

## QUEEN ANNE'S COUNTY ETHICS COMMISSION



*Queen  
Anne's  
County*

The Liberty Building  
107 North Liberty Street  
Centreville, Maryland 21617

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Tina Miles, Clerk  
Lynn Knight, Attorney

### **The Ethics Commission**

Dale Anderson, Chairman  
Merle D. Rockwell  
Stan Ruddle  
Kaarin Salisbury  
Valerie G. Smith Hirsch  
Jerry Jordan, Alternate member

### **YOUR IMMEDIATE ATTENTION TO THIS MATTER IS REQUIRED**

**Completion of the Financial Disclosure Statement is required and due no later than  
January 31, 2019**

Section 8-13 of the Queen Anne's County Ethics Ordinance (Chapter 8 of the county's general statutes) requires annual financial disclosure reports to be filed with the county Ethics Commission by candidates for most county public office, various county officials and employees, and members of various county boards and commissions. This ordinance is available for your reading on-line at the county's web site (if you do not have internet access to this site, you may telephone Tina Miles at the number indicated on this letterhead to request that a copy of the ordinance, as recently amended, be mailed to you). You have received this packet because our files reflect that you are required by this provision to file a Financial Disclosure Statement for the calendar year 2018.

Enclosed you will find a copy of the Financial Disclosure Form, a list of definitions of relevant terms contained in Section 8-6 of the Ethics Ordinance, Checklist, and Schedules A through F. While the packet looks complicated, it should only take a few minutes for you to complete it. **These forms have been updated and modified for 2018 so pay close attention.**

**Please remember that, by law, this report must be completed and returned to the Queen Anne's County Ethics Commission by January 31, 2019.** Thank you, in advance, for your cooperation and prompt attention.

# EMPLOYEES AND APPOINTED OFFICIALS FINANCIAL DISCLOSURE FORM

I Would Like To Be Notified If Someone Looks At My Form

A fundamental purpose of the Queen Anne's County Ethics Law is to assure citizens that the financial interests of holders of or candidates for public office, as well as certain County officials, certain employees, and members of Boards and Commissions, present no conflict to the public interest.

Financial disclosure statements are reviewed by the Ethics Commission and maintained as public records. Pursuant to Section 18-8 a person who knowingly and willfully violates any provision of Sections 8-11 through 8-14 of this chapter is guilty of a civil violation and, on conviction, is subject to a fine not exceeding \$1,000.

**REPORT PERIOD: CALENDAR YEAR 2018**

**PLEASE PRINT OR TYPE**

**NAME** \_\_\_\_\_  
(FIRST) (MIDDLE INITIAL) (LAST)

**AGENCY AFFILIATION** \_\_\_\_\_  
(INCLUDE DEPARTMENT, BOARD, OR COMMISSION, IF APPLICABLE)

**POSITION ON AGENCY, BOARD, COMMISSION OR DEPARTMENT:** \_\_\_\_\_

**MAILING ADDRESS** \_\_\_\_\_  
(WHERE YOU CAN BE SENT CORRESPONDENCE)

This financial disclosure statement describes all interests, related transactions and matters required to be disclosed by the Queen Anne's County Public Ethics Law, Chapter 8, with respect to the period indicated and pertaining to the person filing the statement. The statement consists of this cover sheet, the checklist, and Schedules A through F.

*I hereby declare and affirm under penalty of perjury, that the contents of this financial disclosure statement, including the Checklist and Schedules attached hereto, are complete, true and correct to the best of my knowledge, information and belief.*

Signature of Person Filing \_\_\_\_\_ Date \_\_\_\_\_

# DEFINITION SHEET for FINANCIAL DISCLOSURE

**Business entity:** Any corporation (including any parent, subsidiary, or affiliated corporation or business entity), general or limited partnership, sole proprietorship (including a private consultant operation), LLC, joint venture, unincorporated association or firm, institution, trust, foundation, or other organization, whether or not operated for profit.

**Doing business with:** Having or negotiating a contract that involves the commitment of funds controlled by Queen Anne's County in a calendar year.

