

Conflicts of Interest Board
 Legislative History of the Rules of the Board
 Title 53 of the Rules for the City of New York

Listed below are links to the Notice of Adoption for each Board Rule, including amendments thereto.

Chapter 1: Conflicts of Interest

| Rule 53 RCN | Title | Action | Publication Date | Effective Date |
|------------------------|--|--|-------------------------|-----------------------|
| § 1-01 | Valuable Gifts | Adopted | July 13, 1990 | Aug. 12, 1990 |
| | | Amended (a); added (b); relettered (b)-(j) as (c)-(j) | Oct. 8, 1997 | Nov. 7, 1997 |
| | | Amended (a), (b) | Dec. 30, 1998 | Jan. 29, 1999 |
| | | Amended (i); added (k) | June 9, 2000 | July 9, 2000 |
| | | Amended (f)(4), (g) | Dec. 15, 2000 | Jan. 14, 2001 |
| | | Amended (d), (f)(4); deleted (e)(5); relettered (e)(6) as (e)(5) | Dec. 27, 2006 | Jan. 26, 2007 |
| | | Repealed and replaced (h) | April 3, 2020 | May 3, 2020 |
| | | Repealed and replaced (e) | March 1, 2021 | March 31, 2021 |
| | | Repealed and replaced (i)-(k); added (l)-(m) | May 27, 2021 | June 26, 2021 |
| | | Repealed and replaced (a)-(c) | April 26, 2022 | May 26, 2022 |
| § 1-02 | Public Servants Charged with Substantial Policy Discretion | Adopted | July 13, 1990 | Aug. 12, 1990 |
| | | Amended | Sept. 23, 1997 | Oct. 23, 1997 |
| | | Rellettered; added (b) | May 30, 2001 | June 29, 2001 |
| | | Amended (a) | Jan. 30, 2004 | Feb. 29, 2004 |
| | | Amended (a) | Oct. 24, 2019 | Nov. 23, 2019 |

| Rule 53 RCN | Title | Action | Publication Date | Effective Date |
|----------------------------|---|---|-----------------------------|-----------------------|
| § 1-03 | Definition of Lesser Political Office than that of Assembly Leader Which May be Held by Members of the City Council | Adopted | April 27, 1990 | May 27, 1990 |
| | | Added (d) | July 16, 1999 | Aug. 15, 1999 |
| § 1-04 | Investments in Publicly Traded Securities | Adopted | Sept. 21, 1990 | Oct. 21, 1990 |
| | | Relettered; amended title and (a); added (b) and (c) | Feb. 22, 2021 | March 24, 2021 |
| § 1-05 | Definition of Blind Trust | Adopted | Sept. 21, 1990 | Oct. 21, 1990 |
| | | Amended (a), (a)(3) | Dec. 30, 1998 | Jan. 29, 1999 |
| § 1-06 | Definition of Primary Employment with the City | Adopted | Dec. 9, 1991 | Jan. 8, 1992 |
| § 1-07 | Post-Employment | Adopted | Nov. 6, 1991 | Dec. 6, 1991 |
| | | Repealed and Replaced | Oct. 27, 2020 | Nov. 26, 2020 |
| § 1-08 | Definition of "Other Similar Entity" within the Definition of "Firm" | Adopted; renumbered former § 1-08 as § 4-01 | Dec. 21, 2018 | Jan. 20, 2019 |
| | | Consolidated and amended (a)(6); renumbered (a)(7) through (a)(9) | March 1, 2021 | March 31, 2021 |
| § 1-09 | Prohibited Appearances Before City Agencies by City Planning Commissioners | Adopted | June 18, 1992 | July 18, 1992 |
| | | Amended | Aug. 25, 2020 | Sept. 24, 2020 |

