

CECIL COUNTY ETHICS COMMISSION

<http://www.ccgov.org/government/boards-and-commissions/ethics-commission>

c/o Cecil County Department of Human Resources
200 Chesapeake Boulevard, Suite 2800, Elkton, Maryland 21921
(410) 996-5250 (ph.) 1-888-213-4483 (fax)

FINANCIAL DISCLOSURE STATEMENT, Form 1:

County Elected Officials, Candidates for County Office and County Department Heads

(revised Ord 2012.08)

Regular Reporting Period: January 1 through December 31, 2017

(or, if filing as a candidate in a year prior to the election year, the period ending as of signature date)

PART I. IDENTIFYING INFORMATION (Please Print Legibly)		
FIRST NAME	M.I. (if used)	LAST NAME
OFFICE (held or seeking)		
CONTACT INFO:		
Phone No.:	E-mail address:	

Privacy Notice

The Cecil County Public Ethics Law (Ch.39 of the Cecil County Code) requires the collection of this information, which will be used primarily for public disclosure and to determine compliance with the Cecil County Code. The information may be presented for review or for copying, at public expense, upon request to any person, including officials of State, local, or federal government, who, upon presenting proof of identification, registers their name and address, along with the name of the person whose statement is being reviewed. The subject has the right to review, correct, and amend the record, and the right to know who has reviewed their disclosure statement.

Standards of Conduct

The Cecil County Public Ethics Law (Ch.39 of the Cecil County Code) includes standards of conduct applicable to all financial disclosure filers including employees and elected and appointed officials. The standards address disqualification from participation, prohibited secondary employment, prohibited ownership interests, misuse of position, prohibited solicitation and acceptance of gifts, misuse of confidential information, post-employment limitations, prohibited dealings with the County, procurement specifications assistance restrictions, and other matters. The law provides for exceptions and exemptions under certain circumstances. If you have any questions about the application of the law, please contact the County Ethics Commission. Filers may access the law, forms, instructions and further information about these requirements, or contact the Cecil County Ethics Commission directly, at our web site at <http://www.ccgov.org/about-us/boards-and-commissions/cecil-county-ethics-commission>.

Enforcement Provisions

Failure to file or report information required by Ch. 39 § 6 of the Cecil County Code by due date could subject filer to administrative penalties of up to \$250 and other disciplinary action, including a civil fine of up to \$5,000 per day by the Circuit Court of Cecil County, or any other court having proper venue for the purpose of enforcing compliance. Willful and false filing is subject to penalty for perjury pursuant to Ch. 39.

PART II. SIGNATURE AND AFFIRMATION

This Financial Disclosure Statement describes all interests and related transactions and matters required to be disclosed by the Cecil County Public Ethics Law, with respect to the period indicated, and pertaining to the filer.

I have thoroughly reviewed Schedules A through K of this Financial Disclosure Statement and the instructions, and hereby certify under penalty of perjury that the contents of this Financial Disclosure Statement are true, complete, and correct to the best of my knowledge, information and belief.

TERMS OF SIGNATURE AND FILING

I, the individual submitting this Ethics Commission form, warrant the truthfulness of the information provided in this submittal.

I understand that checking this box constitutes a legal signature confirming that I acknowledge and agree to the above Terms of Signature and Filing.

Please type your First and Last Name (Electronic Signature)

Signature of Person Filing

Date

Check here if you wish to be notified if someone exercises the right to review your financial disclosure statement.

DEFINITIONS

“Attributable interest” means having direct or indirect control over a property or business interest held or owned by a family member or legal entity.

“Compensation” means any money or thing of value, regardless of form, received or to be received by any individual covered by this chapter from an employer or entity for service rendered.

“Conflict of interest” means an actual or potential financial benefit, as distinguished from the general interest of the county or public, related to or resulting from an official or employee’s public duties and his/her personal, family, employer, business, or investment interests, which s/he would reasonably be expected to know, or using one’s position for the private gain of one’s self or another.

