

**Financial Disclosure Statement Instructions
For JUDICIAL CANDIDATES**
Pursuant to 22 NYCRR Section 100.5(A)(4)(g)
For Calendar Year 2023

**State of New York
Ethics Commission
for the Unified Court System**
25 Beaver Street, 8th Floor
New York, NY 10004
(212) 428-2899

Website: www.nycourts.gov/ip/ethics
Email: ethicscomm@nycourts.gov

WHO MUST FILE

You must file a financial disclosure statement for calendar year 2023 pursuant to 22 NYCRR 100.5(A)(4)(g) if in 2024 you are a candidate for public election to judicial office, other than in town and village courts. Candidates for judicial office in town and village courts do not have to file.

You are not required to file a financial disclosure statement for calendar year 2023 pursuant to section 100.5(A)(4)(g) if you are required to file for calendar year 2023 pursuant to 22 NYCRR Part 40. However, if you filed a statement as a judicial candidate for calendar year 2023, you must file a new 2023 statement if you are subsequently required to file pursuant to 22 NYCRR Part 40.

HOW TO FILE

You may obtain a financial disclosure form, and instructions for completing the form, on the Ethics Commission Website, www.nycourts.gov/ip/ethics. In the left navigation column click on either “View and/or Print all Forms” or “Financial Disclosure Form” - “For Judicial Candidates.” If you do not have access to a computer, you can obtain the form from the Ethics Commission office. Electronic filing is not available for judicial candidates. You must file a paper statement.

WHERE TO FILE

New York State Ethics Commission
for the Unified Court System
25 Beaver Street, 8th floor
New York, NY 10004

WHEN TO FILE

You must file your financial disclosure statement for calendar year 2023 within 20 days following the date on which you become a candidate. Pursuant to 22 NYCRR 100.0(A), “A person becomes a candidate for public office as soon as he or she makes a public announcement of candidacy, or authorizes solicitation or acceptance of contributions.”

When you file, please advise the Commission of the date you became a judicial candidate and the date of the election.

Your statement is filed when it is received at the Commission offices at the address indicated above.

Extension of Time to File

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

The Ethics Commission for the Unified Court System may grant an additional period of time to file, not to exceed fifteen (15) days, on the grounds of justifiable cause or undue hardship. You may request

an **extension of time to file a statement** by written application, telephone or email. The request must be made on or before the date that your financial disclosure statement must be filed.

The filing extension form is available on the Ethics Commission Website: www.nycourts.gov/ip/ethics, under "View and/or Print All Forms," in the left hand navigation column. If you do not have access to a computer, you can obtain the form from the Ethics Commission office.

GENERAL INFORMATION

- 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 filers, without unemancipated children, answering questions 4b and 5b. Sign and date the statement, where indicated, on the last page.

- Responses to questions 2, 3 and 19 in your statement must be correct as of the date of filing. All other questions pertain to calendar year 2023.

- **DO NOT ATTACH TAX RETURNS OR 1099 FORMS** to your financial disclosure statement. The information contained in these such documents must be reported in the relevant response area(s) in your statement.

- **DO NOT ATTACH UNIFORM GIFT TO MINORS ACCOUNT OR UNIFORM TRANSFERS TO MINORS ACCOUNT STATEMENTS** to your financial disclosure statement. These accounts do not have to be reported.

- **DO NOT ATTACH STATEMENTS REGARDING IRAs OR OTHER RETIREMENT ACCOUNTS; DO NOT ATTACH STATEMENTS REGARDING MONEY MARKET ACCOUNTS** to your financial disclosure statement. These accounts must be reported, but their contents do not have to be itemized.

- **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 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.

- If you need additional space to respond to any question in your statement, complete your response on extra sheets of paper following the format of the disclosure statement and attach them to your statement. You must write your name and identify the number of the relevant question on such attachments. All attachments are available for public inspection.

- Dollar values or amounts should be indicated by Category only.

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** to under **\$500,000**
- Category G - **\$500,000** to under **\$1,000,000**
- Category H - **\$1,000,000** to under **\$3,000,000**
- Category I - **\$3,000,000** to under **\$5,000,000**
- Category J - **\$5,000,000** and over.

Deletions

A request that **certain information reported on the financial disclosure statement be deleted from public inspection** must be filed with your financial disclosure statement. The grounds for such request are that the information will have no material bearing on the official discharge of your duties, should you be elected. 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. Go to our website to obtain the form for making a deletion request. If you do not have access to a computer, call our office and request that a form be mailed to you.

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 deletions, must demonstrate that an exception to this policy is warranted.

