

CECIL COUNTY ETHICS COMMISSION

PRIOR YEAR FINANCIAL and GIFT DISCLOSURE STATEMENT, Form 1:

Form 1 is for County Elected Officials, Candidates for County Office, and County Department Heads as per Section 39-21 of the Ethic’s Code please fill out all sections and file annually.

IDENTIFYING INFORMATION (Please Print Legibly)		
FIRST NAME	M.I. (if used)	LAST NAME
NAME OF DEPARTMENT, BOARD or COMMISSION		TITLE or POSITION
CONTACT INFO: Phone No.: address:		E-mail

Privacy Notice

The Cecil County Public Ethics Law (Ch. 39 of the Cecil County Code) requires the collection of this information, which will be used primarily for public disclosure and to determine compliance with the Cecil County Code. The information may be presented for review or for copying, at public expense, upon request to any person, including officials of State, local, or federal government, who, upon presenting proof of identification, registers their name and address, along with the name of the person whose statement is being reviewed. The subject has the right to review, correct, and amend the record, and the right to know who has reviewed their disclosure statement. The Commission may not, however, provide public access to the portion of a financial disclosure statement that includes an individual's home address as identified by the individual. [Amended 10-2-2018 by Bill No. 2018-15]

Enforcement Provisions

Failure to file or report information required by Ch. 39, §§ 6 & 7 of the Cecil County Code by the due date could subject filer to administrative penalties including fines up to \$250, termination or suspension of pay, or other disciplinary action per Ch. 39, §§ 4 & 9, including a civil fine of up to \$5,000 per day by the Circuit Court of Cecil County, or any other court having proper venue for the purpose of enforcing compliance. Willful and false filing is subject to penalty for perjury pursuant to Ch. 39, § 9(f)

Instructions

Please see the instructions for the form located on the county website at the following link:
<http://www.ccgov.org/government/boards-and-commissions/ethics-commission>

You must check either ‘Yes’ or ‘No’ to the initial questions in Schedules A, B, & C. If ‘Yes’ provide further details. Incomplete or unsigned forms will be returned to you. The statement is due **APRIL 30th** for the Prior Year Reporting Period.

Definitions

“Attributable interest” means having direct or indirect control over a property or business interest held or owned by a family member or legal entity.

“Compensation” means any money or thing of value, regardless of form, received or to be received by any individual covered by this chapter from an employer or entity for service rendered.

“Conflict of interest” means an actual or potential financial benefit, as distinguished from the general interest of the county or public, related to or resulting from an official or employee’s public duties and his/her personal, family, employer, business, or investment interests, which s/he would reasonably be expected to know, or using one’s position for the private gain of one’s self or another.

“Doing business with” means:

1. Having or negotiating a contract that involves the commitment, either in a single or combination of transactions, of \$5,000 or more of county controlled funds; or
2. Being regulated by or otherwise subject to the authority of Cecil County; or
3. Being registered or required to register as a lobbyist under Chapter 39 of the Cecil County code.

“Gift” means the transfer of anything of economic value, regardless of form, without adequate and lawful consideration.

“Gift” does not include:

1. A political campaign contribution regulated under Elections Article, Annotated Code of Maryland, or
2. Meals and beverages consumed in the presence of the donor or sponsoring entity;
3. Ceremonial gifts or awards that have insignificant monetary value;
4. Unsolicited gifts of nominal value that do not exceed \$20 in cost, nor trivial items of informational value;
5. Reasonable expenses for food, travel, lodging, and scheduled entertainment at a meeting which is given in return for your participation in a panel or speaking engagement at the meeting;
6. Gifts of tickets or free admission extended to an elected official to attend a charitable, cultural, or political event, if the purpose of this gift or admission is a courtesy or ceremony extended to the elected official’s office;
7. A specific gift or class of gifts that the Commission exempts from the operation of this subsection upon a finding, in writing, that acceptance of the gift or class of gifts would not be detrimental to the impartial conduct of the business of the county and that the gift is purely personal and private in nature;
8. Gifts from a person related to you by blood or marriage, or any other individual who is a member of your household; or
9. Honoraria for speaking to or participating in a meeting, provided that the offering of the honorarium is not related in any way to your official position.

“Immediate family” means one’s spouse and dependent children.

“Interest” means a legal or equitable economic interest, whether or not subject to an encumbrance or a condition, that is owned or held, in whole or in part, jointly or severally, directly or indirectly.