“Doing business with” means:

1. Having or negotiating a contract that involves the commitment, either in a single or combination of transactions, of \$5,000 or more of county controlled funds; or
2. Being regulated by or otherwise subject to the authority of Cecil County; or
3. Being registered or required to register as a lobbyist under Chapter 39 of the Cecil County code.

“Gift” means the transfer of anything of economic value, regardless of form, without adequate and lawful consideration.

“Gift” does not include:

1. A political campaign contribution regulated under Elections Article, Annotated Code of Maryland, or
A political campaign contribution regulated under Elections Article, Annotated Code of Maryland, or
2. Meals and beverages consumed in the presence of the donor or sponsoring entity;
3. Ceremonial gifts or awards that have insignificant monetary value;
4. Unsolicited gifts of nominal value that do not exceed \$20 in cost, nor trivial items of informational value;
5. Reasonable expenses for food, travel, lodging, and scheduled entertainment at a meeting which is given in return for your participation in a panel or speaking engagement at the meeting;
6. Gifts of tickets or free admission extended to an elected official to attend a charitable, cultural, or political event, if the purpose of this gift or admission is a courtesy or ceremony extended to the elected official’s office;
7. A specific gift or class of gifts that the Commission exempts from the operation of this subsection upon a finding, in writing, that acceptance of the gift or class of gifts would not be detrimental to the impartial conduct of the business of the county and that the gift is purely personal and private in nature;
8. Gifts from a person related to you by blood or marriage, or any other individual who is a member of your household; or
9. Honoraria for speaking to or participating in a meeting, *provided that the offering of the honorarium is not related in any way to your official position.*

“Immediate family” means one’s spouse and dependent children.

“Interest” means a legal or equitable economic interest, whether or not subject to an encumbrance or a condition, that is owned or held, in whole or in part, jointly or severally, directly or indirectly.

DEFINITIONS (cont.)

The following are considered to be interests for purposes of filing the disclosure statement:

1. An interest held by a member of the individual's immediate family, if the interest was, at any time during the reporting period, directly or indirectly controlled by the individual.
2. An interest held by a business entity in which the individual held a 30% or greater interest at any time during the reporting period.
3. An interest held by a trust or an estate in which, at any time during the reporting period:
 - a) The individual held a reversionary interest or was a beneficiary, or
 - b) If a revocable trust, the individual was a settler.

"Interest" does not include:

1. An interest held in the capacity of a personal agent, custodian, fiduciary, personal representative, or trustee, unless the holder has an equitable interest in the subject matter;
2. An interest in a time or demand deposit in a financial institution;
3. An interest in an insurance policy, endowment policy or annuity contract under which an insurer promises to pay a fixed amount of money either in a lump sum or periodically for life or a specified period;
4. A common trust fund or a trust which forms part of a pension or profit sharing plan which has more than 25 participants and which has been determined by the Internal Revenue Service to be a qualified trust under the Internal Revenue Code; or
5. A college savings plan under the Internal Revenue Code.

An "Attributable" interest means having direct or indirect control over a property or business interest held or owned by a family member or legal entity.

"Joint Tenancy" (or "Joint Tenancy with Right of Survivorship") means an equal and undivided ownership interest in real property by two or more persons where each owner has right to sell or transfer her or his interest in the property, and interest passes wholly and equally to surviving owner(s).

"Lobbying" means:

1. Communicating in the presence of a county official or employee with the intent to influence any official action of that official or employee; or
2. Engaging in activities with the express purpose of soliciting others to communicate with a county official or employee with the intent to influence any official action of that official or employee.

"Lobbyist" means:

One who, in connection with the intent to influence a county official or employee in performance of their official duties, expends or reasonably expects to expend in a given calendar year in excess of \$100 on food, entertainment, or other gifts for such officials or employees.

"Qualified relative" means a spouse or a parent, child, sibling, in-law, dependent relative, or their spouse.

"Tenants by the Entirety" means an equal and undivided ownership interest in real property by a married couple where neither spouse can voluntarily dispose of her or his interest in the property, and interest passes to surviving spouse.

ALL FILERS MUST COMPLETE THIS PAGE.

