

A LOCAL LAW

To amend the administrative code of the city of
New York, in relation to the filing of annual
disclosure reports

Be it enacted by the Council as follows:

1 Section 1. Subdivision a of section 12-110 of the administrative code of the city
2 of New York, as added by local law number 43 for the year 2003, paragraphs 2 and 9 as
3 amended by local law number 14 for the year 2006, is amended to read as follows:

4 §12-110 Annual disclosure.

5 a. Definitions. As used in this section:

6 1. The term [“business dealings with a state or local agency” shall mean any
7 transaction with any state or local agency involving the sale, purchase, rental, disposition or
8 exchange of any goods, services or property, any license, permit, grant or benefit, and any
9 performance of or litigation with respect to any of the foregoing, but shall not include any
10 transaction involving a public servant’s residence or any ministerial matter] "affiliated" shall
11 mean a firm that is a subsidiary of another firm, or two firms that have a parent in common, or
12 two firms with a stockholder in common who owns at least twenty-five per cent of the shares of
13 each such firm.

14 2. The term [“city employee” shall be defined as an employee of a city, county,
15 borough or other office, position, administration, department, division, bureau, board,
16 commission, authority, corporation or other agency of government, the expenses of which are
17 paid in whole or in part from the city treasury and shall include but not be limited to employees
18 of the New York city health and hospitals corporation, the New York city industrial development
19 agency, the offices of the district attorneys of the counties of Bronx, Kings, New York, Queens

1 and Richmond, and of the special narcotics prosecutor, and the New York city housing
2 development corporation] "agency" or "city agency" shall mean a city, county, borough or other
3 office, position, administration, department, division, bureau, board, commission, authority,
4 corporation, committee or other agency of government, the expenses of which are paid in whole
5 or in part from the city treasury, and shall include but not be limited to the council, the offices of
6 each elected city official, the board of education, community boards, the health and hospitals
7 corporation, the New York city industrial development agency, the offices of the district
8 attorneys of the counties of Bronx, Kings, New York, Queens and Richmond, and of the special
9 narcotics prosecutor, the New York city housing authority, and the New York city housing
10 development corporation, but shall not include any court or any corporation or institution
11 maintaining or operating a public library, museum, botanical garden, arboretum, tomb, memorial
12 building, aquarium, zoological garden or similar facility or any advisory committee as that term
13 is defined in subdivision one of section twenty-six hundred one of the charter.

14 3. The term "business dealings" shall mean any transaction involving the sale,
15 purchase, rental, disposition or exchange of any goods, services, or property, any license, permit,
16 grant or benefit, and any performance of or litigation with respect to any of the foregoing, but
17 shall not include any transaction involving a public servant's residence or any ministerial matter.

18 4. The term "city" shall mean the city of New York and shall include an agency
19 of the city.

20 [3.] 5. The term "conflicts of interest board" or "board" shall mean the conflicts
21 of interest board appointed pursuant to section twenty-six hundred two of the New York city
22 charter.

1 [4.] 6. The term “domestic partners” shall mean persons who have a registered
2 domestic partnership, which shall include any partnership registered pursuant to section 3-240 of
3 the administrative code of the city of New York.

4 7. The term "gift" shall mean anything of value for which a person pays nothing
5 or less than fair market value and may be in the form of money, services, reduced interest on a
6 loan, travel, travel reimbursement, entertainment, hospitality, thing, promise, or in any other
7 form. “Gift” shall not include reimbursements.

8 8. The term “income” shall include, but not be limited to, salary from
9 government employment, income from other compensated employment whether public or
10 private, directorships and other fiduciary or advisory positions, contractual arrangements,
11 teaching income, partnership income, lecture fees, consultant fees, bank and bond interest,
12 dividends, income derived from a trust, real estate rents, and recognized gains from the sale or
13 exchange of real or other property.

14 [5.] 9. The term “independent body” shall mean any organization or group of
15 voters which nominates a candidate or candidates for office to be voted for at an election, and
16 which is not a political party as defined in paragraph [seven] twelve of this subdivision.

17 10. The terms "local authority," "local public authority" or "city public authority"
18 shall be given the same meaning as the term "local authority" is given in subdivision two of
19 section two of the public authorities law and shall include only such entities that have their
20 primary office in the city of New York.

21 [6.] 11. The term "local political party official" shall mean:

22 [(1)] (a) any chair of a county committee elected pursuant to section 2-112 of the
23 election law, or his or her successor in office, who received compensation or expenses, or both,

1 from constituted committee or political committee funds, or both, during the reporting period
2 aggregating thirty thousand dollars or more;

3 [(2)] (b) that person (usually designated by the rules of a county committee as the
4 “county leader” or “chair of the executive committee”) by whatever title designated, who
5 pursuant to the rules of a county committee or in actual practice, possesses or performs any or all
6 of the following duties or roles, provided that such person received compensation or expenses, or
7 both, from constituted committee or political committee funds, or both, during the reporting
8 period aggregating thirty thousand dollars or more:

9 [(i)] (1) the principal political, executive and administrative officer of the county
10 committee;

11 [(ii)] (2) the power of general management over the affairs of the county
12 committee;

13 [(iii)] (3) the power to exercise the powers of the chair of the county committee as
14 provided for in the rules of the county committee;

15 [(iv)] (4) the power to preside at all meetings of the county executive committee if
16 such a committee is created by the rules of the county committee or exists de facto, or any other
17 committee or subcommittee of the county committee vested by such rules with or having de
18 facto the power of general management over the affairs of the county committee at times when
19 the county committee is not in actual session;