The following are considered to be interests for purposes of filing the disclosure statement:

1. An interest held by a member of the individual’s immediate family, if the interest was, at any time during the reporting period, directly or indirectly controlled by the individual.
2. An interest held by a business entity in which the individual held a 30% or greater interest at any time during the reporting period.
3. An interest held by a trust or an estate in which, at any time during the reporting period:
 - a) The individual held a reversionary interest or was a beneficiary, or
 - b) If a revocable trust, the individual was a settler.

“Interest” does not include:

1. An interest held in the capacity of a personal agent, custodian, fiduciary, personal representative, or trustee, unless the holder has an equitable interest in the subject matter;
2. An interest in a time or demand deposit in a financial institution;
3. An interest in an insurance policy, endowment policy or annuity contract under which an insurer promises to pay a fixed amount of money either in a lump sum or periodically for life or a specified period;
4. A common trust fund or a trust which forms part of a pension or profit sharing plan which has more than 25 participants and which has been determined by the Internal Revenue Service to be a qualified trust under the Internal Revenue Code; or
5. A college savings plan under the Internal Revenue Code.

An “Attributable” interest means having direct or indirect control over a property or business interest held or owned by a family member or legal entity.

“Joint Tenancy” (or “Joint Tenancy with Right of Survivorship”) means an equal and undivided ownership interest in real property by two or more persons where each owner has right to sell or transfer her or his interest in the property, and interest passes wholly and equally to surviving owner(s).

“Lobbying” means:

1. Communicating in the presence of a county official or employee with the intent to influence any official action of that official or employee; or
2. Engaging in activities with the express purpose of soliciting others to communicate with a county official or employee with the intent to influence any official action of that official or employee.

“Lobbyist” means: One who, in connection with the intent to influence a county official or employee in performance of their official duties, expends or reasonably expects to expend in a given calendar year in excess of \$100 on food, entertainment, or other gifts for such officials or employees.

“Qualified relative” means a spouse or a parent, child, sibling, in-law, dependent relative, or their spouse.

“Tenants by the Entirety” means an equal and undivided ownership interest in real property by a married couple where neither spouse can voluntarily dispose of her or his interest in the property, and interest passes to surviving spouse.

**[Remainder of Page Intentionally Left Blank]
[Schedule A on Next Page]**

Schedule A

During the Reporting Period from January to December of the Previous year:

1. I held or controlled, directly or indirectly, an interest in real property located in or outside Maryland, or held a 30% or greater interest in an entity that held real property. **If “Yes,” complete Schedule B. If “No” or “No Changes from Previously Reported Year,” then skip Schedule B.**

Yes

No

No Changes from Previously Reported Year

2. I held or controlled, directly or indirectly, an interest in corporations, partnerships, LLCs, and similar entities (regardless of whether they did business with Cecil County), or had a 30% or greater interest in an entity that held a similar interest. **If “Yes,” complete Schedule C. If “No” or “No Changes from Previously Reported Year,” then skip Schedule C.**

Yes

No

No Changes from Previously Reported Year

3. I held or controlled, directly or indirectly, an interest in a business entity that, to my knowledge, was regulated by, or doing business or negotiating a contract with, Cecil County, or I held a 30% or greater interest in a business entity that held a similar interest. **If “Yes,” complete Schedule D. If “No” or “No Changes from Previously Reported Year,” then skip Schedule D.**

Yes

No

No Changes from Previously Reported Year

4. I or a member of my immediate family held an office or directorship in, or was a partner, trustee, or employee of, or was negotiating a contract or prospective employment with, a business entity that, to my knowledge, was regulated by, or doing business or negotiating a contract with, Cecil County. **If “Yes,” complete Schedule E. If “No” or “No Changes from Previously Reported Year,” then skip Schedule E.**

Yes

No

No Changes from Previously Reported Year

5. A member of my immediate family was employed by Cecil County. **If “Yes,” complete Schedule F. If “No” or “No Changes from Previously Reported Year,” then skip Schedule F.**

Yes

No

No Changes from Previously Reported Year

6. I or my spouse received earned income, either as an employee or sole or part owner of a business entity. **If “Yes,” complete Schedule G. If “No” or “No Changes from Previously Reported Year,” then skip Schedule G.**

