

## **ELECTRONIC ANNUAL DISCLOSURE APPLICATION QUESTIONS**

Below are the questions found on the Conflict of Interest Board's annual electronic disclosure application that are available for public inspection, including definitions of underlined words and help text, which appear when the filer clicks on the underlined word or the help button. Please note that the questions appear in black and the definitions and help text in blue.

### **GENERAL INFORMATION QUESTIONS**

#### **FILER PROFILE**

1. Did you have a paid or unpaid position during 2013 with a City agency other than your current/final City agency?

Answer "yes" if you held any City employment or office at any time during the reporting year, whether or not you were paid for it.

2. Did you have any non-City employment or engage in any business during 2013?

Answer "yes" if you engaged in any occupation, trade, business, profession, or employment during the reporting year. Do not include City employment or a position reported in your response to the question on paid or unpaid City positions.

3. Did you hold a position as an officer of any **political party**

(**Political party** means any political organization that polled at least 50,000 votes for its candidate for Governor at the last preceding gubernatorial election.)

or **political organization**

(**Political organization** means any organization or group of voters that nominates a candidate or candidates for office to be voted for at an election, any independent body, or any organization that is affiliated with or a subsidiary of a party or another political organization or independent body. **Independent body** means any organization or group of voters which nominates a candidate or candidates for office to be voted for at an election and which is not a political party.)

or as a member of any political party committee or as a political party district leader during 2013?

4. Did you hold any office, position, **trusteeship**

(**Trusteeship** means a member on a Board of Trustees. It does not mean a trustee of a trust.),

directorship, or partnership, whether compensated or not, including any honorary position, during 2013, other than a position with the City or State of New York or a political position?

5. Did you receive any **income**

- (**Income** includes, but is not limited to,
- income from directorships and other fiduciary or advisory positions (e.g., executor of an estate)
  - contracts
  - partnerships
  - teaching income
  - lecture fees and honoraria
  - consultant fees
  - real estate rental income
  - bank and bond interest (whether or not tax-exempt)
  - dividends
  - trusts
  - royalties
  - annuities
  - distributions from a retirement account
  - life insurance proceeds from a non-relative
  - gambling winnings
  - recognized gains from the sale or exchange of real or other property or the sale or redemption of securities
  - social security benefits
  - unemployment benefits
  - payments you received pursuant to a court settlement or judgment for lost profits.

Do not include maintenance received in connection with a matrimonial action, alimony, or child support payments. Do not include scholarships, court settlements, worker's compensation, awards, income tax refunds, or life insurance proceeds from a relative.)

of \$1,000 or more from any source (e.g., bank interest) during 2013, other than from your City position and other than from non-City employment or a business?

6. In 2013, did you practice law or were you a licensed real estate broker or agent or did you practice a profession licensed by the State Department of Education?

The professions licensed by the Department of Education include but are not limited to: Teaching, Medicine, Physician's Assistants and Specialist's Assistants, Chiropractic, Dentistry and Dental Hygiene, Veterinary Medicine and Animal Health Technology, Physical Therapy and Physical Therapist Assistants, Pharmacy, Nursing, Podiatry, Optometry, Ophthalmic, Dispensing, Engineering and Land Surveying, Architecture, Landscape Architecture, Public Accountancy, Shorthand Reporting, Psychology, Social Work, Massage, Occupational Therapy, Speech-Language Pathologists and Audiologists.

7. Did you earn any **deferred income**

(**Deferred income** is income that was earned during 2013 or any time before 2013 but which was paid or was to be paid after December 31 of 2013.)

(your deferred compensation plan should be reported in the "Trusts, Estates, and Other Beneficial Interests" question) of \$1,000 or more during 2013, or any time before 2013, which was paid or was to be paid after the close of 2013?

8. Did you have during 2013 any agreements with a former or current employer, other than with the City of New York, for future payments or benefits?

9. Did any non-governmental entity or person pay for travel-related expenses in an amount of \$1,000 or more in 2013 for **activities related to your official duties**

(**Activities related to your official duties** include, but are not limited to, speaking engagements, conferences, and fact-finding events, but does not include gifts.)

with the City by either reimbursing you or paying the travel related expenses directly on your behalf?