20 [(v)] (5) the power to call a meeting of the county committee or of any committee
21 or subcommittee vested with the rights, powers, duties or privileges of the county committee
22 pursuant to the rules of the county committee, for the purpose of filling an office at a special
23 election in accordance with section 6-114 of the election law, for the purpose of filling a vacancy

1 in accordance with section 6-116 of such law or for the purpose of filling a vacancy or vacancies
2 in the county committee which exist by reason of an increase in the number of election districts
3 within the county occasioned by a change of the boundaries of one or more election districts,
4 taking effect after the election of its members, or for the purpose of determining the districts that
5 the elected members shall represent until the next election at which such members of such
6 committee are elected; provided, however, that in no event shall such power encompass the
7 power of a chair of an assembly district committee or other district committee smaller than a
8 county and created by the rules of the county committee, to call a meeting of such district
9 committee for such purpose;

10 [(vi)] (6) the power to direct the treasurer of the party to expend funds of the
11 county committee; or

12 [(vii)] (7) the power to procure from one or more bank accounts of the county
13 committee the necessary funds to defray the expenses of the county committee. The terms
14 “constituted committee” and “political committee” as used in this subparagraph shall have the
15 same meanings as those contained in section 14-100 of the election law.

16 12. The term "policymaking position" shall mean the position held by a person
17 charged with "substantial policy discretion" as referenced in paragraphs twelve and fifteen of
18 subdivision b of section twenty-six hundred four of the New York city charter and as defined by
19 rule of the conflicts of interest board.

20 [7.] 13. The term “political party” shall mean any political organization which at
21 the last preceding election for governor polled at least fifty thousand votes for its candidate for
22 governor.

1 [8.] 14. The term “political organization” shall mean any political party as
2 defined in paragraph [seven] thirteen of this subdivision, or independent body, as defined in
3 paragraph [five] nine of this subdivision, or any organization that is affiliated with or a
4 subsidiary of a party or independent body.

5 15. The term “reimbursements” shall mean any travel-related expenses provided
6 by non-governmental sources, whether directly or as repayment, for activities related to the
7 reporting person’s official duties, such as speaking engagements, conferences, or fact-finding
8 events, but shall not include gifts.

9 [9.] 16. The term "relative" shall mean the spouse, domestic partner, [parent,
10 grandparent,] child, stepchild, brother, sister, parent, or stepparent of the person reporting, or any
11 person [who is the direct descendant of the grandparents of the person reporting or of the spouse
12 or domestic partner of the person reporting] whom the person reporting claimed as a dependent
13 on his or her most recently filed personal income tax return, and each such relative's spouse or
14 domestic partner.

15 17. The term “securities” shall mean bonds, mortgages, notes, obligations,
16 warrants and stocks of any class, investment interests in limited or general partnerships and such
17 other evidences of indebtedness and certificates of interest as are usually referred to as securities.

18 [10.] 18. The terms "state agency" and "local agency" shall be given the same
19 meanings as such terms are given in section eight hundred ten of the general municipal law.

20 19. The term "unemancipated child" shall mean any son, daughter, stepson or
21 stepdaughter who is under age eighteen, unmarried and living in the household of the person
22 reporting at the time the person files his or her annual disclosure report, and shall also include
23 any son or daughter of the spouse or domestic partner of such person who is under age eighteen.

1 unmarried and living in the household of the person reporting at the time the person files his or
2 her annual disclosure report.

3 § 2. Subdivision b of section 12-110 of the administrative code of the city of New
4 York, as added by local law number 43 for the year 2003, paragraph 3 as amended by local law
5 number 14 for the year 2006, is amended to read as follows:

6 b. Persons required to file [a financial] an annual disclosure report.

7 The following persons shall file with the conflicts of interest board [a] an annual
8 disclosure report, in such form as the board shall determine, disclosing certain financial interests
9 as hereinafter provided. Reports [filed prior to January first, two thousand six may be filed
10 electronically, in such form as the board may determine, and thereafter] shall, except as
11 otherwise provided by the board [in consultation with the filer's agency], be filed electronically,
12 in such form as the board may determine.

13 1. Elected and political party officials.

14 (a) Each elected officer described in sections four, twenty-four, twenty-five,
15 eighty-one, ninety-one and eleven hundred twenty-five of the New York city charter, and each
16 local political party official described in paragraph [six] eleven of subdivision a of this section,
17 shall file such report not later than [May first of] such date designated by the conflicts of interest
18 board each year.

19 (b) A local political party official required to file a report pursuant to
20 subparagraph (a) of this paragraph who is also subject to the financial disclosure filing
21 requirements of subdivision two of section seventy-three-a of the public officers law may satisfy
22 the requirements of paragraph one by filing with the conflicts of interest board a copy of the
23 statement filed pursuant to section seventy-three-a of the public officers law, on or before the

1 filing deadline provided in such section seventy-three-a, notwithstanding the filing deadline
2 otherwise imposed by paragraph one of this subdivision.

3 2. Candidates for public office.

4 (a) Each person, other than any person described in paragraph one, who has
5 declared his or her intention to seek nomination or election and who has filed papers or petitions
6 for nomination or election, or on whose behalf a declaration or nominating paper or petition has
7 been made or filed which has not been declined, for an office described in paragraph one of
8 subdivision b of this section shall file such report on or before the last day for filing his or her
9 designating petitions pursuant to the election law.

10 (b) Each person, other than any person described in paragraph one, who was a
11 write-in candidate at the primary election for an office described in paragraph one of subdivision
12 b of this section and whose name is thereafter entered in the nomination book at the board of
13 elections, shall file such report within twenty days after such primary election.