Yes

No

No Changes from Previously Reported Year

7. I or a member of my immediate family owed debts, including mortgages but excluding retail credit accounts, to a person or entity that, to my knowledge, was regulated by, or doing business or negotiating a contract with, Cecil County (including debts of entities reported on Schedules B, C, & D). **If “Yes,” complete Schedule H. If “No” or “No Changes from Previous Reporting Year,” then skip Schedule H.**

Yes

No

No Changes from Previously Reported Year

8. I represented a person for compensation before a county or local government agency other than in a judicial or quasi-judicial proceeding. **If “Yes,” complete Schedule I. If “No” or “No Changes from Previously Reported Year,” then skip Schedule I.**

Yes

No

No Changes from Previously Reported Year

9. I represented a county or local government agency for compensation, or had a contractual relationship or conducted a transaction with the county or local government for monetary compensation. **If “Yes,” complete Schedule J. If “No” or “No Changes from Previously Reported Year,” then skip Schedule J.**

Yes

No

No Changes from Previously Reported Year

10. I received gifts from or on behalf of, directly or indirectly, a person or entity that, to my knowledge, was regulated by, or doing business or negotiating a contract with, Cecil County, or was registered or required to register as a lobbyist. **If “Yes,” complete Schedule K. If “No,” then skip Schedule K.**

_____ Yes

_____ No

11. I have included additional information not otherwise disclosed that may create a conflict of interest or the appearance thereof, as defined in Sections 2, 3, & 5 of the Cecil County Public Ethics Law. **If “Yes,” complete Schedule L. If “No,” then skip Schedule L.**

_____ Yes

_____ No

Please note that regardless of your answers above, you **must sign and date the affirmation on the last page.**

**[Remainder of Page Intentionally Left Blank]
[Schedule B on Next Page]**

Schedule B

Real Property Interests (Owner or Tenant, including time shares, in U.S. and elsewhere). Please report all interests in real property by answering each question below. Include property owned by a business entity in which you held a 30% or greater interest. A separate Schedule A will be required for each property you need to disclose, or you may attach a summary worksheet. *Please note if the holder of your mortgage or other encumbrance is an entity that did business with the County, you must also complete Schedule H with regard to that indebtedness.*

1. Indicate nature of the property (residence [primary or secondary], residential rental, business rental, commercial, investment; land or building): _____

2. Address or legal description [lot and block] of the property: _____

3.A. Is the interest held: _____ Directly by you; _____ Attributable to you; or held by an entity in which you own or control 30% or greater (Name Entity): _____

3.B. Do you hold the interest solely, or it is jointly held with spouse or other(s)?
___ Solely ___ Jointly. If held jointly, provide the name(s) of the other owner(s): _____

4. Are there any legal conditions or encumbrances on the property? ___ Yes ___ No (Example: mortgages, liens, contracts, options, etc.) If Yes: What is/are the name(s) of the lender(s), creditor(s), lien holder(s), etc.? _____

5. What date was the property acquired (Month/year)? _____

6. How was the property acquired? (Example: purchase, gift, inheritance, etc.) _____

7. From whom was the property acquired? (Name of individual or entity from whom you purchased or inherited the property or who gifted the property to you.) _____

8. What consideration was given when the property was acquired? (Dollar amount paid, or if you received the property as a gift or inheritance, the fair market value at the time you acquired your interest in the property) _____

9. Have you transferred any interest in this property during the reporting period? ___ Yes ___ No If Yes:

9.a. What percentage of interest did you transfer: _____ %

9.b. What consideration did you receive for the interest? _____

9.c. To whom did you transfer the interest: _____

**[Remainder of Page Intentionally Left Blank]
[Schedule C on Next Page]**

Schedule C

Please report all interests* in any corporations, partnerships, limited liability partnerships (LLP) or limited liability companies (LLC) during the reporting period, whether or not the entity did business with the County. (*including a 30% or greater interest in an entity that owned an interest). (See Definitions for applicable meaning of terms.) Answer each question below. A **separate Schedule B will be required** for each property you need to disclose, or you may attach a summary worksheet. Please print legibly.