10. Did you receive any **gift**

(**Gift** means anything of value for which a person pays nothing or less than fair market value. A gift may be in the form of money, service, loan, forgiveness of debt, discount, travel, entertainment, hospitality, thing, or promise or in any other form. Gifts include gifts of securities or real estate as well as wedding gifts (except from a relative).)

or gifts from the same person, entity or donor or **affiliated**

(**Affiliated** means a firm that is a subsidiary of another firm, or two firms that have a parent in common, or two firms with a stockholder in common who owns at least twenty-five per cent of the shares of each such firm.)

donors who had **business dealings**

(**Business dealings** means any transaction involving the sale, purchase, rental, disposition or exchange of any goods, services, or property, any license, permit, grant or benefit, and any performance of or litigation with respect to any of the foregoing, but shall not include any transaction involving a public servant's residence or any ministerial matter.)

with the City, other than a **relative**

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.),

in the total amount or with a total value of \$50 or more during 2013?

11. Did you receive any **gift**

(**Gift means** anything of value for which a person pays nothing or less than fair market value. A gift may be in the form of money, service, loan, forgiveness of debt, discount, travel, entertainment, hospitality, thing, or promise or in any other form. Gifts include gifts of securities or real estate as well as wedding gifts (except from a relative).)

or gifts from the same person, entity or donor or **affiliated**

(**Affiliated** means a firm that is a subsidiary of another firm, or two firms that have a parent in common, or two firms with a stockholder in common who owns at least twenty-five per cent of the shares of each such firm.)

donors who had no **business dealings**

(**Business dealings** means any transaction involving the sale, purchase, rental, disposition or exchange of any goods, services, or property, any license, permit, grant or benefit, and any performance of or litigation with respect to any of the foregoing, but shall not include any transaction involving a public servant's residence or any ministerial matter.)

with the City, other than a **relative**

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.),

in the total amount or with a total value of \$1,000 or more during 2013?

12. Was any loan, note, or account receivable owed to you during 2013 in the amount of \$1,000 or more by anyone other than a **relative**

(**Relative** means the spouse, domestic partner, parent, grandparent, child, stepchild, or stepparent of the person reporting, or any person who is a direct descendant of the grandparents of the person reporting or of the spouse or domestic partner of the person reporting.)

(i.e., did anyone owe you money)?

13. Did you owe any entity or person (other than a relative) \$5,000, **excluding mortgages on your primary and secondary residences**, or more for a period of 90 consecutive days during 2013 or on the date you file this report?

14. Did you hold any **security**

(**Securities** means stocks (any class), bonds (including savings bonds and tax exempt bonds), mutual funds, stock options, warrants, debentures, obligations, brokerage accounts, notes (not mortgage notes), mortgages (not on one's home), investment interests in limited partnerships, REITs, and such other evidences of indebtedness and certificates of interest or participation in any profit-sharing agreement as are usually referred to as securities.)

at the close of 2013 having a market value of \$1,000 or more?

15. Did you have a vested or contingent interest valued at \$1,000 or more in any real property during 2013, aside from your primary or secondary personal residence (unless your primary or secondary residence is co- owned by someone who is not a **relative**

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person

reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.))?

16. Did you have an investment of \$1,000 or more during 2013 in a business, other than an investment in **securities**

(**Securities** means stocks (any class), bonds (including savings bonds and tax exempt bonds), mutual funds, stock options, warrants, debentures, obligations, brokerage accounts, notes (not mortgage notes), mortgages (not on one's home), investment interests in limited partnerships, REITs, and such other evidences of indebtedness and certificates of interest or participation in any profit-sharing agreement as are usually referred to as securities.)

or an interest in real property?

17. Did you, or any partnership of which you are a member or any corporation 10% or more of whose stock you own or control, have any interest of \$1,000 or more, excluding bonds and notes, in any contract made or executed by a **State agency**

(**State agency** means

- any New York State department
- any division, board, commission, or bureau of any State department
- any public benefit corporation, public authority, or commission at least one of whose members is appointed by the Governor
- the State University of New York or the City University of New York, including all their constituent units except community colleges and except the independent institutions operating statutory or contract colleges on behalf of the State.