Check “Yes” or “No” to Questions A through K. Do not leave any questions unanswered. If you are required to check “Yes” to any question you must complete the corresponding Schedule. See Definitions (pp.2&3), instructions, or corresponding Schedule for applicable meaning of terms.

Note: Some schedules may require knowledge regarding whether an entity does business with Cecil County. To verify, contact the Cecil County Purchasing Dept. at 410-996-5395, <http://www.ccgov.org/government/purchasing>.

DURING THE REPORTING PERIOD:

- A. I held or controlled, directly or indirectly, an interest in real property located in or outside Maryland, or held a 30% or greater interest in an entity that held real property. **If “Yes,” complete Schedule A (page 5).**
- B. I held or controlled, directly or indirectly, an interest in corporations, partnerships, LLCs, and similar entities (regardless of whether they did business with Cecil County), or had a 30% or greater interest in an entity that held a similar interest. **If “Yes,” complete Schedule B (page 6).**
- C. I held or controlled, directly or indirectly, an interest in a business entity that, to my knowledge, was regulated by, or doing business or negotiating a contract with, Cecil County, or I held a 30% or greater interest in a business entity that held a similar interest. **If “Yes,” complete Schedule C (page 7).**
- D. I received gifts from or on behalf of, directly or indirectly, a person or entity that, to my knowledge, was regulated by, or doing business or negotiating a contract with, Cecil County, or was registered or required to register as a lobbyist. **If “Yes,” complete Schedule D (page 8).**
- E. I or a member of my immediate family held an office or directorship in, or was a partner, trustee, or employee of, or was negotiating a contract or prospective employment with, a business entity that, to my knowledge, was regulated by, or doing business or negotiating a contract with, Cecil County. **If “Yes,” complete Schedule E (page 8).**
- F. A member of my immediate family was employed by Cecil County. **If “Yes,” complete Schedule F (page 9).**
- G. I or my spouse received earned income, either as an employee or sole or part owner of a business entity. **If “Yes,” complete Schedule G (page 9).**
- H. I or a member of my immediate family owed debts, including mortgages but excluding retail credit accounts, to a person or entity that, to my knowledge, was regulated by, or doing business or negotiating a contract with, Cecil County (including debts of entities reported on Schedules A, B, & C). **If “Yes,” complete Schedule H (page 10).**
- I. I represented a person for compensation before a county or local government agency other than in a judicial or quasi-judicial proceeding. **If “Yes,” complete Schedule I (page 10).**
- J. I represented a county or local government agency for compensation, or had a contractual relationship or conducted a transaction with the county or local government for monetary compensation. **If “Yes,” complete Schedule J (page 11).**
- K. I have included additional information not otherwise disclosed that may create a conflict of interest or the appearance thereof, as defined in Sections 2, 3, & 5 of the Cecil County Public Ethics Law. **If “Yes,” complete Schedule K (page 11).**

YES	NO

Schedule A – Real Property Interests (Owner or Tenant, including time shares, in U.S. and elsewhere).

Please report all interests in real property by answering each question below. Include property owned by a business entity in which you held a 30% or greater interest. A separate Schedule A will be required for each property you need to disclose, or you may attach a summary worksheet. ***Please note if the holder of your mortgage or other encumbrance is an entity that did business with the County, you must also complete Schedule H with regard to that indebtedness.***

(See **Definitions** for applicable meaning of terms.) Please print legibly.

1. Indicate nature of the property (residence [primary or secondary], residential rental, business rental, commercial, investment; land or building): _____

2. Address or legal description [lot and block] of the property: _____

3a. Is the interest held: _____ Directly by you: _____ Attributable to you (See **Definitions**); or held by an entity in which you own or control 30% or greater (Name entity): _____

3b. Do you hold the interest solely, or is it jointly held with spouse or other(s)?
_____ Solely _____ Jointly

If held jointly the name(s) of the other owner(s): _____

4. Are there any legal conditions or encumbrances on the property? ___ No ___ Yes
(Example: mortgages, liens, contracts, options, etc.) **If Yes:** What is/are the name(s) of the lender(s), creditor(s), lien holder(s), etc? _____

