



## City of Annapolis

### Ethics Commission

c/o Office of Law  
145 Gorman Street, 3<sup>rd</sup> Fl  
Annapolis, MD 21401-2535

[Kmhardwick@annapolis.gov](mailto:Kmhardwick@annapolis.gov) • 410-263-7954 • Fax 410-268-3916 • [www.annapolis.gov](http://www.annapolis.gov)

## 2009 Financial Disclosure Statement

### Introduction

The attached statement of financial interests seeks disclosure of potential conflicts between your duties as a municipal representative and your personal or business interests. Under the provisions of Section 2.08.050 of the Annapolis City Code (1996 Edition and Supplement), you must complete and file the statement in accordance with the following instructions.

### Who must file

Statements are supplied to all persons who are required by law to make disclosure. If you have received a statement, you must complete and file it in the manner specified below.

### What is filed

You must complete and file the attached questionnaire regarding your financial interests, together with any supporting schedules required under the terms of the questionnaire. In completing the questionnaire, you are not required to provide dollar values for the interests covered by the questions.

### When to file

Fully completed statements and the necessary schedules must be filed with the Ethics Commission on or before the 31<sup>st</sup> day of January of each year.

### Where to file

The statement must be mailed or delivered to the City Ethics Commission, c/o City of Annapolis Office of Law, address listed at the top, by the applicable filing deadline.

### Definitions

As used in these instructions and the attached forms, the underlined terms have the meanings stated:

1. Interest means any legal or equitable interest, whether or not subject to an encumbrance or condition, which was owned or held, in whole or in part, jointly or severally, directly or indirectly, *at any time during the calendar year* for which a required statement is to be filed.

As so defined, interest includes an interest in any stock or similar security, pre-organization certificate of subscription, investment contract, or voting trust certificate; a limited or general partnership, joint venture, or business trust; a certificate of interest or participation in an oil, gas or other mineral royalty or lease, or any other profit-sharing agreement, a certificate or instrument of deposit for any of the foregoing; a certificate or instrument (including convertible instruments) of interest or participation in a guarantee of, or warrant or right to subscribe to or purchase, any of the foregoing; a put, call, straddle, or other option or privilege of subscribing to or purchasing any of the foregoing; or any other equity interest, however evidenced, which entitles the owner or holder thereof, directly or indirectly, along or in concert with others, to receive or

direct any part of the profits from, or to exercise any part of the control over, a business entity, as well as any interest which, conditionally or unconditionally, with or without consideration is convertible thereto. Interest also includes an interest in a note, bond, debenture, or other evidence of interest as a creditor.

Interest does *not* include an interest held solely in the capacity of personal representative, agent, custodian, fiduciary or trustee, nor does it include an interest in a time or demand deposit in a financial institution, nor an interest in an insurance or endowment policy or annuity contract under which an insurance company promises to pay a fixed number of dollars either in a lump sum or periodically for life or some other specified period.

2. Business entity includes a corporation, general or limited partnership, sole proprietorship, joint venture, unincorporated association, real estate investment trust or other business trust.
3. Person includes any natural person, corporation, partnership, trust, unincorporated association, or other organization, entity, or enterprise.
4. Business with the municipality means any one or any combination of sales, purchases, leases or contracts to, from, or with the municipality or any agency thereof, involving consideration of one thousand dollars or more on a cumulative basis during the calendar year for which a statement is required to be filed.
5. Child includes a child, adopted child, stepchild, foster child or grandchild, of whatever age.
6. Gift means the transfer of anything of economic value (regardless of form) without adequate and lawful consideration, whether or not it relates to the performance of official duties. However, gift does *not* include the solicitation, acceptance or receipt of any campaign contributions regulated in accordance with any law pertaining to the conduct of elections or the receipt of political campaign contributions.

### **Other Reportable Interests**

In addition to interests held directly, you must also disclose the following indirect interests:

7. Any interest held by your spouse or child, if such interest was, at any time during the year for which the statement is filed, directly or indirectly controlled by you.
8. Any interest held by a business entity in which you had an interest at any time during the year for which the statement is filed.
9. Any interest held by a trust (other than a common trust fund) under which you held a reversionary interest at any time during the year for which the statement is filed, or under which you were at any time during that year a beneficiary or a trustor (but only if a revocable trust).