**Trusteeship** means a member on a Board of Trustees. It does not mean a trustee of a trust.)

or **local agency**

(**Local agency** means

- any county, City, town, village, school district, or district corporation
- any agency, department, division, board, commission, or bureau thereof
- any public benefit corporation or public authority not included within the definition of a State agency.)

during 2013?

18. Did you hold any trust, estate, or other **beneficial interest**

(**Beneficial interest** includes, but is not limited to

- individual retirement accounts (IRAs)
- Keogh retirement plans
- annuities
- deferred compensation plans (including New York City or New York State deferred compensation plans)
- interests in a trust or estate
- beneficiary of a bank account established by another person or entity
- retirement plans (except New York City or New York State retirement systems).)

(such as an Individual Retirement Account (IRA)) of \$1,000 or more during 2013, **including New York City or New York State deferred compensation plans** but excluding membership in New York City or New York State retirement systems, and excluding any interest in a trust, estate, or other beneficial interest established by or for a **relative**

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)

or by or for the estate of a relative?

19. Did you **assign**

(An **assignment** is a type of transfer or giving of income or a right to such income to another.)

**income**

(**Income** includes, but is not limited to,

- income from directorships and other fiduciary or advisory positions (e.g., executor of an estate)
- contracts
- partnerships
- teaching income
- lecture fees and honoraria
- consultant fees
- real estate rental income
- bank and bond interest (whether or not tax-exempt)
- dividends
- trusts
- royalties
- annuities
- distributions from a retirement account
- life insurance proceeds from a non-relative
- gambling winnings
- recognized gains from the sale or exchange of real or other property or the sale or redemption of securities
- social security benefits
- unemployment benefits
- payments you received pursuant to a court settlement or judgment for lost profits.

Do not include maintenance received in connection with a matrimonial action, alimony, or child support payments. Do not include scholarships, court settlements, worker's compensation, awards, income tax refunds, or life insurance proceeds from a relative.)

of \$1,000 or more to any person, including a **relative**

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)  
during 2013?

20. Did you transfer any interest having a value of \$1,000 or more in a trust, estate, other **beneficial interest**

(**Beneficial interest** includes, but is not limited to

- Individual retirement accounts (IRAs)
- Keogh retirement plans
- annuities
- deferred compensation plans (including New York City or New York State deferred compensation plans)
- interests in a trust or estate
- beneficiary of a bank account established by another person or entity
- retirement plans (except New York City or New York State retirement systems).),

**securities**

(**Securities** means stocks (any class), bonds (including savings bonds and tax exempt bonds), mutual funds, stock options, warrants, debentures, obligations, brokerage accounts, notes (not mortgage notes), mortgages (not on one's home), investment interests in limited partnerships, REITs, and such other evidences of indebtedness and certificates of interest or participation in any profit-sharing agreement as are usually referred to as securities.),

or real property to a non-**relative**

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)

for less than fair consideration during 2013?

21. Did you have any contract, promise, or agreement during 2013 with any person or entity with respect to your employment after leaving your City office or position?

22. Do you have any **relative(s)**

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)

holding a position, whether paid or unpaid, with the **City**

(**City** means the city of New York and shall include an agency of the city. An agency or city agency includes but is not be limited to all mayoral agencies, the council, the offices of each elected city official, the board of education, community boards, the health and hospitals corporation, the New York city industrial development agency, the offices of the district attorneys of the counties of Bronx, Kings, New York, Queens and Richmond, and of the special narcotics prosecutor, the public administrators, the New York city housing authority, and the New York city housing development corporation.)?

**QUESTIONS ON POSITIONS, INCOME, REIMBURSEMENTS, AND GIFTS**

**A. PRIMARY CITY POSITION**

Current / Final City Position

Report your current or final City employment or office, whether you are paid or not.

Example:

You received \$55,000 in salary and \$10,000 in overtime payments. Under "Nature of Income," state "salary and overtime payments" and report the total amount as "\$60,000 - \$99,999.99"

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

Use the actual gross income you received, including overtime payments, longevity, shift differentials, and any compensation received for performing additional duties, such as serving as a committee chair.

**B. ADDITIONAL CITY POSITIONS**

Report any City employment or office, whether you were paid or not, that you held during 2013 at agencies other than your current (or final) City agency.

