Nature of Interest

None of my household members have a financial interest in real property in Albany County or within one mile of the boundary of Albany County.

A, B, C Question 4

(a) For each Filer and their Spouse (as defined in Section 4(29) of Local Law 8 for 2011), the name of any entity in which the Filer, or their Spouse has an investment of at least 5% of the stock with such disclosure identifying the nature of the business and type of business:

Name of Entity	Nature of Business	Type of Business (LLC, Corp, etc.)
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I do not have an interest of at least 5% of the stock of any business.

(b) Name of Filer's Spouse _____

Name of Entity	Nature of Business	Type of Business (LLC, Corp, etc.)
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My spouse does not have an interest of at least 5% of the stock of any business.

A, B, C Question 5

For each Filer, the name and position of any Relative (as defined in Section 4(28) of Local Law 8 for 2011) in County Service:

Name of Relative	Position Held
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I do not have any relatives in County Service.

A, B, C Question 6

(a) For each Filer and their Spouses (as defined in Section 4(29) of Local Law 8 for 2011), each volunteer officer position held during the previous 12 months with any not-for-profit organization for which they have volunteered in a policy-making or administrative capacity.

Name of Organization

I have not held any policy making or administrative office in the previous 12 months with any not-for-profit organization.

(b) Name of Filer's Spouse _____

Name of Organization

My spouse has not held any policy making or administrative office in the previous 12 months with any not-for-profit organization.

C

Question 7

The name and address of each client or customer who was personally provided services by the Filer, or who was referred to the firm by such Filer and from whom such Filer earned in excess of two hundred fifty dollars (\$250.00) during the preceding twelve months for such services rendered in direct connection with (if none, state none):

(a) A proposed local law or resolution to the County Legislature during the preceding 12 month;

I have no clients or customers who were provided services under Question 7 (a).

(b) A contract from the County or any County agency for:

- i. equipment, commodities, or goods in an amount totaling \$10,000 or more;
- ii. public works in an amount totaling \$20,000 or more; or
- iii. professional services or consulting work in an amount totaling \$20,000 or more;

I have no clients or customers who were provided services under Question 7 (b).

(c) A grant of \$5,000 or more from the County or any County agency during the preceding 12 months;

I have no clients or customers who were provided services under Question 7 (c).

(d) A grant obtained through legislative initiative during the preceding 12 months; or

I have no clients or customers who were provided services under Question 7 (d).

(e) A case, proceeding, application or other matter that is not a ministerial matter before a County agency during the preceding 12 months.

I have no clients or customers who were provided services under Question 7 (e).

(f) Exclusions for Disclosure

- (i) Disclosure of any lawful activity by a County officer or employee holding a high-ranking County position or a candidate for County office that is solely related to a ministerial act, the advocacy of any position in any matter in an official County capacity, provided that such advocacy is not performed for compensation by a person or entity other than the County, or the advocacy of any position in any matter in an official County capacity by a chairperson of a County political committee.

(ii) Disclosure of clients or customers receiving medical or dental services, mental health services, residential real estate brokering services, or insurance brokering services from a County officer or employee holding a high-ranking County position or candidate for County office or the firm of such official or candidate.

(iii) A County officer or employee holding a high-ranking County position or candidate for County office need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, or domestic relations matters. With respect to clients represented in other matters, where disclosure of a client identity is likely to cause harm, a high-ranking County official or candidate for County office shall seek a waiver from the Ethics Commission pursuant to Section 22 of Local Law for 2008.

Only a County officer or employee holding a high-ranking County position who first enters public office on or after the effective date of this local law need not report clients or customers with respect to matters for which such officer or employee or his or her firm was retained prior to assuming such high ranking County position.

THIS FORM MUST BE PRINTED, SIGNED, NOTARIZED and RETURNED.

A, B, C _____

Filer's Signature

State of New York

County of Albany

Sworn to me this _____

Day of _____, 20____

Notary Public

**RETURN COMPLETED FORM TO:
Albany County Ethics Commission
Attn: Clerk of the Albany County Legislature
112 State Street, Rm. 710
Albany, NY 12207**