| Rule 53 RCN | Title | Action | Publication Date | Effective Date |
|----------------------------|---|---|-----------------------------|-----------------------|
| § 1-10 | Prohibited Business or Financial Relationships Between a Superior and a Subordinate | Adopted; renumbered former § 1-10 as § 4-02 | Dec. 21, 2018 | Jan. 20, 2019 |
| § 1-11 | Adjustment of Dollar Amount in Definition of "Ownership Interest" | Adopted | Oct. 28, 1994 | Nov. 27, 1994 |
| | | Amended | June 11, 1998 | July 11, 1998 |
| | | Amended | Jan. 28, 2003 | Feb. 27, 2003 |
| | | Amended | March 14, 2006 | April 13, 2006 |
| | | Amended | April 8, 2010 | May 8, 2010 |
| | | Amended | Dec. 16, 2013 | Jan. 15, 2014 |
| | | Amended | Feb. 9, 2018 | March 11, 2018 |
| | | Amended | Jan. 26, 2022 | Feb. 25, 2022 |
| § 1-12 | Definition of "Particular Matter" for Tax Commissioners and Certain Other Public Servants in the Tax Commission, Department of Finance, Comptroller's Office, and Law Department in Relation to Real Estate Tax Assessments | Adopted | June 4, 1997 | July 4, 1997 |
| § 1-13 | Use of City Time and City Resources | Adopted | July 9, 1998 | Aug. 8, 1998 |
| | | Amended (d) | Jan. 9, 2007 | Feb. 8, 2007 |
| | | Relettered (e) as (f); added (e) | Feb. 8, 2019 | March 10, 2019 |
| | | Amended (e) | Dec. 16, 2019 | Jan. 15, 2020 |
| | | Amended title and (b)-(f) | June 22, 2020 | July 22, 2020 |
| § 1-14 | Official Fundraising | Adopted | May 17, 2019 | June 16, 2019 |
| § 1-15 | Community Board Service | Adopted | Oct. 24, 2019 | Nov. 23, 2019 |
| § 1-16 | Prohibited Gifts from Lobbyists and Exceptions Thereto | Adopted | Dec. 27, 2006 | Jan. 26, 2007 |

| Rule 53 RCN | Title | Action | Publication Date | Effective Date |
|------------------------|--|---|-------------------------|-----------------------|
| § 1-17 | Accomplice Liability | Adopted; renumbered former § 1-17 as § 4-06 | June 22, 2020 | July 22, 2020 |
| § 1-18 | Use of City Title in Promotional Materials | Adopted | Aug. 25, 2020 | Sept. 24, 2020 |

Chapter 2: Procedural Rules for Hearings

| Rule 53 RCN | Title | Action | Publication Date | Effective Date |
|------------------------|--|-----------------------|-------------------------|-----------------------|
| § 2-01 | Applicability and Definitions | Adopted | Aug. 5, 1991 | Sept. 4, 1991 |
| | | Amended | Feb. 6, 1996 | March 7, 1996 |
| | | Repealed and Replaced | Aug. 30, 2019 | Sept. 29, 2019 |
| | | Amended | Feb. 2, 2024 | March 3, 2024 |
| § 2-02 | Notices of Probable Cause and Pre-Hearing Procedures | Adopted | Aug. 5, 1991 | Sept. 4, 1991 |
| | | Amended | Feb. 6, 1996 | March 7, 1996 |
| | | Repealed and Replaced | Aug. 30, 2019 | Sept. 29, 2019 |
| | | Amended | Feb. 2, 2024 | March 3, 2024 |
| § 2-03 | Enforcement Hearings and Post-Hearing Procedures | Adopted | Aug. 5, 1991 | Sept. 4, 1991 |
| | | Amended | Feb. 6, 1996 | March 7, 1996 |
| | | Repealed and Replaced | Aug. 30, 2019 | Sept. 29, 2019 |
| | | Amended | Feb. 2, 2024 | March 3, 2024 |
| § 2-04 | Decisions and Orders | Adopted | Aug. 5, 1991 | Sept. 4, 1991 |
| | | Amended | Feb. 6, 1996 | March 7, 1996 |
| | | Repealed | Aug. 30, 2019 | Sept. 29, 2019 |
| § 2-05 | General Matters | Adopted | Aug. 5, 1991 | Sept. 4, 1991 |
| | | Amended | Feb. 6, 1996 | March 7, 1996 |
| | | Repealed | Aug. 30, 2019 | Sept. 29, 2019 |