Example:

You received \$55,000 in salary and \$10,000 in overtime payments. Under "Nature of Income," state "salary and overtime payments" and report the total amount as "\$60,000 - \$99,999.99"

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

Use the actual gross income you received, including overtime payments, longevity, shift differentials, and any compensation received for performing additional duties, such as serving as a committee chair. The income received from the City for each position should be totaled, but each type of compensation should be separately identified.

**C. NON-CITY EMPLOYMENT/BUSINESS**

Report any non-City occupation, trade, business, profession, or employment you engaged in during 2013.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

Do not include a position reported in the "Primary City Position" or "Elected Position and/or Candidacy" questions. If income was received from a business or profession, indicate the name of the entity and not the names of individual customers or clients. The net aggregate



income before taxes derived from a single business or profession should be totaled, i.e., the net profit reported in Schedule C of your personal income tax return.

**D. POLITICAL POSITIONS HELD**

Report any positions you held during 2013 as an officer of any **political party**

(**Political party** means any political organization that polled at least 50,000 votes for its candidate for Governor at the last preceding gubernatorial election.)

or **political organization**

(**Political organization** means any organization or group of voters that nominates a candidate or candidates for office to be voted for at an election, any independent body, or any organization that is affiliated with or a subsidiary of a party or another political organization or independent body. **Independent body** means any organization or group of voters which nominates a candidate or candidates for office to be voted for at an election and which is not a political party.), as a member of a political party committee, or as a political party district leader. Examples: a committeeperson, president of a political club.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

**E. POSITIONS HELD**

Report all offices, **trusteeships**

(**Trusteeship** means a member on a Board of Trustees. It does not mean a trustee of a trust.),

directorships, partnerships, ex-officio positions, honorary positions, or other positions of any nature, whether compensated or not, you held in 2013. Do not include

- positions reported in the questions covering City and Non-City employment
- elected positions or candidacies
- positions with the State of New York or the offices of Notary Public or Commissioner of Deeds
- entities of which you are only a member and not an officeholder

If the entity is a partnership, indicate whether you were a general or limited partner, and if the entity is a corporation, whether for profit or non-profit, report if you were a director or officer of the corporation.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

**F. OTHER NON-CITY INCOME**

Report any **income**

(**Income** includes, but is not limited to,

- income from directorships and other fiduciary or advisory positions (e.g., executor of an estate)
- contracts
- partnerships
- teaching income
- lecture fees and honoraria
- consultant fees
- real estate rental income
- bank and bond interest (whether or not tax-exempt)
- dividends
- trusts
- royalties
- annuities
- distributions from a retirement account
- life insurance proceeds from a non-relative
- gambling winnings
- recognized gains from the sale or exchange of real or other property or the sale or redemption of securities
- social security benefits
- unemployment benefits
- payments you received pursuant to a court settlement or judgment for lost profits.

Do not include maintenance received in connection with a matrimonial action, alimony, or child support payments. Do not include scholarships, court settlements, worker's compensation, awards, income tax refunds, or life insurance proceeds from a relative.)

you received of \$1,000 or more from any source during 2013, other than income reported in questions covering City and Non-City employment, elected positions, and candidacies.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

**G. REGULATED PROFESSIONS**

If you practice law, are a licensed real estate broker or agent, or practice a profession licensed by the New York State Department of Education, identify your profession and provide a general description of the principal subject areas of matters you undertook during 2013. Do not list the names of individual clients, customers, or patients. If you are a licensed professional but you did not practice during the reporting year, indicate your field of practice and that you did not actually engage in such practice during 2013.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

**H. DEFERRED INCOME**

Report any **deferred income**

(**Deferred income** is income that was earned during 2013 or any time before 2013 but which was paid or was to be paid after December 31, 2013.)

of \$1,000 or more.

Deferred income derived from the practice of a profession should be totaled. List the name of the entity through which the income was earned or derived, but do not list the names of individual clients or customers.

Do not report your deferred compensation plan in response to this question. You will report your deferred compensation plan in the "Trusts, Estates, and Other Beneficial Interests" question.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

Do not include an interest in a retirement plan, a deferred compensation plan, a pension plan, or any interest in a trust, estate, or beneficial interest. Do not include your City salary earned during the last week of December but paid in January.

