

**Instructions for Filing a  
Financial Disclosure Statement  
For Calendar Year 2008 For Unified Court  
System Employees Filing Pursuant to 22 NYCRR  
Part 40.**

State of New York  
Ethics Commission  
for the Unified Court System  
25 Beaver Street, Room 875  
New York, NY 10004  
(212) 428-2899  
Intranet address: UCS Home Page under  
"Topics A to Z"  
Internet address:  
[www.nycourts.gov/ip/ethics](http://www.nycourts.gov/ip/ethics)

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**WHO MUST FILE PURSUANT TO 22NYCRR PART 40**

You must file a financial disclosure statement for calendar year 2008 if you are 1) a state-paid judge or justice regardless of your annual rate of compensation, or 2) an officer or employee of the Unified Court System and a) for purposes of financial disclosure, you held a policymaking position as of December 31, 2008; or b) you held a position as of December 31, 2008 for which you received an annual salary at a rate in excess of \$84,863.00 and you have not been otherwise exempted from filing.

If you retire, resign or are terminated prior to May 15, 2009, and you are no longer employed by the Unified Court System as of May 15, 2009, you do not have to file, but must notify us in writing. If you are on a leave of absence (paid or unpaid) you are considered an employee and you must file a financial disclosure statement. However, if you were on an unpaid leave of absence as of December 31, 2008, you have not been designated a policymaker for the purposes of financial disclosure, and you worked for fewer than thirty (30) days in calendar year 2008, you are not required to file.

Nonjudicial employees who were working part-time as of December 31, 2008, who have not been designated as policymakers for purposes of financial disclosure and who actually received annual compensation in an amount less than \$84,863.00 do not have to file.

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 PURSUANT TO 22 NYCRR PART 40, YOU MUST FILE PURSUANT TO 22 NYCRR SECTION 100.5(A)(4)(g).

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**

All 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". You will not be able to log in to your e-statement until March 1, 2009.

**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**

You must file your financial disclosure statement for calendar year 2008 on or before May 15, 2009. 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.

## Extension of Time to File

Two types of extensions may be granted:

- Justifiable cause or undue hardship. You must request an extension of time to file a late statement on the ground of justifiable cause or undue hardship on or before May 15, 2009.

- Internal Revenue Service automatic extension of time. If you ask the Internal Revenue Service for an automatic extension of time to file your individual income tax return, you must file a partial financial disclosure statement on or before May 15, 2009. Your supplemental financial disclosure statement must be filed within seven days after your income tax extension expires.

The partial financial disclosure statement which you file must (1) report all those items not subject to 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 int the application.

## GENERAL INFORMATION

- If you received 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 at the end.

- 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.

- 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. 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.

## Exemptions/Deletions

- The deadline for filing a request for an exemption from filing a financial disclosure statement is March 1, 2009. The grounds for such 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. If you are a policymaker for the purposes of financial disclosure, the Commission can not exempt you from filing. You can obtain a copy of the Chief Judge's Rule, a list of policymaker titles, and a list of filing exempt job titles from our websites.

- The deadline for filing a request for an exemption from reporting certain information pertaining to your spouse or unemancipated child(ren) is April 1, 2009. The grounds for such 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. Please see the application form for further affidavit requirements.

- The deadline for requesting that certain information reported on the financial disclosure statement be deleted from public inspection is May 15, 2009. The grounds for such request are that the information will have no material bearing on the official discharge of your duties. 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.

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.

## 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. Note that information on a label affixed by the Commission to a statement is not available for public inspection.

## Procedures and Applications

Commission Procedures regarding filing extensions, filing exemptions, deletions and public inspection, as well as all the other Commission Procedures, can be obtained from the Commission websites. The addresses are at the top of the first page of these instructions.

Applications for requesting extensions, exemptions and deletions, as well as all the other Commission forms, can also be obtained at the websites.

If you do not have access to a computer, you can obtain Commission Procedures or Applications by contacting the Commission at the telephone number or address given at the top of the first page of these instructions.