### **Additional Information**

#### **All incomplete forms will be returned.**

If you need additional information or clarification regarding the completion of the statement, please contact the City of Annapolis Office of Law at 410-263-7954.



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**2009 Statement of Financial Interests**

Name \_\_\_\_\_

Office/Position \_\_\_\_\_

Reporting period **January 1, 2009 through December 31, 2009**

This Statement of Financial Interests\*, together with any required supporting schedules, describes all financial interests and related transactions and other matters required to be disclosed by me under Section 2.08.050 of the Code of the City of Annapolis.

1. I did at some time during the period covered by this statement hold interest(s) in or with respect to any real property in the State of Maryland or elsewhere (including leasehold(s) and interest(s) in any oil, gas or other mineral royalty or lease.)  
*Do you own or rent property?*

If yes, complete the attached Schedule 1. Yes      No

2. I did at some time during the period covered by this statement hold interest(s) in a business entity, whether or not the business entity did business with the municipality.

If yes, complete the attached Schedule 2. Yes      No

3. I did at some time during the period covered by this statement hold interest(s) in a business entity, other than a corporation, which does business with the municipality.

If yes, complete the attached Schedule 3. Yes      No

4. I did at some time during the period covered by this statement hold an office, directorship or salaried position in a corporation or other business entity doing business with the municipality.

If yes, complete the attached Schedule 4. Yes      No

5. I or another person at my direction did at some time during the period covered by this statement receive a gift of property or a gift of money, including the forgiveness of any liability, directly or indirectly, from, or on behalf of, any person who does business with the municipality or is regulated by the municipality, *exclusive of* campaign contributions otherwise reported and *exclusive of* gifts received from my spouse, or from a relative or the spouse of such relative, but including only the following relatives: parent, grandparent, great grandparent, child, grandchild, great grandchild, brother, sister, uncle, aunt, nephew or niece.

If yes, complete the attached Schedule 5. Yes      No

6. I did at some time during the period covered by this statement have debt(s) (excluding retail credit accounts) owed to a person doing business with the municipality, or I did at some time during the period covered by this statement become involved in transaction(s) giving rise to debt(s) (excluding retail credit accounts) owed by my spouse or child to a person doing business with the municipality.

If yes, complete the Schedule 6. Yes      No

7. My spouse or dependent children were at some time during the period covered by this statement employed by the municipality in some capacity.

If yes, complete the attached Schedule 7. Yes      No

**\* QUESTIONS 1-8 MUST BE ANSWERED. DO NOT LEAVE ANY BLANK. IF YOU ANSWER "YES" TO ANY QUESTION, YOU MUST COMPLETE THE CORRESPONDING SCHEDULE.**

8. I wish to disclose additional interest(s) or information.

If yes, complete the attached Schedule 8.

Yes

No

I HEREBY CERTIFY AND AFFIRM, under penalty of perjury, that the information contained in this statement and on the attached schedules (if any) is accurate and complete to the best of my knowledge and belief.

Signature \_\_\_\_\_ Date \_\_\_\_\_  
Mailing address \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_  
Phone(s), day \_\_\_\_\_

**\* QUESTIONS 1-8 MUST BE ANSWERED. DO NOT LEAVE ANY BLANK. IF YOU ANSWER "YES" TO ANY QUESTION, YOU MUST COMPLETE THE CORRESPONDING SCHEDULE.**



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Name \_\_\_\_\_

Reporting period January 1, 2009 through December 31, 2009

**SCHEDULE 1**

**Interests in Real Property Located in Maryland or Elsewhere**

**Property information** *Use one sheet for each property reported; photocopies of this form are acceptable.*

Location by street address, mailing address or legal description

Nature of property, e.g. zoning, current use, etc. \_\_\_\_\_

**Acquisition information**

Date acquired \_\_\_\_\_

From: Name \_\_\_\_\_

Address \_\_\_\_\_

Manner of acquisition, e.g. purchased, rented, etc. \_\_\_\_\_

**Interest held**

Nature of interest e.g. owner in fee, lessee, etc. \_\_\_\_\_

Extent, i.e. 1/3, 50%; do not include dollar value \_\_\_\_\_

If your interest is attributed to you, rather than held directly by you (i.e., you hold indirectly, such as through a trust), explain the basis of the attribution below.