14 (c) Each person, other than any person described in paragraph one, who has been
15 designated to fill a vacancy in a designation or nomination for an office described in paragraph
16 one of subdivision b of this section shall file such report within fifteen days after a certificate
17 designating such person to fill such vacancy is filed with the board of elections, or within five
18 days before the election for which the certificate is filed, whichever is earlier.

19 (d) The conflicts of interest board shall obtain from the board of elections lists of
20 all candidates for the elected positions set forth below, and from such lists, shall determine and
21 publish lists of those candidates who have not, within ten days after the required date for filing
22 such reports, filed the reports required by this section.

1 3. (a) The following categories of persons who had such status during the
2 preceding calendar year or up until the date of filing their [financial] annual disclosure report
3 shall be required to file a report not later than [May first of] the date designated by the conflicts
4 of interest board each year:

5 (1) Each agency head, deputy agency head, assistant agency head, and member of
6 any board or commission[, other than a member of a board or a commission who serves without
7 compensation, provided, however, that a member of the New York city housing development
8 corporation shall be deemed to be a compensated member of such corporation for purposes of
9 this section] who on the date designated by the board for filing holds a policymaking position, as
10 defined by rule of the board and as annually determined by the head of his or her agency, subject
11 to review by the board;

12 (2) Each officer or employee of the city in the mayor's office, the city council, a
13 district attorney's office, the office of the special narcotics prosecutor, or any other agency that
14 does not employ M-level mayor's management plan indicators for its managers, whose
15 responsibilities on [April thirtieth of each year] the date designated by the board for filing
16 involve the independent exercise of managerial or policymaking functions[,] or who holds a
17 policymaking position on such date, as defined by rule of the board and as annually determined
18 by the appointing authority of his or her agency, subject to review by the [conflicts of interest]
19 board;

20 (3) Each [city] officer or employee of the city, other than an officer or employee
21 of the city in the mayor's office, the city council, a district attorney's office or the special
22 narcotics prosecutor's office, who, on [April thirtieth of each year] the date designated by the
23 board for filing, is paid in accordance with the mayor's management pay plan at level M4 or

1 higher, or who holds a policymaking position on such date, as defined by rule of the board and
2 as annually determined by the head of his or her agency, subject to review by the board;

3 (4) Each officer or employee of the city whose duties at any time during the
4 preceding calendar year involved the negotiation, authorization or approval of contracts, leases,
5 franchises, revocable consents, concessions and applications for zoning changes, variances and
6 special permits, as defined by rule of the [conflicts of interest] board and as annually determined
7 by his or her agency head [or employer], subject to review by the [conflicts of interest] board.

8 (5) Each assessor required to file a report solely by reason of section three
9 hundred thirty-six of the real property tax law[, provided, however, that the report filed by any
10 such assessor shall be the report prescribed by such section of the real property law].

11 (6) Each of the following members, officers and employees of city public
12 authorities:

13 (i) Each member of the authority;

14 (ii) Each head, deputy head or assistant head of the authority;

15 (iii) Each officer and employee of the authority who on the date designated by
16 the board for filing holds a policymaking position, as defined by rule of the board and as
17 annually determined by the head of his or her authority, subject to review by the board; and

18 (iv) Each officer or employee of the authority whose duties at any time during the
19 preceding calendar year involved the negotiation, authorization or approval of contracts, leases,
20 franchises, revocable consents, concessions and applications for zoning changes, variances and
21 special permits, as defined by rule of the conflicts of interest board and as annually determined
22 by the head of his or her authority, subject to review by the board.

1 (7) Any [other] person required by New York state law to file [a financial] an
2 annual disclosure report with the conflicts of interest board.

3 (b) Separation from service:

4 (1) Each person described in this paragraph shall, following separation from
5 service, file such report for the portion of the last calendar year in which he or she served in his
6 or her position within sixty days of his or her separation from service or on or before the [May
7 first next succeeding] date designated by the conflicts of interest board for filing pursuant to
8 subparagraph (a) of this paragraph, whichever is earlier, if such person met the criteria of this
9 subparagraph on his or her last day of service. Each such person who leaves service prior to
10 [May first] the date designated by the board for filing pursuant to subparagraph (a) of this
11 paragraph shall also file a report for the previous calendar year within sixty days of his or her
12 separation from service or [on the May first next succeeding] on or before such date designated
13 by the board, whichever is earlier.

14 (2) Each such person who is terminating or separating from service shall not
15 receive his or her final paycheck, and/or any lump sum payment to which he or she may be
16 entitled, until such person has complied with the requirements of this section.

17 (3) Each elected officer and each local political party official described in
18 paragraph [six] eleven of subdivision a of this section shall, after leaving office, file such report
19 for the previous calendar year, if such officer or local political party official has not previously
20 filed such report, and shall file such report for the portion of the last calendar year in which he or
21 she served in office, within sixty days of his or her last day in office or on or before the [May
22 first next succeeding] date designated by the board for filing pursuant to subparagraph (a) of
23 paragraph one of this subdivision, whichever is earlier.

1 § 3. Subdivision c of section 12-110 of the administrative code of the city of New
2 York, as added by local law number 43 for the year 2003, is amended to read as follows:

3 c. Procedures involving the filing of [financial] annual disclosure reports.

4 1. Each agency head or head of a city public authority shall file with the conflicts
5 of interest board, prior to the date required for the filing of reports, a list of persons obligated to
6 report pursuant to this section.

