

ETHICS FINANCIAL DISCLOSURE FORM REVIEW COMMITTEE

AGENDA

JULY 15, 2021

Committee Members: Supervisors Diamond, Bruno, Braymer, Leggett and Geraghty

- I. Committee meeting called to order by Chair.
- II. Approval of minutes of prior Committee meeting - *N/A, first meeting*
- III. Action Agenda/New Business Items:
None.
- IV. Discussion Items:
1) Draft Ethics Financial Disclosure Form
- V. Referrals/Pending Items: None.
- VI. Privilege of the Floor to discuss any additional items to come before the Committee
- VII. Motion to adjourn

Attachments:

- 1) Draft Ethics Financial Disclosure Form

APPENDIX "B"

ANNUAL STATEMENT OF FINANCIAL DISCLOSURE
COUNTY OF WARREN FORM F-100
FOR 20 _____

1. Name and Address

Last Name Middle Initial First Name

Title

Department or Agency

County Address

County Telephone

2. ~~Spouse and Children~~

~~Provide the name of your spouse (if married) and the names of any dependent children:~~

~~Spouse Child / Age~~

~~Child / Age Child / Age~~

2. Does any relative currently work for Warren County? If so, please provide the name(s) of the relative, the name of the County department, the relative's title and the date of hire.

3. Financial Interests.

~~"Reporting Category" for the purpose of completing the financial disclosure reports. Do not report exact dollar amounts in the completion of the statements of financial disclosure; instead, report categories of amounts, using the following categories:~~

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"A"	\$0 - \$5,000
"B"	\$5,001 - \$10,000
"C"	\$10,001 - \$25,000
"D"	\$25,001 - \$50,000
"E"	\$50,001 - \$100,000
"F"	Over \$100,001

- a. Business Positions. List any office, trusteeship, directorship, partnership, or other position in any business, association, proprietary, or not-for-profit organization held by you, ~~your spouse~~, and your ~~dependent children~~ relative, if any-, ~~Indicate whether these for~~ businesses that are involved with the County or any municipality within Warren County.

Family Member	Position	Organization	County Department or Agency and Nature of Involvement

- b. Outside Employment. Describe any outside occupation, employment, trade, business, or profession providing more than \$1,000 per year for you, your spouse, and your ~~relative~~ dependent children, if any, and ~~indicate whether such activities are regulated by any State or local agency~~. the outside employment is involved with the County or any municipality within Warren County.

Family Member	Position	Organization (Name / Address)	State or Local Agency & Nature of Involvement	Category of Amount

- c. Future Employment. Describe any contract, promise or other agreement between you and anyone else with respect to your employment after leaving your County office or position, ~~if such agreement is with a person or business involved with the County or any municipality within Warren County.~~

d. ~~Past Employment. Identify the source and nature of any income in excess of \$1,000 per year from any prior employer, including deferred income, contributions to pension or retirement fund, profit sharing plan, severance pay, or payments under buy-out agreement.~~

Name and Address of Income Source	Description of Income (i.e., pension, deferred, etc.)	Category of Amount

e.d. Investments. Itemize and describe all investments in excess of \$5,000 or five percent (5%) of the value in any business, corporation, partnership, or other assets, including stocks, bonds, loans, pledged collateral, and other investments, for you, or your ~~spouse relative, and dependent children,~~ if any. List the location of all real estate within the county, or within five (5) miles thereof, in which you, ~~your spouse,~~ or ~~your relative dependent children,~~ if any, have an interest, regardless of its value.

Family Member	Name / Address of Business or Real Estate	Category Description of Investment	of Amount

f. ~~Trusts. Identify each interest in a trust or estate or similar beneficial interest in any assets in excess of \$2,000, except for IRS eligible retirement plans or interests in an estate or trust of a relative, for you and your spouse and dependent children.~~

Name Family Member	Trust / Executor	Description of Trust / Estate Category	of Amount

note: Section f deleted as it is a duplication of section g

gf. Other Income. Identify the source and nature of any other income in excess of \$1,000/year from any source not described above, ~~including teaching income, lecture fees, consultant fees, contractual income, or other income of any nature,~~ for you and your ~~relativespouse and your dependent children,~~ if any, provided that such income is from a source that is involved with the County or any municipality within Warren County.

