

**Instructions for Filing a
Financial Disclosure Statement
For Calendar Year 2011 For Unified Court System
Employees Filing Pursuant to 22 NYCRR Part 40**

**IF YOU FILE ELECTRONICALLY, YOU SHOULD ALSO
READ THE HELP GUIDE & INSTRUCTIONS IN THE
ELECTRONIC FILING SECTION OF OUR WEBSITE**

**State of New York
Ethics Commission
for the Unified Court System**

25 Beaver Street, Room 875
New York, NY 10004
(212) 428-2899

Intranet: UCS Home Page under "Topics A to Z"
Internet: www.nycourts.gov/ip/ethics
Email: EthicsComm@courts.state.ny.us

WHO MUST FILE PURSUANT TO 22NYCRR PART 40

You must file a financial disclosure statement for calendar year 2011 if you are employed by the Unified Court System in 2012, and:

- you are a state-paid judge or justice, regardless of your annual rate of compensation;
- Or
- you hold a position for which you receive an annual salary at a rate in excess of \$88,256.00, and you have not been otherwise exempted from filing;
- Or
- you hold a policymaking position for purposes of financial disclosure.

Your annual rate of compensation is determined:

a) as of January 1, 2012 if you were employed by the Unified Court System, and you received an annual salary at a rate in excess of \$88,256.00, on that date.

OR

b) as of the date you **commence employment*** if you were not employed by the Unified Court System on January 1, 2012, or if you were employed by the Unified Court System on January 1, 2012 but you did not receive an annual salary at a rate in excess of \$88,256.00 on that date.

* **"Commence employment"** includes a change to a new job title:

- a) with a rate of annual compensation in excess of \$88,256.00; or
- b) that is designated as a policymaking position for purposes of financial disclosure.

If the effective date of such new employment is in a year prior to the current filing year, for purposes of financial disclosure the effective date will be deemed to be the date the Ethics Commission became aware of the employee's new job title.

If you retire, resign, or are terminated prior to the date that you must file, and you are no longer employed by the Unified Court System on that date, you are not required to file. However, if at any time in 2012 you hold a position that requires you to file, changing that position will not affect that requirement.

If you are on a paid or unpaid leave of absence you remain an employee of the Unified Court System, and you are therefore required to file if you meet any of the above mentioned conditions.

If you are a nonjudicial employee working part-time as of January 1, 2012, or as of the date of the commencement of employment if employed after January 1, 2012, and you have not been designated as a policymaker for purposes of financial disclosure, you do not have to file if you will earn less than \$88,256.00 in 2011.

IF YOU ARE A JUDICIAL CANDIDATE, OTHER THAN A CANDIDATE FOR JUDICIAL OFFICE IN TOWN AND VILLAGE COURTS, AND YOU ARE NOT REQUIRED TO FILE AN ANNUAL STATEMENT OF FINANCIAL DISCLOSURE PURSUANT TO 22 NYCRR PART 40, YOU MUST FILE PURSUANT TO 22 NYCRR SECTION 100.5(A)(4)(g). YOU ARE REQUIRED TO SO FILE WITHIN 20 DAYS OF BECOMING A CANDIDATE.

FILING INSTRUCTIONS FOR JUDICIAL CANDIDATES FILING PURSUANT TO 22 NYCRR SECTION 100.5(A)(4)(g) ARE AVAILABLE FROM OUR OFFICE OR OUR WEBSITE.

IF YOU ARE REQUIRED TO FILE PURSUANT TO PART 40, YOU DO NOT HAVE TO FILE ANOTHER STATEMENT PURSUANT TO PART 100.

ELECTRONIC, ONLINE FILING

Most Unified Court System employees have the option to file financial disclosure statements online. If you are interested in this option, please go to our website, click on "Electronic Filing" in the left column, and read the "E-Filing Overview", "Help Guide with Instructions" and "FAQs about E-Filing".

WHERE TO FILE PAPER STATEMENTS

New York State Ethics Commission
for the Unified Court System
25 Beaver Street, Room 875
New York, NY 10004

WHEN TO FILE

If you are employed by the Unified Court System from January 1, 2012 through April 15, 2012 and are required to file, you must file your 2011 financial disclosure statement **on or before May 15, 2012**.

If you commence employment with the Unified Court System from April 16, 2012 through December 31, 2012 and are required to file, you must file your 2011 financial disclosure statement **within thirty days** of the date you commence employment.

Your paper statement is filed when it is received at the Commission offices at the address indicated above. Your e-statement is filed when the online system notifies you that it has been accepted.

GENERAL INFORMATION

•If you receive a financial disclosure statement with a pre-addressed label, and the information on the label is incorrect, please correct it. The address which appears on the label **WILL NOT BE AVAILABLE FOR PUBLIC INSPECTION**.

•You must respond to each and every part of every question. All responses should be typed or printed in blue or black ink. If the answer to any question is "NONE", check the appropriate box. "Not applicable" is not an acceptable response except in the case of single persons, without unemancipated children, answering questions 4b and 5b. Sign and date the statement where indicated on the last page.

•**DO NOT ATTACH TAX RETURNS; DO NOT ATTACH STATEMENTS REGARDING IRAs OR OTHER RETIREMENT ACCOUNTS; DO NOT ATTACH STATEMENTS REGARDING MONEY MARKET ACCOUNTS** to your financial disclosure statement. If you do attach such documents to your financial disclosure statement, they will be returned to you. You must report the requisite information regarding those accounts in the response area for the appropriate question in your financial disclosure statement. **DO NOT ATTACH UNIFORM GIFT TO MINORS ACCOUNT OR UNIFORM TRANSFERS TO MINORS ACCOUNT STATEMENTS**. These accounts do not have to be reported; if you attach such a document to your financial disclosure statement, it will be returned to you.

