

Memorandum



DATE January 11, 2005

TO THE HONORABLE MAYOR LAURA MILLER AND
MEMBERS OF THE CITY COUNCIL

SUBJECT FINANCIAL DISCLOSURE REPORTS

Chapter 12A, "Code of Ethics," of the Dallas City Code requires that selected city officials and designated city employees file a complete annual financial disclosure report with the city secretary.

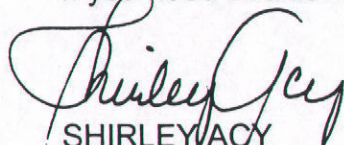
The city secretary MUST receive the sworn financial disclosure report by 5:00 PM the first business day after Saturday, April 30, 2005, which is Monday, May 2, 2005. The report covers the reporting period of January 1, 2004 – December 31, 2004.

ADDITIONALLY, OUR OFFICE HAS RECEIVED INFORMATION FROM THE TEXAS ETHICS COMMISSION INFORMING US THAT THERE IS ANOTHER FORM THAT MUST BE FILED. WE ARE PRESENTLY REVIEWING THIS INFORMATION, AND WILL FORWARD THE FORM TO YOU UNDER SEPARATE COVER.

If the information you filed with our office on the prior year's form has **not** changed within the **last six months**, then you may file the enclosed **short** form. Please complete each item on the enclosed financial disclosure report. If an item does not apply to you, please indicate "does not apply" or "not applicable" or a similar statement. Please note that the report must be sworn before a notary and the information provided in the report is subject to the Texas Open Records Act.

Please ensure that your first assistants and other city employees identified in Chapter 12A-19(C)(D)(E) complete and submit their financial disclosure reports.

If you need additional information, please advise.


SHIRLEY AOY
City Secretary

Enclosures 2

Memorandum



DATE January 27, 2005

TO DEPUTY MAYOR PRO TEM DONALD HILL

SUBJECT FINANCIAL DISCLOSURE REPORTS

On January 10, 2005, in compliance with Chapter 12A of the "Code of Ethics", the city secretary's office sent a financial disclosure statement to you. Chapter 12A, "Code of Ethics," of the Dallas City Code requires that selected city officials and designated city employees file a complete annual financial disclosure report with the city secretary.


In addition to filing the City's financial disclosure statements required by Chapter 12A of the Dallas City Code, effective January 1, 2005, Chapter 145 of the Local Government Code of the State of Texas requires that for municipalities with a population of 100,000 or more, the Mayor, members of the governing body, the city attorney, the city manager and candidates for municipal office must file the same financial disclosure form as state officials file with the Texas Ethics Commission. Attached are TWO copies of the financial disclosure statement required to be filed by you pursuant to Chapter 145 of the local government code.

The city secretary MUST receive the sworn financial disclosure statement by 5:00 PM the first business day after Saturday, April 30, 2005, which is Monday, May 2, 2005. The statement covers the reporting period of January 1, 2004 - December 31, 2004.

PLEASE BE ADVISED THAT IF YOU ARE PLANNING ON FILING AS A CANDIDATE FOR ELECTION TO THE DALLAS CITY COUNCIL, YOU MUST FILE THIS STATE OF TEXAS FINANCIAL DISCLOSURE STATEMENT WITH THE CITY SECRETARY NO LATER THAN THE FIRST BUSINESS DAY AFTER SATURDAY, MARCH 26, 2005, WHICH IS MONDAY, MARCH 28, 2005, AND YOU MAY NOT BE GRANTED AN EXTENSION.

PLEASE NOTE THAT BOTH CRIMINAL AND CIVIL PENALTIES MAY BE IMPOSED FOR FAILURE TO FILE A FINANCIAL DISCLOSURE STATEMENT. AN OFFENSE UNDER CHAPTER 145 IS A CLASS B MISDEMEANOR, WHICH IS PUNISHABLE BY A FINE UP TO \$2000 AND/OR CONFINEMENT UP TO 180 DAYS. IN ADDITION, SECTION 145.010 SETS FORTH A PROCESS WHEREBY A CIVIL PENALTY UP TO \$1000 CAN BE ASSESSED UPON FAILURE TO COMPLY AFTER NOTICE IS RECEIVED FROM THE CITY ATTORNEY'S OFFICE. ADDITIONALLY, SECTION 145.007 PROVIDES THAT THE FINANCIAL DISCLOSURE STATEMENTS ARE PUBLIC RECORDS AND ARE TO BE MAINTAINED SO AS TO BE ACCESSIBLE TO THE PUBLIC DURING REGULAR OFFICE HOURS.

If you need additional information, please advise.


SHIRLEY ACY
City Secretary
Enclosures 3

Memorandum



DATE March 7, 2005

TO DEPUTY MAYOR PRO TEM DONALD HILL

SUBJECT FINANCIAL DISCLOSURE REPORTS

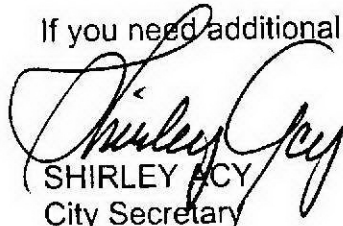
On February 23, 2005 Ordinance #25906 was passed by the Dallas City Council, amending Article VI, Sections 12A-19 and 12A-20 of CHAPTER 12A, "CODE OF ETHICS" of the Dallas City Code. Article VI, Section 12A-19(2) states, "The mayor, city council members, the city attorney, city manager, and each candidate for a place on the city council are required to file with the city secretary verified financial statements complying with Chapter 145 of the Texas Local Government Code, as amended, and are not subject to the provisions of Subsections (b) through (g)...." Therefore, it is no longer necessary to file the *city of Dallas* financial disclosure statement; you are **ONLY** required to file the State of Texas form required by Chapter 145 of the Local Government Code.

The city secretary MUST receive the State of Texas sworn financial disclosure statement by 5:00 PM the first business day after Saturday, April 30, 2005, which is Monday, May 2, 2005. The statement covers the reporting period of January 1, 2004 – December 31, 2004.

PLEASE BE ADVISED THAT IF YOU ARE PLANNING ON FILING AS A CANDIDATE FOR ELECTION TO THE DALLAS CITY COUNCIL, YOU MUST FILE THIS STATE OF TEXAS FINANCIAL DISCLOSURE STATEMENT WITH THE CITY SECRETARY NO LATER THAN THE FIRST BUSINESS DAY AFTER SATURDAY, MARCH 26, 2005, WHICH IS MONDAY, MARCH 28, 2005, AND YOU MAY NOT BE GRANTED AN EXTENSION.

PLEASE NOTE THAT BOTH CRIMINAL AND CIVIL PENALTIES MAY BE IMPOSED FOR FAILURE TO FILE A FINANCIAL DISCLOSURE STATEMENT. AN OFFENSE UNDER CHAPTER 145 IS A CLASS B MISDEMEANOR, WHICH IS PUNISHABLE BY A FINE UP TO \$2000 AND/OR CONFINEMENT UP TO 180 DAYS. IN ADDITION, SECTION 145.010 SETS FORTH A PROCESS WHEREBY A CIVIL PENALTY UP TO \$1000 CAN BE ASSESSED UPON FAILURE TO COMPLY AFTER NOTICE IS RECEIVED FROM THE CITY ATTORNEY'S OFFICE. ADDITIONALLY, SECTION 145.007 PROVIDES THAT THE FINANCIAL DISCLOSURE STATEMENTS ARE PUBLIC RECORDS AND ARE TO BE MAINTAINED SO AS TO BE ACCESSIBLE TO THE PUBLIC DURING REGULAR OFFICE HOURS.

If you need additional information, please advise.


SHIRLEY J. Jey
City Secretary

Memorandum



CITY OF DALLAS

DATE March 10, 2005

TO CANDIDATES FOR DALLAS CITY COUNCIL

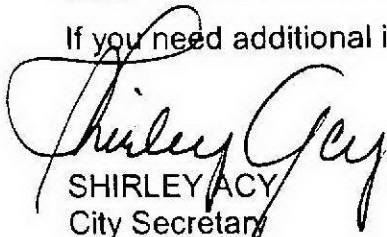
SUBJECT FINANCIAL DISCLOSURE REPORTS

On February 23, 2005 Ordinance #25906 was passed by the Dallas City Council, amending Article VI, Sections 12A-19 and 12A-20 of CHAPTER 12A, "CODE OF ETHICS" of the Dallas City Code. Article VI, Section 12A-19(2) states, "The mayor, city council members, the city attorney, city manager, and **each candidate for a place on the city council** are required to file with the city secretary verified financial statements complying with Chapter 145 of the Texas Local Government Code, as amended, and are not subject to the provisions of Subsections (b) through (g)...." Therefore, it is no longer necessary to file the *City of Dallas* financial disclosure statement; **you are ONLY required to file the State of Texas form required by Chapter 145 of the Local Government Code.** Attached are two copies of the financial disclosure statement required to be filed by you pursuant to Chapter 145 of the Local Government Code.

THE CITY SECRETARY MUST RECEIVE THE STATE OF TEXAS SWORN FINANCIAL DISCLOSURE STATEMENT NO LATER THAN THE FIRST BUSINESS DAY AFTER SATURDAY, MARCH 26, 2005, WHICH IS MONDAY, MARCH 28, 2005, AND YOU MAY NOT BE GRANTED AN EXTENSION. THE STATEMENT COVERS THE REPORTING PERIOD OF JANUARY 1, 2004 - DECEMBER 31, 2004.

PLEASE NOTE THAT BOTH CRIMINAL AND CIVIL PENALTIES MAY BE IMPOSED FOR FAILURE TO FILE A FINANCIAL DISCLOSURE STATEMENT. AN OFFENSE UNDER CHAPTER 145 IS A CLASS B MISDEMEANOR, WHICH IS PUNISHABLE BY A FINE UP TO \$2000 AND/OR CONFINEMENT UP TO 180 DAYS. IN ADDITION, SECTION 145.010 SETS FORTH A PROCESS WHEREBY A CIVIL PENALTY UP TO \$1000 CAN BE ASSESSED UPON FAILURE TO COMPLY AFTER NOTICE IS RECEIVED FROM THE CITY ATTORNEY'S OFFICE. ADDITIONALLY, SECTION 145.007 PROVIDES THAT THE FINANCIAL DISCLOSURE STATEMENTS ARE PUBLIC RECORDS AND ARE TO BE MAINTAINED SO AS TO BE ACCESSIBLE TO THE PUBLIC DURING REGULAR OFFICE HOURS.

If you need additional information, please advise.


SHIRLEYACY
City Secretary

Attachments

CHAPTER 12A
CODE OF ETHICS

ARTICLE I.

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Sec. 12A-2. Definitions.

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Sec. 12A-4. Unfair advancement of private interests.
Sec. 12A-5. Gifts.
Sec. 12A-6. Confidential information.
Sec. 12A-7. Representation of private interests.
Sec. 12A-8. Conflicting outside employment.
Sec. 12A-9. Public property and resources.
Sec. 12A-10. Political activity.
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Sec. 12A-26. Complaints.
Sec. 12A-27. Hearing procedures.
Sec. 12A-28. Hearing rules.
Sec. 12A-29. Disposition of complaint.
Sec. 12A-30. Referral of matter for appropriate action; recommendation of sanctions.
Sec. 12A-31. Petition for declaratory ruling.
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Sec. 12A-37. Disciplinary action.
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ADMINISTRATIVE PROVISIONS.

- Sec. 12A-41. Other ethical obligations.
Sec. 12A-42. Dissemination of code of ethics.
Sec. 12A-43. Expiration and review of code of ethics.

ARTICLE I.

DECLARATION OF POLICY.

SEC. 12A-1. STATEMENT OF PURPOSE AND PRINCIPLES OF CONDUCT.

(a) Purpose. It is hereby declared to be the policy of the city that the proper operation of democratic government requires that:

(1) city officials and employees be independent, impartial, and responsible only to the people of the city;

(2) governmental decisions and policy be made using the proper procedures of the governmental structure;

(3) no city official or employee have any financial interest, direct or indirect, or engage in any business, transaction, or professional activity or incur any obligation of any nature that is in conflict with the proper discharge of his or her duties in the public interest;

(4) public office not be used for personal gain; and

(5) the city council at all times be maintained as a nonpartisan body.

(b) Principles of conduct.

(1) The city council further believes that an elected or appointed official of the city assumes a public trust and should recognize the importance of high ethical standards within the organization they lead or support. Essential values and ethical behaviors that an elected or appointed official should exemplify include the following:

(A) Commitment beyond self.

(B) Obedience and commitment beyond the law.

(C) Commitment to the public good.

(D) Respect for the value and dignity of all individuals.

(E) Accountability to the public.

(F) Truthfulness.

(G) Fairness.

(H) Responsible application of resources.

(2) In keeping with the values set forth in Subsection (b)(1), and to assist in the fulfillment of responsibilities to the individuals and communities served, each elected or appointed official should subscribe to the following principles.

(A) To conduct himself or herself and to operate with integrity and in a manner that merits the trust and support of the public.

(B) To uphold all applicable laws and regulations, going beyond the letter of the law to protect and/or enhance the city's ability to accomplish its mission.

(C) To treat others with respect, doing for and to others what the official would have done for and to him or her in similar circumstances.

(D) To be a responsible steward of the taxpayer resources.

(E) To take no actions that could benefit the official personally at the unwarranted expense of the city, avoiding even the appearance of a conflict of interest, and to exercise prudence and good judgment at all times.

(F) To carefully consider the public perception of personal and professional actions and the effect such actions could have, positively or negatively, on the city's reputation both in the community and elsewhere.

(G) To strive for personal and professional growth to improve effectiveness as an elected or appointed official.

(c) To implement the policy and principles set forth in this section, the city council has determined that it is advisable to enact this code of ethics for all city officials and employees, whether elected or appointed, paid or unpaid, advisory or administrative, to serve not only as a guide for official conduct of the city's public servants, but also as a basis for discipline for those who refuse to abide by its terms.

(d) This section is a statement of purpose and principles only. Nothing in this section may be used to create a cause of action against an official or employee under this chapter. (Ord. 24316)

SEC. 12A-2. DEFINITIONS.

In this chapter, the following words and phrases have the meanings ascribed to them in this section, unless the context requires otherwise:

(1) **ACCEPT.** A person "accepts" an offer of employment or a business opportunity when the person enters into a legally binding contract or any informal understanding that the parties expect to be carried out.

(2) **AFFECT PARTICULARLY AN ECONOMIC INTEREST** or **AFFECT PARTICULARLY A SUBSTANTIAL ECONOMIC INTEREST.** An action is likely to "affect particularly an economic interest" or "affect particularly a substantial economic interest," whichever is applicable, if it is likely to have an effect on the particular interest that is distinguishable from its effect on members of the public in general or on a substantial segment of the public.

(3) **AFFILIATED.** Business entities are "affiliated" if one is the parent or subsidiary of the other or if they are subsidiaries of the same parent business entity.

(4) **AFFINITY.** Relationship by "affinity" (by marriage) is defined in Sections 573.024 and 573.025 of the Texas Government Code, as amended.

(5) **BEFORE THE CITY.** Representation or appearance "before the city" means before:

(A) the city council;

(B) a board, commission, or other city body or city entity; or

(C) a city official or employee.

(6) **BENEFIT** means anything reasonably regarded as pecuniary gain or pecuniary advantage, including a benefit to any other person in whose welfare the beneficiary has a direct and substantial interest.

(7) **BUSINESS ENTITY** means a sole proprietorship, partnership, firm, corporation, holding company, joint-stock company, receivership, trust, unincorporated association, or any other entity recognized by law, except that the term does not include a governmental entity.

(8) **CITY** means the city of Dallas, Texas.

(9) **CITY COUNCIL MEMBER** or **MEMBER OF THE CITY COUNCIL** means all members of the Dallas city council, including the mayor.

(10) **CLIENT.**

(A) The term "client" includes any specialized and highly personalized professional business relationship of an individual official or employee. The term does not include a regular or ordinary business or vendor relationship.

(B) If the official or employee does not personally represent the client but conducts business as a member of a primary partnership or professional corporation or conducts business through another entity, a client of the partnership, professional corporation, or entity is deemed to be a client of the official or employee if:

(i) the partnership, professional corporation, or entity derived two percent or more of its annual gross income within the preceding 12 months from the client; and

(ii) the city official or employee knows of the client's relationship.

(11) CODE OF ETHICS or ETHICS CODE means this chapter.

(12) CONFIDENTIAL GOVERNMENT INFORMATION includes:

(A) all information held by the city that is not available to the public under the Texas Open Records Act;

(B) any information from a meeting closed to the public pursuant to the Texas Open Meetings Act; and

(C) any information protected by attorney-client, attorney work product, or other applicable legal privilege.

(13) CONSANGUINITY. Relationship by "consanguinity" (by blood) is defined in Sections 573.022 and 573.023 of the Texas Government Code, as amended.

(14) DEPARTMENT DIRECTOR means the head of any department or office, including an office under the city manager, that is created by the city charter or by ordinance of the city council.

(15) DISCRETIONARY CONTRACT means any contract other than one that by law must be awarded on a competitive bid basis.

(16) DOMESTIC PARTNER means an individual who, on a continuous basis, lives in the same household and shares the common resources of life in a close, personal, intimate, committed relationship with a city official or employee. A domestic partner may be of the same or opposite gender as the official or employee and is not married to or related by blood to the official or employee.

(17) ECONOMIC INTEREST includes, but is not limited to, legal or equitable property interests in land, chattels, and intangibles, and contractual rights, having more than de minimis value. Exceptions are as follows:

(A) Service by a city official or employee as an officer, director, advisor, or otherwise active participant in an educational, religious, charitable, fraternal, or civic organization does not create for that city official or employee an economic interest in the property of the organization.

(B) If a city official's primary source of employment is with a governmental entity other than the city, such employment by the governmental entity does not create for that city official an economic interest in the property or contracts of the governmental entity.

(C) Ownership of an interest in a mutual or common investment fund that holds securities or other assets is not an economic interest in such securities or other assets unless the person in question participates in the management of the fund.

(18) EMPLOYEE or CITY EMPLOYEE means any person listed on the city of Dallas payroll as an employee, whether part-time, full-time, permanent, or temporary.

(19) EX PARTE COMMUNICATION means any communication not made in a written document filed with the ethics advisory commission and not made orally during a hearing, but does not include a communication made pursuant to an inquiry duly authorized by the commission.

(20) FORMER CITY OFFICIAL OR EMPLOYEE means a person whose official duties as a city official or employee are terminated on or after January 1, 2001.

(21) GIFT means a voluntary transfer of property (including the payment of money) or the conferral of a benefit having pecuniary value (such as the rendition of services or the forbearance of collection on a debt), unless consideration of equal or greater value is received by the donor.

(22) INDIRECT OWNERSHIP. A person has "indirect ownership" of an equity interest in a business entity where the interest is held through a series of business entities, some of which own interests in others.

