

ANNUAL STATEMENT OF FINANCIAL DISCLOSURE

1. Name _____
2. (a) Title of Position _____
(b) Department, Agency or other Governmental Entity _____
(c) Address of Present Office _____
(d) Office Telephone Number _____
3. (a) Marital Status _____. If married, please give spouse's full name including maiden name _____.
(b) List the names of all Family members/members of household.

Answer each of the following questions completely, with respect to the immediately preceding calendar year, unless another period or date is otherwise specified. If additional space is needed, attach additional pages.

Whenever a "value" or "amount" is required to be reported herein, such value or amount shall be reported as being within one of the following Categories:

- Category A - under \$5,000
- Category B - \$5,000 to under \$20,000
- Category C - \$20,000 to under \$60,000
- Category D - \$60,000 to under \$100,000
- Category E - \$100,000 to under \$250,000
- Category F - \$250,000 or over.

A reporting individual shall indicate the Category by letter only. For the purposes of this statement, anywhere the term "local agency" shall appear such term shall mean a local agency, as defined in section eight hundred ten of the General Municipal Law, of the political subdivision for which this financial disclosure statement has been filed.

4. (a) List any office, trusteeship, directorship, partnership, if known, and excluding membership positions, whether compensated or not, held by the reporting individual with any firm, corporation, association, partnership, or other organization other than the County. If said entity was licensed by a local agency, was regulated by a local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, a local agency, list the name of any such agency.

Position	Organization	Local Agency

(b) List any office, trustee, directorship, partnership, if known, and excluding membership positions, whether compensated or not, held by the Family member/member of household, not including unemancipated children and persons claimed as dependents, of the reporting individual, with any firm, corporation, association, partnership, or other organization other than the County. If said entity was licensed by a local agency, was regulated by a local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, a local, agency, list the name of such agency.

Position	Organization	Local Agency

5. (a) List the name, address and description of any occupation, employment, trade, business or profession engaged in by the reporting individual. If such activity was licensed by a local agency, was regulated by a local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, a local agency, list the name of any such agency.

Position	Name & Address of Organization	Description	Local Agency

(b) List the name, address and description of any occupation, employment, trade, business or profession engaged in by the family member/member of household not including unemancipated children and persons claimed as dependents. If the family member/member of household of the reporting individual was engaged in any occupation, employment, trade, business or profession which activity was licensed by a local agency, was regulated by a local agency, or, as a regular and significant part of the business or

activity of said entity, did business with, or had matters other than ministerial matters before, a local agency, list the name, address, and description of such occupation, employment, trade, business or profession and the name of any such agency.

Position	Name & Address of Organization	Description	Local Agency

6. List any interest in excess of \$1,000, excluding bonds and notes, held by the reporting individual, such individual's family member/member of household, or partnership of which any such person is a member, or corporation, five per centum or more of the stock of which is owned or controlled by any such person, whether vested or contingent, in any contract made or executed by the County and include the name of the entity which holds such interest and the relationship of the reporting individual or such individual's family member/member of household to such entity and the interest in such contract. Do not list any interest in any such contract on which final payment has been made and all obligations under the contract except from guarantees and warranties have been performed, provided, however, that such an interest must be listed if there has been an ongoing dispute during the calendar year for which this statement is filed with respect to any such guarantees or warranties. Do not list any interest in a contract made or executed by the County after public notice and pursuant to a process for competitive bidding or a process for competitive requests for proposals.

Family Member/ Member of Household	Entity Which held Interest in Contract	Relationship to Entity and Interest in Contract	Contracting Local Agency	Category of Value of Contract

7. List any position the reporting individual held as an officer of any political party or political organization, as a member of any political party committee, or as a political party district leader. The term "party" shall have the same meaning as "party" in the election law. The term "political organization" means any party or independent body as defined in the election law or any organization that is affiliated with or a subsidiary of a party or independent body.

8. List the name, principal address and general description or the nature of the business activity of any entity in which the reporting individual or such individual's family member/member of household had an investment in excess of five per centum or more of said entity excluding investments in securities and interests in real property.

9. List each source of gift received from any person or entity engaged in business with the County, excluding campaign contributions, in excess of \$75, received during the reporting period for which this statement is filed by the reporting individual or such individual's family member/member of household from the same donor, excluding gifts from a relative or a family member/member of household. Include the name and address of the donor. The term "gifts" does not include reimbursements, which term is defined in item 10. Indicate the value and nature of each such gift.