7 2. Each agency head or head of a city public authority shall determine, subject to
8 review by the conflicts of interest board, which persons within the agency or city public authority
9 occupy positions that are described in clauses three and four of subparagraph (a) of paragraph
10 three of subdivision b of this section, and shall, prior to the date on which the filing of the report
11 is required, inform such employees of their obligation to report. The conflicts of interest board
12 shall promulgate rules establishing procedures whereby any employee may seek review of the
13 agency's or city public authority's determination that he or she is required to report.

14 3. The speaker of the council, each district attorney and the special narcotics
15 prosecutor shall determine, subject to review by the conflicts of interest board, which persons on
16 their staff occupy positions that are described in clause two of subparagraph (a) of paragraph
17 three of subdivision b of this section, and shall, prior to the date required for the filing of the
18 reports, inform such employees of their obligation to report.

19 4. The conflicts of interest board shall promulgate rules establishing procedures
20 whereby a person required to file an annual [financial] disclosure report may request an
21 additional period of time within which to file such report, due to justifiable cause or undue
22 hardship. Such rules shall include, but not be limited to, the establishment of a date beyond

1 which in all cases of justifiable cause or undue hardship no further extension of time will be
2 granted.

3 5. Any amendments and changes to [a financial] an annual disclosure report made
4 after its filing shall be made on a [separate] form to be [provided] prescribed by the conflicts of
5 interest board [and attached to the report. Said form shall contain the corresponding page and
6 item numbers of the report, the amendment, the signature of the person making such amendment
7 and the initials of the chair of the board or his or her designee]. Amendments shall be made only
8 by the person who originally filed such report.

9 § 4. Subdivision d of section 12-110 of the administrative code of the city of New
10 York, as added by local law number 43 for the year 2003, paragraph 1, subparagraph (a) of
11 paragraph 3, subparagraphs (b) and (d) of paragraph 8, subparagraphs (a) and (b) of paragraph 9,
12 and paragraphs 13, 14 and 15 as amended by local law number 14 for the year 2006, is amended
13 to read as follows:

14 d. Information to be reported.

15 [The report shall contain the following information:]

16 1. Officers and employees of the city; members of city boards and commissions
17 entitled to compensation; candidates for public office; elected and political party officials. The
18 report filed by officers and employees of the city, members of city boards and commissions
19 entitled to compensation, candidates for public office, elected officials, political party officials,
20 and any other person required by state law to file a report other than a person described by
21 paragraph three or four of this subdivision, shall contain the information required by this
22 paragraph on such form as the board shall prescribe. For purposes of filing an annual disclosure

1 report, members of the New York city housing development corporation shall be deemed to be
2 members of a city board or commission entitled to compensation.

3 (a) List the name of the person reporting; his or her title or position; the entity by
4 which he or she is employed or from which he or she receives compensation; his or her office
5 address and telephone number; list the marital status of the person reporting, and if married, list
6 the spouse's full name including maiden name where applicable; indicate whether the person is a
7 member of a domestic partnership, and if so, list the partner's full name; list the names of all
8 unemancipated children. [For purposes of this section, the term "unemancipated child" shall
9 mean any son, daughter, stepson or stepdaughter who is under age eighteen, unmarried and
10 living in the household of the person reporting, and shall also include any son or daughter of the
11 spouse or domestic partner of such person who is under age eighteen, unmarried and living in the
12 household of the person.]

13 [2.] (b) List any office, trusteeship, directorship, partnership, or position of any
14 nature including honorary positions, whether compensated or not, held by the person reporting or
15 his or her spouse or domestic partner or unemancipated child with any firm, corporation,
16 association, partnership, or other organization other than the state of New York. Do not list
17 membership positions. If the listed entity was licensed or regulated by any state or local agency,
18 or engaged in business dealings with, or had matters other than ministerial matters before, any
19 state or local agency, list the name of such agency.

20 [3. (a)] (c) (1) List the name, address and description of any occupation, trade,
21 business, profession or employment, other than the employment listed pursuant to paragraph one
22 of this subdivision, engaged in by the person reporting. If such employer or business was
23 licensed or regulated by any state or local agency, or engaged in business dealings with, or

1 matters other than ministerial matters before, any state or local agency, list the name of any such
2 agency.

3 [(b)] (2) If the spouse, domestic partner or unemancipated child of the person
4 reporting was engaged in any occupation, employment, trade, business or profession which
5 activity was licensed or regulated by any state or local agency, or engaged in business dealings
6 with, or had matters other than ministerial matters before, any state or local agency, list the
7 name, address and description of such occupation, employment, trade, business or profession and
8 the name of any such agency.

9 [4.] (d) List any positions the person reporting held as an officer of any political
10 party or political organization, as a member of any political party committee, or as a political
11 party district leader.

12 [5.] (e) If the person reporting practices law, is licensed by the department of state
13 as a real estate broker or agent or practices a profession licensed by the state department of
14 education, give a general description of the principal subject areas of matters undertaken by such
15 person. If the person reporting practices with a firm or corporation of which he or she is a partner
16 or shareholder, give a general description of principal subject areas of matters undertaken by
17 such firm or corporation. Do not list the name of the individual clients, customers or patients.

18 [6. (a)] (f) (1) Describe the terms of, and the parties to, any agreement providing
19 for [continuation of] future payments or benefits to the person reporting [of one thousand dollars
20 or more from] by a prior current employer other than the city of New York. Such description
21 of an agreement shall include interests in or contributions to a pension fund, profit-sharing plan,
22 life or health insurance, buy-out agreements or severance payments, etc.

23 [(b)] (2) Describe the terms of, and the parties to, any contract, promise or

1 agreement between the person reporting and any person, firm or corporation with respect to the
2 future employment of such reporting person [after leaving his or her office or position, other than
3 a leave of absence].