(23) KNOWINGLY or WITH KNOWLEDGE. A person acts "knowingly" or "with knowledge" with respect to the nature of his or her conduct or to circumstances surrounding his or her conduct when the person is aware of the nature of the conduct or that the circumstances exist. A person acts "knowingly" or "with knowledge" with respect to a result of his or her conduct when the person is aware that the conduct is reasonably certain to cause the result.

(24) OFFICIAL or CITY OFFICIAL includes the following persons:

- (A) City council members.
- (B) Municipal judges.
- (C) The city manager, the first assistant city manager, and all assistant city managers.
- (D) The city auditor and the first assistant city auditor.
- (E) The city attorney and the first assistant city attorney.
- (F) The city secretary and the first assistant city secretary.
- (G) All department directors.
- (H) Members of all boards, commissions (except the youth commission whose members are minors), committees, and other bodies created by the city council pursuant to city ordinance or federal or state law, including bodies that are only advisory in nature.
- (I) City council appointed members of boards of entities that were not created by the city council.

(25) OFFICIAL ACTION includes:

- (A) any affirmative act (including the making of a formal or informal recommendation), that is within the scope of an official's or employee's duties; and

(B) any failure to act, if the official or employee is under a duty to act.

(26) OFFICIAL INFORMATION includes information gathered pursuant to the power or authority of city government.

(27) PARTNER includes any partner in a general partnership, limited partnership, or joint venture.

(28) PERSONALLY PARTICIPATED. The requirement of having "personally participated" in a matter is met only if the individual in fact exercised discretion relating to the matter. The fact that the person had responsibility for a matter does not by itself establish that the person "personally participated" in the matter.

(29) REPRESENTATION encompasses every form of communication or personal appearance in which a person, not acting in performance of official duties, formally or informally serves as an advocate for private interests. Lobbying and service as an expert witness, even on an informal basis, are forms of representation. "Representation" does not include appearance as a fact witness in litigation or other official proceedings.

(30) SOLICITATION. "Solicitation" of subsequent employment or a subsequent business opportunity includes any form of proposal or negotiation relating to employment or a business opportunity.

(31) SUBSTANTIAL ECONOMIC INTEREST.

(A) A person has a "substantial economic interest" in a business entity if:

(i) the person owns 10 percent or more of the voting stock, shares, or other ownership interest in the business entity or owns either 10 percent or more or \$15,000 or more of the fair market value of the business entity; or

(ii) funds received by the person from the business entity exceed 10 percent of the person's gross income for the previous year.

(B) A person has a "substantial economic interest" in real property if the interest is an equitable or legal ownership with a fair market value of \$2,500 or more.

(C) For purposes of determining a "substantial economic interest," ownership of an interest in a mutual or common investment fund that holds securities or other assets does not constitute direct or indirect ownership of such securities or other assets unless the person in question participates in the management of the fund. (Ord. Nos. 24316; 24485)

ARTICLE II.

PRESENT CITY OFFICIALS AND EMPLOYEES.

SEC. 12A-3. IMPROPER ECONOMIC BENEFIT.

(a) Economic interests affected. To avoid the appearance and risk of impropriety, a city official or employee shall not take any official action that he or she knows is likely to affect particularly the economic interests of:

- (1) the official or employee;
- (2) the official's or employee's outside client;
- (3) the official's or employee's outside employer;
- (4) a business entity in which the official or employee knows that he or she holds an economic interest;
- (5) a business entity that the official or employee knows is an affiliated business or partner of a business entity in which he or she holds an economic interest;
- (6) a business entity for which the city official or employee serves as an officer or director or in any other policymaking position; or
- (7) a person or business entity:

(A) from whom, within the past 12 months, the official or employee, directly or indirectly, has:

- (i) solicited an offer of employment;
- (ii) received and not rejected an offer of employment; or
- (iii) accepted an offer of employment; or

(B) with whom the official or employee, directly or indirectly, is engaged in negotiations pertaining to a business opportunity.

(b) Substantial economic interests affected. To avoid the appearance and risk of impropriety, a city official or employee shall not take any official action that he or she knows is likely to affect particularly the substantial economic interests of:

- (1) the official's or employee's parent, child, spouse, or other family member within the first degree of consanguinity or affinity;
- (2) the official's or employee's domestic partner;
- (3) an outside employer of the official's or employee's parent, child, spouse, or other family member within the first degree of consanguinity or affinity, or domestic partner, but only if the official or employee knows the family member or domestic partner has a substantial economic interest in the outside employer;
- (4) a business entity in which the official or employee knows that a substantial economic interest is held by his or her:
 - (A) parent, child, spouse, or other family member within the first degree of consanguinity or affinity; or
 - (B) domestic partner;
- (5) a business entity that the official or employee knows is an affiliated business or partner of

a business entity in which a substantial economic interest is held by his or her:

(A) parent, child, spouse, or other family member within the first degree of consanguinity or affinity; or

(B) domestic partner; or

(6) a person or business entity:

(A) from whom, within the past 12 months, the official's or employee's spouse or domestic partner, directly or indirectly, has:

(i) solicited an offer of employment;

(ii) received and not rejected an offer of employment; or

(iii) accepted an offer of employment; or

(B) with whom the official's or employee's spouse or domestic partner, directly or indirectly, is engaged in negotiations pertaining to a business opportunity.

(c) Recusal and disclosure. A city official or employee whose conduct or action on a matter would violate Subsection (a) or (b) must recuse himself or herself. From the time that the conflict is recognized, the city official or employee shall:

(1) immediately refrain from further participation in the matter, including discussions with any persons likely to consider the matter; and

(2) promptly file with the city secretary a written statement disclosing the conflict on a form provided by the city secretary.

(d) Additional recusal and disclosure requirements. In addition to the requirements of Subsection (c):

(1) a supervised employee shall promptly bring his or her conflict to the attention of a

supervisor, who will then, if necessary, reassign responsibility for handling the matter to another person;

(2) the park and recreation director shall promptly bring his or her conflict to the attention of the park and recreation board;

(3) the civil service director shall promptly bring his or her conflict to the attention of the civil service board;

(4) the employees' retirement fund administrator shall promptly bring his or her conflict to the attention of the board of trustees of the employees' retirement fund;

(5) a municipal judge shall promptly bring his or her conflict to the attention of the administrative municipal judge;

(6) the city manager, city attorney, city secretary, city auditor, and administrative municipal judge shall promptly bring his or her conflict to the attention of the city council;

(7) a board or commission member shall promptly disclose his or her conflict to the board or commission of which he or she is a member and shall not be present during any discussion or voting on the matter; and

(8) a city council member shall promptly disclose his or her conflict to the city council and shall not be present during any discussion or voting on the matter.

(e) Disclosure requirements relating to offers of employment. Whenever a city employee who is a department director or of higher rank receives an offer of employment from any person or business entity that the employee knows had an economic interest in any discretionary contract with the city in which the employee personally participated within the preceding 12 months, the employee shall, immediately upon receiving the offer, disclose the offer, whether rejected or not, to the appropriate supervisory person or body designated under Subsection (d). Unless recusal is required under

Subsection (c), the employee may continue to personally participate, on the behalf of the city, in contracts and other matters in which the person or entity making the employment offer has an economic interest.

(f) Board of directors of a reinvestment zone. Notwithstanding any other provision of this section, a member of the board of directors of a reinvestment zone established under the Tax Increment Financing Act, as amended, may:

(1) own property within that reinvestment zone; and

(2) participate in discussions and voting on matters before the board of directors that may directly or indirectly affect the member's property within the reinvestment zone.

(g) City officials and employees serving in policymaking positions for business entities at the direction of the city. The restrictions and requirements of Subsections (a)(6), (c), and (d) of this section do not apply to an official or employee of the city serving as an officer or director or in any other policymaking position for a business entity when taking official action on behalf of the city on matters concerning that business entity, if the official or employee:

(1) was appointed by the mayor, city council, or city manager to represent the city as an officer or director or in any other policymaking position for the business entity; and

(2) has no economic interest in the business entity or in the matter on which the action is being taken. (Ord. Nos. 24316; 24720)

SEC. 12A-4. UNFAIR ADVANCEMENT OF PRIVATE INTERESTS.

(a) General rule. A city official or employee may not use his or her official position to unfairly advance or impede personal interests by granting or securing, or by attempting to grant or secure, for any person (including himself or herself) any form of special consideration, treatment, exemption, or advantage beyond that which is lawfully available to every other person or organization.

(b) Special rules. The following special rules apply in addition to the general rule set forth in Subsection (a):

(1) Acquisition of interest in impending matters. A city official or employee shall not acquire an interest in any matter if the official or employee knows that the interest will be affected by impending official action of the city.

(2) Acquisition of interest in decided matter. A city official or employee shall not acquire an interest in any matter affected by an official action of the city for a period of one year after the date of the official action.

(3) Reciprocal favors. A city official or employee may not enter into an agreement or understanding with any other person that official action by the official or employee will be rewarded or reciprocated by the other person.

(4) Appointment or employment of relatives.

(A) A city official or employee shall not appoint, or take any action to influence the appointment of, his or her domestic partner or any relative within the first degree of consanguinity or affinity to the ethics advisory commission or to any quasi-judicial board or commission within the city. Any person who, before June 28, 2000, was appointed to a quasi-judicial board or commission within the city by a city official or employee who was either a domestic partner or a relative within the first degree of consanguinity or affinity may:

(i) complete his or her term on the board or commission; and

(ii) continue to be reappointed to that board or commission by the domestic partner or relative until the maximum number of terms allowed under Section 8-1.5 of the city code have been served.

(B) A city council member shall not appoint any fellow city council member's domestic partner or relative within the first degree of consanguinity or affinity to the ethics advisory commission or to any quasi-judicial board or commission within the city. Any person who, before

June 28, 2000, was appointed to a quasi-judicial board or commission within the city by a city council member and who was either a domestic partner or relative within the first degree of consanguinity or affinity of another city council member may:

(i) complete his or her term on the board or commission; and

(ii) continue to be reappointed to that board or commission by any city council member until the maximum number of terms allowed under Section 8-1.5 of the city code have been served.

(C) A city official or employee shall not appoint or employ, or take any action to influence the appointment or employment of, his or her domestic partner or any relative within the first degree of consanguinity or affinity to any position of employment within the city. Nothing in this subparagraph prohibits any person who, before June 28, 2000, was lawfully appointed to or employed in any position of employment with the city from continuing to serve in that position of employment.

(5) Supervision of relatives. In addition to the nepotism restrictions of Section 34-5(e) of the city code, no official or employee shall be permitted to be the immediate supervisor of his or her domestic partner or of any relative within the second degree of consanguinity or affinity.

(6) Fringe benefits. The general rule described in Subsection (a) of this section does not prohibit the city from granting fringe benefits to city employees as a part of their contracts of employment or as an added incentive to securing or retaining employees.

(c) Recusal and disclosure. A city official or employee whose conduct would violate Subsection (b)(4) of this section shall adhere to the recusal and disclosure requirements in Sections 12A-3(c) and (d) of this chapter. (Ord. 24316)

SEC. 12A-5. GIFTS.

(a) General rule. A city official or employee shall not solicit, accept, or agree to accept any gift or benefit that:

(1) reasonably tends to influence or reward official conduct; or

(2) the official or employee knows is intended to influence or reward the discharge of official duties.

(b) Gifts over \$250. All city officials and employees required to file a financial disclosure statement under Section 12A-19 of this chapter shall report all gifts over \$250 in the financial disclosure statement.

(c) Special applications. Subsections (a)(1) and (a)(2) do not include:

(1) reimbursement of reasonable expenses for travel authorized in accordance with city policies;

(2) a public award or reward for meritorious service or professional achievement, provided that the award or reward is reasonable in light of the occasion;

(3) a loan from a lending institution made in its regular course of business on the same terms generally available to the public;

(4) a scholarship or fellowship awarded on the same terms and based on the same criteria applied to other applicants; or

(5) admission to an event in which the city official or employee is participating in connection with official duties.

(d) Campaign contribution exception. The general rule stated in Subsection (a) does not apply to a campaign contribution received and reported in compliance with the Texas Election Code. (Ord. 24316)

SEC. 12A-6. CONFIDENTIAL INFORMATION.

(a) Improper access. A city official or employee shall not use his or her position to secure official information about any person or entity for any purpose other than the performance of official responsibilities.

(b) Improper disclosure or use. A city official or employee shall not intentionally or knowingly disclose any confidential government information gained by reason of the official's or employee's position. This rule does not prohibit:

- (1) any disclosure that is no longer confidential government information;
- (2) the confidential reporting of illegal or unethical conduct to authorities designated by law; or
- (3) any disclosure, not otherwise prohibited by law, in furtherance of public safety. (Ord. 24316)

SEC. 12A-7. REPRESENTATION OF PRIVATE INTERESTS.

(a) Representation by a member of a board, commission, or other city body. A city official or employee who is a member of a board, commission, or other city body shall not represent any person, group, or entity:

- (1) before that board, commission, or body; or
- (2) unless the board, commission, or body of which the city official or employee is a member is only advisory in nature:

(A) before city staff having responsibility for making recommendations to, or taking any action on behalf of, that board, commission, or body; or

(B) before a board, commission, or other city body that has appellate jurisdiction over the board, commission, or body of which the city official or employee is a member, if any issue relates to the official's or employee's duties.

(b) Representation before the city.

(1) General rule. A city official or employee shall not represent for compensation any person, group, or entity (other than himself or herself or his or her spouse, minor children, or domestic

partner) before the city. For purposes of this subsection, "compensation" means money or any other thing of value that is received, or is to be received, in return for or in connection with such representation.

(2) Exceptions. The rule stated in Subsection (b)(1) does not prohibit:

(A) a person who is classified as a city official only because he or she is an appointed member of a board, commission, or other city body from representing for compensation a person, group, or entity before the city unless such representation is a violation of Subsection (a) of this section; or

(B) an employee who is a duly designated representative of an association of municipal employees from representing that association before the city if otherwise permissible under state law.

(3) Prestige of office and improper influence. In connection with the representation of private interests before the city, a city official or employee shall not:

(A) assert the prestige of the official's or employee's city position for the purpose of advancing private interests; or

(B) state or imply that he or she is able to influence city action on any basis other than the merits.

(c) Representation in litigation adverse to the city.

(1) Officials and employees (other than board and commission members). A city official or employee, other than a person who is classified as an official only because he or she is an appointed member of a board, commission, or other city body, shall not represent any person, group, or entity (other than himself or herself or his or her spouse, minor children, or domestic partner) in any litigation to which the city is a party, if the interests of that person, group, or entity are adverse to the interests of the city. This rule does not prohibit an employee who is a duly designated representative of an association of municipal employees from such representation if otherwise permissible under state law.

(2) Board and commission members. A person who is classified as a city official only because he or she is an appointed member of a board, commission, or other city body shall not represent any person, group, or entity (other than himself or herself or his or her spouse, minor children, or domestic partner) in any litigation to which the city is a party, if the interests of that person, group, or entity are adverse to the interests of the city and the matter is substantially related to the official's duties to the city.

(3) Affiliates of officials and employees. Subject to applicable professional ethical standards, the restrictions stated in Subsections (c)(1) and (c)(2) do not apply to representation by a partner or other affiliate of a city official or employee so long as the city official or employee does not participate in any manner whatsoever in the partner's or affiliate's representation.

(d) Representation in municipal court. No member of the city council may engage in the practice of law in or before the municipal courts of the city. (Ord. 24316)

SEC. 12A-8. CONFLICTING OUTSIDE EMPLOYMENT.

(a) General rule. A city official or employee shall not:

(1) solicit, accept, or engage in concurrent outside employment that could reasonably be expected to impair independence of judgment in, or faithful performance of, official duties; or

(2) personally provide services for compensation, directly or indirectly, to a person or organization that is requesting an approval, investigation, or determination from the body or department of which the official or employee is a member.

(b) Exception. The restriction in Subsection (a) does not apply to outside employment of a city official if the employment is the official's primary source of income.

(c) Other rules. The general rule stated in Subsection (a) of this section applies in addition to

all other rules relating to outside employment of city officials and employees, including requirements for obtaining prior approval of outside employment as applicable.

(d) Public utility corporations. An employee of the city may accept employment from a public utility corporation enjoying the grant of a franchise, privilege, or easement from the city if:

(1) the employee is to perform the duties of a security guard for the public utility corporation;

(2) the employment is approved by the employee's department head; and

(3) the employment does not conflict with his or her duties as an employee of the city. (Ord. 24316)

SEC. 12A-9. PUBLIC PROPERTY AND RESOURCES.

A city official or employee shall not use, request, or permit the use of city facilities, personnel, equipment, or supplies for private purposes (including political purposes), except:

(1) pursuant to duly adopted city policies; or

(2) to the extent and according to the terms that those resources are generally available to the public. (Ord. 24316)

SEC. 12A-10. POLITICAL ACTIVITY.

(a) City officials. In any election, except his or her own, a city official shall not:

(1) use the prestige of the city official's position with the city on behalf of a candidate, political party, or political committee, except that:

(A) a city official is not prohibited from lending his or her name so long as the office held with the city is not mentioned in connection with the endorsement; and

(B) a city council member is not prohibited from lending his or her name and official city title in connection with any election for public office or in connection with any election ordered by the city of Dallas on a proposition or measure;

(2) serve as the designated campaign treasurer for a candidate under the Texas Election Code; or

(3) solicit or receive contributions for a candidate, political party, or political committee, except that a city official is not prohibited from serving on a steering committee to plan a program of solicitation and listing the member's name without reference to the office held when the committee as a whole is listed.

(b) Employees.

(1) The purpose of this subsection is to implement the order of the United States District Court for the Northern District of Texas in Hickman vs. City of Dallas, 475 F. Supp 137 (N.D. Tex. 1979), by delineating those portions of Chapter III, Section 17(c) of the city charter that may continue to be enforced.

(2) An employee of the city immediately forfeits employment with the city if the employee:

(A) becomes a candidate for election to the Dallas city council;

(B) becomes a candidate for nomination or election in a partisan election for public office within a county in which the city of Dallas resides, or in a partisan election for a public office, the constituency of which includes all or part of a county in which the city of Dallas resides;

(C) becomes a candidate for nomination or election to an elective public office where the holding of that office will conflict with the full and proper discharge of the employee's duties with the city; or

(D) is a managerial or supervisory city employee and becomes a candidate for nomination or election to an elective public office of an entity having direct or indirect contractual

relations with the city that involve the employee's department.

(c) Influencing subordinates. A city official or employee shall not, directly or indirectly, induce or attempt to induce any city subordinate of the official or employee to:

(1) participate in an election campaign, contribute to a candidate or political committee, or engage in any other political activity relating to a particular party, candidate, or issue; or

(2) refrain from engaging in any lawful political activity.