5. What date was the property acquired (Month/year)? _____

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

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

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

9. Have you transferred any interest in this property during the reporting period? ___ No ___ Yes **If Yes:**

9a. What percentage of interest did you transfer: _____ %

9b. What consideration did you receive for the interest: _____

9c. To whom did you transfer the interest: _____

Schedule B – Interests in Corporations, Partnerships, LLCs

Plases report all interests* in any corporations, partnerships, limited liability partnerships (LLP) or limited liability companies (LLC) during the reporting period, whether or not the entity did business with the County. (*including a 30% or greater interest in an entity that owned an interest). (See **Definitions** for applicable meaning of terms.)

Answer each question below. A separate Schedule B will be required for each property you need to disclose, or you may attach a summary worksheet. Please print legibly.

1. What is the complete name of the entity? (Do not identify by trading symbol): _____

2. If corporate stock, does the stock trade on a stock exchange? ___ Yes ___ No

If No: Provide the legal address of the entity’s principal office: _____

3. Is the interest held: _____ Directly by you; _____ Attributable to you (See Definitions); or held by an entity in which you own or control 30% or greater (Name entity): _____

4. Is the interest in your name alone, or is it held jointly?

_____ In your name alone; _____ Jointly: If jointly, the percentage of your interest: _____%

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

Type: _____ Value of Shares: _____ or Number of Shares: _____

Percentage of ownership (non-publicly traded): _____%

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (Example: mortgages, liens, contracts, options, etc.) ___ No ___ Yes

If Yes, name of entity holding the encumbrance: _____

7. Did you acquire an interest in the entity during the reporting period? ___ No ___ Yes **If Yes:**

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

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

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

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

8. Have you transferred any interest in this entity during the reporting period? ___ No ___ Yes **If Yes:**

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

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

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

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

Plases report all interests in any non-corporate businesses (e.g., sole proprietorship) regulated by, or doing business or negotiating a contract with, Cecil County. (See **Definitions** for applicable meaning of terms.)

Answer each question below. A separate Schedule C will be required for each business entity to be disclosed, or you may attach a summary worksheet. Please print legibly.

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

Name: _____

Address: _____

2. Is the interest held: _____ Directly by you; _____ Attributable to you (See Definitions)

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

Solely: _____ Jointly: _____ **If Jointly:**

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

4. Are there any legal conditions or encumbrances that apply to your interest in the entity? (Example: mortgages, liens, contracts, options, etc.) ___ No ___ Yes **If Yes:**

Name of creditor: _____ **(Also report on Schedule H.)**

5. Was any interest acquired during the reporting year? ___ No ___ Yes **If Yes:**

5a. What month was the interest acquired? _____

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

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

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

6. Did you transfer any of your interest during the reporting period? ___ No ___ Yes **If Yes:**

6a. What percentage of interest was transferred? _____%

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

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

Schedule D – Gifts: Answer each question below. A separate Schedule D will be required for each gift, or you may attach a summary worksheet. (See Definitions for applicable meaning of terms.)

To your knowledge, did you, or someone in your behalf, receive any gift(s), in excess of a value of \$20 or a series of gifts from the same donor with a cumulative value of \$100 or more, from or on behalf of, directly or indirectly, a person or entity who: 1) did business with the county; 2) engaged in an activity that was regulated or controlled by the county; or 3) is registered or required to register before the County under the lobbying section of the Cecil County Code?

___ No ___ Yes: **If Yes:** 1. Who gave you the gift?

2. What was the nature of the gift? (Example: restaurant meal, event tickets, membership or subscription, etc.)

3. What was the value of the gift? _____

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

Schedule E - Employment, Officers, Directorships, or Similar positions in Entities doing business with Cecil County: Answer each question below. A separate Schedule E will be required for each disclosure, or you may attach a summary worksheet. (See Definitions for applicable meaning of terms.)