•**YOU MAY ATTACH BROKERAGE STATEMENTS REGARDING ACCOUNTS OTHER THAN RETIREMENT AND MONEY MARKET ACCOUNTS**. If you do so, all information in these statements becomes part of your financial disclosure statement and all information other than monetary values and amounts will be made available for public inspection. We recommend that you delete from brokerage statements all information that is not required to be reported, including but not limited to home addresses, social security numbers, birth dates, account numbers, and names of brokers.

•All information must be provided following the format of the statement. If you need additional space to respond to any question, complete your response on extra sheets of paper following the format of the disclosure statement and attach them to your statement. You must identify the number of the relevant question on such attachments. All extra sheets will be available for public inspection.

•Dollar values or amounts should be indicated by Category only. The categories of value or amount **WILL NOT BE AVAILABLE FOR PUBLIC INSPECTION**.

The Categories are:

Category A—under **\$5,000.00**

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** and over.

EXTENSIONS OF TIME TO FILE/EXEMPTIONS/DELETIONS

All deadlines are set forth in the following section of these instructions.

All forms are available on the Ethics Commission website. If you do not have access to a computer, you can obtain forms by contacting the Commission at the telephone number or address given at the top of the first page of these instructions.

Commission Procedures regarding extensions, exemptions and deletions, as well as all the other Commission Procedures, can be obtained from the Commission website.

● You may file a request for an **extension of time to file a statement**. The grounds for such a request are justifiable cause or undue hardship. Use the form, "Application To Request An Extension Of Time To File a Financial Disclosure Statement".

● **Internal Revenue Service automatic extension of time**. If you have an automatic extension of time to file your income tax return with the Internal Revenue Service, **you must file** a partial financial disclosure statement on or before the filing deadline, together with the form, "Notice of Automatic Extension of Time to File Tax Return".

The partial financial disclosure statement which you file must:

(1) contain all required information unaffected by the automatic Internal Revenue Service extension;

(2) indicate those items subject to the automatic extension of time, and

(3) include a copy of the Internal Revenue Service extension application. Make sure that the date your extension expires is clearly indicated in the application.

Your supplemental financial disclosure statement **must be filed** within seven days after your income tax extension expires. We will send you a supplemental form when we receive your partial financial disclosure statement with automatic extension form.

● You may file a request for an **exemption from filing a financial disclosure statement**. The grounds for such a request are that the public interest does not require disclosure, and that you do not perform certain duties set forth in the Rules of the Chief Judge. You can go to our website to obtain a copy of the Chief Judge's Rule, a list of policymaker titles, and a list of the job titles that have been exempted from filing. Use the form, "Application To Request An Exemption From Filing A Financial Disclosure Statement". **If you are a policymaker for the purposes of financial disclosure, the Commission can not exempt you from filing.**

● You may file a request for an **exemption from reporting certain information pertaining to your spouse or unemancipated child(ren)**. The grounds for such a request are that your spouse or child objects to the disclosure of the information, and the information will have no material bearing on the official discharge of your duties. You must provide all the information requested in the exemption application, including the information you are seeking to have exempted. If the grounds for your request are that spousal information is not available to you, you must file an affidavit stating that your spouse refuses to provide the information, that you have no other source regarding this information, and that you have made a bona fide attempt to obtain the information. Use the [form,] "Application To Request An Exemption From Reporting One Or More Items Of Information Which Pertain to Your Spouse Or Unemancipated Children". Please see the form for further affidavit requirements.

● You may file a request that **certain information reported on the financial disclosure statement be deleted from the public inspection** copy of your statement. The grounds for such a request are that the information will have no material bearing on the official discharge of your duties. Please note that the names of unemancipated minors, categories of value and amount and the home address on the label affixed to the first page of a paper statement are not made available to the public. A deletion request will not be considered unless it is filed with a complete financial disclosure statement including the information you seek to have deleted. Use the form, "Application to Request The Deletion Of One Or More Items Of Information From The Copy Of The Financial Disclosure Statement Made Available to The Public". Information deleted from the public inspection copy of your statement may be released in compliance with a subpoena.

Judiciary Law §211(4) and 22 NYCRR Part 40 establish a strong public policy favoring disclosure. Thus applicants otherwise required to file, who have requested exemptions or deletions, must demonstrate that an exception to this policy is warranted.

FILING DEADLINES

IF YOU ARE EMPLOYED BY THE UNIFIED COURT SYSTEM FROM JANUARY 1, 2012 THROUGH APRIL 15, 2012, THE FOLLOWING DEADLINES APPLY:

March 1, 2012

- Application for an Exemption from filing a financial disclosure statement.

April 1, 2012

- Application for an Exemption from reporting information pertaining to your spouse or unemancipated child.

May 15, 2012

- Financial Disclosure Statement.
- Application for Deletion of information from the copy of your financial disclosure statement made available to the public (**you must file** your financial disclosure statement with the application).
- Application for an Extension of Time to file your financial disclosure statement.
- Partial Disclosure Statement if you have an automatic extension of time to file your individual income tax return with the Internal Revenue Service.

IF YOU COMMENCE EMPLOYMENT WITH THE UNIFIED COURT SYSTEM FROM APRIL 16, 2012 THROUGH DECEMBER 31, 2012, THE FOLLOWING DEADLINES APPLY:

Fifteen Days From The Date You Commence Employment

- Application for an Exemption from filing your financial disclosure statement.
- Application for an Exemption from reporting information pertaining your spouse or unemancipated child.