Public Inspection

All of the statements maintained by the Commission are available for public inspection. However, pursuant to Records Retention Schedules, the Commission maintains statements for the current reporting year and the six previous calendar years. The information reported in a financial disclosure statement is available for public inspection; **except** pursuant to 22 NYCRR 40.1(p)(1), items that shall remain confidential and unavailable for public inspection are: categories of value/amount; the names of unemancipated children; any information deleted by the Commission pursuant to 40.1(i)(6); and 40.1(k) notices of delinquency.

An unredacted copy of a financial disclosure statement, filed at any time, may be released in compliance with a subpoena.

Procedures and Applications

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

Applications for requesting extensions and deletions, as well as all the other Commission forms, can also be obtained from the website, www.nycourts.gov/ip/ethics, under "View And Or Print All Forms" in the left hand navigation column.

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.

Question by Question Instructions

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

Verify that you are using the Financial Disclosure Statement form that was issued by the

Ethics Commission for the Unified Court System for calendar year 2023.

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. You must sign and date the statement, where indicated, on the last page.

Responses to questions 2, 3 and 19 in your statement must be correct as of the date of filing. All other questions pertain to calendar year 2023.

Question 1 — Name

Report your complete name including middle name or initial as of the date you file your statement.

Question 2 — Employment

2(a) Report your employment as of the date you file your statement.

2(b) Report your current work address, as of the date you file your statement, including street address, city, state and zip code.

2(c) Report your complete office telephone number, as of the date you file your statement, including area code and extension.

Question 3 — Family

3(a) Report your marital status, **as of the date you file your statement**, as "married," "single," "separated" or "domestic partner."

For purposes of financial disclosure, you are separated from your spouse if you are living apart from your spouse, as of the date you file your statement, with the intention of terminating the marriage or remaining permanently separated.

If you are separated from your spouse you do not have to report any spousal information.

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

You must report your spouse's first and last name if you report that your marital status is "married."

3(b) "Unemancipated child" means a son, daughter, stepson, or stepdaughter who is under age 18 and unmarried as of the date you file your statement. Names of unemancipated children are not available for public inspection.

Question 4 — Positions

Report positions held during 2023. 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 2023. Question 5(a) refers to you, Question 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. If such activity was licensed or regulated by a New York state or local agency or did significant business with a New York 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 New York state or local agency or had matters before any New York state or local agency as a regular and significant part of the business or activity. Identify the agency.

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 2023. 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 2023 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 2023, you practiced law, were licensed as a real estate broker, or practiced a profession licensed by the Department of Education,* give a general description of the principal area of practice but do not list individual clients, customers or patients.

*The professions licensed by the Department of Education include: 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.

8(b) Report any business activities in which you or your spouse had an investment of \$1,000 or more in 2023. 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 2023, when the gift is valued in excess of \$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. (For purposes of financial disclosure, 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, excluding campaign expenditures, that you received in 2023. You must identify and briefly describe each source. "Reimbursement" means any travel-related expense provided by a non-governmental source for activities related to your official duties.

Do not report

- Gifts, campaign expenditures.

Question 11 — Retirement plans, trusts and estates

Report a right, claim or legal share you held in 2023, 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., Citibank IRA.

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

Report

- Deferred compensation plans, **including** the NYS Deferred Compensation Plan.
- Pensions or retirement plans other than NYS or NYC pensions or retirement plans.
- Individual retirement accounts (IRAs) including Keogh, retirement plans and annuities.

Do not report

- NYS or NYC retirement plans.
- An interest established by or for, or in the estate of, a relative. For purposes of financial disclosure, 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.
- 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 this information in Question 16.

Question 12 — Employment agreements

12(a) Report the parties and terms of any contract, promise or other agreement, in effect during 2023, for future employment.

12(b) Report the parties and terms of any agreements, in effect in 2023, established by a former employer, 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 or severance payments.

Question 13 — Income received by you or your spouse

Report all income received by you or your spouse in 2023, in excess of \$1,000, from any source, including the employment you reported in question 2a. Indicate whether the income was received by you or your spouse.

YOU MUST REPORT YOUR SPOUSE'S INCOME FROM EMPLOYMENT in excess of \$1,000.

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 includes payments received from a pension plan, annuity, deferred compensation plan, profit-sharing plan, and an IRA or KEOGH plan only if reportable for federal income tax purposes.

Income in excess of \$1,000 from the sale of property, including securities and real property, must be reported if the income is reportable as capital gains for federal income tax purposes. You must report the complete address of the property.

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

If your spouse is self-employed, report the name under which he or she does business, (if the name of the business is your spouse's name, so indicate) and report the type of work done by your spouse, e.g., carpentry.

You must report income in excess of \$1,000 generated by assets reported in questions 16 and 17.