A general statement merely encouraging another person to vote does not violate this subsection.

(d) Paid campaigning. A city official or employee shall not directly or indirectly accept anything of value for political activity relating to an item pending on the ballot, if the official or employee participated in, or provided advice relating to, the exercise of discretionary authority by a city body that contributed to the development of the ballot item. "Anything of value" does not include a meal or other item of nominal value the city official or employee receives in return for providing information on an item pending on the ballot.

(e) Official vehicles. A city official or employee shall not display or fail to remove campaign materials on any city vehicle under his or her control.

(f) Elections. A city employee shall not use the prestige of his or her position with the city on behalf of any candidate, political party, or political committee.

(g) Charter provisions. A city official or employee shall comply with the provisions governing political activity set forth in Chapter XVI, Section 16 of the city charter, as those provisions have been judicially interpreted in Wachsman v. City of Dallas, 704 F.2d 160 (5th Cir. 1983).

(h) Public property and resources. Limitations on the use of public property and resources for political purposes are imposed by Section 12A-9 of this chapter. (Ord. Nos. 24316; 25203)

SEC. 12A-11. ACTIONS OF OTHERS.

(a) Violations by other persons. A city official or employee shall not knowingly assist or induce, or attempt to assist or induce, any person to violate any provision of this chapter.

(b) Using others to engage in forbidden conduct. A city official or employee shall not violate any provision of this chapter through the acts of another. (Ord. 24316)

SEC. 12A-12. PROHIBITED INTERESTS IN CONTRACTS.

(a) Charter restrictions relating to financial interests in city contracts. A city official or employee shall comply with the restrictions on financial interests in city contracts as set forth in Chapter XXII, Section 11 of the city charter.

(b) Additional restrictions relating to city contracts. An official or employee may not, while in the service or employment of the city, either individually or as the officer or principal of a private business entity:

(1) submit a bid or proposal, on behalf of the official or employee or on behalf of a private business entity, to make any city contract, whether or not the contract is required by state law to be competitively bid; or

(2) negotiate or enter into any city contract, on behalf of the official or employee or on behalf of a private business entity, whether or not the contract is required by state law to be competitively bid.

(c) Exceptions. The restrictions contained in Subsections (a) and (b) of this section do not apply to a member of:

(1) a board that functions only in an advisory or study capacity and that does not have the power to make findings as to the rights of specific parties; or

(2) a board of a nonprofit development corporation that acts as an instrumentality of the city. (Ord. 24316)

ARTICLE III.**FORMER CITY OFFICIALS AND EMPLOYEES.****SEC. 12A-13. CONTINUING CONFIDENTIALITY.**

A former city official or employee shall not use or disclose confidential government information acquired during service as a city official or employee. This rule does not prohibit:

(1) any disclosure that is no longer confidential government information;

(2) the confidential reporting of illegal or unethical conduct to authorities designated by law; or

(3) any disclosure, not otherwise prohibited by law, in furtherance of public safety. (Ord. 24316)

SEC. 12A-14. SUBSEQUENT REPRESENTATION.

(a) Representation by a former city council member or former board or commission member. A person who was a member of the city council, a board or commission; or another city body shall not represent any person, group, or entity (other than himself or herself or his or her spouse, minor children, or domestic partner) for a period of one year after the termination of his or her official duties:

(1) before the city council or that board, commission, or body;

(2) unless the board, commission, or body of which the former city official or employee was a member is only advisory in nature:

(A) before city staff having responsibility for making recommendations to, or taking any action on behalf of, the city council or that board, commission, or body; or

(B) before a board, commission, or other city body that has appellate jurisdiction over

the board, commission, or body of which the former city official or employee was a member, if any issue relates to his or her former duties.

(b) Representation before the city. A former city official or employee shall not represent for compensation any person, group, or entity (other than himself or herself or his or her spouse, minor children, or domestic partner) before the city for a period of one year after termination of his or her official duties. This subsection does not apply to a person who was classified as a city official only because he or she was an appointed member of a board, commission, or other city body. For purposes of this subsection, "compensation" means money or any other thing of value that is received, or is to be received, in return for or in connection with such representation.

(c) Representation in litigation adverse to the city. A former city official or employee shall not, absent consent from the city, represent any person, group, or entity (other than himself or herself or his or her spouse, minor children, or domestic partner) in any litigation to which the city is a party, if the interests of that person, group, or entity are adverse to the interests of the city and the matter is one in which the former city official or employee personally participated prior to termination of his or her official duties or is a matter substantially related to such a matter.

(d) Statement or implication of inappropriate influence. In connection with the representation of private interests, a former city official or employee shall not state or imply that he or she is able to influence city action on any basis other than the merits. (Ord. 24316)

SEC. 12A-15. DISCRETIONARY CONTRACTS.

(a) Impermissible interest in discretionary contract or sale. Within one year after the termination of official duties, a former city official or employee shall not have any financial interest, direct or indirect, in any contract with the city, or be financially interested, directly or indirectly, in the sale to the city of any land, materials, supplies, or service. Any violation of this subsection, with

knowledge, express or implied, of the person or corporation contracting with the city will render the contract involved voidable by the city manager or the city council. This subsection applies only to contracts or sales made on a discretionary basis and not to contracts or sales made on a competitive bid basis.

(b) Additional restrictions. A former city official or employee may not, within one year after leaving the service or employment of the city, either individually or as the officer or principal of a private business entity:

(1) submit a proposal, on behalf of the official or employee or on behalf of a private business entity, to make any city contract that is not required by state law to be competitively bid; or

(2) negotiate or enter into any city contract that is not required by state law to be competitively bid.

(c) Prior participation in negotiation or award of contract and disclosure requirements. A former city official or employee may not, within one year after the termination of official duties, perform work on a compensated basis relating to a discretionary contract, if he or she personally participated in the negotiation or awarding of the contract. A former city official or employee, for one year after termination of official duties, must disclose to the city secretary immediately upon knowing that he or she will perform work on a compensated basis relating to any discretionary contract with the city.

(d) Exceptions. The prohibitions of Subsections (a), (b), and (c) do not apply to:

(1) a contract for the personal services of a former city official or employee;

(2) a member of a board or commission that is only advisory in nature; or

(3) the provision of goods, facilities, or services by the city to a former city official or employee pursuant to duly adopted city policies and on nonnegotiable terms generally available to the public.

(e) Waivers. The prohibitions of Subsections (a), (b), and (c) may be waived by the city council, after a review of the specific circumstances, for a person who is considered a former official under this chapter only because he or she was a member of a board or commission that is more than advisory in nature. (Ord. Nos. 24316; 24721)

ARTICLE IV.

IDENTIFICATION OF PERSONS REPRESENTED BEFORE CITY.

SEC. 12A-16. APPEARANCE BEFORE CITY COUNCIL, BOARDS, COMMISSIONS, AND OTHER CITY BODIES.

A person who appears before the city council, a city board or commission, or any other city body shall identify himself or herself and give his or her business or residence address. (Ord. 24316)

SEC. 12A-17. REPRESENTATION OF OTHERS.

A person who represents, orally or in writing, the interests of another person (other than his or her spouse, minor children, or domestic partner) before the city council, a city board or commission, another city body, or a city official or employee shall disclose the identity of the person represented. (Ord. 24316)

ARTICLE V.

PARTICIPATION IN ETHICS VIOLATIONS.

SEC. 12A-18. PARTICIPATION IN ETHICS VIOLATIONS.

No person shall intentionally or knowingly induce, attempt to induce, conspire with, aid or assist, or attempt to aid or assist another person to engage in conduct violative of this chapter. (Ord. 24316)

ARTICLE VI.

FINANCIAL DISCLOSURE.

SEC. 12A-19. FINANCIAL DISCLOSURE REPORT.

(a) Who must file.

(1) City officials and designated city employees. Before initially accepting appointment or assuming the duties of office, and annually thereafter, the following city officials and employees shall file with the city secretary a complete, sworn financial disclosure report complying with Subsection (b) of this section:

(A) City council members.

(B) City of Dallas appointed members to the following boards, commissions, and committees:

(i) Board of adjustment and board of adjustment alternate members.

(ii) Building inspection advisory, examining, and appeals board.

(iii) Business development corporation board.

(iv) City plan and zoning commission.

(v) Civil service board and civil service board adjunct members.

(vi) Community development commission.

(vii) Dallas area rapid transit board.

(viii) Dallas - Fort Worth international airport board.

(ix) Ethics advisory commission.

(x) Fire code advisory and appeals board.

(xi) Housing finance corporation board.

(xii) Landmark commission and landmark commission alternate members.

(xiii) Park and recreation board.

(xiv) Permit and license appeal board.

(xv) All reinvestment zone boards.

(xvi) Urban rehabilitation standards board and urban rehabilitation standards board alternates.

(C) The city manager, city attorney, city auditor, and city secretary, and their first assistants.

(D) Assistant city managers.

(E) Municipal judges.

(2) Candidates for city council. A non-incumbent candidate for a place on the city council shall, within 10 days from the date of filing as a candidate, file with the city secretary a complete, sworn financial disclosure report complying with Subsection (b) of this section.

(b) Contents of financial disclosure report.

(1) For purposes of this subsection:

(A) FAMILY MEMBER means a spouse, domestic partner, or dependent of an official or employee required to file a financial disclosure report under Subsection (a) of this section.

(B) REPORTING PARTY means an official or employee filing a financial disclosure report as required under Subsection (a) of this section.

(2) Each financial disclosure report must be on a form provided by the city secretary and must contain all of the following information:

(A) Name of the reporting party.

(B) Name of each family member of the reporting party.

(C) Names under which the reporting party and his or her family members do business.

(D) Names of the employers of the reporting party and his or her family members.

(E) Identification of each source of income amounting to more than \$250 received in the preceding calendar year by the reporting party or a family member.

(F) Identification of each business entity (including self-employment in the form of a sole proprietorship under a personal or assumed name) in which the reporting party or a family member has an investment of more than \$1,000 at the fair market value at the time of the financial disclosure report, which investment must be described in the financial disclosure report.

(G) Identification of each non-profit entity or business entity in which the reporting party or a family member is a partner, manager, director, officer, or board member, or serves in any other policymaking position.

(H) Identification of any business entity that the reporting party knows is a partner, parent, or subsidiary business entity of a business entity owned, operated, or managed by the reporting party or a family member.

(I) Identification of any person or business entity from whom, within the previous calendar year, the reporting party or his or her spouse or domestic partner, directly or indirectly, has:

(i) received and not rejected an offer of employment; or

(ii) accepted an offer of employment that is binding or expected by the parties to be carried out.

(J) Identification (by exact street address or, if no street address is ascertainable, by lot-and-block description) of all real property located within the State of Texas in which the reporting party or a family member has a leasehold interest; a contractual right to purchase; or an interest as fee simple owner, beneficial owner, partnership owner, joint owner with an individual or corporation, or owner of more than 25 percent of a corporation that has title to the real property. The following property is not required to be disclosed:

(i) Property used as a personal residence of a peace officer.

(ii) Property over which the reporting party has no decision power concerning acquisitions or sales.

(iii) Property held through a real estate investment trust, mutual fund, or similar entity, unless the reporting party or a family member participates in the management of the trust, fund, or entity.

(K) Identification of persons or entities to whom the reporting party or a family member owes an unsecured debt of more than \$5,000, but not including debts for:

(i) money borrowed from a relative within the second degree of consanguinity or affinity; or

(ii) revolving charge accounts.

(L) Identification of all persons or entities who owe the reporting party or a family member an unsecured debt of more than \$5,000, but not including debts owed by relative within the second degree of consanguinity or affinity.

(M) Identification of the source of each gift or accumulation of gifts from one source of more than \$250 in estimated fair market value received by the reporting party or a family member, or received by a person for the use or benefit of the

reporting party or a family member, within the preceding calendar year and the estimated fair market value of each gift. This requirement does not include:

(i) a gift received from a relative within the second degree of consanguinity or affinity, if given on account of kinship, or from a domestic partner, if given on account of personal relationship;

(ii) a gift received by will, by intestate succession, or as distribution from an inter vivos or testamentary trust established by a spouse, domestic partner, or ancestor;

(iii) gifts received among and between fellow city officials and city employees;

(iv) a lawful campaign or officeholder contribution reported as required by Chapter 254 of the Texas Election Code; and

(v) admission to an event in which the reporting party is participating in connection with official duties.

(c) Open records. A financial disclosure report is an open record subject to the Texas Open Records Act and must be maintained in accordance with the Local Government Records Act.

(d) Annual filing date. An annual financial disclosure report filed by an official or employee who is required to report must be received by the city secretary by 5:00 p.m. on April 30. When the deadline falls on a Saturday or Sunday, or on an official city holiday as established by the city council, the deadline for receipt by the city secretary is extended to 5:00 p.m. of the next day that is not a Saturday, Sunday, or official city holiday. The city secretary may for good cause grant an extension of time in which to file a report upon written request submitted in advance of the deadline. The extension may not exceed 15 days.

(e) Reporting periods. Each initial or annual financial disclosure report filed by an individual designated in Subsection (a)(1) of this section, and each report filed by a candidate for the city council, must disclose information relating to the prior calendar year.

(f) City secretary.

(1) The city secretary shall:

(A) prior to January 15 of each year, notify all city officials and employees designated in Subsection (a)(1) of their obligation to file financial disclosure reports and provide the officials and employees with the appropriate forms to be completed;

(B) provide forms to all new city council appointees and to persons filing for election to the city council, and advise them of reporting requirements and deadlines;

(C) provide guidance and assistance on the reporting requirements for persons required to file financial disclosure reports and develop common standards, rules, and procedures for compliance with this article;

(D) review reports for completeness and timeliness;

(E) maintain filing, coding, and cross-indexing systems to carry out the purpose of this article and maintain a publicly available list of all persons required to file a financial disclosure report;

(F) make the reports filed under this article available for public inspection and copying at reasonable times; and

(G) upon determining that a person who is required to file a financial disclosure report has failed to do so timely or has filed incomplete or unresponsive information:

(i) notify the person by certified mail that failure to file or correct the filing within 15 days after the original deadline is a violation of this chapter; and

(ii) publicly announce to the city council the names of those who have not timely or completely filed a financial disclosure report and to whom the notification is being sent.

(2) The failure of the city secretary to provide any notification required by Subsection (f)(1) of this section does not bar appropriate remedial action, but may be considered on the issue of culpability.

(g) In addition to other remedies and penalties set forth in this chapter, a violation of this section is punishable by a criminal fine not to exceed \$500. (Ord. Nos. 24316; 24485; 25236)

SEC. 12A-20. SHORT FORM ANNUAL REPORT.

A person who is required to file an annual financial disclosure report may fulfill those filing obligations by submitting a short sworn statement on a form provided by the city secretary, if there have been no changes in the information disclosed by that person in a complete financial disclosure report filed within the past five years. The short statement must indicate the date of the person's most recently filed complete financial disclosure report and must state that there have been no changes in that information. (Ord. 24316)

SEC. 12A-21. TRAVEL REPORTING REQUIREMENTS.

(a) Any person listed in Subsection (d) of this section who, in connection with his or her official duties, accepts a trip or excursion to a location greater than 50 miles from the city that involves the gratuitous provision of transportation, accommodations, entertainment, meals, or refreshments paid for by a person or entity other than a public agency must file with the city secretary (except subordinates of the city manager, who shall file with the city manager) before embarking on the travel (time permitting), or not more than seven days after the travel is concluded, a disclosure statement identifying:

(1) the name of the sponsor of the trip or excursion;

(2) the name of the person or entity paying for the trip or excursion, if different from the sponsor;

- (3) the places to be visited; and
- (4) the purpose and dates of the travel.

(b) The city manager shall, within 10 working days after the travel is concluded, file with the city secretary the information listed in Subsection (a) that has been filed with the city manager's office by affected subordinates of the city manager.

(c) Nothing in this section authorizes personnel reporting to the city manager to violate policies and procedures established by the city manager regarding travel request authorizations.

(d) The following persons are required to report under this section:

- (1) City council members.
- (2) The city manager, city attorney, city secretary, and city auditor, and their first assistants.
- (3) Municipal judges.
- (4) Members of boards and commissions.
- (5) Assistant city managers.
- (6) Department directors and their assistants, including the civil service director, the park and recreation director, and their assistants. (Ord. 24316)

SEC. 12A-22. ITEMS RECEIVED ON BEHALF OF THE CITY.

A city official or employee who accepts on behalf of the city any item by way of gift or loan valued over \$250 shall, within 30 days after the acceptance of the gift or loan, report that fact and deliver the item to the city manager, who shall have the item appropriately inventoried as city property. (Ord. 24316)

SEC. 12A-23. VIOLATION OF REPORTING REQUIREMENTS.

Failure to timely file a report required under this article is a violation of this chapter, as is the

filing of a report with incorrect, misleading, or incomplete information. (Ord. 24316)

ARTICLE VII.

ETHICS ADVISORY COMMISSION.

SEC. 12A-24. ETHICS ADVISORY COMMISSION - CREATION; COMPOSITION, TERMS, AND QUALIFICATIONS.

(a) Creation and composition. There is hereby created the ethics advisory commission, to be composed of seven members appointed by the city council as a whole. The mayor shall appoint the chair, and the full city council shall appoint the vice chair.

(b) Terms of office. All members of the commission will be appointed for an initial term to expire on September 1, 2001. All subsequent appointments will be made in August of each odd-numbered year for a two-year term beginning on September 1. All members shall serve until their successors are appointed and qualified. Notwithstanding the term limits established for city boards in Section 8-1.5(a) of the city code, the city council shall appoint and reappoint members to the ethics advisory commission in a manner that will provide the commission with a mix of both existing members and new members.

(c) Qualifications. Each member of the ethics advisory commission shall meet the requirements of Chapter 8 of the city code, except as specifically provided otherwise in this article. Additionally, no member of the commission may be:

- (1) a city official or the spouse or domestic partner of a city official;
- (2) a city employee or the spouse or domestic partner of a city employee;
- (3) an elected public official;
- (4) a candidate for elected public office;

(5) a person who, for compensation, represents the private interests of others before the city council; or

(6) a paid campaign worker or a political consultant of a current city council member. (Ord. 24316)

SEC. 12A-25. JURISDICTION AND POWERS.

(a) Jurisdiction. The ethics advisory commission shall have jurisdiction to review and make findings concerning any alleged violation of this chapter by any person subject to those provisions, including but not limited to current city officials and employees, former city officials and employees, and persons doing business with the city, if a complaint is filed within one year after the date of the alleged violation. The commission may not consider any alleged violation that occurred before January 1, 2001 or more than one year before the date of the filing of a complaint.

(b) Termination of city official's or employee's duties. The termination of a city official's or employee's duties does not affect the jurisdiction of the ethics advisory commission with respect to alleged violations occurring prior to the termination of the official's or employee's official duties.