Thirty Days From The Date You Commence Employment

- Financial Disclosure Statement.
- Application for Deletion of information from the copy of your financial disclosure statement made available to the public (**you must file** your financial disclosure statement with the application).
- Application for an Extension of Time to file your financial disclosure statement.
- Partial Disclosure Statement if you have an automatic extension of time to file your individual income tax return with the Internal Revenue Service.

All forms are available on the Ethics Commission Website; www.nycourts.gov/ip/ethics, under "View And Or Print All Forms", in the left hand navigation column.

Any deadline falling on a Saturday or Sunday is automatically extended to the following Monday.

PUBLIC INSPECTION

The information reported in a financial disclosure statement is available for public inspection, except all categories of value or amount, the names of unemancipated children, and any information deleted by the Commission pursuant to a filer's request. However, an unredacted copy of a financial disclosure statement may be released in compliance with a subpoena. Note that information on a label affixed by the Commission to a statement is not available for public inspection.

REVIEW OF STATEMENT AND PENALTIES

The Commission reviews each statement for compliance with disclosure requirements. An incomplete statement or a statement that appears to be deficient will be returned to you for revision.

If you fail to file a financial disclosure statement or if you file, and then fail to revise, a deficient statement, you will be given a fifteen day period to cure your deficiency.

If you fail to file or cure the deficiency within the specified time period the Commission is required to send a notice of delinquency: (a) to you; and (b) in the case of a judge or justice, to the State Commission on Judicial Conduct, or in the case of a nonjudicial officer or employee, to the Chief Administrator of the Courts.

An individual who knowingly and willfully fails to file an annual statement of financial disclosure or who knowingly and willfully with intent to deceive makes a false statement or gives information which such individual knows to be false on such statement of financial disclosure shall be subject to disciplinary action as otherwise permitted by law, rule or collective bargaining agreement.

Question by Question Instructions

A Quick Filing Guide is at the end of these instructions.

Question 1 — Name

Report your complete name including middle name or initial.

Question 2 — UCS Position

2(a) Report your official job title as of January 1, 2012, or the date you commenced employment with the Unified Court System if you commenced employment after January 1, 2012.

2(b) Report your current work address including street address, city, state and zip code.

2(c) Report your complete office telephone number, including area code and extension.

Question 3 — Family

3(a) Report your marital status, during 2011, as “married,” “single,” “separated,” or “domestic partner”.

For purposes of financial disclosure, you were separated from your spouse if you lived apart from your spouse **throughout all of 2011** with the intention of terminating the marriage or remaining permanently separated. If you were separated from your spouse during the entire year, you do not have to report any information pertaining to your spouse other than his or her name. In this case, you must file a **statement of marital status** with your financial disclosure statement. You can obtain that form from the Commission website. A new statement of marital status must be filed each year.

If you lived with your spouse for any part of 2011 you must report your marital status as married and report all required spousal information.

If you were married or separated during 2011, report the name of your spouse.

If you report your status as “domestic partner”, you do **not** have to report any information pertaining to your partner.

3(b) “Unemancipated child” means a son, daughter, stepson, or stepdaughter who was under age 18 and unmarried at any time during 2011. Names of unemancipated children are not available for public inspection.

Question 4 — Positions

Report positions held during 2011. 4(a) refers to you and 4(b) refers to your spouse or unemancipated child.

Report

- Any paid or unpaid position, including trustee, partner, director, president, vice president, secretary, treasurer, member of a board, executive committee or other committee, in a firm, corporation (whether a for-profit or not-for-profit), association, general or limited partnership, family charitable foundation, or other organization or entity.

- Indicate whether such entity was licensed or regulated by a state or local agency, or had matters before or did business with a state or local agency. If you do not know whether the entity was licensed or regulated by, or did business with any state or local agency, you must indicate that you do not know.

- If you or your spouse is a trustee, report the name of the trust.
- In 4b, report your spouse’s political party and political organization positions.

Do not report

- Membership in an organization when you or your spouse hold no office or position in the organization.
- Uncompensated honorary positions.
- Do not list a position as trustee of a trust for the benefit of family members.
- In 4a, do not report your positions with political parties or political organizations. Report these in Question 7.

Question 5 — Employment

Report employment during 2011.

5(a) refers to you, 5(b) refers to your spouse or unemancipated child.

5(a) Report and briefly describe any employment, occupation, trade, business or profession in which you engaged, other than the UCS employment reported in question 2(a). If such activity was licensed or regulated by a state or local agency, or did significant business with a state or local agency, identify the agency.

5(b) Report any employment, occupation, trade, business or profession engaged in by your spouse or unemancipated child only if the activity, employment or business was licensed or regulated by a state or local agency, or had matters before any state or local agency as a regular and significant part of the business or activity. Identify the agency. You must report your spouse’s employment by the Unified Court System.

Question 6 — Contracts With State or Local Agencies

Report any interest, in excess of \$1,000, in a contract with a state or local government agency in 2011. Indicate whether the interest was held by you, your spouse or your child.

Report any ownership, right, claim or legal share in a contract with a state or local agency when the value or amount owned exceeded \$1,000 and the contract was owned or controlled by either:

- You, your spouse or your unemancipated child.
- A partnership of which you, your spouse, or your unemancipated child is a member (whether general or limited partner).

- A corporation in which you, your spouse or unemancipated child own or control ten (10%) percent or more of the stock.

Do not report

- A contract on which final payment was made during the reporting year and all obligations were fully performed.