You must report interest income in excess of \$1,000 received by you and or your spouse, pursuant to a mortgage reported in question 16 or 18. **Do not report** payments that you and or your spouse made to a bank or other financial institution pursuant to a mortgage held by the bank or other financial institution on property that you own, for example your primary or secondary residence.

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 in excess of \$1,000 is received from a trust, the name of the trust must be identified.

If income in excess of \$1,000 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, without reporting the address.

If income in excess of \$1,000 is received from the rental of real property, report the complete address of the property unless it is your primary or secondary residence. If it is your primary or secondary residence, so indicate without reporting the address.

If income in excess of \$1,000 is received as a result of a condemnation award, the complete address of the condemned property must be reported.

If you win a prize of personal property, you must report your good faith estimate of the fair market value of that prize as income, if the value is in excess of \$1,000.

See the Quick Filing Guide 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 2023 but that will be paid to you subsequent to December 31, 2023.

Do not report

- Deferred Compensation or other retirement plans or pensions. Report your retirement accounts in Question 11, and your spouse's retirement accounts in Question 16.

Question 15 — Assignment of income and gifts to others

Report income in excess of \$1,000 that you assigned to someone else in 2023. 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 2023 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. For purposes of financial disclosure, 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.

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

Question 16 — Investments

(*See reporting examples immediately following the instructions for this question.)

Report securities held by you or your spouse as of December 31, 2023, 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.

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 not reported in question 8a
- 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
- Promissory Notes

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.

If the total value of the securities held in a **brokerage/investment account**, including a **cash management account** and a **portfolio management program**, but **excluding a money market account, retirement account, private equities account and restricted management account**, is in excess of \$1,000 as of December 31, 2023, you must report the name of the financial institution where the account is held.

- if the account is a retirement account so indicate. No further information is necessary.

- If the account is not a retirement account, each security therein with a value in excess of \$1,000 as of December 31, 2023 must be itemized and specifically identified. You are not required to report a category of value for each individual security that you have identified. If there are no individual securities valued in excess of \$1,000 as of December 31, 2023 in the account, so indicate.

If the securities include bonds, report the name of each individually held bond, or the name of the bond fund. You do not have to itemize each bond held in a bond fund. If the individually held bonds are issued by a state or local government, you must identify the departments/agencies that issued the bonds. If the bonds are general obligation, so indicate.

If the securities include mutual funds, you do not have to itemize the contents of the funds. You must report the names of the funds, if readily ascertainable, EXCEPT THAT if all or some of the funds were created by the financial institution holding the investment/brokerage account, so indicate without naming the funds. If the names of the funds are not readily ascertainable, so indicate. If the funds are not named, and you do not indicate that the names are not readily ascertainable, it will be assumed that the funds were created by the financial institution holding the investment/brokerage account.

You must report the category of market value of a money **market account, retirement account, private equities account or restricted management account** valued in excess of \$1,000, and the name of the financial institution where the account is held. You do not have to itemize individual securities held in the account.

If you or your spouse own **bonds** not held in a brokerage/investment account or a portfolio management program, you must identify each bond valued in excess of \$1,000. You must report the entity that issued that bond, and the type of bond. If the bonds are issued by the federal government, or a state or local government, you must identify the departments/agencies that issued the bonds. If the bonds are general obligation, so indicate.

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

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.

Do not report any information pertaining to a mortgage that is a debt, not an asset. For example, do not report the mortgage on your primary or secondary residence, pursuant to which you make payments to a bank or other financial institution.

Information pertaining to a **mortgage held by you** should be reported in Question 18. Information pertaining to a **mortgage held by your spouse or jointly by you and your spouse**, must be reported in this question, unless the mortgagor is a relative. You must report the name of the mortgagor and the complete address of the mortgaged property, including number, street, town and state.

For purposes of financial disclosure, 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.

Do not report

- Assets held under the Uniform Gift to Minors Act or Uniform Transfers to Minors Act.
- An interest in a general partnership that was reported in Question 8a.

REPORTING EXAMPLES - QUESTION 16

Self/Spouse	Issuing Entity	Type of Security	Percent Owned or Controlled	Category of Market Value
Spouse	AT&T	Common Stock		G
Self & Spouse	XYZ, Inc.	Preferred Stock		D
Spouse	Ginnie Mae	Notes		B
Spouse	1st National Bank	Certificates of Deposit		B
Self	Vanguard	Mutual funds all created by Vanguard OR Mutual funds- the names are not readily ascertainable		E
Self	Vanguard	Vanguard Index 500 Fund, Vanguard Public Interest Fund, Oakmark Equity Fund OR Mutual funds created by Vanguard, and Oakmark Equity Fund, Fidelity Magellan Basic Value Fund OR Mutual funds- the names are not readily ascertainable		H
Self	Vanguard	Merrill Lynch Large Cap Growth Fund, Primerica Index Fund, Franklin Templeton No Load Fund		C
Self & Spouse	Merrill Lynch	Mutual Funds - No fund valued in excess of \$1,000		C
Self	Merrill Lynch	Stock in Merrill Lynch		I
Spouse	Ameritrade Brokerage Account	AT&T; IBM; Microsoft; NYC General Obligation Bonds; New York State Bond Fund; Vanguard Balanced Index Fund		J
Spouse	Ameritrade Brokerage Account	No security valued in excess of \$1,000		B
Spouse	Edward Jones Cash	Microsoft; Lucent; Galaxy Fund, Templeton Strong Fund		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