(c) Powers. The ethics advisory commission has the following powers only:

(1) To establish, amend, and rescind rules and procedures governing its own internal organization and operations in a manner and form consistent with this article.

(2) To meet as often as necessary to fulfill its responsibilities.

(3) To request from the city manager through the city council the appointment of such staff as is necessary to carry out the duties of the commission.

(4) To review, index, maintain on file, and dispose of sworn complaints.

(5) To make findings of fact as necessary for the disposition of a complaint.

(6) To make notifications, extend deadlines, and conduct investigations.

(7) Such other powers as are specifically granted in this chapter. (Ord. 24316)

SEC. 12A-26. COMPLAINTS.

(a) Filing. Any resident of the city or any person doing business or attempting to do business with the city (other than an ethics advisory commission member) who believes there has been a violation of this chapter may file a sworn complaint, under the penalty of perjury, with the city secretary. The complaint must:

(1) identify the person or persons who allegedly committed the violation;

(2) provide a statement of the facts on which the complaint is based;

(3) to the extent possible, identify the ethics provision or provisions allegedly violated; and

(4) identify sources of evidence, if any, that the complainant recommends should be considered by the ethics advisory commission.

(b) Confidentiality. No city official or employee shall reveal information relating to the filing or processing of a complaint, except as required for the performance of official duties or as required by law. *Ex parte* communications by or to members of the ethics advisory commission are prohibited by Section 12A-27(c) of this chapter. All papers and communications relating to a complaint must be treated as confidential unless required to be made public under the Public Information Act (Chapter 552, Texas Government Code) or other applicable law.

(c) Notification. The city secretary shall promptly forward a copy of a complaint to the chair of the ethics advisory commission and to the person charged in the complaint. The person charged in the

complaint shall have the opportunity to submit a sworn statement, together with such other information he or she feels is relevant. Copies of all information provided to the ethics advisory commission by the complainant and the person charged in the complaint must be distributed to all parties to the complaint within 10 days after the ethics advisory commission receives the information.

(d) False accusations and responses. The city secretary shall, in writing, advise the person filing the complaint that falsely accusing someone of a violation of this chapter may result in criminal prosecution of anyone who knowingly makes a false accusation. The city secretary shall, in writing, advise the person charged in the complaint that falsely responding to a complaint may result in criminal prosecution of anyone who knowingly makes a false response.

(e) Summary dismissal.

(1) Within 21 days after receipt of a complaint, either the chair or vice chair, selected on a rotational basis, and two commission members, selected by lot by the city secretary, shall make a preliminary finding as to whether or not the complaint states a claim under this chapter and is supported by just cause. "Just cause" means such cause as is found to exist upon a reasonable inquiry that would induce a reasonably intelligent and prudent person to believe that a person has committed an act or acts constituting an ethical violation under this chapter.

(2) If the preliminary finding is that the complaint does not state a claim under this chapter or does not have just cause, based upon the statements and evidence submitted, the complaint must be dismissed. A determination that a complaint be dismissed can only be made upon the affirmative vote of at least two of the three preliminary panel members. Written notice of the dismissal must be sent to both the person who made the complaint and the person about whom the complaint was made, identifying the reason or reasons for dismissal.

(3) The chair is recused from serving on a preliminary panel for any complaint filed against the mayor, except that the chair may participate in discussions and voting on a complaint against the

mayor when it is being considered by the commission as a whole. If the chair, the vice chair, or both are unable to serve on a preliminary panel, the appropriate number of ethics commission members shall be selected by lot by the city secretary as substitutes on the panel. The preliminary panel must always have three members. (Ord. Nos. 24316; 25236)

SEC. 12A-27. HEARING PROCEDURES.

(a) Evidentiary hearing. If a complaint is not summarily dismissed under Section 12A-26(e), it will be pursued further at a hearing before the ethics advisory commission. Not less than 10 days before the hearing, the commission shall, by certified mail or personal service, give written notice of the hearing to both the person who made the complaint and the person about whom the complaint was made. The notice must state the specific provision or provisions of this chapter alleged in the complaint to have been violated, as determined by the preliminary panel.

(b) Notice of charges. Before the commission may find that a violation of a particular provision of this chapter occurred, the person charged in the complaint must have notice that compliance with that provision is in issue and be given an opportunity to respond. Notice of the violation of a particular provision is conclusively established if:

(1) the complaint alleged that the provision was violated; or

(2) the ethics advisory commission or its legal counsel provides the person charged in the complaint with written notice of the alleged violation of the provision and with a 10-day period within which to respond in writing to the charge.

(c) Ex Parte communications. It is a violation of this chapter for:

(1) the complainant, the person charged in the complaint, or any person acting on their behalf to engage or attempt to engage, directly or indirectly, in any *ex parte* communication about the subject matter of a complaint with a member of the ethics advisory commission; or

(2) a member of the ethics advisory commission to:

(A) knowingly entertain an *ex parte* communication prohibited by Subsection (c)(1); or

(B) knowingly communicate, directly or indirectly, with any person, other than a member of the commission, its staff, or its legal counsel, about any issue of fact or law relating to the complaint. (Ord. 24316)

SEC. 12A-28. HEARING RULES.

(a) Hearings on complaints. The rules contained in this section apply to all hearings of the ethics advisory commission on complaints not summarily dismissed under Section 12A-26(e).

(b) General rules. A determination that a violation of this chapter has occurred can be made only upon an affirmative vote of at least three-fifths of the commission members present and voting, otherwise the complaint must be dismissed. A finding that a violation occurred must be supported by clear and convincing evidence. "Clear and convincing evidence" means that measure or degree of proof that produces in a person's mind a firm belief or conviction as to the truth of the allegations sought to be established.

(c) Procedural rules. A quorum of four commission members must be present for a hearing. Any member of the commission who is not present at a hearing on a complaint may not participate in any discussion, voting, or disposition regarding the complaint. All witnesses must be sworn, and the members of the ethics advisory commission or its legal counsel shall conduct questioning of witnesses. The commission is not bound by the rules of evidence and may establish time limits and other rules relating to the participation of any person in the hearing, subject to Subsections (d) and (e) of this section.

(d) Rights of the person charged. The person charged in the complaint has the right to attend the hearing, the right to make a statement, the right to present and cross-examine witnesses, and the right to be represented by legal counsel or another advisor.

(e) Rights of the complainant. The complainant has the right to attend the hearing, the right to make a statement, and the right to be accompanied by legal counsel or another advisor. The legal counsel or other advisor to the complainant may advise the complainant during the course of the hearing, but may not speak on behalf of the complainant, except to represent the complainant while testifying. The complainant may not present or cross-examine witnesses, except with the permission of the commission. (Ord. 24316)

SEC. 12A-29. DISPOSITION OF COMPLAINT.

(a) Written decision. The ethics advisory commission shall make all reasonable efforts to issue a written decision within 45 days after receipt of a complaint. The commission shall state its findings in the written decision. The written decision must either:

(1) dismiss the complaint, with the grounds for dismissal set forth in the decision; or

(2) find that there has been a violation of this chapter and identify in the decision the particular provision or provisions violated.

(b) Notification. Within 10 days after issuing a written decision, the ethics advisory commission shall forward copies of the findings and decision to the complainant, the person charged in the complaint, the city attorney, the city council, the person or body to whom the particular complaint must be referred under Section 12A-30(a), and any member of the ethics advisory commission who did not participate in the disposition of the complaint. A copy of the findings and decision must also be forwarded to the city secretary, who shall make it available to the public as authorized by law.

(c) Similar charges barred. If the complaint is dismissed because the evidence failed to establish a violation of this chapter, the ethics advisory commission shall not entertain any other similar complaint based on substantially the same evidence. (Ord. Nos. 24316; 25236)

SEC. 12A-30. REFERRAL OF MATTER FOR APPROPRIATE ACTION; RECOMMENDATION OF SANCTIONS.

(a) If the ethics advisory commission determines that a violation of this chapter has occurred, it shall take the following actions:

(1) If the complaint involved a current employee under the jurisdiction of the city manager, city attorney, city auditor, city secretary, civil service director, park and recreation director, or employees' retirement fund administrator, the matter will be referred respectively to the city manager, city attorney, city auditor, city secretary, civil service director, park and recreation director, or employees' retirement fund administrator.

(2) If the complaint involved the civil service director, the park and recreation director, or the employees' retirement fund administrator, the matter will be referred respectively to the civil service board, the park board, or the board of trustees of the employees' retirement fund.

(3) If the complaint involved the city manager, city attorney, city auditor, city secretary, or a municipal judge, the matter will be referred to the city council.

(4) If the complaint involved a city council member, a board or commission member, a former city official, or a former city employee, the matter will be referred to the city council.

(b) When referring a matter under Subsection (a), the ethics advisory commission may recommend the following sanctions:

(1) Letter of notification. A letter of notification may be recommended when the commission finds that a violation of this chapter was clearly unintentional or when the action or conduct found to have been a violation of this chapter was performed by the official or employee in reliance on a public written opinion of the city attorney. A letter of notification must advise the official or employee to whom the letter is directed of any steps to be taken to avoid future violations.

(2) Letter of admonition. A letter of admonition may be recommended when the commission finds that the violation of this chapter was minor and/or may have been unintentional, but where the circumstances call for a more substantial response than a letter of notification.

(3) Reprimand. A reprimand may be recommended when the commission finds that a violation of this chapter was committed intentionally or through disregard of this chapter.

(4) Removal or suspension from office. Removal from office or suspension from office may be recommended when the commission finds that a serious or repeated violation of this chapter was committed intentionally or through culpable disregard of this chapter. The commission may include the length of any suspension in its recommendation.

(5) Miscellaneous. The commission may recommend any enforcement remedy or penalty authorized under Article VIII of this chapter. (Ord. 24316)

SEC. 12A-31. PETITION FOR DECLARATORY RULING.

Any city official or employee against whom public allegations of ethics violations have been made in the media or elsewhere has the right to file a sworn statement with the city secretary affirming his or her innocence, and to request the ethics advisory commission to review the allegations and make known its findings. (Ord. 24316)

SEC. 12A-32. LEGAL COUNSEL.

(a) City attorney's office. The city attorney's office shall act as the legal counsel to the ethics advisory commission. Additionally, the city attorney's office shall:

(1) issue advisory opinions to city officials and employees about the requirements imposed by this chapter and other ethics laws; and

(2) train and educate all city officials and employees with respect to their ethical responsibilities.

(b) Outside legal counsel. An independent outside attorney, who does not otherwise represent the city, may be appointed by the city council, at the recommendation of the city attorney, to serve as legal counsel to the ethics advisory commission for a particular case whenever:

(1) a complaint is filed relating to:

(A) an alleged violation of this chapter by a city council member; or

(B) an alleged violation of this chapter by a city employee who is a department director or of higher rank;

(2) the ethics advisory commission requests such an appointment; or

(3) the city attorney requests such an appointment for good cause shown. (Ord. 24316)

SEC. 12A-33. OPINIONS ISSUED BY THE CITY ATTORNEY.

(a) Requests by city officials and employees. By written request to the city attorney, any city official or employee may request an advisory opinion regarding whether his or her own proposed actions or conduct would violate this chapter. A department director may also make a written request to the city attorney for an advisory opinion regarding proposed actions or conduct of his or her employees. The city attorney shall make all reasonable efforts to issue a written advisory opinion within 30 days after receipt of the request. The city attorney, for good cause shown, may decline to issue a written advisory opinion.

(b) Reliance. A person who reasonably and in good faith acts in accordance with a written advisory opinion issued by the city attorney may not be found to have violated this chapter by engaging in conduct approved in the advisory opinion, if:

(1) the person requested the issuance of the opinion;

(2) the request for an opinion fairly and accurately disclosed all relevant facts necessary to render the opinion; and

(3) the person waives the attorney-client privilege with respect to the written advisory opinion.

(c) Pending city attorney opinions. Whenever an advisory opinion from the city attorney has been requested regarding the actions or conduct of an official or employee, no action may be taken by the ethics advisory commission regarding those particular actions or conduct until the city attorney issues the advisory opinion. Any time limits that the ethics advisory commission is required to follow in processing an ethics complaint regarding those particular actions or conduct will be extended to allow for the city attorney to issue the advisory opinion. (Ord. 24316)

SEC. 12A-34. ANNUAL REPORT.

The ethics advisory commission shall prepare and submit an annual report to the city council detailing the activities of the commission during the prior year. The format for the report must be designed to maximize public and private understanding of the commission's operations. The report may recommend changes to the text or administration of this chapter. The city secretary shall take reasonable steps to ensure wide dissemination and availability of the annual report of the ethics advisory commission. (Ord. 24316)

ARTICLE VIII.

ENFORCEMENT, CULPABLE MENTAL STATE, AND PENALTIES.

SEC. 12A-35. GENERAL.

The remedies contained in this article are available whenever the ethics advisory commission finds a violation or violations of this chapter. (Ord. 24316)

SEC. 12A-36. CULPABLE MENTAL STATE.

To commit a violation under any provision of this chapter, a person must have acted or failed to act knowingly or with knowledge. (Ord. 24316)

SEC. 12A-37. DISCIPLINARY ACTION.

(a) An employee who fails to comply with this chapter or who violates this chapter may be disciplined in accordance with city personnel rules and procedures. Where no specific appeal procedure is otherwise prescribed, an appeal by an employee will be to the trial board.

(b) If a city council member fails to comply with this chapter or violates this chapter, the matter must be decided by the city council in accordance with the city charter.

(c) If a member of a board or commission fails to comply with this chapter or violates this chapter, the matter must be decided by the city council in accordance with the city charter. (Ord. 24316)

SEC. 12A-38. PROSECUTION FOR PERJURY.

Any person who knowingly files a false sworn statement under this chapter is subject to criminal prosecution for perjury under the laws of the State of Texas. (Ord. 24316)

SEC. 12A-39. DISQUALIFICATION FROM CONTRACTING.

(a) Any person who has been found by the ethics advisory commission to have intentionally or knowingly violated any provision of this chapter may be prohibited by the city council from entering into any contract with the city for a period of two years.

(b) It is a violation of this chapter:

(1) for a person debarred from entering into a contract with the city to enter or attempt to enter into a contract with the city during the period of disqualification from contracting; or

(2) for a city official or employee to knowingly assist in a violation of Subsection (b)(1) of this section.

(c) Nothing in this section prohibits any person from receiving a city service or benefit, or from using a city facility, according to the same terms generally available to the public.

(d) A business entity may be disqualified from contracting with the city based on the conduct of the entity's employee or agent, if the conduct occurred within the scope of employment or agency with the entity. (Ord. 24316)

SEC. 12A-40. CITY ATTORNEY ACTION.

If the city council determines that a person has violated this chapter, the city council may direct the city attorney to initiate whatever legal action is necessary, including but not limited to injunctive relief. (Ord. 24316)

ARTICLE IX.**ADMINISTRATIVE PROVISIONS.****SEC. 12A-41. OTHER ETHICAL OBLIGATIONS.**

(a) This chapter is cumulative of and supplemental to all applicable provisions of the city charter, other city ordinances, and state and federal laws and regulations. Compliance with this chapter does not excuse or relieve any person from any obligation imposed by the city charter, other city ordinances, or state or federal laws or regulations.

(b) Even if a city official or employee is not prohibited from taking official action by this chapter, action may be prohibited by duly promulgated personnel rules. (Ord. 24316)

SEC. 12A-42. DISSEMINATION OF CODE OF ETHICS.

(a) Before January 1, 2001, and periodically thereafter as appropriate, the city secretary shall provide a copy of this chapter to every city official, and the city manager, city attorney, city secretary, city auditor, park and recreation director, civil service director, and employees' retirement fund administrator shall provide a copy of this chapter to every city employee under each's supervision. Within 30 days after entering upon the duties of his or her position, every new city official or employee must be furnished with a copy of this chapter. Each city official and employee shall acknowledge, in writing, the receipt of a copy of this chapter. Copies of this chapter must be made readily available to the public.

(b) The failure of any person to receive a copy of this chapter will have no effect on that person's duty to comply with this chapter or on the enforcement of the provisions of this chapter. (Ord. 24316)

SEC. 12A-43. EXPIRATION AND REVIEW OF CODE OF ETHICS.

This chapter expires on January 1, 2005, unless reenacted, with or without amendment, prior to that date. Not later than 90 days before this expiration date, the city council shall consider whether or not this chapter should be reenacted, amended, or allowed to expire. (Ord. 24316)

OFFICIAL ACTION OF THE DALLAS CITY COUNCIL

February 23, 2005

05-0740

Addendum addition 3: An ordinance amending Chapter 12A of the Dallas City Code to exclude from certain city financial disclosure requirements the municipal officers and City Council candidates who are required to file financial disclosure statements under Chapter 145 of the Texas Local Government Code - Financing: No cost consideration to the City

Approved as part of the consent agenda.

Assigned ORDINANCE NO. 25906.

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OFFICE OF THE CITY SECRETARY

CITY OF DALLAS, TEXAS

2/16/05

ORDINANCE NO.

An ordinance amending Article VI, composed of Sections 12A-19 through 12A-23, of CHAPTER 12A, "CODE OF ETHICS," of the Dallas City Code, as amended; excluding from certain city financial disclosure requirements the municipal officers and city council candidates who are required to file financial disclosure statements under Chapter 145 of the Texas Local Government Code; providing a penalty not to exceed \$500; providing a saving clause; providing a severability clause; and providing an effective date.

BE IT ORDAINED BY THE CITY COUNCIL OF THE CITY OF DALLAS:

SECTION 1. That Article VI, "Financial Disclosure," of CHAPTER 12A, "CODE OF ETHICS," of the Dallas City Code, as amended, is amended to read as follows:

"ARTICLE VI.

FINANCIAL DISCLOSURE.

SEC. 12A-19. FINANCIAL DISCLOSURE REPORT.

(a) Who must file.

(1) Designated city [City] officials and designated city employees. Before initially accepting appointment or assuming the duties of office, and annually thereafter, the following city officials and employees shall file with the city secretary a complete, sworn financial disclosure report complying with Subsection (b) of this section:

(A) [~~City council members.~~

(B)] City of Dallas appointed members to the following boards, commissions, and committees:

(i) Board of adjustment and board of adjustment
alternate members.

(ii) Building inspection advisory, examining, and
appeals board.

(iii) Business development corporation board.

(iv) City plan and zoning commission.

(v) Civil service board and civil service board adjunct
members.

(vi) Community development commission.

(vii) Dallas area rapid transit board.

(viii) Dallas - Fort Worth international airport board.

(ix) Ethics advisory commission.

(x) Fire code advisory and appeals board.

(xi) Housing finance corporation board.

(xii) Landmark commission and landmark commission
alternate members.

(xiii) Park and recreation board.

(xiv) Permit and license appeal board.

(xv) All reinvestment zone boards.