Family Member	Name / Address of Income Source	Nature of Income	Category of Amount

4. Interest in Contracts

Describe any interest of you; ~~or your relativespouse, or your dependent children,~~ in any contract involving the County or municipality within Warren County.

Family Member	Contract Description	Category of Amount

~~5. Political Parties.~~

~~List any position you held within the last five (5) years as an officer of any political party, political committee, or political organization. The term "political organization" includes any independent body or any organization that is affiliated with or a subsidiary of a political party.~~

note: Section 5 deleted as this is not required in Ethics Law

65. Debts.

~~Describe all debts you, or your relatives, spouse or dependent children owe to the County or any municipality within Warren County in excess of \$5,000 (eg. outstanding occupancy tax payments or tax liens) as of the date of filing of this statement, other than liabilities to a relative. Do not list liabilities incurred by or guarantees made by a reporting individual, or such individual's spouse, or by any reporting proprietorship, partnership, or corporation in which the reporting individual or such individual's spouse 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 spouse. Do not list any obligation to pay maintenance in connection with a matrimonial action, alimony or child support payments. Revolving charge account information shall only be set forth if such liability is in excess of \$5,000 at the time of filing. Do not list any loan by a financial institution to finance education 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.~~

Name of Debtor	Name of Creditor	Category of Amount
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>

76. Third-Party Reimbursements.

Identify and describe the source of any third-party reimbursement for travel-related expenditures in excess of \$250 of any matter that relates to your official duties. The term "reimbursement" includes any travel-related expenses provided by anyone other than the County for speaking engagements, conferences,

or fact-finding events that relate to your official duties.

Source	Description and Amount	Amount	Category
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

87. Gifts and Honorariums.

Has anyone attempted to influence you by giving you ~~List the source of all~~ gifts aggregating in excess of \$75250 received during the last year by you; or your ~~relative spouse or dependent child~~, excluding gifts from a relative?: The term “gifts” includes gifts of cash, property, personal items, payments to third parties on your behalf, forgiveness of debt, honorariums, and any other payments that are not reportable as income.

If yes, indicate:

Source	Description of Gift and Value of Gift (if known)	Amount	Category
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

The requirements of law relating to the reporting of financial interests are in the public interest and no adverse inference or unethical or illegal conduct or behavior will be drawn merely from compliance with these requirements.

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Signature of Reporting Individual

Date

The filer shall provide the Board of Ethics with additional information if requested to do so by the Board of Ethics.”

The reporting requirement of this statement is required by New York State Law and the law of Warren County. Improper use of any of the information contained in this statement by any third person or entity in violation of privacy or other rights, or to harass or annoy the filer of this statement is separately punishable under the law. A Freedom of Information Law (FOIL) request for information contained in this document will be denied if the information will be used to harass or annoy the filer.

This statement is subject to public disclosure under the New York State Freedom of Information Law, but any information in this statements that is deemed exempt from disclosure by New York State law or the laws of Warren County shall be redacted.

APPENDIX "C"

WARREN COUNTY

Outside Interest Form

This form is to be filled out if you or any relative is currently or plans to be in the future, an employee, board member, consultant, owner, contractor or even a passive investor of an entity that: (I) engages in any business or maintains any relationship with The County (The County); (ii) provides to, or receives from The County any client referrals, or (iii) competes with The County. The completed form must be submitted to the County Attorney.

Name: _____

Job Title: _____

If not an employee, describe the nature of your relationship with The County:

Describe the nature of your outside activities in any entity that engages in any business or maintains any relationship with The County.

Describe the nature of your outside activities in any entity that provides to, or receives from, The County any client referrals.

Describe the nature of your outside activities in any entity that competes with The County.

Date completed and signature

Signature Date

Date reviewed by Compliance Officer and signature

Signature Date