Question 17 — Real estate

Report the complete address of each real property interest, with a market value in excess of \$1,000, held by you or your spouse at any time during 202, excluding a primary or secondary residence, unless that residence is co-owned with someone who is not a relative. 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.

You are not required to obtain an appraisal to ascertain the market value of property. Your good faith estimate of the fair market value of the entire property, not just your interest in the property, is sufficient.

For purposes of financial disclosure, 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.

Property that must be reported includes, but is not limited to, vacant land, cooperatives, condominiums and investment property.

For purposes of financial disclosure, a primary residence is a principal place of abode. For purposes of financial disclosure, a secondary residence is a residence where you and or your spouse resided at least occasionally in the reporting year.

Report the complete address of:

- Investment property owned by a corporation in which you and/or your spouse own more than 50% of the stock.
- Investment property owned by a partnership if you and/or your spouse are a partner - other than a limited real estate partnership that is sponsored or sold through a stock brokerage or the is publicly traded.
- Investment property owned by a limited liability company if you and/or your spouse are a member.
- Your primary or secondary residence if you have a co-owner who is not a relative.

If you are required to report property owned by a corporation, report the complete name of the corporation in the “Self/Spouse/Corporation” column.

If you are required to report property owned by a partnership or limited liability company:

*In the “Self/Spouse/Corporation” column indicate, “self”- if you are the partner or the member of the limited liability company, or “spouse” if your spouse is the partner or member; and *In the “General Nature” column, report the name of the partnership or limited liability company, along with a general description of the property.

Question 18 — Debts owed to you (you are the creditor)

Report information pertaining to debts owed to you, outstanding as of December 31, 2023, in excess of \$1,000, unless owed by a relative. You must report the name of the debtor, including judgment debtors, and the category of amount of the balance of the debt owed to you.

For purposes of financial disclosure, 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.

Debts include, but are not limited to, accounts receivable, promissory notes, loan agreements and mortgages related to the purchase/sale of property.

If you hold a mortgage, you must report the name of the mortgagor (borrower) and the complete address of the mortgaged property, including number, street, town and state. Do not report information pertaining to a mortgage held by a bank or other financial institution on property you own, for example your primary or secondary residence; in this case you are the debtor, not the creditor.

Question 19 — Debts owed by you or your spouse (you and/or your spouse are the debtor)

Report

- Liabilities in excess of \$10,000 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.
- The name of the mortgagee and the complete address of the mortgaged property, including number, street, town and state.

For purposes of financial disclosure, 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.

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

Do not report

- Mortgages or improvement loans issued by a financial institution for a primary or secondary residence, unless you co-own the residence with someone who is not a relative.
- Loans issued in the ordinary course of business by a financial institution for education costs, the cost of home purchase or improvements for a primary or secondary residence, purchase of a personally owned motor vehicle, or household furniture or appliances. For purposes of financial disclosure, a boat is not a personally owned motor vehicle.
- 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 EXCESS OF \$1,000, IN QUESTION 13 (INCLUDING INCOME FROM EMPLOYMENT)**
- ✓ **REPORTED YOUR INCOME, IN EXCESS OF \$1,000, IN QUESTION 13**
- ✓ **ITEMIZED INDIVIDUAL SECURITIES HELD IN A BROKERAGE ACCOUNT REPORTED IN QUESTION 16, AS INDICATED IN THE INSTRUCTIONS FOR QUESTION 16**
- ✓ **REPORTED THE COMPLETE ADDRESS (INCLUDING STREET ADDRESS, CITY AND STATE) OF THE PROPERTY YOU REPORTED IN QUESTION 17**
- ✓ **SIGNED AND DATED YOUR PAPER STATEMENT**

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.....Self-11, Spouse-16	Directorships..... 4,13	excluding loans from the NYS pension plan 19
Accounts receivable..... 18	Dividends 13	Life Insurance...NR
Alimony/maintenance..... NR	Employment, after leaving UCS..... 12(a)	Loans in excess of \$1,000.00 owed to you (you are the creditor) 18
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