List below any conditions and the name of the holder of any encumbrances on the property (mortgages, leases, etc., not including dollar value).

Other holders: Name \_\_\_\_\_

Address \_\_\_\_\_

**Interest transferred**

Description of transferal during this period. \_\_\_\_\_

To: Name \_\_\_\_\_

Address \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

Name \_\_\_\_\_

Reporting period January 1, 2009 through December 31, 2009

**SCHEDULE 2**  
**Interest in Business Entity \***

\* At the option of the person filing the statement, an amount of stock or like evidence of equity interest may be reported either: (1) by number of shares held and percentage of equity interest held; or (2) as to corporate stock which is publicly traded on a stock exchange, in an over-the-counter market or otherwise, by the number of shares held.

Name and principal address of Business Entity	Nature of interest held including conditions and name of Holder of any encumbrances	* If interest or portion of interest transferred during period, describe particulars of transfer

Signature \_\_\_\_\_

Date \_\_\_\_\_

Name \_\_\_\_\_

Reporting period January 1, 2009 through December 31, 2009

**SCHEDULE 3**  
**Interests in Business Entities (Other than Corporations)**  
**Which Do Business with the Municipality \***

\* Such interests need only be reported if they involve a consideration of one thousand dollars (\$1,000) or more on a cumulative basis during the calendar year for which a required statement is to be filed.

Name and principal address of Business Entity	Nature of interest held including conditions and name of Holder of any encumbrances	* If interest or portion of interest transferred during period, describe particulars of transfer

Signature \_\_\_\_\_ Date \_\_\_\_\_

Name \_\_\_\_\_

Reporting period January 1, 2009 through December 31, 2009

**SCHEDULE 4**  
**Offices, Directorships and Salaried Employment Held in Business Entities**  
**Doing Business with the Municipality**

Name and address of principal office of Business Entity	Title and nature of Office, Directorship or salaried employment held

Signature \_\_\_\_\_ Date \_\_\_\_\_



Name \_\_\_\_\_

Reporting period January 1, 2009 through December 31, 2009

**SCHEDULE 5**  
**Gifts from Persons Doing Business with or Regulated by the Municipality \***

\* Does not include campaign contributions reported as required by State law, nor does it include gifts from a spouse or relative listed in Question 5 of the statement attached, or the spouse of any listed relative.

Nature and value of gift (If cash, so indicate; if property, describe.)	Identity of person from whom gift was received.	Identity of recipient if given at your direction.

Signature \_\_\_\_\_

Date \_\_\_\_\_

Name \_\_\_\_\_

Reporting period January 1, 2009 through December 31, 2009

**SCHEDULE 6**  
**Debts Owed to Persons Doing Business with the Municipality \***

\* Does not include retail credit accounts, which do not have to be reported.

Identity of person to whom debt owed	If debt was one owed by spouse or child and arose out of transaction in which you were involved, identify spouse or child and describe the transaction and your involvement.

Signature \_\_\_\_\_

Date \_\_\_\_\_

Name \_\_\_\_\_

Reporting period January 1, 2009 through December 31, 2009

**SCHEDULE 7**  
**Members of Immediate Family Employed by the Municipality**

Identity of spouse or dependent children employed by the city	Nature and Title of position held	Length of employment

Signature \_\_\_\_\_

Date \_\_\_\_\_

Name \_\_\_\_\_

Reporting period January 1, 2009 through December 31, 2009

**SCHEDULE 8 (Optional)**  
**Disclosure of Other Interests and Information**

Nature of interest or transaction in question	Other persons involved in interest or transaction, other if pertinent information

Signature \_\_\_\_\_

Date \_\_\_\_\_