Question 7 — Political activities

List any positions you held during 2011 as an officer, district leader or committee member of any political party or organization. You must identify the name of the political party or organization.

Question 8 — Professional and Business Activities

8(a) If, in 2011, you practiced law outside of your Unified Court System employment reported in question 2(a), were licensed as a real estate broker, or practiced a profession licensed by the Department of Education,¹ give a general description of the principal area of practice but do not list individual clients, customers or patients.

If you were licensed as a real estate broker, or practiced a profession licensed by the Department of Education, so report even if you did not engage in any of the work for which you were licensed.

8(b) Report any business activities in which you or your spouse had an investment of \$1,000 or more in 2011. List the business name and address and briefly describe the nature of the business.

Do not report

- Interest in real property. Report that in Question 17.
- Investments in stocks or other securities. Report them in Question 16.
- Interest in a limited partnership. Report that in Question 16.

Question 9 — Gifts to you and your family

Report gifts to you, your spouse or your child, received in 2011, when the gift is valued at more than \$1,000. In calculating the value of a gift, aggregate the value or amount of all gifts from a single donor to a single recipient during the calendar year. A gift is a voluntary transfer of something of value for less than fair consideration.

Indicate whether the gift was to you, your spouse or your child.

Do not report

- An inheritance.
- A gift from a relative. A relative is a spouse, parent, sibling, child, stepchild, stepparent, grandparent or any person who is a direct descendant of the grandparents of the filer or his or her spouse.
- A scholarship or fellowship awarded on the same terms and based on the same criteria applied to other applicants.

Question 10 — Reimbursements

Report reimbursements of more than \$1,000 in the aggregate from each source, that you received in 2011. You must identify and briefly describe each source. "Reimbursement" means any travel-related expense provided by a non-governmental source for activities whether related or not to your duties.

Do not report

- Gifts, campaign expenditures, and expenditures reimbursed by UCS.

Question 11 — Retirement plans, trusts and estates

Report a right, claim or legal share you held in 2011, with a value in excess of \$1,000, in a trust or estate, certain retirement plans, or any other beneficial interest.

The fact that you are not receiving benefits now or that you may not have exercised your rights under the trust or estate does not exempt the reporting of the interest.

The bank or financial institution where your interest was held must be identified, as well as the nature of that interest, e.g., IRA.

If you report an interest in a trust, you must report the name of the trust.

Report

- The NYS deferred compensation plan.
- Other pensions or deferred compensation plans, including plans established by yourself or a former employer.
- Individual retirement accounts (IRAs), Keogh retirement plans and annuities.
- 401K, 403(b) and 457 plans.

Do not report

- NYS or NYC retirement plans.
- An interest established by or for, or in the estate of, a relative.
- Deferred income in the nature of delayed compensation. Report it in Question 14.
- The cash surrender value of a life insurance policy.
- Your spouse's interests in trusts, estates, certain retirement plans or other beneficial interests. Report these in Question 16.

Question 12 — Employment agreements

12(a) Report the parties and terms of any contract, promise or other agreement, in effect during 2011, for employment after you leave your UCS position.

¹ The professions licensed by the Department of Education are: medicine, physician's assistants and specialist's assistants, chiropractic, dentistry, dental hygiene, veterinary medicine, animal health technology, physical therapy, physical therapy assistants, pharmacy, nursing, podiatry, optometry, ophthalmic dispensing, engineering, land survey, architecture, landscape architecture, public accountant, shorthand reporting, psychology, social work, massage, occupational therapy, speech-language pathology and audiology.

12(b) Report the parties and terms of any agreements, in effect in 2011, established by a former employer other than NYS, for continuation of benefits or payments to you or on your behalf in excess of \$1,000. This includes contributions to a pension fund; interest in a profit-sharing plan; maintenance of life or health insurance; buy-out agreements and severance payments.

Question 13 — Income received by you or your spouse

Report all income received by you or your spouse in 2011, in excess of \$1,000, from any source other than your UCS position reported in Question 2(a).

If your spouse was employed by the Unified Court System in 2011, and she or he earned income in excess of \$1,000, you must report that income whether or not your spouse is required to file a financial disclosure statement.

Indicate whether the income was received by you or your spouse.

For purposes of financial disclosure, income means aggregate net income before taxes. Aggregate net income before taxes is gross receipts less all reasonable, ordinary and necessary business expenses as are deductible for federal income tax purposes.

Income from the sale of property, including real property, must be reported if the income is reportable as capital gains for federal income tax purposes.

YOU MUST REPORT YOUR SPOUSE'S INCOME FROM EMPLOYMENT.

If your spouse is self-employed, report the nature of his or her work; if he or she is doing business under another name, report the name. If your spouse has a work address other than your primary residence, report the address. If the work address is your primary residence so indicate, without reporting your address.

If in addition to your UCS employment you are self-employed, you must report the same information as is required for spousal self-employment.

You must report income generated by assets reported in questions 16 and 17.

The bank or financial institution where an income producing account was held must be identified.

If income is received from the sale of a security, the security must be identified.

If income is received from a trust, the name of the trust must be identified.

If income is received from the sale of real property, report the complete address of the property, (number, street, town and state), unless the property sold is your former primary or secondary residence. If it is your former

primary or secondary residence, so indicate.

If income is received from the rental of real property, report the complete address of the property unless it is your primary residence. If it is your primary residence, so indicate without reporting the address. For purposes of financial disclosure, you can not receive rental income from a secondary residence since that is defined as a residence from which you received no rental income.

If income is received as a result of a condemnation award, the complete address of the condemned property must be reported.