(xvi) Urban rehabilitation standards board and urban
rehabilitation standards board alternates.

(B) The first assistant city attorney.

(C) The ~~[city manager, city attorney,]~~ city auditor~~]~~ and city secretary, and their first assistants.

(D) Assistant city managers.

(E) Municipal judges.

(2) The mayor, city council members, the city attorney, the city manager, and candidates [Candidates] for city council. The mayor, each city council member, the city attorney, the city manager, and each [A non-incumbent] candidate for a place on the city council are required to [shall, within 10 days from the date of filing as a candidate,] file with the city secretary verified [a complete, sworn] financial statements [disclosure report] complying with Chapter 145 of the Texas Local Government Code, as amended, and are not subject to the provisions of Subsections (b) through (g) of this section.

(b) Contents of financial disclosure report.

(1) For purposes of this subsection:

(A) FAMILY MEMBER means a spouse, domestic partner, or dependent of an official or employee required to file a financial disclosure report under Subsection (a)(1) of this section.

(B) REPORTING PARTY means an official or employee filing a financial disclosure report as required under Subsection (a)(1) of this section.

(2) Each financial disclosure report must be on a form provided by the city secretary and must contain all of the following information:

(A) Name of the reporting party.

(B) Name of each family member of the reporting party.

(C) Names under which the reporting party and his or her family members do business.

(D) Names of the employers of the reporting party and his or her family members.

(E) Identification of each source of income amounting to more than \$250 received in the preceding calendar year by the reporting party or a family member.

(F) Identification of each business entity (including self-employment in the form of a sole proprietorship under a personal or assumed name) in which the reporting party or a family member has an investment of more than \$1,000 at the fair market value at the time of the financial disclosure report, which investment must be described in the financial disclosure report.

(G) Identification of each non-profit entity or business entity in which the reporting party or a family member is a partner, manager, director, officer, or board member, or serves in any other policymaking position.

(H) Identification of any business entity that the reporting party knows is a partner, parent, or subsidiary business entity of a business entity owned, operated, or managed by the reporting party or a family member.

(I) Identification of any person or business entity from whom, within the previous calendar year, the reporting party or his or her spouse or domestic partner, directly or indirectly, has:

(i) received and not rejected an offer of employment;
or

(ii) accepted an offer of employment that is binding or expected by the parties to be carried out.

(J) Identification (by exact street address or, if no street address is ascertainable, by lot-and-block description) of all real property located within the State of Texas in which the reporting party or a family member has a leasehold interest; a contractual right to purchase; or an interest as fee simple owner, beneficial owner, partnership owner, joint owner with an individual or corporation, or owner of more than 25 percent of a corporation that has title to the real property. The following property is not required to be disclosed:

(i) Property used as a personal residence of a peace officer.

(ii) Property over which the reporting party has no decision power concerning acquisitions or sales.

(iii) Property held through a real estate investment trust, mutual fund, or similar entity, unless the reporting party or a family member participates in the management of the trust, fund, or entity.

(K) Identification of persons or entities to whom the reporting party or a family member owes an unsecured debt of more than \$5,000, but not including debts for:

(i) money borrowed from a relative within the second degree of consanguinity or affinity; or

(ii) revolving charge accounts.

(L) Identification of all persons or entities who owe the reporting party or a family member an unsecured debt of more than \$5,000, but not including debts owed by relative within the second degree of consanguinity or affinity.

(M) Identification of the source of each gift or accumulation of gifts from one source of more than \$250 in estimated fair market value received by the reporting party or a family member, or received by a person for the use or benefit of the reporting party or a family member, within the preceding calendar year and the estimated fair market value of each gift. This requirement does not include:

(i) a gift received from a relative within the second degree of consanguinity or affinity, if given on account of kinship, or from a domestic partner, if given on account of personal relationship;

(ii) a gift received by will, by intestate succession, or as distribution from an inter vivos or testamentary trust established by a spouse, domestic partner, or ancestor;

(iii) gifts received among and between fellow city officials and city employees;

(iv) a lawful campaign or officeholder contribution reported as required by Chapter 254 of the Texas Election Code; and

(v) admission to an event in which the reporting party is participating in connection with official duties.

(c) Open records. A financial disclosure report is an open record subject to the Texas Open Records Act and must be maintained in accordance with the Local Government Records Act.

(d) Annual filing date. An annual financial disclosure report filed by an official or employee who is required to report must be received by the city secretary by 5:00 p.m. on April 30. When the deadline falls on a Saturday or Sunday, or on an official city holiday as established by the city council, the deadline for receipt by the city secretary is extended to 5:00 p.m. of the next day that is not a Saturday, Sunday, or official city holiday. The city secretary may for good cause grant an extension of time in which to file a report upon written request submitted in advance of the deadline. The extension may not exceed 15 days.

(e) Reporting periods. Each initial or annual financial disclosure report filed by an individual designated in Subsection (a)(1) of this section~~[, and each report filed by a candidate for the city council,]~~ must disclose information relating to the prior calendar year.

(f) City secretary.

(1) The city secretary shall:

(A) prior to January 15 of each year, notify all city officials and employees designated in Subsection (a)(1) of their obligation to file financial disclosure reports and provide the officials and employees with the appropriate forms to be completed;

(B) provide forms to all new city council appointees ~~[and to persons filing for election to the city council,]~~ and advise them of reporting requirements and deadlines;

(C) provide guidance and assistance on the reporting requirements for persons required to file financial disclosure reports and develop common standards, rules, and procedures for compliance with this article;

(D) review reports for completeness and timeliness;

(E) maintain filing, coding, and cross-indexing systems to carry out the purpose of this article and maintain a publicly available list of all persons required to file a financial disclosure report;

(F) make the reports filed under this article available for public inspection and copying at reasonable times; and

(G) upon determining that a person who is required to file a financial disclosure report has failed to do so timely or has filed incomplete or unresponsive information:

(i) notify the person by certified mail that failure to file or correct the filing within 15 days after the original deadline is a violation of this chapter; and

(ii) publicly announce to the city council the names of those who have not timely or completely filed a financial disclosure report and to whom the notification is being sent.

(2) The failure of the city secretary to provide any notification required by Subsection (f)(1) of this section does not bar appropriate remedial action, but may be considered on the issue of culpability.

(g) In addition to other remedies and penalties set forth in this chapter, a violation of this section is punishable by a criminal fine not to exceed \$500.

SEC. 12A-20. SHORT FORM ANNUAL REPORT.

A person who is required to file an annual financial disclosure report under Section 12A-19(a)(1) may fulfill those filing obligations by submitting a short sworn statement on a form provided by the city secretary, if there have been no changes in the information disclosed by that person in a complete financial disclosure report filed within the past five years. The short statement must indicate the date of the person's most recently filed complete financial disclosure report and must state that there have been no changes in that information.

SEC. 12A-21. TRAVEL REPORTING REQUIREMENTS.

(a) Any person listed in Subsection (d) of this section who, in connection with his or her official duties, accepts a trip or excursion to a location greater than 50 miles from the city that involves the gratuitous provision of transportation, accommodations, entertainment, meals, or refreshments paid for by a person or entity other than a public agency must file with the city secretary (except subordinates of the city manager, who shall file with the city manager) before embarking on the travel (time permitting), or not more than seven days after the travel is concluded, a disclosure statement identifying:

(1) the name of the sponsor of the trip or excursion;

(2) the name of the person or entity paying for the trip or excursion, if different from the sponsor;

- (3) the places to be visited; and
- (4) the purpose and dates of the travel.

(b) The city manager shall, within 10 working days after the travel is concluded, file with the city secretary the information listed in Subsection (a) that has been filed with the city manager's office by affected subordinates of the city manager.

(c) Nothing in this section authorizes personnel reporting to the city manager to violate policies and procedures established by the city manager regarding travel request authorizations.

(d) The following persons are required to report under this section:

- (1) City council members.
- (2) The city manager, city attorney, city secretary, and city auditor, and their first assistants.
- (3) Municipal judges.
- (4) Members of boards and commissions.
- (5) Assistant city managers.
- (6) Department directors and their assistants, including the civil service director, the park and recreation director, and their assistants.

SEC. 12A-22. ITEMS RECEIVED ON BEHALF OF THE CITY.

A city official or employee who accepts on behalf of the city any item by way of gift or loan valued over \$250 shall, within 30 days after the acceptance of the gift or loan, report that fact and deliver the item to the city manager, who shall have the item appropriately inventoried as city property.

SEC. 12A-23. VIOLATION OF REPORTING REQUIREMENTS.

Failure to timely file a report required under this article is a violation of this chapter, as is the filing of a report with incorrect, misleading, or incomplete information."

SECTION 2. That CHAPTER 12A of the Dallas City Code, as amended, will remain in full force and effect, save and except as amended by this ordinance.

SECTION 3. That the terms and provisions of this ordinance are severable and are governed by Section 1-4 of CHAPTER 1 of the Dallas City Code, as amended.

SECTION 4. That this ordinance will take effect immediately from and after its passage and publication in accordance with the provisions of the Charter of the City of Dallas, and it is accordingly so ordained.

APPROVED AS TO FORM:

MADELEINE B. JOHNSON, City Attorney

By _____
Assistant City Attorney

Passed _____

LC/DCC/00360A



For Official Use Only

FINANCIAL DISCLOSURE REPORT

This statement is filed in accordance with Chapter 12A of the Dallas City Code. Copies of the applicable code sections and additional copies of this form may be obtained from the City Secretary's office.

See page 8 of this form for the list of persons required to file a financial disclosure report.

Please print or type all information. Attach additional pages if more space is needed.

Date of Report: ____/____/____

Type of Report: Initial ☐ Annual ☐

Reporting Period: From: ____/____/____ Through: ____/____/____

Reporting Party (Check One)

Fill in Appropriate Information

<input type="checkbox"/>	Elected Official	Office Held	
<input type="checkbox"/>	Appointed Official	Board or Commission/ Title	
<input type="checkbox"/>	Candidate	Office Sought	
<input type="checkbox"/>	City Employee	Title/Department	

1. Name of Reporting Party:

2. Please give the full name(s) of your spouse or domestic partner, and your dependents.

<u>Name</u>	<u>Relationship</u>

3. Please list the names under which you and all persons listed in Item 2 do business.

4. Please list the name(s) of your employer(s) and the names of all employers for all persons listed in Item 2.

5. Please list each source of income amounting to more than \$250 received in the preceding calendar year by you or any person listed in Item 2.

6. Please list the name of each business entity (including self-employment in the form of a sole proprietorship under a personal or assumed name) in which you or any person listed in Item 2 has an investment of more than \$1000 at the fair market value **as of the date of this report**. Please describe each investment.

<u>Name of Business Entity</u>	<u>Description of Investment</u>

7. Please list the name of each nonprofit or business entity in which you or a person listed in Item 2 is a partner, manager, director, officer, or board member, or serves in any other policymaking position.

<u>Name of Business/Nonprofit Entity</u>	<u>Position Held</u>

8. Please list the name of any business entity that is a partner, parent, or subsidiary of a business entity owned, operated, or managed by you or a person listed in Item 2.

<u>Business Entity Owned, Operated, or Managed by You or a Person Listed in Item 2</u>	<u>Partner, Parent, or Subsidiary</u>

9. Please list the name of any person or business entity from whom, in the preceding calendar year, you or your spouse or domestic partner, directly or indirectly, has: a) received and not rejected an offer of employment; or b) accepted an offer of employment that is binding or expected by the parties to be carried out.

<u>Person/Business Entity Making Offer</u>	<u>Person Receiving/Accepting Offer</u>

10. Please list (by exact street address, or, if no street address is ascertainable by lot-and-block description) all real property* located within the State of Texas in which you or a person listed in Item 2 has: a) a leasehold interest; b) a contractual right to purchase; or c) an interest as a fee simple owner, a beneficial owner, a partnership owner, a joint owner with an individual or a corporation, or an owner of more than 25 percent of a corporation that has title to the real property.

<u>Description of Property (address, etc.)</u>	<u>Type of Interest or Ownership</u>

* You are not required to list the following properties:

- Property used as the personal residence of a peace officer.
- Property over which you have no decision power concerning acquisitions or sales.
- Property held through a real estate investment trust, mutual fund, or similar entity, unless you or a person listed in Item 2 participates in the management of the trust, fund, or entity.

11. Please list the names of all persons or entities to whom you or a person listed in Item 2 owes an unsecured debt of more than \$5000 [do not include: a) money borrowed from a relative within the second degree of consanguinity or affinity; or b) revolving charge accounts].

12. Please list the names of all persons or entities who owe you or a person listed in Item 2 an unsecured debt of more than \$5000 (do not include debts owed by a relative within the second degree of consanguinity or affinity).

13. Please list the source of each gift or accumulation of gifts from one source of more than \$250 in estimated fair market value received by you or a person listed in Item 2, or received by a person for the use or benefit of you or a person listed in Item 2, within the preceding calendar year and the estimated fair market value of each gift. *

<u>Source of Gift(s)</u>	<u>Estimated Fair Market Value</u>

* This requirement does not include:

- a) a gift received from a relative within the second degree of consanguinity or affinity if given on account of kinship, or from a domestic partner, if given on account of personal relationship;
- b) a gift received by will, by intestate succession, or as distribution from an inter vivos or testamentary trust established by a spouse, a domestic partner, or an ancestor;
- c) gifts received among and between fellow city officials and city employees;
- d) a lawful campaign or officeholder contribution reported as required by Chapter 254 of the Texas Election Code; and
- e) admission to an event in which you are participating in connection with official duties.

Have any additional or supplemental pages been attached to this report? Yes__ No__

If additional or supplemental pages have been attached, please identify each page with your name and the item number to which the information on the supplemental page refers.

OATH

This report (including any accompanying supplements) to the best of my knowledge and belief is true, correct, and complete.

Signature of Reporting Party

SWORN to and subscribed before me by _____

on this the _____ day of _____, 20_____, to certify
which, witness my hand and seal of office.

<NOTARY SEAL>

Signature of officer administering oath

Printed name of officer administering oath

Title of officer administering oath

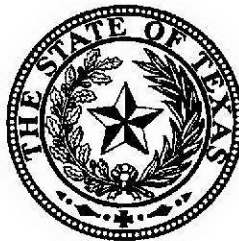
Persons required to file Financial Disclosure Reports under Chapter 12A of the Dallas City Code:

- City council members
- City of Dallas appointed members to the following boards, commissions and committees:
 - Board of adjustment and board of adjustment alternate members.
 - Building inspection advisory, examining, and appeals board.
 - Business development corporation board.
 - City plan and zoning commission.
 - Civil service board and civil service board adjunct members.
 - Community development commission.
 - Dallas Area Rapid Transit board.
 - Dallas-Fort Worth International Airport board.
 - Ethics advisory commission.
 - Fire code advisory and appeals board.
 - Housing finance corporation board.
 - Landmark commission and landmark commission alternate members.
 - Park and recreation board.
 - Permit and license appeal board.
 - All reinvestment zone boards.
 - Urban rehabilitation standards board and urban rehabilitation standards board alternates.
- The city manager
- The city attorney
- The city auditor
- The city secretary
- The first assistant city manager
- The first assistant city attorney
- The first assistant city auditor
- The first assistant city secretary
- All assistant city managers
- Municipal judges
- Candidates for city council

TEXAS ETHICS COMMISSION

PERSONAL FINANCIAL STATEMENT

FORM PFS--INSTRUCTION GUIDE



Revised September 1, 2005

Texas Ethics Commission, P.O. Box 12070, Austin, Texas 78711
(512) 463-5800 1-800-325-8506 FAX (512) 463-5777 TDD 1-800-735-2989

Visit us at <http://www.ethics.state.tx.us> on the Internet.

AN EQUAL OPPORTUNITY EMPLOYER

The Texas Ethics Commission does not discriminate on the basis of race, color, national origin, sex, religion, age or disability in employment or the provision of services.

PERSONAL FINANCIAL STATEMENT

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GENERAL INSTRUCTIONS

Every "state officer," as defined by chapter 572 of the Government Code, and the state chair of each political party, must file an annual personal financial statement with the Texas Ethics Commission. The requirement extends to each person who served as a state officer for any part of the period beginning January 1 of the year the statement is due and ending April 30.

Please note that an appointed or elected officer continues to serve as a state officer *until his or her successor has qualified for office*. For example, a person who resigned or whose term ended in November of one year will need to file a personal financial statement covering that year if the person was not replaced until January of the following year or later. However, if you are an appointed officer, as defined by section 572.002 of the Government Code, you are not required to file a personal financial statement if the following criteria are met before January 1 of the year the statement is due: (1) your term expired, you resigned, your agency was abolished, or your agency functions were transferred to another agency; and (2) you ceased to participate in the state agency's functions. If your term expired or if you resigned, you are required to provide written notice of your intent to not participate in the agency's functions to the Office of the Governor and to the Texas Ethics Commission.

Every candidate for one of the elective public offices listed in chapter 572 of the Government Code must also file a personal financial statement with the Texas Ethics Commission in February of the election year. In addition, certain local candidates and officeholders may be required to file a personal financial statement, using this form, with a local filing authority under chapter 159 of the Local Government Code.

If you have questions about whether you are required to file this form, or about how to complete the form, please contact the Texas Ethics Commission at (512) 463-5800, or toll-free at (800) 325-8506. Copies of chapter 572 of the Government Code, commission rules, and personal financial statement brochures are available from the Ethics Commission. Our website, at <http://www.ethics.state.tx.us>, also provides access to our forms, statutes, guides, and brochures.

The Texas Ethics Commission also provides information about whether a public servant is permitted to accept gifts or other benefits under the Penal Code or lobby law. Disclosing an impermissible benefit does not legalize its acceptance.

WHO IS REQUIRED TO FILE?

Chapter 572 of the Government Code. The following individuals are required to file a personal financial statement with the Texas Ethics Commission under chapter 572 of the Government Code:

- Appointed officers of executive branch state agencies;
- Executive heads of state agencies;
- Board members and executive heads of river authorities;

- Officeholders in and candidates for the following offices:
 1. Member of the Texas Legislature;
 2. Statewide elected officer;
 3. Justice of a court of appeals;
 4. District judge;
 5. District or criminal district attorney; and
 6. Member of the State Board of Education;
- Former or retired judges sitting by assignment;¹ and
- State chair of any political party receiving more than two percent of the vote for governor in the most recent general election.

Chapter 159 of the Local Government Code (Statutory County Court/Probate Court Judges). Chapter 159 of the Local Government Code, requires statutory county court and statutory probate court judges and judicial candidates for those offices to file a personal financial statement with either the county clerk or the Texas Ethics Commission. A filer who chooses to file with the Texas Ethics Commission must notify the county clerk of the decision to file with the Texas Ethics Commission on or before the deadline for filing the personal financial statement. Local Gov't Code § 159.052(b). *A filer who chooses to file with the Texas Ethics Commission may be subject to a \$500 late filing penalty if the report is filed after the deadline.*

Other Local Filers. Other local officers, candidates, or even employees may also be required to file a personal financial statement with a local filing authority. Some of those filing authorities may choose to use the Texas Ethics Commission Form PFS. Consult chapter 159 of the Local Government Code for additional information.