4 [7.] (g) List the nature and amount of any income of one thousand dollars or more
5 from each source derived during the preceding calendar year, to the person reporting or his or her
6 spouse or domestic partner. [For purposes of this paragraph, “income” shall include, but not be
7 limited to, salary for government employment, income from other compensated employment
8 whether public or private, directorships and other fiduciary or advisory positions, contractual
9 arrangements, teaching income, partnership income, lecture fees, consultant fees, bank and bond
10 interest, dividends, income derived from a trust, real estate rents, and recognized gains from the
11 sale or exchange of real or other property.] Income from a business or profession and real estate
12 rents shall be reported with the source identified by the building address in the case of real estate
13 rents and otherwise by the name of the entity and not by the name of the individual customers,
14 clients or tenants, with the aggregate net income before taxes for each building address or entity.
15 The receipt of maintenance received in connection with a matrimonial action, alimony and child
16 support payments shall not be listed.

17 [8.] (h) List the source of each of the following items received or accrued during
18 the preceding calendar year by the person reporting:

19 [(a)] (1) Any deferred income to be paid following the close of the calendar year
20 for which this disclosure statement is filed, other than any source of income otherwise disclosed
21 pursuant to subparagraph (a) of paragraph nine of this subdivision, of one thousand dollars or
22 more from each source. Deferred income derived from the practice of a profession shall be listed
23 in the aggregate and shall be identified as to the source, including the name of the firm,

1 corporation, partnership or association through which the income was derived, but shall not
2 include individual clients' identities.

3 [(b)] (2) Reimbursement to the person reporting or his or her spouse or domestic
4 partner, for expenditures, excluding campaign expenditures and expenditures in connection with
5 official duties reimbursed by the city, of one thousand dollars or more in each instance. [For
6 purposes of this subparagraph, the term "reimbursements" shall mean any travel-related expenses
7 provided by non-governmental sources, whether directly or as repayment, for activities related to
8 the reporting person's official duties, such as speaking engagements, conferences, or fact-finding
9 events, but shall not include gifts reported pursuant to subparagraph (d) of this paragraph.]

10 [(c)] (3) Honoraria received by the person reporting or his or her spouse or
11 domestic partner from a single source in the aggregate amount of one thousand dollars or more.

12 [(d)] (4) Any gift, its value and nature, [in the aggregate amount or value of one
13 thousand dollars or more] from any single source received by the person reporting, his or her
14 spouse or domestic partner or unemancipated child, during the preceding calendar year,
15 excluding gifts from a relative, except as otherwise provided under the election law covering
16 campaign contributions. [For purposes of this subparagraph, the term "gift" shall not include
17 reimbursements, as defined in subparagraph (b) of this paragraph.] Gifts in the aggregate amount
18 or value of less than one thousand dollars from any single source shall not be reported where,
19 from the beginning of the reporting period until the date the report is filed, the donor engaged in
20 no business dealings with the city. Gifts in the aggregate amount or value of less than fifty
21 dollars from any single source shall not be reported. The value of separate gifts from the same or
22 affiliated donors during the reporting period shall be aggregated.

23 [9. (a)] (i)(1) List the identity and value, if reasonably ascertainable, of each

1 interest in a trust, estate or beneficial interest held by the person reporting or his or her spouse or
2 domestic partner, including but not limited to (1) retirement plans (other than retirement plans of
3 the state of New York or city of New York) and (2) deferred compensation plans established in
4 accordance with the internal revenue code, where the person reporting or his or her spouse or
5 domestic partner held a beneficial interest of one thousand dollars or more during the preceding
6 calendar year. Do not report interests in an estate of a relative or interests in a trust or other
7 beneficial interest established by or for a relative or by or for the estate of a relative.

8 [(b)] (2) List each assignment of income of one thousand dollars or more, and
9 each transfer other than to a relative during the preceding calendar year for less than fair
10 consideration of an interest of one thousand dollars or more, in a trust, estate, or other beneficial
11 interest, securities or real property, by the person reporting, which would otherwise be required
12 to be reported herein and is not or has not been reported.

13 [10.] (j) List any interest of one thousand dollars or more, excluding bonds and
14 notes, held by the person reporting, his or her spouse or domestic partner or the reporting
15 person's unemancipated child, or partnership of which any such person is a member, or
16 corporation, ten per centum or more of the stock of which is owned or controlled by any such
17 person, whether vested or contingent, in any contract made or executed by a state or local
18 agency. Include the name of the entity which holds such interest and the relationship of the
19 person reporting, or his or her spouse or domestic partner or unemancipated child, to such entity
20 and the interest in such contract. Do not list any interest in any such contract on which final
21 payment has been made and all obligations under the contract, except for guarantees and
22 warranties, have been performed, provided, however, that such an interest shall be listed if there
23 has been an ongoing dispute during the calendar year for which this statement is filed with

1 respect to any such guarantees or warranties. Do not list any interest in a contract made or
2 executed by a state agency after public notice and pursuant to a process for competitive bidding
3 or a process for competitive requests for proposals.

4 [11.] (k) List the name, principal address and general description or the nature of
5 the business activity of any entity in which the person reporting or his or her spouse or domestic
6 partner or unemancipated child had an investment of one thousand dollars or more, excluding
7 investments in securities and interests in real property.