Court Reporters must report income received from the sale of transcripts. This includes income from transcripts sold in the course of your UCS employment. Merely reporting that the income is from the "sale of transcripts" is not sufficient. You must specify the source of income, e.g., District Attorney, County Attorney, NYS, Legal Aid, Private Attorney.

See the Reference Sheet at the end of these instructions for information regarding reporting requirements for specific sources of income.

Question 14 — Income due to you

Report any income in excess of \$1,000 that you earned during 2011 but that will be paid to you subsequent to 12/31/11.

Do not report

- Deferred Compensation or other retirement plans or pensions. Report them in Question 11.

Question 15 — Assignment of income and gifts to others

Report income in excess of \$1,000 that you assigned to someone else in 2011. An assignment is a transfer or giving of income or a right to such income to another.

Report each transfer by you to someone other than a relative during 2011 for less than fair consideration of an interest in a trust, estate or other beneficial interest, securities or real property, in excess of \$1,000.

You must report the name of the person to whom, or entity to which, the income was assigned.

Question 16 — Investments

Report securities held by you or your spouse as of 12/31/11, if the securities had a value in excess of \$1,000 at that time. Indicate whether the security was owned by you or your spouse.

SEE THE REPORTING EXAMPLES ON PAGE 9

Report

- Stocks.
- Stock Options (report the value of the options if reasonably ascertainable).
- Savings and other bonds, notes, warrants, certificates of deposit, treasury notes and zero coupon bonds.
- Cash management accounts.
- Limited or general partnerships.
- Mutual funds and other investment funds.
- Money market accounts.
- Mortgages in investment funds held by you or your spouse.
- Mortgages related to the purchase/sale of property held by your spouse.
- Obligations, investment interests in partnerships, and those debt instruments and certificates of interest which are usually referred to as securities.

Report percentage of ownership when you or your spouse hold over 5% of publicly traded stock or 10% of stock that is not publicly traded. If you held less than these percentages, you must report the security but are not required to report the percentage.

You must always report the name of the financial institution holding the securities.

If the securities are held in an **investment account** or a **Portfolio Management Program**, each security with a value in excess of \$1,000 must be itemized and specifically identified. You must also identify the financial institution where the investment account/Program is held.

If the securities are held in a **cash management account**, each security with a value in excess of \$1,000 must be itemized and specifically identified. You must also identify the financial institution holding the account. If the cash management account contains only money as of December 31, 2011, it does not have to be reported.

NOTE: THIS IS A CHANGE IN POLICY REGARDING CASH MANAGEMENT ACCOUNTS

You do not have to itemize individual securities if they are held in a money market account, a retirement account, a private equities account or a restricted management account (RMA).

You must identify the names of **mutual funds** held by financial institutions that offer funds from other financial institutions. You must also identify the financial institution where the mutual funds are held.

The names of mutual funds held by the following financial institutions must be identified. THIS IS ONLY A PARTIAL LIST-CALL THE OFFICE IF YOU ARE NOT SURE IF YOU MUST REPORT THE NAMES OF THE MUTUAL FUNDS HELD BY A PARTICULAR FINANCIAL INSTITUTION:

Advest	Merrill Lynch
AG Edwards	Morgan Stanley Dean Witter
AIG	National Financial Services
Ameriprise	Paine Webber
Ameritrade	Principal Financial Group
AXA	Quick & Reilly
Citibank	Raymond James
Edward Jones	RBC Dain Rauscher
Etrade	Salomon Smith Barney
HSBC	Schwab
Janney Montgomery Scott	TD Waterhouse
Lebenthal	UBS Paine Weber
LPL Financial	Wachovia
Merrill Edge	Wellington Management

You must specify the agency or department that issued a state or local bond.

If you have reported your retirement plans in Question 11, you do not have to repeat that information. However, you must report your spouse's retirement plans in this Question.

In the case of a mortgage held by your spouse, you must report the complete address of the mortgaged property, including number, street, town and state. You do not have to report mortgages held by your spouse where the mortgagor is a relative.

Mortgages held by you which are related to the purchase/sale of property should be reported in Question 18.

If securities are held in a blind trust, you are not required to report the securities held in the trust but you must report the name of the trust and the trustee and indicate that the securities are subject to a non-disclosure agreement or instruction.

Do not report

- Assets held under the Uniform Gift to Minors Act or Uniform Transfers to Minors Act .
- Securities you hold that are issued by a professional corporation, reported in Question 8a.

SEE THE REPORTING EXAMPLES ON PAGE 9

EXAMPLES — QUESTION 16

Self/ Spouse	Issuing Entity	Type of Security	Percent Owned Or Controlled	Category Of Value
Spouse	AT&T	Common Stock		A
Self & Spouse	XYZ, Inc.	Preferred Stock	6%	D
Spouse	Ginnie Mae	Notes		B
Spouse	1st National Bank	Certificates of Deposit		B
Self	Fidelity Magellan	Mutual Funds		D
Self & Spouse	Merrill Lynch	Mutual Funds*		C
Self	Merrill Lynch	Stock in ML		B
Spouse	Merrill Lynch	Brokerage Account**		B
Spouse	Edward Jones	Cash Management Account***		D
Spouse	City of New York, General Obligation	Bonds		A
Self	City of New York, Dormitory Authority	Bonds		F
Spouse	J Savings Bank	IRA		E
Spouse	NYS	Deferred Compensation Plan		E

*Galaxy Fund; Vanguard Index Fund; Templeton Strong Fund.

**AT&T; IBM; Microsoft; NYC General Obligation Bonds.

***Microsoft; Lucent; Galaxy Fund.

Question 17 — Real estate

Report the complete address of each real property interest, in excess of \$1,000, held by you or your spouse at any time during 2011. A complete address includes number, street or route, town and state. In the case of vacant land, if there is no number and street address, report the town or county and state where the property is located.