Section 11.064 of the Education Code (School Board Trustees): During the Third Called Session, the 78th Legislature changed the requirement that trustees of certain independent school districts file personal financial statements. The new law (HB 7, Article 30) allows the board of trustees in ANY independent school district to adopt a resolution requiring members of the board of trustees to file personal financial statements. The new law also authorizes the commissioner of education to require members of the board of trustees of an independent school district to file personal financial statements in specified circumstances. A personal financial statement required to be filed under the new law must be filed with the board of trustees AND with the Texas Ethics Commission.

¹ A former or retired judge who sits by assignment at the district court level or above must complete a personal financial statement. Attorney General Opinion H-526 (1975).

Municipalities With Populations of 100,000 or More: The mayor, members of the governing body, the municipal attorney, and the city manager of municipalities with a population of 100,000 or more are required to file personal financial statements with the clerk or secretary of the municipality. The Texas Ethics Commission does not have jurisdiction over this filing requirement. See chapter 145 of the Local Government Code for additional information.

Sport and Community Venue Districts: Directors of sports and community venue districts are required to file personal financial statements with the board of directors of the district and with the Texas Ethics Commission. See section 335.1085 of the Local Government Code for additional information.

COMPLETING THE FORM

All forms must be either typewritten or legibly hand-printed in ink. If requested information is not applicable, clearly check the "NOT APPLICABLE" box. A complete statement consists of the Cover Sheet, Parts 1A through 19, and the Personal Financial Statement Affidavit.

PERIOD COVERED

The personal financial statement covers activity for the entire calendar year *preceding* the year the statement is due. For example, a personal financial statement due in 2005 covers activity occurring between and including January 1 and December 31, 2004.

SUBSTITUTION OF FORMS

You may use photocopies of Texas Ethics Commission forms. You may also use your own computer-generated form if it provides for disclosure of all the information required on the commission's form and it is *substantially identical* in paper size, color, layout, and format. You may submit a substitute form for pre-approval by the executive director of the Texas Ethics Commission.

FILING DEADLINES

Annual Statement. The regular filing deadline for the annual personal financial statement is **April 30**.

Candidate Statement. A partisan or independent candidate for elected office who is required to file a personal financial statement must file it no later than the 40th day after the date of the regular filing deadline for filing an application to be on the ballot in the general primary election. *The deadline applies whether or not the candidate runs in a primary election.*

Others. All other individuals required to file the personal financial statement with the Texas Ethics Commission (such as appointed officers and executive directors filing for the first time) should contact the Texas Ethics Commission for further information about the applicable filing deadline.

TIMELY FILINGS

A personal financial statement filed by first-class United States mail or by common or contract carrier is timely filed if:

- (1) it is properly addressed with postage or handling charges prepaid; and
- (2) it bears a post office cancellation mark or a receipt mark from a common or contract carrier indicating it was sent on or before the deadline, or if the filer furnishes satisfactory proof that it was deposited in the mail or with a common or contract carrier on or before the deadline. A hand-delivered statement is timely filed if it is delivered to the proper filing authority by 5:00 P.M. on the deadline date. The Texas Ethics Commission is located on the 10th floor of the Sam Houston Building, 201 E. 14th St., Austin, Texas 78701. Our mailing address is P.O. Box 12070, Austin TX 78711-2070.

EXTENSION OF THE APRIL 30TH DEADLINE

A state officer filing the annual personal financial statement due April 30 may request a 60-day extension of the filing deadline. The executive director of the Texas Ethics Commission shall grant such a request if the request is made on or before the regular deadline. A statutory county court or probate court judge is also eligible for a 60-day extension of the April 30 deadline if the judge requests the extension on or before the regular filing deadline. *Extensions may not be granted for any other personal financial statement filing deadline*, such as the deadline for candidates or newly-appointed board members.

LATE FILING PENALTY

An individual who files the personal financial statement with the Texas Ethics Commission may be assessed a \$500 late filing penalty if the personal financial statement is not filed by the deadline.

CHANGES IN INFORMATION

If you discover after the filing deadline that the personal financial statement you filed was incorrect or incomplete, you must file a corrected financial statement. Please contact the Texas Ethics Commission for additional information.

COMPLETING FORM PFS

COVER SHEET

1. **Name:** List your name.
2. **Address:** List the address at which you would like to receive communications from this office, such as notices of your filing requirements.
3. **Telephone Number:** List a telephone number at which you can be reached during regular business hours.
4. **Reason for Filing Statement:** Check the appropriate box to indicate in which capacity you are filing this personal financial statement. Generally, if you come within more than one category, you will check all applicable boxes. You are only required to file one personal financial statement for the same calendar year, even if you fit within more than one category.
 - **Candidate:** If you are a candidate for an elected office, check this box and indicate which office you seek. Identify the office completely, including the district or place name, if applicable. See "Who Is Required to File?" under the GENERAL INSTRUCTIONS of this guide for a list of the applicable offices.
 - **Elected Officer:** If you are an elected officeholder, check this box and indicate which office you hold. Identify the office completely, including the district or place name, if applicable. See "Who Is Required to File?" under the GENERAL INSTRUCTIONS of this guide for a list of the applicable offices.

Example: Frank is running for judge in the 560th Judicial District. He should check the "Candidate" box and write "Judge, 560th District" to indicate the office he seeks. Jane is the judge for Mars County Court at Law Number 2. She will check the "Elected Officer" box and write "Mars County Court at Law No. 2."

- **Appointed Officer:** If you are an appointed officeholder of a state agency, check this box and indicate the agency.

Note: "State agency" is defined as:

(A) a department, commission, board, office, or other agency that:

- (i) is in the executive branch of state government;
- (ii) has authority that is not limited to a geographical portion of the state; and
- (iii) was created by the Texas Constitution or a statute of this state;

(B) a university system or an institution of higher education as defined by Section 61.003, Education Code, other than a public junior college; or

(C) a river authority created under the Texas Constitution or a statute of this state.

Gov't Code § 572.002(10).

- **Executive Head:** If you are the executive head of a state agency, check this box and indicate the agency.
- **Former or Retired Judge Sitting by Assignment:** If you are a former or retired judge who sits by assignment at the district court level or above, check this box.
- **State Party Chair:** If you are a state party chair, check this box and indicate the party.
- **Other:** If you are filing because you hold a position other than one of the positions listed above, check "other" and describe the position.

See the General Instructions for detailed information about who is required to file a personal financial statement.

5. Names of Family Members Whose Financial Activity You Are Reporting: In responding to Parts 1 through 14 of the personal financial statement, you must provide information about the financial activity of your spouse and dependent children as well as your own if you had *actual control* over that activity.

Spouse. If you are reporting any financial activity for your spouse on this financial statement, enter your spouse's full name here.

Dependent Child. If you are reporting any financial activity for a dependent child on this financial statement, enter the child's full name here. If you are reporting information about more than one dependent child, please list the children separately on the appropriate lines. A child (including an adopted child or a step-child) is considered a dependent if you provided more than 50 percent of the child's support during a calendar year. *Note: Statutory county court or probate court judges may request in writing that the names of dependent children listed on the Form PFS be deleted before the form is made available to the public.*

FINANCIAL ACTIVITY

In Parts 1 through 19, you will disclose information about your financial activity during the preceding calendar year. In Parts 1 through 14, you are required to disclose not only your own financial activity, but also the financial activity of your spouse or a dependent child if you had actual control over that person's financial activity. When reporting information about a dependent child's activity in Parts 1 through 14, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet under item 5.

PART 1. SOURCES OF OCCUPATIONAL INCOME AND RETAINERS

PART 1A. SOURCES OF OCCUPATIONAL INCOME

Complete a block for each source of occupational income. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Information Relates To:** Check the appropriate box indicating whether the source relates to you, your spouse, or a dependent child.
- 2. Employment:** Check the appropriate box indicating whether the individual the information relates to is employed by another or self-employed.

Employed by Another. If the individual is employed by another, provide the name and address of the employer and the position held.

Self-Employed. If the individual is self-employed, report the nature of the occupation, *e.g.*, attorney, carpenter, etc.

PART 1B. RETAINERS

This section asks for information about fees received by you, your spouse, or a dependent child, or received by a business in which you, your spouse, or a dependent child have a "substantial interest," as a retainer for a claim on future services in case of need, rather than fees for services on a matter specified at the time of contracting for or receiving the fee. Report such retainers only in cases in which the value of the amount of work actually performed during the calendar year did not equal or exceed the value of the retainer. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Example: Last year you received a retainer for \$15,000 for consulting services in case of need. You ended up providing \$5,000 worth of services during the calendar year. You should report the retainer on this year's financial statement.

Substantial Interest. An individual has a substantial interest in a business entity if the individual:

- (1) has a controlling interest in the business entity;
- (2) owns more than 10 percent of the voting interest in the business entity;
- (3) owns more than \$25,000 of the fair market value of the business entity;
- (4) has a direct or indirect participating interest by shares, stocks, or otherwise, regardless of whether voting rights are included, in more than 10 percent of the profits, proceeds, or capital gains of the business entity;

(5) is a member of the board of trustees or other governing board of the business entity;

(6) serves as an elected officer of the business entity; or

(7) is an employee of the business entity.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Fee Received From: Provide the name and address of the individual or entity from whom the fee was received.

2. Fee Received By: Check the appropriate box indicating whether the fee was received by you, your spouse, or a dependent child. If the fee was received by a business, provide the name of the business.

3. Fee Amount: Check the appropriate fee category for the amount received.

PART 2. STOCK

This section is for information about business entities in which you, your spouse, or a dependent child held or acquired stock. Complete a separate block for each entity in which stock was held or acquired. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Business Entity: Enter the name of the business entity in which the stock was held or acquired.

2. Stock Held or Acquired By: Check the appropriate box indicating whether the stock was held or acquired by you, your spouse, or a dependent child.

3. Number of Shares: If the number of shares held or acquired fluctuated during the year, indicate the category for the greatest number of shares held or acquired during the year.

4. If Sold: Complete this section if you sold any of the indicated stock during the year. Check whether the sale resulted in a net gain or a net loss and indicate the amount of the net gain or net loss by checking the appropriate monetary category. If you had several transactions involving stock of a particular entity, indicate the net gain or net loss resulting from those transactions. You do not have to show the net gain or net loss from each sale of stock in the same business entity.

PART 3. BONDS, NOTES, AND OTHER COMMERCIAL PAPER

This section is for information about bonds, notes, and other commercial paper held or acquired by you, your spouse, or a dependent child. Complete a separate block for each bond, note, or other commercial instrument held or acquired. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Description of Instrument: Briefly describe the instrument.

Commercial Paper. Commercial paper includes any type of negotiable instrument, such as certificates of deposit (CDs), money market certificates, treasury bills, or bills of exchange.

2. Held or Acquired By: Check the appropriate box indicating whether the instrument was held or acquired by you, your spouse, or a dependent child.

3. If Sold: Complete this section if you sold any of the instruments during the year. Check whether the sale resulted in a net gain or a net loss and indicate the amount of the net gain or net loss by checking the appropriate monetary category.

PART 4. MUTUAL FUNDS

This section is for information about shares of mutual funds held or acquired by you, your spouse, or a dependent child. Complete a separate block for each mutual fund in which shares were held or acquired. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. Mutual Fund: Enter the name of the mutual fund in which shares were held or acquired.

2. Shares of Mutual Funds Held or Acquired By: Check the appropriate box indicating whether the shares in the mutual fund were held or acquired by you, your spouse, or a dependent child.

3. Number of Shares of Mutual Fund: If the number of shares held or acquired fluctuated during the year, indicate the category for the greatest number of shares held or acquired during the year.

4. If Sold: Complete this section if you sold any of the indicated shares of the mutual fund during the year. Check whether the sale resulted in a net gain or a net loss and indicate the amount of the net gain or net loss by checking the appropriate monetary category. If you had several transactions involving shares of the mutual fund, indicate the net gain or net loss resulting from those transactions. You do not have to show the net gain or net loss from each sale of shares of the mutual fund.

PART 5. INCOME FROM INTEREST, DIVIDENDS, ROYALTIES, AND RENTS

If you, your spouse, or a dependent child received *more than \$500 from any source* in interest, dividend, royalty, or rent income, identify the source of the income and the category of the amount received. Complete a separate block for each source of interest, dividend, royalty, or rent income. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Source of Income:** Provide the name and address of the source of income.
- 2. Received By:** Check the appropriate box indicating whether the income was received by you, your spouse, or a dependent child.
- 3. Amount:** Check the appropriate monetary category for the amount received.

PART 6. PERSONAL NOTES AND LEASE AGREEMENTS

Complete this section if at any time during the year you, your spouse, or a dependent child owed a financial obligation *in excess of \$1,000* to a person or financial institution on a personal note or notes or a lease agreement. Complete a separate block for each person or institution holding a personal note or lease agreement covered by this section. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Person or Institution Holding Note or Lease Agreement:** Identify the person (for example, "Zebu National Bank," "Echidna Mortgage Company") holding the personal note or lease agreement on which you, your spouse, or a dependent child owed the obligation.
- 2. Liability of:** Check the appropriate box indicating whether the personal note or lease agreement is the liability of you, your spouse, or a dependent child.
- 3. Guarantor:** If the obligation was a loan, identify the guarantor of the loan, if any.
- 4. Amount:** Check the appropriate monetary category for the amount of the liability.

PART 7. INTERESTS IN REAL PROPERTY AND BUSINESS ENTITIES

This section is for reporting beneficial interests held or acquired in real property and business entities. Part 7A pertains to interest in real property and Part 7B pertains to interest in business entities. Refer to the following definitions when completing both Parts 7A and 7B. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Beneficial Interest. A beneficial interest may be either legal or equitable title (such as when a creditor takes the legal title as security for the repayment of a debt). Report items held by a trust of which you are a beneficiary under Part 9 rather than under this section.

Business Entity. "Business entity" means a sole proprietorship, partnership, firm, corporation, holding company, joint stock company, receivership, trust, or any other entity recognized by law through which business for profit is conducted.

PART 7A. INTERESTS IN REAL PROPERTY

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Held or Acquired By:** Check the appropriate box indicating whether the interest is held or acquired by you, your spouse, or a dependent child.
- 2. Street Address:** Enter the street address of the real property, if available, and include the city, and state where the real property is located.
- 3. Description:** If a street address is not available, check whether the real property consists of lots or acres. Provide the number of lots or acres, as applicable, and the name of each county in which the lots or acres are located.

If the real property is identifiable by a street address, you must provide that information in Item 2 of this part instead of providing a description.

- 4. Names of Persons Retaining an Interest:** List the names of any persons retaining an interest in the real property other than you, your spouse, or a dependent child. The requirement to list the names of persons retaining an interest in real property does not apply to a severed mineral interest.

Example: If you own a house and make mortgage payments, you would list the house in this section and list the mortgage holder as another person retaining an interest in the property.

- 5. If Sold:** Complete this item only if you sold the interest during the year. Check whether the sale resulted in a net gain or a net loss and indicate the amount of the net gain or net loss by checking the appropriate monetary category.

PART 7B. INTERESTS IN BUSINESS ENTITIES

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Held or Acquired By:** Check the appropriate box indicating whether the interest is held or acquired by you, your spouse, or a dependent child.
- 2. Description:** Provide the name and address of the business entity.
- 3. If Sold:** Complete this item only if you sold the interest during the year. Check whether the sale resulted in a net gain or a net loss and indicate the amount of the net gain or net loss by checking the appropriate monetary category.

PART 8. GIFTS

This section is for reporting gifts worth more than \$250 received by you, your spouse, or a dependent child, other than: 1) a gift required to be reported by a lobbyist as a lobby expenditure; 2) a political contribution; or 3) a gift from a person related to you within the second degree by consanguinity or affinity. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Gifts from Relatives. A parent, child, brother, sister, grandparent, or grandchild is related to you within the second degree by *consanguinity*. Individuals related to you within the second degree by *affinity* include the spouse of anyone related to you within the second degree by consanguinity, and anyone related to your spouse within the second degree by consanguinity. You are not required to report gifts from these individuals.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Donor:** Provide the name and address of the person or organization giving the gift.
- 2. Recipient:** Check the appropriate box indicating whether the gift was given to you, your spouse, or a dependent child. *If more than one of you received it, check as many boxes as apply.*
- 3. Description:** Describe the gift.

PART 9. TRUST INCOME

Complete this section if *any* income was received as a beneficiary of a trust, other than a blind trust, the definition of which is included in the PART 10A of instructions. Identify the trust by name and indicate the category of the amount received. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Source:** Provide the name of the trust.
- 2. Beneficiary:** Check the appropriate box indicating whether you, your spouse, or a dependent child is the beneficiary of the trust.
- 3. Income:** Check the appropriate monetary category to indicate the amount of income received by the beneficiary.
- 4. Assets from which over \$500 was Received:** Identify each asset of the trust from which more than \$500 in income was received, *if you know the identity of the asset.*

PART 10A. BLIND TRUSTS

This section is for reporting each blind trust that is defined in section 572.023(c) of the Government Code in which you, your spouse, or a dependent child is a beneficiary. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Section 572.023(c) of the Government Code. A blind trust is defined as a trust as to which the trustee:

- (A) is a disinterested party;
- (B) is not the individual;
- (C) is not required to register as a lobbyist under Chapter 305 [of the Government Code];
- (D) is not a public officer or public employee;
- (E) was not appointed to public office by the individual or by a public officer or public employee the individual supervises; and
- [(F)] has complete discretion to manage the trust, including the power to dispose of and acquire trust assets without consulting or notifying the individual.

You must submit a statement signed by the trustee of each trust listed on this section. See Part 10B for additional information.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Name of Trust:** Provide the name of the trust.
- 2. Trustee:** Provide the name and address of the trustee.
- 3. Beneficiary:** Check the appropriate box indicating whether you, your spouse, or a dependent child is the beneficiary of the trust.
- 4. Fair Market Value:** Check the appropriate monetary category to indicate the fair market value of the trust.
- 5. Date Created:** Report the date the trust was created.

PART 10B. TRUSTEE STATEMENT

You must submit with your personal financial statement a statement signed by the trustee of each blind trust listed on Part 10A. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Name of Trust:** Provide the name of the trust.
- 2. Trustee Name:** Provide the name of the trustee.
- 3. Filer on Whose Behalf Statement is Being Filed:** Provide the name of the person on whose behalf the trustee statement is being filed.
- 4. Trustee Statement:** Signature of the trustee.