## 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.

## FILING DEADLINES

March 1, 2009

Application for an Exemption from filing the financial disclosure statement

April 1, 2009

Application for an Exemption from reporting information pertaining to spouse/child on the financial disclosure statement

May 15, 2009

Application for a Deletion of information from the copy of the financial disclosure statement made available to the public

May 15, 2009

Application for an Extension of time to file the financial disclosure statement

May 15, 2009

Financial Disclosure Statement

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

Note: All forms are available on the Ethics Commission website

### 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 12/31/08. If your title has since changed, so indicate.

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 2008, as “married,” “single,” “separated,” or “domestic partner”. If you are married, report the name of your spouse. Separated means living apart with the intention of terminating the marriage or remaining permanently separated. Report the name but no other information about a separated spouse, if you were separated throughout all of 2008. In this case, you must file a statement of marital status with your financial disclosure statement. You can obtain that form from the Commission. A new statement of marital status must be filed each year. If you lived with your spouse for any part of 2008 you must report your marital status as married and report all required spousal information.

3(b) “Unemancipated child” means a son, daughter, stepson, or stepdaughter who was under

age 18 and unmarried at any time during 2008. Names of unemancipated children are not available for public inspection.

#### Question 4 – Positions

Report positions held during 2008. 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.

##### Do not report

- Membership in an organization when you hold no office or position in the organization.
- Uncompensated honorary positions.
- Do not list your position as trustee of a trust for the benefit of family members.
- Political party and political organization positions. Report these in Question 7.

## Question 5 – Employment

Report employment during 2008.

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 employment, occupations, trades, businesses or professions 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 2008. 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 emancipated 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 2008 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 2008, you practiced law, were licensed as a real estate broker, or practiced a profession licensed by the Department of Education,<sup>1</sup> give a general description of the principal area of practice but do not list individual clients, customers or patients. If you did not actually engage in such practice, report the license and state that you did not engage in such practice.

Judges and justices should report that they were licensed to practice law, as should attorneys. An attorney or part-time judge with a practice outside of his or her UCS employment should so indicate.

8(b) Report any business activities in which you or your spouse had an investment of \$1,000 or more in 2008. 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 2008, 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.
- Gifts from relatives. 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.

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<sup>1</sup> 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.

## Question 10 – Reimbursements

Report reimbursements of more than \$1,000 in the aggregate from each source, that you received in 2008. 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 2008, 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.

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 2008, for employment after you leave your UCS position.

12(b) Report the parties and terms of any agreements, in effect in 2008, 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 2008, in excess of \$1,000, from any source other than your UCS position reported in Question 2a. 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. Realized capital gains income must be reported if they are reportable 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.

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 2008 but that will be paid to you subsequent to 12/31/08.

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 2008. 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 2008 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 if the securities had a value in excess of \$1,000 as of 12/31/08. Indicate whether the security was owned by you or your spouse.

SEE THE REPORTING EXAMPLES ON PAGE 8

#### Report

- Stocks.
- 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.

Do not abbreviate or use symbols in reporting the names of securities.

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

In addition:

- You must report the name of a mutual fund held by a brokerage firm, bank or other financial institution offering investment options other than (in addition to) mutual funds. If the financial institution offers only mutual funds, you are not required to name the fund. See the examples at the end of this Question.
- If the securities are held in a brokerage account, each security with a value in excess of \$1,000 must be itemized and specifically identified. See the example at the end of this Question.

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

You must specify the agency or department that issued a state or local bond. See the examples at the end of this Question.

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.

In the case where 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.
- Securities you hold that are issued by a professional corporation, reported in Question 8a.

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	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.

Question 17 – Real estate

Report real property interests, in excess of \$1,000, held by you or your spouse at any time during 2008. 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.

You must report the complete address of any

property, including 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.