**I. PAYMENTS FOR CITY-RELATED TRAVEL**

Report if a non-governmental entity or person either paid directly for travel-related expenses, or reimbursed you for travel-related expenses, in an amount of \$1,000 or more for **activities related to your official duties**

(**Activities related to your official duties** include, but are not limited to, speaking engagements, conferences, and fact-finding events, but does not include gifts.)

with the City.

If a non-governmental entity paid for any travel-related expenses not related to your official duties, by either reimbursing you or paying the travel related expenses directly on your behalf, you must report this in the "Gifts" question.

Do not report direct payments or reimbursements for campaign expenditures or any direct payments or reimbursements by the City or any other governmental entity, whether foreign or domestic. Total all your reimbursements from a single source.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

**J. GIFTS FROM DONORS WITH CITY BUSINESS**

Report any gift

(**Gift means** anything of value for which a person pays nothing or less than fair market value. A gift may be in the form of money, service, loan, forgiveness of debt, discount, travel, entertainment, hospitality, thing, or promise or in any other form. Gifts include gifts of securities or real estate as well as wedding gifts (except from a relative).)

or gifts you received during 2013 from the same donor who had business dealings

**(Business dealings** means any transaction involving the sale, purchase, rental, disposition or exchange of any goods, services, or property, any license, permit, grant or benefit, and any performance of or litigation with respect to any of the foregoing, but shall not include any transaction involving a public servant's residence or any ministerial matter.)

with the City, other than a relative

**(Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.),

with a total value of \$50 or more. Report the value of multiple gifts from the same donor or affiliated

**(Affiliated** means a firm that is a subsidiary of another firm, or two firms that have a parent in common, or two firms with a stockholder in common who owns at least twenty-five per cent of the shares of each such firm.)

donors in the aggregate.

- Include any inheritances from non-relatives.
- Include any gifts related to your City position, e.g. gifts to the City.
- Include direct payments, or reimbursements from a non-governmental entity for travel related expenses that did not relate to your official duties.
- Do not include gifts or inheritances from relatives.
- Do not include engagement rings.
- Do not include campaign contributions.
- Do not include reimbursements from your employer(s).
- Do not include direct payments or reimbursements from a governmental entity for travel-related expenses.

 CLOSE

Examples:

You received one gift in the amount of \$75 from ABC Corporation, which has City business. You must report this gift because it is more than \$50 and ABC does business with the City.

You received two separate gifts of \$30 each from ABC Corporation and DEF Company, which ABC Corporation owns. ABC and DEF do business with the City. You must report both gifts because you received gifts in the amount of \$50 or more from affiliated donors.

Please be advised that the Conflicts of Interest Board has promulgated rules that prohibit gifts of \$50.00 or more to public servants from any person or firm that such public servant knows is or intends to become engaged in business dealings with the City, except those gifts that are customary on family or social occasions. See City Charter Chapter 68, § 2604(b)(5); Official Compilation of the Rules of the City of New York, Title 53, Chapter 1, § 1-01.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

**K. GIFTS FROM DONORS WITH NO CITY BUSINESS**

Report any gift

(**Gift means** anything of value for which a person pays nothing or less than fair market value. A gift may be in the form of money, service, loan, forgiveness of debt, discount, travel, entertainment, hospitality, thing, or promise or in any other form. Gifts include gifts of securities or real estate as well as wedding gifts (except from a relative).)

or gifts you received during 2013 from the same donor who had no business dealings

(**Business dealings** means any transaction involving the sale, purchase, rental, disposition or exchange of any goods, services, or property, any license, permit, grant or benefit, and any performance of or litigation with respect to any of the foregoing, but shall not include any transaction involving a public servant's residence or any ministerial matter.)

with the City, other than a relative

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.),

with a total value of \$1,000 or more. Report the value of multiple gifts from the same donor or affiliated

(**Affiliated** means a firm that is a subsidiary of another firm, or two firms that have a parent in common, or two firms with a stockholder in common who owns at least twenty-five per cent of the shares of each such firm.)

donors in the aggregate.

- Include any inheritances from non-relatives.
- Include any gifts related to your City position, e.g. gifts to the City.
- Include direct payments, or reimbursements from a non-governmental entity for travel related expenses that did not relate to your official duties.
- Do not include gifts or inheritances from relatives.
- Do not include engagement rings.
- Do not include campaign contributions.
- Do not include reimbursements from your employer(s).
- Do not include direct payments or reimbursements from a governmental entity for travel-related expenses.