8 [12.] (l) List the type and market value of securities held by the person reporting
9 or his or her spouse or domestic partner or unemancipated child from each issuing entity, valued
10 at one thousand dollars or more at the close of the preceding calendar year, including the name of
11 the issuing entity, exclusive of securities held by the person reporting issued by a professional
12 corporation. Whenever an interest in securities exists through a beneficial interest in a trust, the
13 securities held in such trust shall be listed only if the person reporting has knowledge thereof,
14 except where the person reporting or his or her spouse or domestic partner has transferred assets
15 to such trust for his or her benefit; in that event the securities shall be listed unless they are not
16 ascertainable by the person reporting because the trustee is under an obligation or has been
17 instructed in writing not to disclose the contents of the trust to the person reporting. Securities of
18 which the person reporting or his or her spouse or domestic partner is the owner of record but in
19 which he or she has no beneficial interest shall not be listed. Where the person or his or her
20 spouse or domestic partner holds more than five per centum of the stock of a publicly held
21 corporation or more than ten per centum of a privately held corporation, percentage of ownership
22 shall be listed. List any securities owned for investment purposes by a corporation more than
23 fifty per centum of the stock of which is owned or controlled by the person reporting or his or

1 her spouse or domestic partner. [For purposes of this paragraph the term “securities” shall mean
2 bonds, mortgages, notes, obligations, warrants and stocks of any class, investment interests in
3 limited or general partnerships and certificates of deposits and such other evidences of
4 indebtedness and certificates of interest as are usually referred to as securities.] The market value
5 for such securities shall be reported only if reasonably ascertainable and shall not be reported if
6 the security is an interest in a general partnership that was listed in [paragraph five] subparagraph
7 e of this subdivision or if the security is corporate stock, not publicly traded, in a trade or
8 business of the reporting person or his or her spouse or domestic partner.

9 [13.] (m) List the location, size, general nature, acquisition date, market value and
10 percentage of ownership of any real property in which any vested or contingent interest of one
11 thousand dollars or more was held by the person reporting or his or her spouse or domestic
12 partner or unemancipated child during the preceding calendar year. List real property owned for
13 investment purposes by a corporation more than fifty per centum of the stock of which is owned
14 or controlled by the person reporting or his or her spouse or domestic partner. Do not list any real
15 property which is the primary or secondary personal residence of the reporting person or his or
16 her spouse or domestic partner, except where there is a co-owner who is other than a relative.

17 [14.] (n) List the identity of each note or account receivable or other outstanding
18 loan in the amount of one thousand dollars or more held by the person reporting or his or her
19 spouse or domestic partner during the preceding calendar year, including debts secured by a
20 mortgage, and other secured and unsecured debts. List the name of the debtor, type of obligation,
21 date due and the nature of the collateral, if any, securing payment for each such debt. Debts,
22 notes and accounts receivable owed to the person reporting or his or her spouse or domestic
23 partner by a relative shall not be reported.

1 [15.] (o) List each creditor to whom the person reporting or his or her spouse or
2 domestic partner was indebted, for a period of ninety consecutive days or more during the
3 preceding calendar year, and each such creditor to whom any debt was owed on the date of
4 filing, in an amount of five thousand dollars or more. Debts to be listed include real estate
5 mortgages and other secured and unsecured loans. If any reportable liability has been guaranteed
6 by any third person, list the name of such guarantor. Do not list liabilities incurred by, or
7 guarantees made by, the person reporting or his or her spouse or domestic partner or by any
8 proprietorship, partnership or corporation in which such person has an interest, when incurred or
9 made in the ordinary course of trade, business or professional practice of such person. Include
10 the name of the creditor and any collateral pledged by such individual to secure payment of any
11 such liability. Do not list any liability to a relative or any obligation to pay maintenance in
12 connection with a matrimonial action, alimony or child support payments. Revolving charge
13 account information shall only be set forth if the liability thereon is in excess of five thousand
14 dollars for a period of ninety consecutive days or more during the preceding calendar year, or if
15 the liability thereon is in excess of five thousand dollars as of the time of filing. Any loan issued
16 in the ordinary course of business by a financial institution to finance educational costs, the cost
17 of home purchase or improvements for a primary or secondary residence, or purchase of a
18 personally owned motor vehicle, household furniture or appliances shall be excluded.

19 (p) The name, title, and position of any relative of the person reporting who holds
20 a position, whether paid or unpaid, with the city; the city agency with which such position is
21 held; and the relationship between such relative and the person reporting.

22 [16.] (q) Whenever a “value” or “amount” is required to be reported pursuant to
23 this section, such value or amount shall be reported as being within one of the following

1 categories: (a) at least one thousand dollars but less than five thousand dollars; (b) at least five
2 thousand dollars but less than thirty-two thousand dollars, or such other amount as the conflicts
3 of interest board shall set pursuant to subdivision sixteen of section twenty-six hundred one and
4 subdivision a of section twenty-six hundred three of the charter; (c) at least thirty-two thousand
5 dollars, or such other amount as the conflicts of interest board shall set pursuant to subdivision
6 sixteen of section twenty-six hundred one and subdivision a of section twenty-six hundred three
7 of the charter, but less than sixty thousand dollars; (d) at least sixty thousand dollars but less than
8 one hundred thousand dollars; (e) at least one hundred thousand dollars but less than two
9 hundred fifty thousand dollars; (f) at least two hundred fifty thousand dollars but less than five
10 hundred thousand dollars; and (g) five hundred thousand dollars or more.

11 2. Uncompensated members of boards and commissions of the city. The report
12 required to be filed by a person who is a member of a city board or commission and is not
13 entitled to compensation for such service shall contain the information required by this paragraph
14 on such form as the board shall prescribe. For purposes of filing an annual disclosure report,
15 members of the New York city housing development corporation shall be deemed to be
16 compensated members of a city board or commission who are required to file an annual
17 disclosure report in accordance with paragraph one of subdivision d of this section.