PART 11. ASSETS AND LIABILITIES OF BUSINESS ASSOCIATIONS

Complete this section if you, your spouse, or a dependent child held, acquired, or sold 50 percent or more of the outstanding ownership of a corporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association. Part 11A pertains to assets of the corporation or partnership and Part 11B pertains to liabilities of the corporation or partnership. If the requested information is not applicable, check the "NOT APPLICABLE" box.

PART 11A. ASSETS OF BUSINESS ASSOCIATIONS

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Business Association:** Provide the name and address of the business association.
- 2. Business Type:** State whether the business is a corporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association
- 3 Held, Acquired, or Sold By:** Check the appropriate box indicating whether the ownership was held, acquired, or sold by you, your spouse, or a dependent child.
- 4. Assets:** Describe each asset of each business association and check the appropriate monetary category.

PART 11B. LIABILITIES OF BUSINESS ASSOCIATIONS

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Business Association:** Provide the name and address of the business association.
- 2. Business Type:** State whether the business is a corporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association.
- 3. Held, Acquired, or Sold By:** Check the appropriate box indicating whether the ownership was held, acquired, or sold by you, your spouse, or a dependent child.
- 4. Liabilities:** Describe each liability of the business association and check the appropriate monetary category.

PART 12. BOARDS AND EXECUTIVE POSITIONS

This section is for information about all boards of directors of which you, your spouse, or a dependent child are a member and all executive positions held in corporations, firms, partnerships, limited partnerships, limited liability partnerships, professional corporations, professional associations, joint ventures, or other business associations or proprietorships. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Non-Profits. This section applies to boards of directors and executive positions with non-profit as well as for-profit entities.

Compensated Service. If you, your spouse, or a dependent child received payment for positions listed in this section, you may also be required to list the entity under PART 1A. SOURCES OF OCCUPATIONAL INCOME.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. **Organization:** Provide the name of the organization.
2. **Position Held:** Provide the position held in the organization.
3. **Position Held By:** Check the appropriate box to indicate whether the position is held by you, your spouse, or a dependent child.

PART 13. EXPENSES ACCEPTED UNDER HONORARIUM EXCEPTION

Generally, section 36.07 of the Penal Code prohibits a public servant from accepting an honorarium in consideration for providing services he or she would not have been asked to provide but for his or her official position. The provision does not, however, prohibit the acceptance of necessary transportation, lodging, or meals in connection with a conference or similar event at which the public servant renders services, such as addressing an audience or participating in a seminar, that are more than merely perfunctory. If someone provided you with transportation, meals, or lodging under this provision, identify the donor and provide the amount of expenditures made. You may have to contact the donor to obtain the amount. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Political Contributions and Lobby Expenditures. You are not required to list items you have already reported as political contributions on a campaign finance report or items required to be reported by a lobbyist as lobby expenditures.

Each numbered item in these instructions corresponds to the same numbered item on the form.

1. **Provider:** Provide the name and address of the person making the expenditures.
2. **Amount:** Provide the amount of the expenditures.

PART 14. INTEREST IN BUSINESS IN COMMON WITH LOBBYIST

Complete this section by identifying any corporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association, other than a publicly held corporation, in which both you, your spouse, and dependent child, and a person registered as a lobbyist under chapter 305 of the Government Code, have an interest. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Interest. Please note that the statute applies if you, your spouse, or a dependent child, and a lobbyist both have "an interest" in the business. The interest does not have to be a "substantial interest" as in Part 1B in order to trigger the reporting requirement.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Business Entity:** Provide the name and address of business entity in which you, your spouse, or dependent child, and a person registered as a lobbyist have an interest.
- 2. Interest Held By:** Check the appropriate box to indicate whether you, your spouse, and a dependent child have an interest with a person registered as a lobbyist.

PART 15. FEES RECEIVED FOR SERVICES RENDERED TO A LOBBYIST OR LOBBYIST'S EMPLOYER

If you received a fee for providing services to or on behalf of a person required to be registered as a lobbyist under chapter 305 of the Government Code, or for providing services to or on behalf of a person you **actually know** directly compensates or reimburses such a person, you must complete this section by providing the name of the person for whom you provided the services and the category of the amount of the fee you received. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Actual Knowledge. You "actually" know someone who directly compensates or reimburses a person required to be registered as a lobbyist if you personally know the person who does so or you could readily discover it by contacting the person or the Texas Ethics Commission. Ethics Advisory Opinion No. 333 (1996).

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Person or Entity for Whom Services Were Provided:** Provide the name of the person or entity.
- 2. Fee Category:** Check the appropriate fee category for the amount received.

PART 16. REPRESENTATION BY LEGISLATOR BEFORE STATE AGENCY

This section applies only to members of the Texas Legislature. If you represented a person for compensation before a state agency in the executive branch, at any time during calendar year 2004, you must provide the name of the agency, the name of the person represented, and the category of the amount of the fee received for the representation. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. State Agency:** Provide the name of the state agency.
- 2. Person Represented:** Provide the name of the person you represented.
- 3. Fee Category:** Check the appropriate fee category for the amount received.

NOTE: Beginning September 1, 2003, legislators may not, for compensation, represent another person before a state agency in the executive branch. The prohibition does not apply if:

1. the representation is pursuant to an attorney/client relationship in a criminal law matter;
2. the representation involves the filing of documents that involve only ministerial acts on the part of the agency; or
3. the representation is in regard to a matter for which the legislator was hired before September 1, 2003.

PART 17. BENEFITS DERIVED FROM FUNCTIONS HONORING PUBLIC SERVANT

Section 36.10 of the Penal Code provides that the gift prohibitions set out in section 36.08 of the Penal Code do not apply to a benefit derived from a function in honor or appreciation of a public servant required to file a statement under chapter 572 of the Government Code, or title 15 of the Election Code, if: 1) the benefit and the source of any benefit over \$50 in value are reported in the statement; and 2) the benefit is used solely to defray expenses that accrue in the performance of duties or activities in connection with the office which are non-reimbursable by the state or a political subdivision. If such a benefit is received and is not reported by the public servant under title 15 of the Election Code, the benefit is reportable here. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Source of Benefit:** Provide the name and address of the person or entity that is the source of the benefit.
- 2. Benefit:** Describe the benefit received.

PART 18. LEGISLATIVE CONTINUANCES

This section applies only to members of the Texas Legislature. Complete this schedule if you are a member or member-elect of the legislature licensed to practice law and represent a party to a civil or criminal case for compensation and on behalf of that party's behalf you have applied for or obtained a legislative continuance under section 30.003 of the Civil Practice and Remedies Code, or under another law or rule that requires or permits a court to grant a continuance on the grounds that an attorney for a party is a member or member-elect of the legislature. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Name of Party Represented:** Provide the name of the party on whose behalf you applied for or obtained a continuance.
- 2. Date Retained:** Provide the date on which you were retained to represent the party.
- 3. Style, Cause Number, Court, and Jurisdiction:** Provide the style and cause number of the action in which the continuance was sought and the court and jurisdiction in which the action was pending when the continuance was sought.
- 4. Date of Continuance Application:** Provide the date on which you applied for a continuance.
- 5. Was Continuance Granted:** Indicate whether the continuance was granted.

PART 19. REFERRALS

Complete this section if you are a state officer and an attorney if you: (1) referred a client to another person and were compensated for that referral; or if you (2) received a referral for compensation for legal services. If the requested information is not applicable, check the "NOT APPLICABLE" box.

Each numbered item in these instructions corresponds to the same numbered item on the form.

- 1. Source:** Provide the name of the person to whom you made a referral for compensation for legal services or the name of the person from whom you received the referral for compensation for legal services.
- 2. Referral Category:** If applicable, check the appropriate monetary category for the amount received for making a referral.

PERSONAL FINANCIAL STATEMENT AFFIDAVIT

The law requires that the personal financial statement be verified. The verification page must have the signature of the individual required to file the personal financial statement, as well as the signature and stamp or seal of office of a notary public or other person authorized by law to administer oaths and affirmations. Without proper verification, the statement is not considered filed.

PERSONAL FINANCIAL STATEMENT**FORM PFS
COVER SHEET**

Filed in accordance with chapter 572 of the Government Code.
For filings required in 2005, covering calendar year ending December 31, 2004.
Use FORM PFS--INSTRUCTION GUIDE when completing this form.

TOTAL NUMBER OF PAGES FILED:

ACCOUNT #

1 NAME

TITLE; FIRST; MI

NICKNAME; LAST; SUFFIX

2 ADDRESS

ADDRESS / PO BOX; APT / SUITE #; CITY; STATE; ZIP CODE

**3 TELEPHONE
NUMBER**

AREA CODE

PHONE NUMBER; EXTENSION

()

OFFICE USE ONLY

Date Received

Receipt #

HD / PM

Amount

Date Processed

Date Imaged

**4 REASON
FOR FILING
STATEMENT**☐ CANDIDATE _____ (INDICATE OFFICE)☐ ELECTED OFFICER _____ (INDICATE OFFICE)☐ APPOINTED OFFICER _____ (INDICATE AGENCY)☐ EXECUTIVE HEAD _____ (INDICATE AGENCY)☐ FORMER OR RETIRED JUDGE SITTING BY ASSIGNMENT☐ STATE PARTY CHAIR _____ (INDICATE PARTY)☐ OTHER _____ (INDICATE POSITION)

5 Family members whose financial activity you are reporting (filer must report information about the financial activity of the filer's spouse or dependent children if the filer had actual control over that activity):

SPOUSE _____

DEPENDENT CHILD 1. _____

2. _____

3. _____

In Parts 1 through 19, you will disclose your financial activity during the preceding calendar year. In Parts 1 through 14, you are required to disclose not only your own financial activity, but also that of your spouse or a dependent child if you had actual control over that person's financial activity.

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

SOURCES OF OCCUPATIONAL INCOME**PART 1A**☐ NOTAPPLICABLE

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 INFORMATION RELATES TO☐ FILER☐ SPOUSE☐ DEPENDENT CHILD _____**2 EMPLOYMENT**☐ EMPLOYED BY ANOTHER

NAME AND ADDRESS OF EMPLOYER / POSITION HELD

☐ SELF-EMPLOYED

NATURE OF OCCUPATION

INFORMATION RELATES TO☐ FILER☐ SPOUSE☐ DEPENDENT CHILD _____**EMPLOYMENT**☐ EMPLOYED BY ANOTHER

NAME AND ADDRESS OF EMPLOYER / POSITION HELD

☐ SELF-EMPLOYED

NATURE OF OCCUPATION

INFORMATION RELATES TO☐ FILER☐ SPOUSE☐ DEPENDENT CHILD _____**EMPLOYMENT**☐ EMPLOYED BY ANOTHER

NAME AND ADDRESS OF EMPLOYER / POSITION HELD

☐ SELF-EMPLOYED

NATURE OF OCCUPATION

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

RETAINERS**PART 1B**☐ NOT APPLICABLE

This section concerns fees received as a retainer by you, your spouse, or a dependent child (or by a business in which you, your spouse, or a dependent child have a "substantial interest") for a claim on future services in case of need, rather than for services on a matter specified at the time of contracting for or receiving the fee. Report information here only if the value of the work actually performed during the calendar year did not equal or exceed the value of the retainer. For more information, see FORM PFS-INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 FEE RECEIVED FROM	NAME AND ADDRESS
2 FEE RECEIVED BY	NAME OF BUSINESS <input type="checkbox"/> FILER OR FILER'S BUSINESS _____ <input type="checkbox"/> SPOUSE OR SPOUSE'S BUSINESS _____ <input type="checkbox"/> DEPENDENT CHILD _____ OR CHILD'S BUSINESS _____
3 FEE AMOUNT	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

FEE RECEIVED FROM	NAME AND ADDRESS
FEE RECEIVED BY	NAME OF BUSINESS <input type="checkbox"/> FILER OR FILER'S BUSINESS _____ <input type="checkbox"/> SPOUSE OR SPOUSE'S BUSINESS _____ <input type="checkbox"/> DEPENDENT CHILD _____ OR CHILD'S BUSINESS _____
FEE AMOUNT	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

STOCK**PART 2**☐ NOTAPPLICABLE

List each business entity in which you, your spouse, or a dependent child held or acquired stock during the calendar year and indicate the category of the number of shares held or acquired. If some or all of the stock was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 BUSINESS ENTITY	NAME _____			
2 STOCK HELD OR ACQUIRED BY	<input type="checkbox"/> FILER	<input type="checkbox"/> SPOUSE	<input type="checkbox"/> DEPENDENT CHILD _____	
3 NUMBER OF SHARES	<input type="checkbox"/> LESS THAN 100	<input type="checkbox"/> 100 TO 499	<input type="checkbox"/> 500 TO 999	<input type="checkbox"/> 1,000 TO 4,999
	<input type="checkbox"/> 5,000 TO 9,999	<input type="checkbox"/> 10,000 OR MORE		
4 IF SOLD	<input type="checkbox"/> NET GAIN			
	<input type="checkbox"/> NET LOSS			
	<input type="checkbox"/> LESS THAN \$5,000	<input type="checkbox"/> \$5,000--\$9,999	<input type="checkbox"/> \$10,000--\$24,999	<input type="checkbox"/> \$25,000--OR MORE

BUSINESS ENTITY	NAME _____			
STOCK HELD OR ACQUIRED BY	<input type="checkbox"/> FILER	<input type="checkbox"/> SPOUSE	<input type="checkbox"/> DEPENDENT CHILD _____	
NUMBER OF SHARES	<input type="checkbox"/> LESS THAN 100	<input type="checkbox"/> 100 TO 499	<input type="checkbox"/> 500 TO 999	<input type="checkbox"/> 1,000 TO 4,999
	<input type="checkbox"/> 5,000 TO 9,999	<input type="checkbox"/> 10,000 OR MORE		
IF SOLD	<input type="checkbox"/> NET GAIN			
	<input type="checkbox"/> NET LOSS			
	<input type="checkbox"/> LESS THAN \$5,000	<input type="checkbox"/> \$5,000--\$9,999	<input type="checkbox"/> \$10,000--\$24,999	<input type="checkbox"/> \$25,000--OR MORE

BUSINESS ENTITY	NAME _____			
STOCK HELD OR ACQUIRED BY	<input type="checkbox"/> FILER	<input type="checkbox"/> SPOUSE	<input type="checkbox"/> DEPENDENT CHILD _____	
NUMBER OF SHARES	<input type="checkbox"/> LESS THAN 100	<input type="checkbox"/> 100 TO 499	<input type="checkbox"/> 500 TO 999	<input type="checkbox"/> 1,000 TO 4,999
	<input type="checkbox"/> 5,000 TO 9,999	<input type="checkbox"/> 10,000 OR MORE		
IF SOLD	<input type="checkbox"/> NET GAIN			
	<input type="checkbox"/> NET LOSS			
	<input type="checkbox"/> LESS THAN \$5,000	<input type="checkbox"/> \$5,000--\$9,999	<input type="checkbox"/> \$10,000--\$24,999	<input type="checkbox"/> \$25,000--OR MORE

BUSINESS ENTITY	NAME _____			
STOCK HELD OR ACQUIRED BY	<input type="checkbox"/> FILER	<input type="checkbox"/> SPOUSE	<input type="checkbox"/> DEPENDENT CHILD _____	
NUMBER OF SHARES	<input type="checkbox"/> LESS THAN 100	<input type="checkbox"/> 100 TO 499	<input type="checkbox"/> 500 TO 999	<input type="checkbox"/> 1,000 TO 4,999
	<input type="checkbox"/> 5,000 TO 9,999	<input type="checkbox"/> 10,000 OR MORE		
IF SOLD	<input type="checkbox"/> NET GAIN			
	<input type="checkbox"/> NET LOSS			
	<input type="checkbox"/> LESS THAN \$5,000	<input type="checkbox"/> \$5,000--\$9,999	<input type="checkbox"/> \$10,000--\$24,999	<input type="checkbox"/> \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

BONDS, NOTES & OTHER COMMERCIAL PAPER**PART 3**☐ NOT APPLICABLE

List all bonds, notes, and other commercial paper held or acquired by you, your spouse, or a dependent child during the calendar year. If sold, indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS-INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 DESCRIPTION OF INSTRUMENT	
2 HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
3 IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
DESCRIPTION OF INSTRUMENT	
HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
DESCRIPTION OF INSTRUMENT	
HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

MUTUAL FUNDS**PART 4**☐ NOT APPLICABLE

List each mutual fund and the number of shares in that mutual fund that you, your spouse, or a dependent child held or acquired during the calendar year and indicate the category of the number of shares of mutual funds held or acquired. If some or all of the shares of a mutual fund were sold, also indicate the category of the amount of the net gain or loss realized from the sale. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 MUTUAL FUND	NAME
2 SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
3 NUMBER OF SHARES OF MUTUAL FUND	<input type="checkbox"/> LESS THAN 100 <input type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999 <input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE
4 IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
MUTUAL FUND	NAME
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
NUMBER OF SHARES OF MUTUAL FUND	<input type="checkbox"/> LESS THAN 100 <input type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999 <input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE
IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
MUTUAL FUND	NAME
SHARES OF MUTUAL FUND HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
NUMBER OF SHARES OF MUTUAL FUND	<input type="checkbox"/> LESS THAN 100 <input type="checkbox"/> 100 TO 499 <input type="checkbox"/> 500 TO 999 <input type="checkbox"/> 1,000 TO 4,999 <input type="checkbox"/> 5,000 TO 9,999 <input type="checkbox"/> 10,000 OR MORE
IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

INCOME FROM INTEREST, DIVIDENDS, ROYALTIES & RENTS**PART 5**☐ NOTAPPLICABLE

List each source of income you, your spouse, or a dependent child received *in excess of \$500* that was derived from interest, dividends, royalties, and rents during the calendar year and indicate the category of the amount of the income. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

¹ SOURCE OF INCOME	NAME AND ADDRESS
² RECEIVED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
³ AMOUNT	<input type="checkbox"/> \$500--\$4,999 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
SOURCE OF INCOME	NAME AND ADDRESS
RECEIVED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
AMOUNT	<input type="checkbox"/> \$500--\$4,999 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
SOURCE OF INCOME	NAME AND ADDRESS
RECEIVED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
AMOUNT	<input type="checkbox"/> \$500--\$4,999 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

PERSONAL NOTES AND LEASE AGREEMENTS**PART 6**☐ NOT APPLICABLE

Identify each guarantor of a loan and each person or financial institution to whom you, your spouse, or a dependent child had a total financial liability of *more than \$1,000* in the form of a personal note or notes or lease agreement at any time during the calendar year and indicate the category of the amount of the liability. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 PERSON OR INSTITUTION HOLDING NOTE OR LEASE AGREEMENT	
2 LIABILITY OF	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
3 GUARANTOR	
4 AMOUNT	<input type="checkbox"/> \$1,000--\$4,999 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
PERSON OR INSTITUTION HOLDING NOTE OR LEASE AGREEMENT	
LIABILITY OF	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
GUARANTOR	
AMOUNT	<input type="checkbox"/> \$1,000--\$4,999 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
PERSON OR INSTITUTION HOLDING NOTE OR LEASE AGREEMENT	
LIABILITY OF	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
GUARANTOR	
AMOUNT	<input type="checkbox"/> \$1,000--\$4,999 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