Chapter 3: Organizations Affiliated with Elected Officials

| Rule 53 RCN | Title | Action | Publication Date | Effective Date |
|----------------------------|--|---------------|-----------------------------|-----------------------|
| § 3-01 | Definitions | Adopted | Feb. 14, 2018 | March 16, 2018 |
| § 3-02 | Procedures for Obtaining a Determination by the Board that an Elected Official or an Agent of an Elected Official Does Not Exercise Control over an Entity | Adopted | Feb. 14, 2018 | March 16, 2018 |
| § 3-03 | Factors by which the Board Will Determine Whether an Entity is Affiliated with an Elected Official | Adopted | Feb. 14, 2018 | March 16, 2018 |
| | | Amended | May 17, 2019 | June 16, 2019 |
| § 3-04 | Annual Reporting by Organizations Affiliated with an Elected Official | Adopted | Feb. 14, 2018 | March 16, 2018 |
| | | Amended | May 17, 2019 | June 16, 2019 |
| § 3-05 | Record Retention | Adopted | Feb. 14, 2018 | March 16, 2018 |

Chapter 4: Annual Disclosure

| Rule 53 RCN | Title | Action | Publication Date | Effective Date |
|----------------------------|---|-----------------------|-----------------------------|-----------------------|
| § 4-01 | Procedures for Obtaining an Extension of Time to File an Annual Disclosure Report | Adopted as § 1-08 | Feb. 26, 1992 | March 27, 1992 |
| | | Renumbered as § 4-01 | Dec. 21, 2018 | Jan. 20, 2019 |
| | | Repealed and Replaced | Oct. 7, 2020 | Nov. 6, 2020 |

| Rule 53 RCN | Title | Action | Publication Date | Effective Date |
|----------------------------|---|-----------------------|-----------------------------|-----------------------|
| § 4-02 | Retention of Annual Disclosure Reports | Adopted as § 1-10 | July 14, 1994 | Aug. 13, 1994 |
| | | Amended (b)(2) | March 28, 2001 | April 27, 2001 |
| | | Renumbered as § 4-02 | Dec. 21, 2018 | Jan. 20, 2019 |
| | | Repealed and Replaced | Oct. 7, 2020 | Nov. 6, 2020 |
| § 4-03 | City Employees Holding Policymaking Positions for Purposes of the Financial Disclosure Law | Adopted as § 1-14 | Dec. 23, 2003 | Jan. 22, 2004 |
| | | Renumbered as § 4-03 | Dec. 21, 2018 | Jan. 20, 2019 |
| | | Repealed and Replaced | Oct. 7, 2020 | Nov. 6, 2020 |
| § 4-04 | City Employees Whose Duties Involve the Negotiation, Authorization, or Approval of Contracts and of Certain Other Matters | Adopted as § 1-15 | Jan. 30, 2004 | Feb. 29, 2004 |
| | | Renumbered as § 4-04 | Dec. 21, 2018 | Jan. 20, 2019 |
| § 4-05 | Deadlines for the Submission of Annual Disclosure Reports for Candidates Seeking Matching Funds | Adopted | June 1, 2020 | July 1, 2020 |
| § 4-06 | Financial Disclosure Appeals Rule | Adopted as § 1-17 | Feb. 4, 2011 | March 6, 2011 |
| | | Renumbered as § 4-06 | June 22, 2020 | July 22, 2020 |

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|-------------------------------|---|---------------|-----------------------------|-----------------------|
| <u>§ 4-07</u> | Procedures for the Enforcement of Penalties Against Late Filers | Adopted | July 6, 2023 | Aug. 5, 2023 |

Chapter 5: Legal Defense Trusts

| Rule 53 RCN | Title | Action | Publication Date | Effective Date |
|-------------------------------|---|---------------|-----------------------------|-----------------------|
| <u>§ 5-01</u> | Definitions | Adopted | Aug. 28, 2019 | Sept. 27, 2019 |
| <u>§ 5-02</u> | Donations | Adopted | Aug. 28, 2019 | Sept. 27, 2019 |
| <u>§ 5-03</u> | Reporting and Disclosure | Adopted | Aug. 28, 2019 | Sept. 27, 2019 |
| <u>§ 5-04</u> | Dissolution | Adopted | Aug. 28, 2019 | Sept. 27, 2019 |
| <u>§ 5-05</u> | Electronic Submission of Compliance Documents | Adopted | Aug. 28, 2019 | Sept. 27, 2019 |
| <u>§ 5-06</u> | Record Retention | Adopted | Aug. 28, 2019 | Sept. 27, 2019 |