**Family member:** The parents, children, stepchildren, siblings and the spouse of any official or employee.

**Gift:** The transfer of anything of economic value, regardless of form, without adequate and lawful consideration. "Gift" does not include the solicitation, acceptance, receipt, or regulation of political campaign contributions regulated under Chapter 13 of the Election Law Article ("Fair Election Practices") of the *Annotated Code of Maryland*, or under any other State or local law regulating the conduct of elections or the receipt of political campaign contributions.

**Interest:** Any economic interest, either legal or equitable, whether or not subject to an encumbrance or a condition, owned or held, in whole or in part, jointly or severally, directly or indirectly. "Interest" does not include:

- (1) An interest held in the capacity of a personal agent, representative, custodian, fiduciary or trustee, unless the holder has an equitable interest therein; or
- (2) An interest in a time or demand deposit in a financial institution, a money market fund, publicly traded mutual fund, or retirement fund, including any County or State retirement or pension fund; or
- (3) An interest in an insurance or endowment policy or annuity contract under which an insurance company promises to pay a fixed number of dollars, whether in a lump sum or periodically for life or some other specified period; or
- (4) A common trust fund or a trust fund which forms part of a pension or profit sharing plan which has been determined by the Internal Revenue Service to be a qualified trust under sections 401 and 501 of the Internal Revenue Code of 1953, as amended.

**Person:**

- (1) An individual; or
- (2) A business entity

# CHECKLIST

**Instructions.** This checklist is a required part of the Financial Disclosure Report. Check the proper answer to Questions A through F. Do not leave any question unanswered. If you check “Yes” to any question, be sure to complete the corresponding schedule. If you check “no” to a particular question, do not complete the schedule related to that question.

A. *I held, either directly or indirectly, during the reporting period, real estate or interests in real estate located in Queen Anne’s County, excluding my residence and one (1) acre surrounding it.*  
(If yes, complete Schedule A)

YES \_\_\_\_\_ NO \_\_\_\_\_

B. I held an interest, during the reporting period, in a business entity operating in Queen Anne’s County, excluding businesses publicly traded on a national stock exchange.  
(If yes, complete Schedule B)

YES \_\_\_\_\_ NO \_\_\_\_\_

C. I, or my spouse, held an office, directorship, partnership, or salaried employment in any business entity during the reporting period. (If yes, complete Schedule C)

YES \_\_\_\_\_ NO \_\_\_\_\_

D. **I owed a debt of more than \$1,000. (excluding retail credit card accounts and the mortgage on my primary residence)** during the reporting period to any person or business entity doing business with the County or subject to regulation by the County.  
(If yes, complete Schedule D)

YES \_\_\_\_\_ NO \_\_\_\_\_

E. I received, during the reporting period, a gift from any person or business entity doing business with the county or subject to the authority of the

**County; or from any lobbyist subject to registration**

under the Ethics Ordinance.

(If yes, complete Schedule E)

YES \_\_\_\_\_ NO \_\_\_\_\_

***F. I had employment or other interests that raise conflicts***  
of interest, or potential conflicts of interest, in connection with  
a specific proposed action.  
(If yes, complete Schedule F)

**YES** \_\_\_\_\_ **NO** \_\_\_\_\_

**SCHEDULE A. REAL ESTATE HOLDINGS OR INTERESTS.** Report all real estate holdings or interests in Queen Anne's County, held during the reporting period, and the identity of any other person with an interest in the property. Exclude your personal residence and up to one (1) acre surrounding that residence. The reportable real estate holdings or interests include those held individually, jointly, in partnership, or corporately, whether directly or indirectly.

Name \_\_\_\_\_

Date of Report – 2018

Calendar Year

Location (address) of property

Identity of any other person holding  
interests in the property

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**SCHEDULE B. INTERESTS IN BUSINESS ENTITIES.** Report the name and addresses of all business entities operating in Queen Anne's County, including parent, subsidiary, or associated entities, in which a financial interest was held during the reporting period, whether or not the business entity does business with the County or is subject to regulation by the County. Also, indicate the nature of the business. Do not include interests in businesses publicly traded on a national stock exchange.