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

- 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, 2008, 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

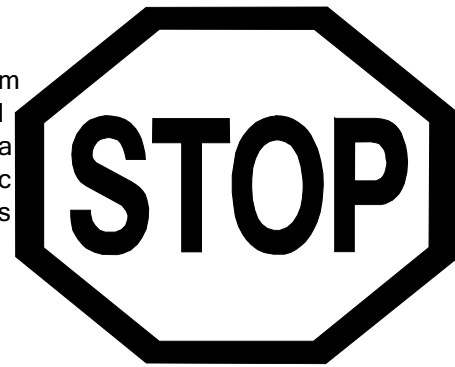
- Liabilities in excess of \$5,000 as of the date of filing this statement unless the debt is to a relative. Total all debts to one creditor.
- The name of any individual guaranteeing a debt.

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.

##### 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

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#### **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	Gifts from relatives .....	NR	Professional practice.....	8a
Accounts receivable.....	18	Gifts not from relatives.....	9	Private practice Income.....	13
Alimony/maintenance.....	NR	Gov't disability benefits.....	NR	Prize of Personal Property Report Fair Market Value.....	13
Annuities.....	11,16	Home – See Residence		Prize of Cash, Report Value.....	13
Assignments of income other than to a relative.....	15	Home purchase, improvement loans from financial institution.....	NR	Profit sharing.....	12(b)
Automatically reinvested interest or dividends.....	13	Home purchase, improvement loans from other than a financial institution.....	19	Public Assistance.....	NR
Bank and bond interest.....	13	Honorary positions, not compensated.....	NR	Real estate.....	17
Bonds.....	16	Honoraria.....	13	Rental income.....	13
Business income.....	13	Income, generally.....	13	Rental property.....	17
Buy out agreements.....	12(b),13	Inheritances.....	NR	Residence, primary or secondary.....	NR
Capital gains.....	13	Insurance death benefits.....	NR	Retirement plans other than State or City of New York.....	11,16
Car loans from a financial institution.....	NR	Interest received from banks and bonds.....	13	Retirement plan payments, if reportable for federal income tax purposes.....	13
Certificates of deposit.....	16	Investments other than securities or real property.....	8(b)	Salary, other than for UCS position reported in 2a.....	13
Child support.....	NR	Investments, real property.....	17	Savings accounts.....	NR
Children under 18, not married.....	3(b)	Investments, securities.....	16	Savings bonds.....	16
Compensation for injury/sickness.....	NR	IRAs.....	11,16	Securities.....	16
Compensation owed from prior or current employment.....	14	Keogh plans.....	11,16	Severance agreement.....	12(b)
Condominiums, cooperatives.....	17	Lecture fees.....	13	Severance payment.....	13
Consulting fees.....	13	Liabilities over \$5,000.....	19	Social Security benefits.....	NR
Contracts with government agencies.....	6	Life Insurance.....	NR	Spouse's income.....	13
Credit card debt in excess of \$5,000.....	19	Marital status.....	3a	Spouse, name.....	3(a)
Debts owed to you.....	18	Money market acct.....	16	Stocks.....	16
Debts you owe to others, in excess of \$5,000.....	19	Mortgage, not on primary or secondary residence.....	19	Teaching income.....	13
Deferred compensation plans.....	11,16	Mortgage on primary and secondary residence.....	NR	Time share, rented.....	17
Directorships.....	4,13	Mortgage you hold.....	18	Time share, not rented.....	NR
Dividends.....	13	Mortgage spouse holds.....	16	Tort recoveries.....	NR
Employment, after leaving UCS.....	12(a)	Mutual funds.....	16	Travel reimbursement paid by source other than UCS.....	10
Employment, other than listed in 2a.....	5	NYS College Savings.....	16	Treasury notes.....	16
Employment, UCS.....	2	Notes (investments).....	16	Trusts.....	11,16
Estates.....	11	Partnerships, limited.....	4,16	Trusts, family.....	NR
		Partnerships, general.....	4,16	Trust income.....	13
		Pensions.....	11,16	Trusteeships.....	4,13
		Political party committees and offices.....	7	Unemployment Insurance.....	NR
				Uniform Gift to Minors.....	NR
				Vacation home, rented.....	17
				Vacation home, not rented.....	NR
				Veteran's benefits.....	NR

Warrants.....	16
Workers compensation. ....	NR
Zero coupon bonds. ....	16