1. What is the complete name of the entity? (Do not identify by trading symbol): _____
2. If corporate stock, does the stock trade on a stock exchange? ___ Yes ___ No. If No, provide the legal address of the entity's principal office: _____
3. Is the interest held: ___ Directly by you; ___ Attributable to you (See Definitions); or held by an entity in which you own or control 30% or greater (Name Entity): _____

4. Is the interest in your name solely, or is it held jointly? ___ Solely ___ Jointly. If Jointly, the percentage of your interest: _____ %

5. What is the nature of your interest* and the dollar value or number of shares? (*Stock, notes, bonds, puts, calls, straddles, purchase options, etc.) If in a non-publicly traded entity or LLP or LLC, report the percentage of ownership.

Type: _____ Values of Shares: _____ or
Number of Shares: _____ Percentage of ownership (non-publicly traded): _____ %

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (Example: mortgages, liens, contracts, options, etc.) ___ Yes ___ No

7. Did you acquire an interest in the entity during the reporting period? ___ Yes ___ No. If Yes:

7.a. In what month was the interest acquired? _____

7.b. How was the interest in the entity acquired? (Example: purchase, gift, will, etc.) _____

7.c. From whom did you acquire the interest in the entity? (If you purchased it from a brokerage, the name of the brokerage): _____

7.d. What consideration was given when the interest was acquired? (Dollar amount paid, or if you received the property as a gift or inheritance, the fair market value at the time you acquired your interest in the property): _____

8. Have you transferred any interest in this entity during the reporting period? ___ Yes ___ No. If Yes:

8.a. What portion of the interest was transferred? _____

8.b. What consideration did you receive for the interest in the entity? (Dollar amount or other consideration received, or if you received the property as a gift or inherited it, the fair market value and terms at the time you transferred your interest in the property): _____

8.c. To whom did you transfer your interest in the entity? _____

[Reminder of Page Intentionally Left Blank]
[Schedule D on Next Page]

Schedule D

Interests in Non-Corporate Business Entities Doing Business with the County. Please report all interests in any non-corporate businesses (e.g., sole proprietorship) regulated by, or doing business or negotiating a contract with, Cecil County. (See Definitions for applicable meaning of terms.) Answer each question below. A **separate Schedule C will be required** for each business entity to be disclosed, or you may attach a summary worksheet.

1. Name and Address of the Principal office of the business entity: _____

2. Is the interest held: ___ Directly by you; or ___ Attributable by you (See Definitions)

3. Do you hold the interest solely or is it jointly held with another? ___ Jointly ___ Solely
3.a. Percentage of your interest in the entity: ___ % or Dollar value of your interest in the entity: \$ _____

4. Are there any legal conditions or encumbrances that apply to your interest in the entity? (Example: mortgages, liens, contracts, options, etc.) ___ Yes ___ No. if Yes:
Name of Creditor: _____ (Also Report on Schedule H)

5. Was any interest acquired during the reporting year? ___ Yes ___ No. If Yes:
5.a. What month was the interest acquired? _____
5.b. How was the interest in the entity acquired? (Example: purchase, gift, will, etc.) _____
5.c. From whom did you acquire the interest? _____
5.d. What consideration was given when the interest was acquired? (Dollar amount paid, or if you received the property as a gift or inheritance, the fair market value at the time you acquired your interest in the property) _____

6. Did you transfer any of your interest during the reporting period? ___ No ___ Yes. If, Yes:
6.a. What percentage of interest was transferred? _____ %
6.b. What consideration did you receive for the interest in the entity? (Dollar amount paid, or if you received the property as a gift or inheritance, the fair market value and terms at the time you transferred your interest in the property): _____
6.c. To whom did you transfer your interest in the entity? _____

[Reminder of Page Intentionally Left Blank]
[Schedule E on Next Page]

Schedule E

Employment, Officers, Directorships, or Similar positions in Entities doing business with Cecil County: Answer each question below. A separate Schedule E will be required for each disclosure, or you may attach a summary worksheet. (See Definitions for applicable meaning of terms.)

1. Did you or any member of your immediate family (spouse or dependent child) have any salaried employment, or hold any office or directorship with, or was a partner or trustee in, or negotiate a contract or have prospective employment with, an entity that did business with Cecil County? _____ Yes _____ No

If Yes, what is the name and address of the business entity? _____

2. Who was the individual who held the position or interest listed above?

Self: _____ Spouse: _____ Dependent child: _____

2.a. Name of spouse or dependent child: _____

3. What is the title of the office you, your spouse or dependent child held? (Example: limited partner, director, treasurer, chair of the board of trustees, etc.) _____

4. What year did the position begin? _____

5. With what County Agency(ies) did the business entity do business? _____

6. What was the nature of the business? (Example: regulated by your agency, registered under the lobbying law, or involved with sales and contracts with the county) _____

[Reminder of Page Intentionally Left Blank]

[Schedule F on Next Page]

Schedule F

Answer each question below. A separate Schedule F will be required for each member of the immediate family who is employed by the County. A separate Schedule F will be required for each disclosure.