Real estate that must be reported includes, but is not limited to, vacant land, cooperatives, condominiums and investment property. Except as indicated below, you do not have to report your primary and secondary residence.

For purposes of financial disclosure, your primary residence is your principal place of abode.

For purposes of financial disclosure, a secondary residence is a residence where you resided at least occasionally in the reporting year, and from which you received no rental income.

NOTE: for purposes of financial disclosure, a vacation home from which you received rental income IS NOT a secondary residence. A time share is considered a vacation home.

If your primary residence was in a building, which contained two or more rental units from which you received rental payment, you must report the required information regarding your residence, including the street address of the building. An exact street address is required; you should file a deletion application if you want the Commission to consider deleting the address.

Report the complete address of:

- Property owned by a partnership, other than a limited real estate partnership that is sponsored or sold through a stock brokerage or that is publicly traded, or any entity other than a corporation when

one of the partners or members is you and/or your spouse.

- Property owned by a corporation in which you or your spouse owned more than 50% of the stock. Report the name of the corporation.
- Your primary or secondary residence if you have a co-owner who is not a relative.
- Your vacation home if it generated rental income.

Indicate ownership by you, your spouse or a corporation.

Question 18 — Debts owed to you

Report debts owed to you, outstanding as of December 31, 2011, in excess of \$1,000, unless owed by a relative. Debts include, but are not limited to, accounts receivable, promissory notes, loan agreements and mortgages related to the purchase/sale of property. You must report the names of all debtors, including judgment debtors.

In the case of a mortgage, you must report the name of the mortgagor and the complete address of the mortgaged property, including number, street, town and state.

Question 19 — Debts owed by you or your spouse

Report

- Liabilities in excess of \$5,000 as of the date of filing this statement unless the debt is to a relative. Total all debts to one creditor.
- The name of any individual guaranteeing a debt.

In the case of a mortgage, you must report the name of the mortgagee and the complete address of the

mortgaged property, including number, street, town and state.

You must identify the financial institution that issued your Visa or MasterCard credit card.

Do not report

- Mortgage or improvement loans issued by a financial institution for a primary or secondary residence.
- Loans issued by a financial institution for education, purchase of an automobile for personal use, or household furniture or appliances.
- Liabilities to a relative.
- Liabilities incurred in the ordinary course of your or your spouse's trade, business or professional practice.
- Maintenance paid in connection with a matrimonial action, alimony or child support.

STOP

AFTER COMPLETING YOUR STATEMENT MAKE SURE YOU HAVE:

- ✓ **ANSWERED EVERY QUESTION**
- ✓ **REPORTED YOUR SPOUSE'S FULL NAME IN QUESTION 3A**
- ✓ **REPORTED YOUR SPOUSE'S INCOME IN QUESTION 13 (INCLUDING INCOME FROM EMPLOYMENT)**
- ✓ **REPORTED IN QUESTION 16 THE VALUE OF THE SECURITIES THAT PRODUCED THE INCOME THAT YOU REPORTED IN QUESTION 13**
- ✓ **REPORTED THE COMPLETE ADDRESS (INCLUDING STREET ADDRESS, CITY AND STATE) OF THE PROPERTY YOU REPORTED IN QUESTION 17**
- ✓ **SIGNED AND DATED YOUR STATEMENT**

IF YOUR STATEMENT IS NOT COMPLETE, IT WILL BE RETURNED TO YOU FOR REVISION

PLEASE BE AWARE THAT THE COMMISSION IS AUTHORIZED TO INVESTIGATE THE ACCURACY OF YOUR RESPONSES

Quick Filing Guide

Where to report information on the Annual Statement of Financial Disclosure. Numbers refer to the question on the form. Unless otherwise indicated, do not report holdings unless they are in excess of \$1,000. (NR indicates items that are Not Reported.)