Did you or any member of your immediate family (spouse or dependent child) have any salaried employment, or hold any office or directorship with, or was a partner or trustee in, or negotiate a contract or have prospective employment with, an entity that did business with Cecil County?

___ No ___ Yes **If Yes:** What is the name and address of the business entity?

Name: _____

Address: _____

2. Who was the individual who held the position or interest listed above?

Self: _____ Spouse: _____ Dependent child: _____

2a. Name of spouse or dependent child: _____

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

4. What year did the position begin? _____

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

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

Schedule F – Family Members Employed by Cecil County Govt.

Answer each question below. A separate Schedule F will be required for each member of the immediate family who is employed by the County. Please print legibly.

1. What is the relation and name of the immediate family member employed by Cecil County?

Relation: _____ Name: _____

2. What is the name of the agency that employed the member of your immediate family?

3. What was the title of your immediate family member's position in the county agency?

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

Schedule G – Earned Income from Employment and Business Ownership of Filer and Spouse

Answer each question below. A separate Schedule G will be required for each member of the immediate family* who was employed or owned a business entity, or you may attach a summary worksheet. **You must report all of your and your spouse's employers or businesses**, except for employers or businesses doing business with or subject to the county's oversight already reported on Schedule E, or with Cecil County Govt. reported on Schedule F. (*A dependent child's employer or business need not be reported unless they did business with or are regulated by Cecil County.) Please print legibly.

During the reporting period, did you or your spouse receive any earned income from any entity (other than entities reported on Schedule E or Cecil County govt. reported on Schedule F)?

No Yes **If Yes:**

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

Name: _____ Relationship: _____

Name of Employer: _____

Address: _____

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

Name: _____ Relationship: _____

Name of Business Entity: _____

Address: _____

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

Schedule H – Debts Owed to Entities doing business with the County (Answer each question below.

A separate Schedule H will be required for each debt to be disclosed, or you may attach a summary worksheet.)
Please print legibly.

During the reporting period, to your knowledge, did you or a member of your immediate family owe a debt (including mortgages but excluding retail credit accounts) to a financial entity that did business with the County? [Note: If on Schedule A, B or C you listed a financial entity that did business with the County as the holder of your mortgage or other encumbrance, you must complete Schedule H with regard to that indebtedness.]

___ No ___ Yes **If Yes:**

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

2. When was the debt incurred? _____

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

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

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

5. What was the amount of the debt as of the end of the reporting period? (If debt was paid in full, enter \$0.)
\$ _____

6. Was any security or collateral given for the debt? ___ No ___ Yes **If Yes:**

6a. Please state what type of asset or security was given (home, car, boat, etc): _____

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

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

Schedule I – Disclosure of Interest – Representation Before a County or Local Agency

Did you represent a person for compensation before or involving a county or local government agency other than in a judicial or quasi-judicial proceeding? ___ Yes ___ No

If Yes, Answer each question below. A separate Schedule I will be required for each interest to be disclosed, or you may attach a summary worksheet.

I am representing or represented for compensation:

Name: _____

As an: _____

Before: _____

Date: _____

For the following consideration: _____

Schedule J - Disclosure of Interest: Financial Relationship with the County or Local Government

Did you represent a county or local government agency for compensation, or have a contractual relationship with the county or local government, or conduct a transaction with the county or local government for monetary compensation?

___ Yes ___ No **If Yes: Answer each question below. A separate Schedule J will be required for each interest to be disclosed, or you may attach a summary worksheet.**

1. I have entered into a financial relationship with:

Name of Government Agency: _____
to _____
(Position of Employment, Services Performed, or Details of Transaction Entered Into)

for the following consideration: **\$ _____

**NOTE: An elected official is prohibited by law from being directly involved in negotiations, discussions, or other contacts with a government entity as to a procurement contract in which the official has a financial interest.

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

Schedule K – Additional information.

Please use this schedule to report any additional information, not otherwise disclosed, that may create a conflict of interest, or the appearance thereof, as defined in Sections 2, 3, & 5 of the Cecil County Public Ethics Law. Please print legibly, or use a separate sheet. Thank you for your cooperation.