INTERESTS IN REAL PROPERTY**PART 7A**☐ NOT APPLICABLE

Describe all beneficial interests in real property held or acquired by you, your spouse, or a dependent child during the calendar year. If the interest was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For an explanation of "beneficial interest" and other specific directions for completing this section, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
2 STREET ADDRESS <input type="checkbox"/> NOT AVAILABLE	STREET ADDRESS, INCLUDING CITY, COUNTY, AND STATE
3 DESCRIPTION <input type="checkbox"/> LOTS <input type="checkbox"/> ACRES	NUMBER OF LOTS OR ACRES AND NAME OF COUNTY WHERE LOCATED
4 NAMES OF PERSONS RETAINING AN INTEREST <input type="checkbox"/> NOT APPLICABLE (SEVERED MINERAL INTEREST)	
5 IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
STREET ADDRESS <input type="checkbox"/> NOT AVAILABLE	STREET ADDRESS, INCLUDING CITY, COUNTY, AND STATE
DESCRIPTION <input type="checkbox"/> LOTS <input type="checkbox"/> ACRES	NUMBER OF LOTS OR ACRES AND NAME OF COUNTY WHERE LOCATED
NAMES OF PERSONS RETAINING AN INTEREST <input type="checkbox"/> NOT APPLICABLE (SEVERED MINERAL INTEREST)	
IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

INTERESTS IN BUSINESS ENTITIES**PART 7B**☐ NOTAPPLICABLE

Describe all beneficial interests in business entities held or acquired by you, your spouse, or a dependent child during the calendar year. If the interest was sold, also indicate the category of the amount of the net gain or loss realized from the sale. For an explanation of "beneficial interest" and other specific directions for completing this section, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
2 DESCRIPTION	NAME AND ADDRESS
3 IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
DESCRIPTION	NAME AND ADDRESS
IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
HELD OR ACQUIRED BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
DESCRIPTION	NAME AND ADDRESS
IF SOLD <input type="checkbox"/> NET GAIN <input type="checkbox"/> NET LOSS	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

GIFTS**PART 8**☐ NOT APPLICABLE

Identify any person or organization that has given a gift *worth more than \$250* to you, your spouse, or a dependent child, and describe the gift. Do not include: 1) expenditures required to be reported by a person required to be registered as a lobbyist under chapter 305 of the Government Code; 2) political contributions reported as required by law; or 3) gifts given by a person related to the recipient within the second degree by consanguinity or affinity. For more information, see FORM PFS-INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 DONOR	NAME AND ADDRESS
2 RECIPIENT	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
3 DESCRIPTION OF GIFT	
DONOR	NAME AND ADDRESS
RECIPIENT	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
DESCRIPTION OF GIFT	
DONOR	NAME AND ADDRESS
RECIPIENT	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
DESCRIPTION OF GIFT	
COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY	

TRUST INCOME**PART 9**☐ NOTAPPLICABLE

Identify each source of income received by you, your spouse, or a dependent child as beneficiary of a trust and indicate the category of the amount of income received. Also identify each asset of the trust from which the beneficiary received *more than \$500* in income, if the identity of the asset is known. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

¹ SOURCE	NAME OF TRUST
² BENEFICIARY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
³ INCOME	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
⁴ ASSETS FROM WHICH OVER \$500 WAS RECEIVED <input type="checkbox"/> UNKNOWN	
SOURCE	NAME OF TRUST
BENEFICIARY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
INCOME	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
ASSETS FROM WHICH OVER \$500 WAS RECEIVED <input type="checkbox"/> UNKNOWN	
SOURCE	NAME OF TRUST
BENEFICIARY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
INCOME	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
ASSETS FROM WHICH OVER \$500 WAS RECEIVED <input type="checkbox"/> UNKNOWN	

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

BLIND TRUSTS**PART 10A**☐ NOT APPLICABLE

Identify each blind trust that complies with section 572.023(c) of the Government Code. See FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 NAME OF TRUST	
2 TRUSTEE	NAME AND ADDRESS
3 BENEFICIARY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
4 FAIR MARKET VALUE	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
5 DATE CREATED	
<hr/>	
NAME OF TRUST	
TRUSTEE	NAME AND ADDRESS
BENEFICIARY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
FAIR MARKET VALUE	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
DATE CREATED	
<hr/>	
NAME OF TRUST	
TRUSTEE	NAME AND ADDRESS
BENEFICIARY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
FAIR MARKET VALUE	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
DATE CREATED	
<hr/>	
COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY	

TRUSTEE STATEMENT**PART 10B**☐ NOT APPLICABLE

An individual who is required to identify a blind trust on Part 10A of the Personal Financial Statement must submit a statement signed by the trustee of each blind trust listed on Part 10A. The portions of section 572.023 of the Government Code that relate to blind trusts are listed below.

1 NAME OF TRUST	
2 TRUSTEE NAME	
3 FILER ON WHOSE BEHALF STATEMENT IS BEING FILED	NAME
4 TRUSTEE STATEMENT	<p>I affirm, under penalty of perjury, that I have not revealed any information to the beneficiary of this trust except information that may be disclosed under section 572.023 (b)(8) of the Government Code and that to the best of my knowledge, the trust complies with section 572.023 of the Government Code.</p> <p style="text-align: right;">_____ Trustee Signature</p>

§ 572.023. Contents of Financial Statement in General

(b) The account of financial activity consists of:

(8) identification of the source and the category of the amount of all income received as beneficiary of a trust, other than a blind trust that complies with Subsection (c), and identification of each trust asset, if known to the beneficiary, from which income was received by the beneficiary in excess of \$500;

(14) identification of each blind trust that complies with Subsection (c), including:

(A) the category of the fair market value of the trust;

(B) the date the trust was created;

(C) the name and address of the trustee; and

(D) a statement signed by the trustee, under penalty of perjury, stating that:

(i) the trustee has not revealed any information to the individual, except information that may be disclosed under Subdivision (8); and

(ii) to the best of the trustee's knowledge, the trust complies with this section.

(c) For purposes of Subsections (b)(8) and (14), a blind trust is a trust as to which:

(1) the trustee:

(A) is a disinterested party;

(B) is not the individual;

(C) is not required to register as a lobbyist under Chapter 305;

(D) is not a public officer or public employee; and

(E) was not appointed to public office by the individual or by a public officer or public employee the individual supervises; and

(2) the trustee has complete discretion to manage the trust, including the power to dispose of and acquire trust assets without consulting or notifying the individual.

(d) If a blind trust under Subsection (c) is revoked while the individual is subject to this subchapter, the individual must file an amendment to the individual's most recent financial statement, disclosing the date of revocation and the previously unreported value by category of each asset and the income derived from each asset.

ASSETS OF BUSINESS ASSOCIATIONS**PART 11A**☐ NOT APPLICABLE

Describe all assets of each corporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association in which you, your spouse, or a dependent child held, acquired, or sold 50 percent or more of the outstanding ownership and indicate the category of the amount of the assets. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 BUSINESS ASSOCIATION	NAME AND ADDRESS	
2 BUSINESS TYPE		
3 HELD, ACQUIRED, OR SOLD BY	<input type="checkbox"/> FILER	<input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
4 ASSETS	DESCRIPTION	CATEGORY
		<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999
		<input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
		<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999
		<input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
		<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999
		<input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
		<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999
		<input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
		<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999
		<input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
		<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999
		<input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
		<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999
		<input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
		<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999
		<input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

LIABILITIES OF BUSINESS ASSOCIATIONS**PART 11B**☐ NOT APPLICABLE

Describe all liabilities of each corporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association in which you, your spouse, or a dependent child held, acquired, or sold 50 percent or more of the outstanding ownership and indicate the category of the amount of the assets. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

1 BUSINESS ASSOCIATION	NAME AND ADDRESS	
2 BUSINESS TYPE		
3 HELD, ACQUIRED, OR SOLD BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____	
4 LIABILITIES	DESCRIPTION	CATEGORY
		<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
		<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
		<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
		<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
		<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
		<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
		<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
		<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
		<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
		<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

BOARDS AND EXECUTIVE POSITIONS**PART 12**☐ NOT APPLICABLE

List all boards of directors of which you, your spouse, or a dependent child are a member and all executive positions you, your spouse, or a dependent child hold in corporations, firms, partnerships, limited partnerships, limited liability partnerships, professional corporations, professional associations, joint ventures, other business associations, or proprietorships, stating the name of the organization and the position held. For more information, see FORM PFS--INSTRUCTION GUIDE.

When reporting information about a dependent child's activity, indicate the child about whom you are reporting by providing the number under which the child is listed on the Cover Sheet.

¹ ORGANIZATION	
² POSITION HELD	
³ POSITION HELD BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
ORGANIZATION	
POSITION HELD	
POSITION HELD BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
ORGANIZATION	
POSITION HELD	
POSITION HELD BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
ORGANIZATION	
POSITION HELD	
POSITION HELD BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
ORGANIZATION	
POSITION HELD	
POSITION HELD BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

EXPENSES ACCEPTED UNDER HONORARIUM EXCEPTION**PART 13**☐ NOT APPLICABLE

Identify any person who provided you with necessary transportation, meals, or lodging, as permitted under section 36.07(b) of the Penal Code, in connection with a conference or similar event in which you rendered services, such as addressing an audience or participating in a seminar, that were more than perfunctory. Also provide the amount of the expenditures on transportation, meals, or lodging. You are not required to include items you have already reported as political contributions on a campaign finance report, or expenditures required to be reported by a lobbyist under the lobby law (chapter 305 of the Government Code). For more information, see FORM PFS--INSTRUCTION GUIDE.

¹ PROVIDER	NAME AND ADDRESS
² AMOUNT	
PROVIDER	NAME AND ADDRESS
AMOUNT	
PROVIDER	NAME AND ADDRESS
AMOUNT	
PROVIDER	NAME AND ADDRESS
AMOUNT	
COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY	

INTEREST IN BUSINESS IN COMMON WITH LOBBYIST**PART 14**☐ NOT APPLICABLE

Identify each corporation, firm, partnership, limited partnership, limited liability partnership, professional corporation, professional association, joint venture, or other business association, other than a publicly-held corporation, in which you, your spouse, or a dependent child, and a person registered as a lobbyist under chapter 305 of the Government Code that both have an interest. For more information, see FORM PFS--INSTRUCTION GUIDE.

1 BUSINESS ENTITY	NAME AND ADDRESS
2 INTEREST HELD BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
BUSINESS ENTITY	NAME AND ADDRESS
INTEREST HELD BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
BUSINESS ENTITY	NAME AND ADDRESS
INTEREST HELD BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
BUSINESS ENTITY	NAME AND ADDRESS
INTEREST HELD BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____
BUSINESS ENTITY	NAME AND ADDRESS
INTEREST HELD BY	<input type="checkbox"/> FILER <input type="checkbox"/> SPOUSE <input type="checkbox"/> DEPENDENT CHILD _____

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

FEES RECEIVED FOR SERVICES RENDERED TO A LOBBYIST OR LOBBYIST'S EMPLOYER

PART 15
☐ NOT APPLICABLE

Report any fee you received for providing services to or on behalf of a person required to be registered as a lobbyist under chapter 305 of the Government Code, or for providing services to or on behalf of a person you actually know directly compensates or reimburses a person required to be registered as a lobbyist. Report the name of each person or entity for which the services were provided, and indicate the category of the amount of each fee. For more information, see FORM PFS--INSTRUCTION GUIDE.

1 PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	
2 FEE CATEGORY	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	
FEE CATEGORY	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	
FEE CATEGORY	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	
FEE CATEGORY	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	
FEE CATEGORY	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	
FEE CATEGORY	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE
PERSON OR ENTITY FOR WHOM SERVICES WERE PROVIDED	
FEE CATEGORY	<input type="checkbox"/> LESS THAN \$5,000 <input type="checkbox"/> \$5,000--\$9,999 <input type="checkbox"/> \$10,000--\$24,999 <input type="checkbox"/> \$25,000--OR MORE

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

**REPRESENTATION BY LEGISLATOR BEFORE
STATE AGENCY****PART 16**☐ NOT APPLICABLE

This section applies only to members of the Texas Legislature. A member of the Texas Legislature who represents a person for compensation before a state agency in the executive branch must provide the name of the agency, the name of the person represented, and the category of the amount of the fee received for the representation. For more information, see FORM PFS--INSTRUCTION GUIDE.

Note: Beginning September 1, 2003, legislators may not, for compensation, represent another person before a state agency in the executive branch. The prohibition does not apply if: (1) the representation is pursuant to an attorney/client relationship in a criminal law matter; (2) the representation involves the filing of documents that involve only ministerial acts on the part of the agency; or (3) the representation is in regard to a matter for which the legislator was hired before September 1, 2003.

1 STATE AGENCY**2** PERSON REPRESENTED**3** FEE CATEGORY☐ LESS THAN \$5,000 ☐ \$5,000--\$9,999 ☐ \$10,000--\$24,999 ☐ \$25,000--OR MORE

STATE AGENCY

PERSON REPRESENTED

FEE CATEGORY

☐ LESS THAN \$5,000 ☐ \$5,000--\$9,999 ☐ \$10,000--\$24,999 ☐ \$25,000--OR MORE

STATE AGENCY

PERSON REPRESENTED

FEE CATEGORY

☐ LESS THAN \$5,000 ☐ \$5,000--\$9,999 ☐ \$10,000--\$24,999 ☐ \$25,000--OR MORE

STATE AGENCY

PERSON REPRESENTED

FEE CATEGORY

☐ LESS THAN \$5,000 ☐ \$5,000--\$9,999 ☐ \$10,000--\$24,999 ☐ \$25,000--OR MORE**COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY**

**BENEFITS DERIVED FROM FUNCTIONS HONORING
PUBLIC SERVANT****PART 17**☐ NOT APPLICABLE

Section 36.10 of the Penal Code provides that the gift prohibitions set out in section 36.08 of the Penal Code do not apply to a benefit derived from a function in honor or appreciation of a public servant required to file a statement under chapter 572 of the Government Code or title 15 of the Election Code if the benefit and the source of any benefit over \$50 in value are: 1) reported in the statement and 2) the benefit is used solely to defray expenses that accrue in the performance of duties or activities in connection with the office which are nonreimbursable by the state or a political subdivision. If such a benefit is received and is not reported by the public servant under title 15 of the Election Code, the benefit is reportable here. For more information, see FORM PFS--INSTRUCTION GUIDE.

1 SOURCE OF BENEFIT	NAME AND ADDRESS
2 BENEFIT	
SOURCE OF BENEFIT	NAME AND ADDRESS
BENEFIT	
SOURCE OF BENEFIT	NAME AND ADDRESS
BENEFIT	
SOURCE OF BENEFIT	NAME AND ADDRESS
BENEFIT	

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

LEGISLATIVE CONTINUANCES**PART 18**☐ NOT APPLICABLE

Identify any legislative continuance that you have applied for or obtained under section 30.003 of the Civil Practice and Remedies Code, or under another law or rule that requires or permits a court to grant continuances on the grounds that an attorney for a party is a member or member-elect of the legislature.

¹ NAME OF PARTY REPRESENTED	
² DATE RETAINED	
³ STYLE, CAUSE NUMBER, COURT & JURISDICTION	
⁴ DATE OF CONTINUANCE APPLICATION	
⁵ WAS CONTINUANCE GRANTED?	<input type="checkbox"/> YES <input type="checkbox"/> NO
NAME OF PARTY REPRESENTED	
DATE RETAINED	
STYLE, CAUSE NUMBER, COURT, & JURISDICTION	
DATE OF CONTINUANCE APPLICATION	
WAS CONTINUANCE GRANTED?	<input type="checkbox"/> YES <input type="checkbox"/> NO

COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY

REFERRALS**PART 19**☐ NOTAPPLICABLE

A state officer who is also an attorney must report making or receiving any referral for compensation for legal services and the category of the amount of the fee. For more information, see FORM PFS--INSTRUCTION GUIDE.

¹ SOURCE		
² CHECK ONE		
<input type="checkbox"/> RECEIVED REFERRAL	<input type="checkbox"/> LESS THAN \$5,000	<input type="checkbox"/> AT LEAST \$10,000, BUT LESS THAN \$25,000
<input type="checkbox"/> MADE REFERRAL	<input type="checkbox"/> AT LEAST \$5,000, BUT LESS THAN \$10,000	<input type="checkbox"/> \$25,000 OR MORE
SOURCE		
CHECK ONE		
<input type="checkbox"/> RECEIVED REFERRAL	<input type="checkbox"/> LESS THAN \$5,000	<input type="checkbox"/> AT LEAST \$10,000, BUT LESS THAN \$25,000
<input type="checkbox"/> MADE REFERRAL	<input type="checkbox"/> AT LEAST \$5,000, BUT LESS THAN \$10,000	<input type="checkbox"/> \$25,000 OR MORE
SOURCE		
CHECK ONE		
<input type="checkbox"/> RECEIVED REFERRAL	<input type="checkbox"/> LESS THAN \$5,000	<input type="checkbox"/> AT LEAST \$10,000, BUT LESS THAN \$25,000
<input type="checkbox"/> MADE REFERRAL	<input type="checkbox"/> AT LEAST \$5,000, BUT LESS THAN \$10,000	<input type="checkbox"/> \$25,000 OR MORE
SOURCE		
CHECK ONE		
<input type="checkbox"/> RECEIVED REFERRAL	<input type="checkbox"/> LESS THAN \$5,000	<input type="checkbox"/> AT LEAST \$10,000, BUT LESS THAN \$25,000
<input type="checkbox"/> MADE REFERRAL	<input type="checkbox"/> AT LEAST \$5,000, BUT LESS THAN \$10,000	<input type="checkbox"/> \$25,000 OR MORE
COPY AND ATTACH ADDITIONAL PAGES AS NECESSARY		

PERSONAL FINANCIAL STATEMENT AFFIDAVIT

The law requires the personal financial statement to be verified. The verification page must have the signature of the individual required to file the personal financial statement, as well as the signature and stamp or seal of office of a notary public or other person authorized by law to administer oaths and affirmations. Without proper verification, the statement is not considered filed.

I swear, or affirm, that my financial statement is true and correct and includes all information required to be reported by me under chapter 572 of the Government Code.

Signature of Filer

AFFIX NOTARY STAMP / SEAL ABOVE

Sworn to and subscribed before me, by the said _____, this the _____ day of _____, 20 _____, to certify which, witness my hand and seal of office.

Signature of officer administering oath

Print name of officer administering oath

Title of officer administering oath