401K, 403(b) and 457 plans.....	11,16	Home — See Residence	Public Assistance.....	NR
Accounts receivable.....	18	Home purchase, improvement loans from financial institution.....	Real estate.....	17
Alimony/maintenance.....	NR	Home purchase, improvement loans from other than a financial institution.....	Rental income.....	13
Annuities.....	11,16	Honorary positions, not compensated.....	Rental property.....	17
Assignments of income other than to a relative.....	15	Honoraria.....	Residence, primary or secondary.....	NR
Automatically reinvested interest or dividends.....	13	Income, generally.....	Retirement plans other than State or City of New York.....	11,16
Bank and bond interest.....	13	Inheritances.....	Retirement plan payments, if reportable for federal income tax purposes.....	13
Bonds.....	16	Insurance death benefits.....	Salary, other than for UCS position reported in 2a.....	13
Business income.....	13	Interest received from banks and bonds.....	Savings accounts.....	NR
Buy out agreements.....	12(b),13	Investments other than securities or real property.....	Savings bonds.....	16
Capital gains.....	13	Investments, real property.....	Securities.....	16
Car loans from a financial institution.....	NR	Investments, securities.....	Severance agreement.....	12(b)
Certificates of deposit.....	16	IRAs.....	Severance payment.....	13
Child support.....	NR	Keogh plans.....	Social Security benefits.....	NR
Children under 18, not married.....	3(b)	Lecture fees.....	Spouse's income.....	13
Compensation for injury/sickness.....	NR	Liabilities over \$5,000.....	Spouse, name.....	3(a)
Compensation owed from prior or current employment.....	14	Life Insurance.....	Stocks.....	16
Condominiums, cooperatives.....	17	Loans in excess of \$5,000 from Pension Plans.....	Stock Options.....	16
Consulting fees.....	13	Loans in excess of \$5,000 from Deferred Compensation Plans.....	Student Loans.....	NR
Contracts with government agencies.....	6	Marital status.....	Teaching income.....	13
Credit card debt in excess of \$5,000.....	19	Money market acct.....	Time share, rented.....	17
Debts owed to you.....	18	Mortgage, not on primary or secondary residence.....	Time share, not rented.....	NR
Debts you owe to others, in excess of \$5,000.....	19	Mortgage on primary and secondary residence.....	Tort recoveries.....	NR
Deferred compensation plans.....	11,16	Mortgage you hold.....	Travel reimbursement paid by source other than UCS.....	10
Directorships.....	4,13	Mortgage spouse holds.....	Treasury notes.....	16
Dividends.....	13	Mutual funds.....	Trusts.....	11,16
Employment, after leaving UCS.....	12(a)	NYS College Savings.....	Trusts, family.....	NR
Employment, other than listed in 2a.....	5	Notes (investments).....	Trust income.....	13
Employment, UCS.....	2	Partnerships, limited.....	Trusteeships.....	4,13
Estates.....	11	Partnerships, general.....	Unemployment Insurance.....	NR
Executor of Will		Pensions.....	Uniform Gift to Minors.....	NR
Uncompensated.....	NR	Political party committees and offices.....	Uniform Transfers to Minors.....	NR
Compensated.....	13	Professional practice.....	Vacation home, rented.....	17
Gifts from relatives.....	NR	Private practice Income.....	Vacation home, not rented.....	NR
Gifts not from relatives.9		Prize of Personal Property	Veteran's benefits.....	NR
Gov't disability benefits.....	NR	Report Fair Market Value.....	Warrants.....	16
		Prize of Cash, Report Value.....	Workers compensation.....	NR
		Profit sharing.....	Zero coupon bonds.....	16

State of New York
ETHICS COMMISSION FOR THE UNIFIED COURT SYSTEM
 25 Beaver Street/New York, NY 10004/Room 875
 Intranet address: UCS Home Page under "Topics A-Z"
 Internet address: www.nycourts.gov/ip/ethics

ANNUAL STATEMENT of FINANCIAL DISCLOSURE: For calendar year 2011

1. NAME

2. (a) JOB TITLE

(b) CURRENT WORK ADDRESS

(c) CURRENT WORK TELEPHONE NUMBER

3. (a) MARITAL STATUS IF MARRIED, PLEASE GIVE SPOUSE'S FULL NAME
(INCLUDING MAIDEN NAME WHERE APPLICABLE)

(b) LIST THE NAMES OF ALL UNEMANCIPATED CHILDREN

Answer each of the following questions completely, with respect to calendar year 2011, 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; and Category F-\$250,000 or over. A reporting individual shall indicate the category by letter only.

Whenever "income" is required to be reported herein, the term "income" shall mean the aggregate net income before taxes from the source identified.

The term "calendar year" shall mean the year ending December 31st preceding the date of filing of the annual statement.
UCS-956(10/90)

4. (a) List any office, trusteeship, directorship, partnership, or position of any nature whether compensated or not, held by the reporting individual with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or 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, any state or local agency, list the name of any such agency.

NONE

<u>POSITION</u>	<u>ORGANIZATION</u>	<u>STATE OR LOCAL AGENCY</u>
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4. (b) List any office, trusteeship, directorship, partnership, or position of any nature whether compensated or not, held by the spouse or unemancipated child of the reporting individual, with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary position; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or 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, any state or local agency, list the name of any such agency.

NONE

<u>SPOUSE OR CHILD</u>	<u>POSITION</u>	<u>ORGANIZATION</u>	<u>STATE OR LOCAL AGENCY</u>
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6. List any interest, in EXCESS of \$1,000, held by the reporting individual, such individual's spouse or unemancipated child, or partnership of which any such person is a member, or corporation, 10% 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 a state or local agency and include the name of the entity which holds such interest and the relationship of the reporting individual or such individual's spouse or such child to such entity and the interest in such contract. Do NOT include bonds and notes. Do NOT list any interest in any such contract on which final payment has been made and all obligations under the contract except for 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.

NONE

<u>SELF, SPOUSE OR CHILD</u>	<u>ENTITY WHICH HELD INTEREST IN CONTRACT</u>	<u>RELATIONSHIP TO ENTITY INTEREST IN CONTRACT</u>	<u>CONTRACTING STATE OR LOCAL AGENCY</u>	<u>CATEGORY OF VALUE OF CONTRACT</u>
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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 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.

NONE

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VALUE/AMOUNT CATEGORIES	A-UNDER \$5,000 B-\$5,000 to under \$20,000	C-\$20,000 to under \$60,000 D-\$60,000 to under \$100,000	E-\$100,000 to under \$250,000 F-\$250,000 or over
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8. (a) If the reporting individual practices law, works as a real estate broker or agent licensed by the department of state, or practices a profession licensed by the department of education, give a general description of the principal subject areas of matters undertaken by such individual. Additionally, if such an individual practices with a firm or corporation and is a partner or shareholder of the firm or corporation, give a general description of principal subject areas of matters undertaken by such firm or corporation. Do NOT list the names of the individual clients, customers or patients. If the reporting individual is licensed to practice law, is a licensed real estate broker or agent, or is licensed by the department of education, but did not actually engage in such work or practice, so indicate.

NONE

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8. (b) 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 spouse had an investment in excess of \$1,000 EXCLUDING investments in securities and interests in real property.