Name \_\_\_\_\_

Date of Report – 2018 Calendar

Year

Name and principal address of business entity(ies)

Nature of the business

SCHEDULE C. OFFICES, DIRECTORSHIPS, PARTNERSHIPS AND SALARIED EMPLOYMENT. Report all offices, directorships, partnerships, or salaried employment in any business entity held by you or your spouse during the reporting period. Also, indicate the nature of the business conducted by the business entity.

Name \_\_\_\_\_  
Calendar Year \_\_\_\_\_

Date of Report – 2018

\_\_\_\_\_  
Name and address of principal office of business entity

\_\_\_\_\_  
Title and nature of office, directorship, partnership, or salaried employment held,  
Indicate whether held by self or by spouse.

Nature of the business conducted by the business entity.

-----SCHEDULE D. DEBTS.

Report the name and address of all persons or business entities doing business with or subject to regulation by the County to which you were indebted in an amount of \$1,000 or more during the reporting period. Indebtedness does not include retail credit accounts or mortgage indebtedness on a primary residence.

Name \_\_\_\_\_  
Date of Report – 2018 Calendar Year \_\_\_\_\_

\_\_\_\_\_  
Identity of person or business entity to whom debt is owed

**SCHEDULE E. GIFTS** Report each gift received during the reporting period from any person or business entity doing business with the County or subject to the authority of the County, and as to each such gift the nature and value thereof, the identity of the donor from whom or on behalf of whom, directly or indirectly, it was received, and if given to another person at your direction, the identity of the donor. (Exclude regulated campaign contributions)

Name \_\_\_\_\_  
Calendar Year \_\_\_\_\_

Date of Report – 2018

Nature and value of gift (if cash, give amount, if other, state value)	Identity of person from whom gift was received	If given to another person at your direction, give name of that person
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**SCHEDULE F. CONFLICTS OF INTEREST** Report and describe any employment or other interest(s) that raises a conflict of

Interest, or potential conflict of interest, in connection with a specific proposed action by the employee or official sufficiently in

Advance of the action to provide adequate disclosure to the public.

NAME \_\_\_\_\_  
Date of Report – 2018 Calendar Year \_\_\_\_\_

Nature of employment Or interest(s)	Conflict or potential conflict	Proposed action
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## **STANDARDS OF CONDUCT**

The County Ethics Ordinance includes standards of conduct applicable to financial disclosure filers and other County employees. 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, and procurement specifications assistance restrictions. The Ordinance provides for exceptions and exemptions under certain circumstances.

## **PRIVACY NOTICE**

The County Ethics Ordinance requires the collection of this information, which will be used primarily for public disclosure and to determine compliance with the Ordinance. The information (except for home address) may be disclosed to any requesting person, including officials of State, local or federal government, who records their name and address, and this record will be provided to the filer upon request. The subject has the right to review, correct and amend the record as set forth in the County Ethics Ordinance.

### **Late or incomplete statements 8-13 L(1)(2)**

- (1) Failure to file an annual financial disclosure statement by January 31 or, in the case of individuals appointed to fill a vacancy, within 30 days of appointment shall be a violation of this chapter. Upon a showing of good cause for the lateness in filing, the Ethics Commission may grant one extension of a duration considered by them as appropriate under the circumstances. Failure to file the annual financial disclosure statement within the time allowed by any such extension shall be a violation of this chapter.
- (2) Any financial disclosure statement filed which the Ethics Commission determines to be incomplete or otherwise deficient shall be given a set period, not in excess of 30 days to correct the deficiency. Failure to correct such deficiency within the time given shall be a violation of this chapter.

### **Civil penalty 8-18**

A person who knowingly and willfully violates any provision of 8-11 through 8-14 of this chapter is guilty of a civil violation and, on conviction, is subject to a fine not exceeding \$1,000.