Family Member/ Member of Household	Name of Donor	Address	Nature of Gift	Category of Value
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10. Identify and briefly describe the source of any reimbursements for expenditures, excluding campaign expenditures and expenditures in connection with official duties reimbursed by the political subdivision for which this statement has been filed, in excess of \$1,000 from each such source. For purposes of this item, the term "reimbursements" shall mean any travel-related expenses provided by nongovernmental sources and for activities related to the reporting individual's official duties such as, speaking engagements, conferences, or factfinding events. The term "reimbursements" does not include gifts reported under item 9.

Source	Description
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11. List the identity and value, if reasonably ascertainable, of each interest in a trust, estate or other beneficial interest, including retirement plans other than retirement plans of the state of New York or the city of New York, and deferred compensation plans established in accordance with the internal revenue code, in which the reporting individual held a beneficial interest in excess of \$1,000 at any time during the preceding year. Do not report interests in a trust, estate or other beneficial interest established by or for, or the estate of a relative or family member/member of household.

Identity

Category of Value*

*The value of such interest shall be reported only if reasonably ascertainable.

12. (a) Describe the terms of, and the parties to, any contract, promise, or other agreement between the reporting individual and any person, firm, or corporation with respect to the employment of such individual after leaving office or position (other than a leave of absence).

(b) Describe the parties to and the terms of any agreement providing for continuation of payments or benefits to the reporting individual in excess of \$1,000 from a prior employer other than the political subdivision for which this statement is filed. (This includes interests in or contributions to a pension fund, profit-sharing plan, or life or health insurance, buyout agreements, severance payments, etc.)

13. List below the nature and amount of any income in excess of \$1,000 from each source for the reporting individual and such individual's family member/member of household for the taxable year last occurring prior to the date of filing. Nature of income includes, but is not limited to salary for government employment, income from other compensated employment whether public or private, directorships and other fiduciary positions, contractual arrangements, teaching income, partnerships, honorariums, lecture fees, consultant fees, bank and bond interest, dividends, income derived from a trust, real estate rents, and recognized gains from the sale or exchange of real or other property. Income from a business or profession and real estate rents shall be reported with the source identified by the building address in the case of real estate rents and otherwise by the name of the entity and not by the name of the individual customers, clients or tenants, with the aggregate net income before taxes for each building address or entity. The receipt of maintenance in connection with a matrimonial action, alimony and child support payments shall

not be listed.

Family Member/ Member of Household	Source	Nature	Category of Amount

14. List the sources of any deferred income in excess of \$1,000 from each source to be paid to the reporting individual following the close of the calendar year for which this disclosure statement is filed, other than deferred compensation reported in item 11 hereinabove. Deferred income derived from the practice of a profession shall be listed in the aggregate and shall identify as the source, the name of the firm, corporation, partnership or association through which the income was derived, but shall not identify individual clients.

Source	Category of Amount

15. List each assignment of income in excess of \$1,000, and each transfer other than to a relative or family member/member of household during the reporting period for which this statement is filed for less than fair consideration of an interest in a trust, estate or other beneficial interest, securities or real property, by the reporting individual or family member/member of a household, in excess of \$1,000, which would otherwise be required to be reported herein and is not or has not been so reported.

Items Assigned or Transferred	Assigned or Transferred to	Category of Value

16. List below the type and market value of securities held by the reporting individual or such individual's family member/member of household not including unemancipated children and persons claimed as dependents from each issuing entity in excess of one per centum or more of said entity at the close of the taxable year last occurring prior to the date of filing, including the name of the issuing entity exclusive of securities held by the reporting individual issued by a professional corporation. Whenever an interest in securities exists through a beneficial interest in a trust, the securities held in such trust shall be listed only

if the reporting individual has knowledge thereof except where the reporting individual or the reporting individual's family member/member of household not including unemancipated children and persons claimed as dependents has transferred assets to such trust for his or her benefit in which event such securities shall be listed unless they are not ascertainable by the reporting individual because the trustee is under an obligation or has been instructed in writing not to disclose the contents of the trust to the reporting individual. Securities of which the reporting individual or the reporting individual's family member/member of household not including unemancipated children and persons claimed as dependents has no beneficial interest shall not be listed. Indicate percentage of ownership if the reporting person or the reporting person's family member/member of household not including unemancipated children and persons claimed as dependents holds more than five percent of the stock of a corporation in which the stock is publicly traded or more than ten percent of the stock of a corporation in which the stock is not publicly traded. Also list securities owned for investment purposes by a corporation more than fifty percent of the stock of which is owned or controlled by the reporting individual or such individual's family member/member of household not including unemancipated children and persons claimed as dependents. For the purpose of this item the term "securities" shall mean bonds, mortgages, notes, obligations, warrants and stocks of any class, investment interests in limited or general partnerships and certificates of deposits and such other evidences of indebtedness and certificates of interest as are usually referred to as securities. The market value for such securities shall be reported only if reasonably ascertainable and shall not be reported if the security is an interest in a general partnership that was listed in item 8(a) or if the security is a corporate stock, not publicly traded, in a trade or business of a reporting individual or a reporting individual's family member/member of household not including unemancipated children and persons claimed to be dependents.