NONE

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9. List each source of gifts, EXCLUDING campaign contributions, in EXCESS of \$1,000, received during the reporting period for which this statement is filed by the reporting individual or such individual's spouse or unemancipated child from the same donor, EXCLUDING gifts from a relative. 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.

NONE

<u>SELF, SPOUSE OR CHILD</u>	<u>NAME OF DONOR</u>	<u>ADDRESS</u>	<u>NATURE OF GIFT</u>	<u>CATEGORY OF VALUE OF GIFT</u>
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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 state, 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 "reimbursement" does NOT include gifts reported under Item 9.

NONE

<u>SOURCE</u>	<u>DESCRIPTION</u>
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<u>VALUE/AMOUNT CATEGORIES</u>	<u>A-UNDER \$5,000</u> <u>B-\$5,000 to under \$20,000</u>	<u>C-\$20,000 to under \$60,000</u> <u>D-\$60,000 to under \$100,000</u>	<u>E-\$100,000 to under \$250,000</u> <u>F-\$250,000 or over</u>
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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 (e.g., 401, 403b, 457, etc.) 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.

NONE

IDENTITY (INCLUDING BANK/FINANCIAL INSTITUTION)

CATEGORY OF VALUE*

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*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).

NONE

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VALUE/AMOUNT CATEGORIES	A-UNDER \$5,000 B-\$5,000 to under \$20,000	C-\$20,000 to under \$60,000 D-\$60,000 to under \$100,000	E-\$100,000 to under \$250,000 F-\$250,000 or over
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12. (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 State. (This includes interests in or contributions to a pension fund, profit-sharing plan, or life or health insurance; buy-out agreements; severance payments; etc.)

NONE

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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 spouse for the taxable year last occurring prior to the date of filing. Nature of income includes, but is not limited to, all income **EARNED BY YOU AND YOUR SPOUSE** (other than that received by you from the employment listed under item 2 above) from 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 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 received in connection with a matrimonial action, alimony and child support payments shall not be listed.

NONE !STOP! DO NOT CHECK THE NONE BOX IF YOUR SPOUSE EARNED INCOME FROM EMPLOYMENT IN EXCESS OF \$1,000

<u>SELF/SPOUSE</u>	<u>SOURCE (Identify Bank/Financial Institution/Issuing Entity)</u>	<u>NATURE</u>	<u>CATEGORY OF AMOUNT</u>
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VALUE/AMOUNT CATEGORIES	A-UNDER \$5,000	B-\$5,000 to under \$20,000	C-\$20,000 to under \$60,000	D-\$60,000 to under \$100,000	E-\$100,000 to under \$250,000	F-\$250,000 or over
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14. List the sources of any deferred income (not retirement 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.

NONE

SOURCE

CATEGORY OF AMOUNT

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15. List each assignment of income in EXCESS of \$1,000, and each transfer other than to a relative 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, in excess of \$1,000, which would otherwise be required to be reported herein and is not or has not been so reported.

NONE

ITEM ASSIGNED OR TRANSFERRED

ASSIGNED OR TRANSFERRED TO

CATEGORY OF VALUE

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VALUE/AMOUNT CATEGORIES

**A-UNDER \$5,000
B-\$5,000 to under \$20,000**

**C-\$20,000 to under \$60,000
D-\$60,000 to under \$100,000**

**E-\$100,000 to under \$250,000
F-\$250,000 or over**

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 spouse. Also list real property owned for investment purposes by a corporation more than 50 percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's spouse. Do NOT list any real property which is the primary or secondary personal residence of the reporting individual or the reporting individual's spouse, except where there is a co-owner who is other than a relative.

NONE

<u>SELF/SPOUSE CORPORATION</u>	<u>LOCATION*</u>	<u>SIZE</u>	<u>GENERAL NATURE</u>	<u>ACQUISITION DATE</u>	<u>PERCENTAGE OF OWNERSHIP</u>	<u>CATEGORY OF MARKET VALUE</u>
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*Including number, street, town and state.

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 herein above. Debts, notes and accounts receivable owed to the individual by a relative shall not be reported.

NONE

<u>NAME OF DEBTOR</u>	<u>TYPE OF OBLIGATION, DATE DUE, AND NATURE OF COLLATERAL, IF ANY</u>	<u>CATEGORY OF AMOUNT</u>
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VALUE/AMOUNT CATEGORIES	A-UNDER \$5,000 B-\$5,000 to under \$20,000	C-\$20,000 to under \$60,000 D-\$60,000 to under \$100,000	E-\$100,000 to under \$250,000 F-\$250,000 or over
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19. List below all liabilities of the reporting individual and such individual's spouse in EXCESS of \$5,000 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, the reporting individual or such individual's spouse or by any 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. 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 payments. 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.

NONE

	<u>NAME OF CREDITOR OR GUARANTOR</u>	<u>TYPE OF LIABILITY AND COLLATERAL, IF ANY</u>	<u>CATEGORY OF AMOUNT</u>
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VALUE/AMOUNT	A-UNDER \$5,000	C-\$20,000 to under \$60,000	E-\$100,000 to under \$250,000
CATEGORIES	B-\$5,000 to under \$20,000	D-\$60,000 to under \$100,000	F-\$250,000 or over

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.

X
Signature of Reporting Individual

Date (month/day/year)

STOP **DID YOU REPORT YOUR SPOUSE’S INCOME FROM EMPLOYMENT IN QUESTION 13**

DID YOU ANSWER EVERY QUESTION

DID YOU SIGN AND DATE YOUR STATEMENT