

ETHICS

45 Attachment 1

Town of Yorktown

Annual Disclosure Statement  
For Calendar Year 2\_\_\_\_\_  
[Added 6-7-2011 by L.L. No. 5-2011]

\_\_\_\_\_  
Last Name First Name Initial

\_\_\_\_\_  
Title Department or Agency

\_\_\_\_\_  
Work Address Work Phone No.

If the answer to any of the following questions is "none," please so state. Attach additional pages if necessary.

**1. Outside Employers and Businesses.** List the name of every employer or business, other than the Town of Yorktown, from which you received more than \$5,000 for services performed or for goods sold or produced, or of which you were a paid member, officer, director, or employee during the year 2\_\_\_\_\_. Do not list individual customers or clients of the business. Do not list businesses in which you were an investor only (they are listed in Question 2 below). Identify the nature of the business and the type of business, such as a partnership, corporation, or sole proprietorship, and list your relationship(s) to the employer or business (i.e., owner, partner, officer, director, member, employee, and/or shareholder). Provide the same information for your spouse or domestic partner and for any children under the age of 18. Provide the same information for all of your family members to the best of your knowledge. For family members other than your spouse and children under the age of 18 you do not need to list outside employers or businesses if you know that the entity has had no business dealings in or with the Town of Yorktown during the previous 24 months and contemplates no business dealings in or with the Town of Yorktown during the next 24 months. "Family member" means your spouse, child, child's spouse, stepchild, parent, grandparent, sibling, sibling's spouse, and/or domestic partner defined as someone 18 years or older living with you in a financially interdependent and lifetime relationship.

| Name of Family Member | Relationship To You | Name of Employer or Business | Nature of Business | Type of Business | Relationship to Business |
|-----------------------|---------------------|------------------------------|--------------------|------------------|--------------------------|
| [e.g.: John Smith]    | Self                | Tech IM                      | Computers          | Corp.            | Pres./Shareholder]       |
| [e.g.: Rose Smith]    | Wife                | Monument Realty              | Real Estate        | Partnership      | Employee]                |

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 \_\_\_\_\_  
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**2. Investments.** List the name of any entity in which you have an investment of at least 5% of the stock or debt of the entity. Do not include ownership of stock or debt of any publicly traded entity, such as a mutual fund or a company listed on a national exchange. Do not list any entity listed in response to Question 1 above. Do not indicate the dollar value of your interest. Identify the nature of the business and the type of business (e.g., corporation). Provide the same information for your spouse or domestic partner and any of your children who are under age 18.

| <b>Name of Family Member</b><br>[e.g.: John Smith] | <b>Relationship To You</b><br>Self | <b>Name of Entity</b><br>Yorktown ABC Co. | <b>Nature of Business</b><br>Communications | <b>Type of Business</b><br>Corp.] |
|--|------------------------------------|---|---|-----------------------------------|
|  |                                    |   |   |                                   |
|  |                                    |   |   |                                   |
|  |                                    |   |   |                                   |
|  |                                    |   |   |                                   |

**3. Real Estate.** List the address of each piece of real estate that you or family members, as defined in Question 1, own or rent, in whole or in part, or otherwise have a financial interest in. List the type of interest List only real estate that is located in the Town of Yorktown or within one mile of its border. For residential property, list as the address only the municipality in which the property is located.

| <b>Name of Family Member</b><br>[e.g.: Robert Smith<br>[e.g.: David Smith] | <b>Relationship to You</b><br>Father<br>Brother | <b>Address of Real Estate</b><br>2 Main St., Yorktown<br>Yorktown Heights | <b>Type of Interest</b><br>Hold Mortgage]<br>Homeowner] |
|--|---|---|---|
|  |   |   |   |
|  |   |   |   |
|  |   |   |   |

**4. Gifts.** List each gift that you or your spouse or domestic partner received worth \$75 or more during the year 2\_\_\_\_, except gifts from relatives, as defined in Question 1. A "gift" means anything of value for which you or your spouse or domestic partner paid nothing or paid less than the fair market value and may be in the form of money, services, reduced interest on a loan, travel, travel reimbursements, tickets, entertainment, hospitality, or in any other form. Separate gifts from the same or affiliated donors during the year must be added together for purposes of the \$75 rule. You do not need to list a gift if you know that the donor has had no business dealings with the Town of Yorktown during the previous 24 months and contemplates no business dealings with the Town of Yorktown during the next 24 months. Identify relationship of the donor to the recipient of the gift, nature of the gift, and value of the gift.