 CLOSE

Examples:

You received a gift in the amount of \$750 from ABC Corporation, which has no City business. You need not report this gift because it is less than \$1,000 and ABC does not do business with the City.

You received two separate gifts from John Doe, one with a value of \$500, and another with a value of \$600. John Doe does not do business with the City. You must report both gifts because you received gifts in the amount of \$1,000 or more from a single donor.

You received two separate gifts of \$550 each from ABC Corporation and DEF Company, which ABC Corporation owns. Neither ABC nor DEF does business with the City. You must report both gifts because you received gifts in the amount of \$1,000 or more from affiliated donors who do not do business with the City.

Please be advised that the Conflicts of Interest Board has promulgated rules that prohibit gifts of \$50.00 or more to public servants from any person or firm that such public servant knows is or intends to become engaged in business dealings with the City, except those gifts that are customary on family or social occasions. See City Charter Chapter 68, § 2604(b)(5); Official Compilation of the Rules of the City of New York, Title 53, Chapter 1, § 1-01.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

### **HOLDINGS QUESTIONS**

#### **A. MONEY OWED TO FILER**

Report each note or account receivable or other outstanding loan in the amount of \$1,000 or more owed to you during 2013 - i.e., who owed you money and how much. Do not include debts owed to you by a **relative**

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.).

Include all debts, whether secured or unsecured. For secured debts, include debts secured by a mortgage, loan agreement, promissory note, or any instrument or document signifying a debt to you. Include all debts of \$1,000 or more which were owed to you at any time during 2013, even if they were paid in full during the year.

Do not include deferred income from the practice of a profession, i.e., a client owes you money.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

#### **B. MONEY OWED BY FILER**

Report each creditor, other than a **relative**

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.).

to whom you owed \$5,000 or more for a period of 90 consecutive days during 2013 or to whom you owe \$5,000 or more on the date you file this report.

Include revolving charge accounts (e.g., Mastercard or VISA). Include multiple accounts with an institution that in the aggregate total \$5,000 or more. Include real estate mortgages and other secured and unsecured loans. **Do not include first or second mortgages or loans obtained to finance the purchase of, or improvements to, your primary or secondary residence.**

Include debts of a campaign that have been personally guaranteed by you; loans to the campaign that you have co-signed; and debts which arise out of the receipt of public funds by your campaign.

Include short positions in a security where the position was held for longer than 90 consecutive days and the value of the position exceeded \$5,000 at any time during that period, or as of the date that you are filing this report, the value of the position exceeds \$5,000.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

Do not include any of the following types of liability:

- an obligation to pay maintenance in connection with a matrimonial action, alimony, or child support payments;
- a loan issued by a financial institution, in its ordinary course of business, to finance;
  - (i) the purchase of, or improvements to, your primary or secondary residence;
  - (ii) educational costs (for anyone), except upon default of a student loan;
  - (iii) the purchase of a personally owned motor vehicle;
  - (iv) the purchase of household furniture or appliances.
- an obligation to pay estimated quarterly taxes;
- a campaign debt, which would be a liability to the filer's campaign committee and not to the filer personally;
- a vehicle leasing;
- liabilities incurred by, or guarantees made by you, or by any proprietorship, partnership, or corporation in which you have an interest, when such liabilities were incurred or made in the ordinary course of your trade, business, or professional practice.

### **C. REAL ESTATE HELD**

Report any real estate in which you had a vested or contingent interest valued at \$1,000 or more during 2013. Do not include your primary or secondary personal residence, unless there is a co-owner who is a non-relative.

Include timeshares, real estate owned outside of New York or the United States, and all other real estate in which you have a vested interest, that is, which is owned by you, owned by you jointly with another person or entity, held in a trust under which you are the beneficiary, or owned by a partnership of which you are a partner or member. Also include real estate in which you have a contingent interest, that is, in which your interest is dependent upon the occurrence of some future event. For example, where a relative has recently died, and property will pass to you, but distribution of that property has not yet been made, and thus title has not passed, you have a contingent interest that should be reported under this section. Do not include an expected inheritance from one who is still alive.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

Do not include your primary or secondary personal residence even if you rent out a portion of it, unless there is a co-owner who is a non-relative, and do not include an expected inheritance from one who is still alive.