18 (a) The name of the person reporting; each of his or her city board, commission or
19 agency titles and positions; his or her city employee identification number, if any; his or her
20 office address, email address, if any, and telephone number; his or her home address, personal
21 email address, if any, and home telephone number; whether he or she has a spouse or domestic
22 partner and, if so, the full name of such spouse or domestic partner; and the names of all
23 unemancipated children.

1 (b) The location, size, and general nature of any residential, commercial, retail or
2 industrial real property that is owned by, rented to or rented by the person reporting, or his or her
3 spouse or domestic partner or unemancipated child. Only real property that is within the city of
4 New York shall be reported. Residential property in which the person reporting or a relative
5 resides shall not be reported. For other residential property, only the borough, city (if outside
6 New York city), town, or village shall be reported.

7 (c) The name of each employer or business, other than the city of New York,
8 from which the person reporting or his or her spouse or domestic partner or unemancipated child
9 received, during the reporting period, compensation for services performed or for goods sold or
10 produced or as a member, officer, director, or employee. The name of individual clients,
11 customers or patients shall not be reported, nor shall any business in which the reporting person
12 or his or her spouse or domestic partner or unemancipated child was an investor only. The
13 nature of the business shall also be identified, as well as the relationship between the reporting
14 person or his or her spouse, domestic partner, or unemancipated child and the employer or
15 business (owner, partner, officer, director, member, employee, and/or shareholder). An
16 employer or business shall not be reported where, from the beginning of the reporting period
17 until the date the report is filed, the employer or business engaged in no business dealings with
18 the agency of which the person reporting is a board or commission member.

19 (d) The name of any entity in which the person reporting or his or her spouse or
20 domestic partner or unemancipated child has an interest that exceeds five percent of the firm or
21 an investment of ten thousand dollars, whichever is less. The nature of the business and the type
22 of business shall also be identified. An entity shall not be reported where, from the beginning of

1 the reporting period until the date the report is filed, the entity engaged in no business dealings
2 with the agency of which the person reporting is a board or commission member.

3 (e) Gifts having a value of fifty dollars or more received by the person reporting
4 or his or her spouse or domestic partner or unemancipated child during the reporting period,
5 including the recipient of the gift, the donor of the gift, the relationship between the recipient and
6 the donor, and the nature of the gift. The value of separate gifts from the same or affiliated
7 donors during the reporting period shall be aggregated.

8 A gift shall not be reported where (i) the gift is from a relative; or (ii) from the
9 beginning of the reporting period until the date the report is filed, the donor engaged in no
10 business dealings with the agency of which the person reporting is a board or commission
11 member; or (iii) the gift consists of attendance, including meals and refreshments, at a meeting,
12 public affair, function, or occasion and complies with the rules of the board governing the
13 acceptance of such attendance, meals, or refreshments.

14 3. Members, officers and employees of city public authorities. The report
15 required to be filed by a person pursuant to subdivision three of section twenty-eight hundred
16 twenty-five of the public authorities law shall contain the following information:

17 (a) The name of the person reporting; the name of the city public authority
18 of which the person reporting is a board member, officer or employee; his or her title and
19 position with such entity; any city title and position that he or she holds; any city agency of
20 which the person reporting is a member, officer or employee; his or her city employee
21 identification number, if any; his or her office address, email address, if any, and telephone
22 number; his or her home address, personal email address, if any, and home telephone number;

1 whether he or she has a spouse or domestic partner and, if so, the full name of such spouse or
2 domestic partner; and the names of all unemancipated children.

3 (b) The location, size, and general nature of any residential, commercial, retail or
4 industrial real property that is owned by, rented to or rented by the person reporting, or his or her
5 spouse or domestic partner or unemancipated child. Only real property that is within the city of
6 New York shall be reported. Residential property in which the person reporting or a relative
7 resides shall not be reported. For other residential property, only the borough, city (if outside
8 New York city), town, or village shall be reported.

9 (c) The name of each employer or business, other than the city of New York,
10 from which the person reporting or his or her spouse or domestic partner or unemancipated child
11 received, during the reporting period, compensation for services performed or for goods sold or
12 produced or as a member, officer, director, or employee. The name of individual clients,
13 customers or patients shall not be reported, nor shall any business in which the reporting person
14 or his or her spouse or domestic partner or unemancipated child was an investor only. The
15 nature of the business shall also be identified, as well as the relationship between the reporting
16 person or his or her spouse, domestic partner, or unemancipated child and the employer or
17 business (owner, partner, officer, director, member, employee, and/or shareholder). An
18 employer or business shall not be reported where, from the beginning of the reporting period
19 until the date the report is filed, the employer or business engaged in no business dealings with
20 the local public authority of which the person reporting is a board member, officer or employee.

21 (d) The name of any entity in which the person reporting or his or her spouse or
22 domestic partner or unemancipated child has an interest that exceeds five percent of the firm or
23 an investment of ten thousand dollars, whichever is less. The nature of the business and the type

1 of business shall also be identified. An entity shall not be reported where, from the beginning of
2 the reporting period until the date the report is filed, the entity engaged in no business dealings
3 with the local public authority of which the person reporting is a board member, officer or
4 employee.

5 (e) Gifts having a value of fifty dollars or more received by the person reporting
6 or his or her spouse or domestic partner or unemancipated child during the reporting period,
7 including the recipient of the gift, the donor of the gift, the relationship between the recipient and
8 the donor, and the nature of the gift. The value of separate gifts from the same or affiliated
9 donors during the reporting period shall be aggregated.