| <b>Recipient of Gift</b><br>[e.g.: John Smith] | <b>Donor of Gift</b><br>Acme Corp | <b>Relationship to Donor</b><br>Former Employer | <b>Nature and Value of Gift</b><br>Free trip to Vegas/\$1,500] |
|--|-----------------------------------|---|--|
|  |                                   |   |  |
|  |                                   |   |  |

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**5. Relatives in the Town's Service.** List each family member, as defined in Question 1, who is an officer or employee of the Town of Yorktown, whether paid or unpaid, including the relative's name, relationship to you, title, and department. This requirement includes full-time, part-time and seasonal employees.

| Name of Family Member | Relationship to You | Title             | Department |
|-----------------------|---------------------|-------------------|------------|
| [e.g.: Alex Jones]    | Sister's Husband    | Code Enf. Officer | Buildings] |
|                       |                     |                   |            |
|                       |                     |                   |            |
|                       |                     |                   |            |
|                       |                     |                   |            |
|                       |                     |                   |            |

**6. Volunteer Positions.** List each volunteer office or position you hold with any not-for-profit organization. Identify the nature of the organization. Do not list entities of which you were a member only or for which you volunteered only in a nonpolicymaking, nonadministrative capacity, such as a Little League coach. Provide the same information for your spouse or domestic partner. You do not need to list an organization if you know that the organization has had no business dealings in or with the Town of Yorktown during the previous 24 months and contemplates no business dealings in or with the Town of Yorktown during the next 24 months.

| You or Spouse/DP | Name of Entity        | Position           | Nature of Organization |
|------------------|-----------------------|--------------------|------------------------|
| [e.g.: Spouse]   | Shepherds Food Pantry | Bd. of Dir. Member | Distributes free food] |
|                  |                       |                    |                        |
|                  |                       |                    |                        |
|                  |                       |                    |                        |
|                  |                       |                    |                        |
|                  |                       |                    |                        |

**7. Money You Owe.** List each person or firm to which you or your spouse or your domestic partner owes \$10,000 or more. Identify the type of obligation. Do not list money owed to family members, as defined in Question 1. Do not list debts owed to commercial banks, savings and loans and credit unions; including mortgages, credit cards and revolving lines of credit Do not list the amount owed.

| Debtor                           | Creditor                   | Type of Obligation |
|----------------------------------|----------------------------|--------------------|
| [e.g.: J & R Smith Printing Co.] | Acme Printing Supply, Inc. | Business Loan]     |
|                                  |                            |                    |
|                                  |                            |                    |
|                                  |                            |                    |
|                                  |                            |                    |
|                                  |                            |                    |

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**8. Money Owed to You.** List each person or firm which owes you or your spouse or your domestic partner \$10,000 or more. Identify the type of obligation. Do not list money owed by family members, as defined in Question 1. Do not list the amount owed.

| <b>Creditor</b><br>[e.g.: John Smith] | <b>Debtor</b><br>Alex Doe | <b>Type of Obligation</b><br>Personal Loan] |
|---------------------------------------|---------------------------|---|
| _____                                 | _____                     | _____                                       |
| _____                                 | _____                     | _____                                       |
| _____                                 | _____                     | _____                                       |
| _____                                 | _____                     | _____                                       |

**9. Transactional Disclosure** (By signing below you acknowledge your responsibility to provide the following required disclosure.)

Whenever a matter requiring the exercise of discretion comes before you, either individually or as a member of an approval board, and disposition of the matter could result in a direct or indirect financial or material benefit to you, a family member, or any private organization in which you are deemed to have an interest, you shall disclose in writing the nature of the interest.

You shall make the disclosure when the matter requiring disclosure first comes to you.

If you are an elected official you shall file the disclosure with the Town Board. In all other cases you shall file the disclosure with the Town Clerk. In addition, in the case of an approval board member, a copy of the disclosure shall be filed with the appropriate board and any disclosure made to the board shall be made publicly at a meeting of the board and shall be included in the minutes of the meeting.

I certify that all of the above information is true to the best of my knowledge and that, within the past two weeks, I have read Chapter 45, Ethics, of the Town Code provided to me by the Town.

Signed: \_\_\_\_\_

Date Signed: \_\_\_\_\_