#### **D. SECURITIES HELD**

Report any **securities**

(**Securities** means stocks (any class), bonds (including savings bonds and tax exempt bonds), mutual funds, stock options, warrants, debentures, obligations, brokerage accounts, notes (not mortgage notes), mortgages (not on one's home), investment interests in limited partnerships, REITs, and such other evidences of indebtedness and certificates of interest or participation in any profit-sharing agreement as are usually referred to as securities.)

you held at the close of 2013 with a market value of \$1,000 or more.

Do not include short positions in a security in this section. If the position was held for more than 90 consecutive days and the value of the position exceeded \$5,000 at any time during that period, or if the value of the position exceeds \$5,000 as of the date that you are filing this report, it must be disclosed in the "Money Owed by Filer" question.

Do not include:

- savings accounts, certificates of deposit (CDs), NOW accounts, bank money market accounts, or securities issued by a professional corporation
- securities held in a custodial account or a mortgage held by another on your property that is reported elsewhere
- securities of which you are the owner of record but in which you have no beneficial interest, e.g., stocks held for your child
- securities that are interest in a general partnership that was listed in a prior question or securities that are corporate stocks, not publicly traded, in your trade or business
- individual securities held in a trust established by, or under the estate of, a relative
- securities held in a pension plan



Report individual stocks in a managed account if you own the individual stocks in your own name or if they are held in "street name."

If you hold securities jointly with your spouse or domestic partner or unemancipated child, indicate the total market value in response to this question and check yes to jointly owned. If you and your spouse or domestic partner or unemancipated child separately held securities in the same company, report your holdings here and your spouse's or domestic partner's or unemancipated child's holdings in the securities question for your spouse or domestic partner; do not check the jointly owned box.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

#### **E. INVESTMENTS IN A BUSINESS**

Report any investment of \$1,000 or more held during 2013 in a business, other than an investment in **securities**

(**Securities** means stocks (any class), bonds (including savings bonds and tax exempt bonds), mutual funds, stock options, warrants, debentures, obligations, brokerage accounts, notes (not mortgage notes), mortgages (not on one's home), investment interests in limited partnerships, REITs, and such other evidences of indebtedness and certificates of interest or participation in any profit-sharing agreement as are usually referred to as securities.)

or an interest in real property.

Include investments that you held in any firm, partnership, corporation, or other entity in 2013, whether or not the investment was made in that year.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

Do not include income from a business here. You will report such income in the "Non-City Employment" or "Non-City Income" questions. Do not report investment in a business consisting solely of the passive investment in the real estate of that business. You will report such information in the "Real Estate Held" question.

#### **F. INTERESTS IN GOVERNMENT CONTRACTS**

Report any interest of \$1,000 or more that you had during 2013 in any contract made or executed by a **State agency**

(**State agency** means

- any New York State department
- any division, board, commission, or bureau of any State department
- any public benefit corporation, public authority, or commission at least one of whose members is appointed by the Governor
- the State University of New York or the City University of New York, including all their constituent units except community colleges and except the independent institutions operating statutory or contract colleges on behalf of the State.

**Trusteeship** means a member on a Board of Trustees. It does not mean a trustee of a trust.)

or **local agency**.

(**Local agency** means

- any county, City, town, village, school district, or district corporation
- any agency, department, division, board, commission, or bureau thereof
- any public benefit corporation or public authority not included within the definition of a State agency.)

Include both vested and contingent interests. Include interest held by any partnership of which you are a member or any corporation 10% or more of whose stock you own or control.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

Do not include:

- bonds or notes
- contracts where final payment has been made and all obligations (except for guarantees and warranties) have been performed, unless there has been an ongoing dispute during the reporting year with respect to the guarantees or warranties
- contracts made or executed by a State agency after public notice and pursuant to a process for competitive bidding or competitive requests for proposals. Do, however, include any such local agency contracts.