Applicable Family Member/ Member Of Household*	Issuing Entity	Type of Security	Category of Market Value as of the close of the taxable year last occurring prior to the filing of this statement	Percentage of corporate stock owned or controlled
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* Applicable family member/member of households includes all parties as enumerated in the definition of family member/member of household except unemancipated children and persons claimed as dependents.

17. List below the location, size, general nature, acquisition date, market value and percentage of ownership of any real property in which any vested or contingent interest in excess of \$1,000 is held by the reporting individual or the reporting individual's family member/member of household not including unemancipated children and persons claimed as dependents. Also list real property owned for investment purposes by a corporation more than fifty percent of the stock of which is owned or controlled by the reporting individual or such individual's family member/member of household not including unemancipated children and persons claimed as dependents. Do not list any real property which is the

primary or secondary personal residence of the reporting individual or the reporting individual's family member/member of household not including unemancipated children and persons claimed as dependents, except where there is a co-owner who is other than a relative or family member/member of household.

Applicable Family member/ Member Of Household*	Location	Size	General Nature	Acquisition Date	Category of Assessed Value	Percentage of Ownership
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*Applicable family member/member of households includes all parties as enumerated in the definition of family member/member of household except unemancipated children and persons claimed as dependents.

18. List below all notes and accounts receivable, other than from goods or services sold, held by the reporting individual at the close of the taxable year last occurring prior to the date of filing and other debts owed to such individual at the close of the taxable year last occurring prior to the date of filing, in excess of \$1,000, including the name of the debtor, type of obligation, date due and the nature of the collateral securing payment of each, if any, excluding securities reported in item 16 hereinabove. Debts, notes and accounts receivable owed to the individual by a relative or family member/member of household shall not be reported.

Name of Debtor	Type of Obligation, Date Due, and Nature of Collateral, if any	Category of Amount
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19. List below all liabilities of the reporting individual and such individual's family member/member of household not including unemancipated children and persons claimed as dependents, in excess of \$10,000 as of the date of filing of this statement, other than liabilities to a relative or family member/member of household. Do not list liabilities incurred by, or guarantees made by, the reporting individual or such individual's family member/member of household not including unemancipated children and persons claimed as dependents, or by any proprietorship, partnership or corporation in which the reporting individual or such individual's family member/member of household not including unemancipated children and persons claimed as dependents has an interest, when incurred or made in the ordinary course of the trade, business or professional practice of the reporting individual or such individual's family member/member of household not including unemancipated children and persons claimed as dependents. Include the name of the creditor and any collateral pledged by such individual to secure payment of any

such liability. A reporting individual shall not list any obligation to pay maintenance in connection with a matrimonial action, alimony or child support payment. Revolving charge account information shall only be set forth if liability thereon is in excess of \$10,000 at the time of filing. Any loan issued in the ordinary course of business by a financial institution to finance educational costs, the cost of home purchase or improvements for a primary or secondary residence, or purchase of a personally owned motor vehicle, household furniture or appliances shall be excluded. If any such reportable liability has been guaranteed by any third person, list the liability and name the guarantor.

Name of Creditor or Guarantor	Type of Liability and Collateral, if any	Category of Amount

20. To the best of your knowledge and belief, does a child or relative do business with the County, employed by an entity doing business with the County, receives any benefits, payments or gifts from Dutchess County or from any person, firm, company or organization (i) doing or seeking business with Dutchess County or (ii) engaging in activity licensed by a local agency, that was regulated by a local agency, or, as a regular and significant part of the business or activity of entity, did business with, or had matters other than ministerial matters before, a local agency, if applicable, list the licensing agencies, own five per centum or more stock in an entity doing business with the County, or is party to an agreement of future employment or payment from an entity doing business with the County.

Name of Person and Relation	Dates

Briefly describe the relationship and value of said relationship as best determined

The requirements of law relating to the reporting of financial interests are in the public interest and no adverse inference of unethical or illegal conduct or behavior will be drawn merely from compliance with these requirements. With respect to items reported concerning “relatives” and “family member/member of household” as defined, a demonstration of good faith efforts to the Board of Ethics shall be evidence of compliance.

_____ (Signature of reporting individual)	_____ Date (month/day/year)
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