10 A gift shall not be reported where (i) the gift is from a relative; or (ii) from the
11 beginning of the reporting period until the date the report is filed, the donor engaged in no
12 business dealings with the local public authority of which the person reporting is a board
13 member, officer or employee; or (iii) the gift consists of attendance, including meals and
14 refreshments, at a meeting, public affair, function, or occasion and complies with the rules of the
15 board governing the acceptance of such attendance, meals, or refreshments.

16 4. Tax assessors. The report required to be filed by a person pursuant to section
17 three hundred thirty-six of the real property tax law shall be on the form prescribed by such law.

18 5. Filers in multiple filing categories. If a person is required to file an annual
19 disclosure report by more than one paragraph of subdivision b of this section, he or she shall file
20 the most comprehensive report of those required by paragraphs one through four of this
21 subdivision. The most comprehensive report shall be deemed to be the report required by
22 paragraph one of this subdivision; the second most comprehensive report shall be deemed to be

1 the report required by paragraph four of this subdivision; and the third most comprehensive
2 report shall be deemed to be the report required by paragraphs two and three of this subdivision.

3 § 5. Subparagraph (d) of paragraph 1 of subdivision e of section 12-110 of the
4 administrative code of the city of New York, as relettered by local law number 14 for the year
5 2006, is amended to read as follows:

6 (d) Any information regarding any financial interests of the spouse, domestic
7 partner or an unemancipated child of a person filing in which the person filing has no financial
8 interest shall be withheld from public inspection, except the information disclosed pursuant to
9 subparagraph (p) of paragraph one of subdivision d of this section, as an unwarranted invasion of
10 privacy unless the conflicts of interest board determines that such information involves an actual
11 or potential conflict of interest on the part of the person filing, subject to the factors set forth in
12 subparagraph (b) of paragraph one of this subdivision.

13 § 6. Paragraph 2 of subdivision e of section 12-110 of the administrative code of
14 the city of New York, as amended by local law number 14 for the year 2006, is amended to read
15 as follows:

16 2. Requests to examine reports.

17 Whenever pursuant to this section the conflicts of interest board produces a report
18 for public inspection, the board shall notify the person who filed the report of the production and
19 of the identity of the person to whom such report was produced, except that no such notification
20 shall be required if the request to examine the report is made by the department of investigation
21 or any governmental unit, or component thereof, which performs as one of its principal functions
22 any activity pertaining to the enforcement of criminal laws, provided that such report is
23 requested solely for a law enforcement function. Nothing in this section shall preclude the

1 conflicts of interest board from disclosing any and all information in [a financial] an annual
2 disclosure report to the department of investigation or any other governmental unit, or
3 component thereof, which performs as one of its principal functions any activity pertaining to the
4 enforcement of criminal laws, provided that such report is requested solely for a law enforcement
5 function.

6 § 7. Subdivision f of section 12-110 of the administrative code of the city of New
7 York, as added by local law number 43 for the year 2003, is amended to read as follows:

8 f. Retention of reports. Reports filed pursuant to this section shall be retained by
9 the conflicts of interest board for a period of two years following the termination of the public
10 employment or service of the person who filed the report. In the case of candidates for office
11 who have filed reports pursuant to this section and who were not elected, the reports shall be
12 retained by the board for a period of two years following the day of an election on which the
13 candidates were defeated. Notwithstanding the foregoing, the board, in consultation with the
14 department of records and information services and the department of investigation, may
15 establish by rule a different period or periods of retention of [financial] annual disclosure reports
16 which takes into account the need for efficient records management and the need to retain such
17 reports for a reasonable period for investigatory and other purposes. Such reports shall thereafter
18 be destroyed by the board unless a request for public disclosure of an item contained in such
19 report is pending. In lieu of the destruction of such reports, the board, in its discretion, may
20 establish procedures providing for their return to the persons who filed them.

21 § 8. Paragraphs 1 and 3 of subdivision g of section 12-110 of the administrative
22 code of the city of New York, as added by local law number 43 for the year 2003, are amended
23 to read as follows:

1 1. Any person required to file a report pursuant to this section who has not so filed
2 at the end of one week after the date required for filing shall be subject to a fine of not less than
3 two hundred fifty dollars or more than ten thousand dollars. Factors to be considered by the
4 conflicts of interest board in determining the amount of the fine shall include but not be limited
5 to the person's failure in prior years to file a report in a timely manner, and the length of the
6 delay in filing. In addition, within two [weeks] months after the date required for filing, the
7 conflicts of interest board shall inform the appropriate agency and the commissioner of
8 investigation of the failure to file of any such person.

9 3. Any intentional and willful unlawful disclosure of confidential information that
10 is contained in a report filed in accordance with this section, by a city officer or employee or by
11 any other person who has obtained access to such a report or confidential information contained
12 therein, shall constitute a misdemeanor punishable by imprisonment for not more than one year
13 or a fine not to exceed one thousand dollars, or by both, and shall constitute grounds for
14 imposition of disciplinary penalties, including removal from office or position in the manner
15 provided by law.

16 § 9. This local law shall take effect immediately; provided, however, that the
17 amendments set forth in paragraph 1 and 2 of subdivision d of section 12-110 of the
18 administrative code of the city of New York, as added by section 4 of this local law, shall apply
19 to reports filed in 2014 for calendar year 2013 and reports filed pursuant to paragraph 3 of
20 subdivision d of section 12-110 of the administrative code of the city of New York, as added by
21 section 4 of this local law, shall be filed in 2012 for calendar year 2011.