#### **G. TRUSTS, ESTATES, AND OTHER BENEFICIAL INTERESTS**

Report any trust, estate, or other **beneficial interest**

(**Beneficial interest** includes, but is not limited to

- individual retirement accounts (IRAs)
- Keogh retirement plans
- annuities
- deferred compensation plans (including New York City or New York State deferred compensation plans)
- interests in a trust or estate
- beneficiary of a bank account established by another person or entity
- retirement plans (except New York City or New York State retirement systems).)

in which you held an interest worth \$1,000 during 2013. Include the value of such beneficial interests only if reasonably ascertainable.

Note that beneficial interest refers to the holdings (principal), not to the interest earned (which is reported in non-City income).

Do not include individual securities in response to this question. If through your IRA, Keogh, annuity, deferred compensation plan, trust, or other beneficial interest, you own individual securities in your own name, report those securities in the "Securities Held" question. Do not include any interest in a trust, estate, or other beneficial interest established by or for a

relative or by or for the estate of a relative. Do not include the cash surrender value of your own life insurance policy.

If you still held the beneficial interest on December 31 of 2013, report its value on that date. If you received a partial distribution of \$1,000 or more during 2013, that distribution should be reported in the "Other Non-City Income" question, and the balance of the beneficial interest remaining as of December 31 of 2013 should be reported in this question. If you no longer held the beneficial interest on December 31 of 2013, report its value on the last day on which you held the beneficial interest, unless the distribution appears in the "Other Non-City Income" question.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

## **OTHER QUESTIONS**

### **A. ASSIGNMENTS OF INCOME**

Report any assignments of income of \$1,000 or more to any person, including a **relative**

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.),

during 2013.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

Example:

You assign your right to income from a trust to your brother. You must report such an assignment.

### **B. TRANSFERS OF MONEY OR PROPERTY**

Report any transfers during 2013 of any interest having a value of \$1,000 or more to a non-**relative**

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.),

for less than fair consideration.

Include interest in a trust, estate, other **beneficial interest**

(**Beneficial interest** includes, but is not limited to

- individual retirement accounts (IRAs)
- Keogh retirement plans

- annuities
- deferred compensation plans (including New York City or New York State deferred compensation plans)
- interests in a trust or estate
- beneficiary of a bank account established by another person or entity
- retirement plans (except New York City or New York State retirement systems).);

### **securities**

(**Securities** means stocks (any class), bonds (including savings bonds and tax exempt bonds), mutual funds, stock options, warrants, debentures, obligations, brokerage accounts, notes (not mortgage notes), mortgages (not on one's home), investment interests in limited partnerships, REITs, and such other evidences of indebtedness and certificates of interest or participation in any profit-sharing agreement as are usually referred to as securities.);

or real property. Do not include assignments of income, which are reported in the "Assignments of Income" question.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

Example:

You transfer ownership of your cabin in the woods to a friend for less than its fair market value. You must report such a transfer.

### **C. AGREEMENTS FOR FUTURE PAYMENTS**

Report any agreements that you had during 2013 with a former or current employer for future **benefits or payments**

(**Benefits or payments** include, but are not limited to

- interests in or contributions to pension funds
- profit-sharing plans
- life or health insurance plans
- buy-out agreements
- severance payments)

to you. Include all former and current employers, not merely your most recent employer. Do not include agreements made with the City of New York. Do not include agreements under which the payments or benefits to you terminated in a year previous to 2013.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

### **D. AGREEMENTS WITH FUTURE EMPLOYERS**

Report any contract, promise, or agreement you had during 2013 with any person or entity with respect to your employment after leaving your City position.

Do not include any arrangements for time spent during leaves of absence while employed by the City. If you have accepted a new position outside of City service, you must report it here.

If this question does not apply to you, please go back to the filer profile and change your answer to NO. By doing so, this question will be deleted.

#### **F. RELATIVES IN CITY SERVICE**

Report any relatives

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)

you have who had a position, whether paid or unpaid, with the City.

(**City** means the city of New York and shall include an agency of the city. An agency or city agency includes but is not be limited to all mayoral agencies, the council, the offices of each elected city official, the board of education, community boards, the health and hospitals corporation, the New York city industrial development agency, the offices of the district attorneys of the counties of Bronx, Kings, New York, Queens and Richmond, and of the special narcotics prosecutor, the public administrators, the New York city housing authority, and the New York city housing development corporation.)

Include your spouse/domestic partner in your answer to this question even if the information is reported elsewhere in your report.