1. What is the relation and name of the immediate family member employed by Cecil County?

Name: _____ Relation: _____

2. What is the name of the agency that employed the member of your immediate family?

3. What was the title of your immediate family member's position in the county agency?

[Reminder of Page Intentionally Left Blank]
[Schedule G on Next Page]

Schedule G

Answer each question below. A separate Schedule G will be required for each member of the immediate family* who was employed or owned a business entity, or you may attach a summary worksheet. You must report all of your and your spouse's employers or businesses, except for employers or businesses doing business with or subject to the county's oversight already reported on Schedule E, or with Cecil County Govt. reported on Schedule F. (*A dependent child's employer or business need not be reported unless they did business with or are regulated by Cecil County.)

1. During the reporting period, did you or your spouse receive any earned income from any entity (other than entities reported on Schedule E or Cecil County govt. reported on Schedule F)?

_____ Yes _____ No. If Yes:

A. If, during the reporting period, you or a member of your immediate family had employment from which you or they earned income, list the relation, name, and address of the employment.

Name: _____ Relationship: _____

Name of Employer: _____

Address: _____

B. If, during the reporting period, you or a member of your immediate family wholly or partially owned any business entity from which income was earned, list the relation, name and address of the business entity.

Name: _____ Relationship: _____

Name of Business Entity: _____

Address: _____

If necessary, please use additional sheet(s) for any additional entries.

[Reminder of Page Intentionally Left Blank]
[Schedule H on Next Page]

Schedule H

Debts Owed to Entities doing business with the County (Answer each question below. A separate Schedule H will be required for each debt to be disclosed, or you may attach a summary worksheet.)

1. During the reporting period, to your knowledge, did you or a member of your immediate family owe a debt (including mortgages but excluding retail credit accounts) to a financial entity that did business with the County? [Note: If on Schedule A, B or C you listed a financial entity that did business with the County as the holder of your mortgage or other encumbrance, you must complete Schedule H with regard to that indebtedness.]

___ Yes ___ No. If Yes:

a. To whom did you owe the debt? (Include all mortgages. Do not include consumer credit debts.) _____

b. When was the debt incurred? _____

c. What are the interest rate and terms of payment of the debt?
Interest Rate _____ Terms (monthly, bimonthly, annually, etc.) _____

d. Did the principal of the debt increase _____ or decrease _____ during the reporting period and by how much? _____

e. What was the amount of the debt as of the end of the reporting period? (If debt was paid in full, enter \$0.) \$ _____

f. Was any security or collateral given of the debt? ___ No ___ Yes. If yes:
i. Please state what type of asset or security was given (home, car, boat, etc): _____

g. If this is a transaction in which you were involved, but which resulted in a debt being owed by your spouse or dependent child, identify your spouse or child and describe the transaction. _____

If necessary, please use additional sheet(s) for any additional entries.

[Reminder of Page Intentionally Left Blank]
[Schedule I on Next Page]

Schedule I

Disclosure of Interest – Representation Before a County or Local Agency. A separate Schedule I will be required for each interest to be disclosed, or you may attach a summary worksheet.

1. Did you represent a person for compensation before or involving a county or local government agency other than in a judicial or quasi-judicial proceeding? _____ Yes _____ No. If Yes, Answer each question below.

a. I am representing or represented for compensation:

Name: _____

As an: _____

Before: _____

Date: _____

For the following consideration: _____

[Reminder of Page Intentionally Left Blank]

[Schedule J on Next Page]

Schedule J

Disclosure of Interest: Financial Relationship with the County or Local Government.

1. Did you represent a county or local government agency for compensation, or have a contractual relationship with the county or local government, or conduct a transaction with the county or local government for monetary compensation? _____ Yes _____ No.

If Yes, Answer each question below. A separate Schedule J will be required for each interest to be disclosed, or you may attach a summary worksheet.

2. I have entered into a financial relationship with:

Name of Government Agency: _____

To _____

(Position of Employment, Services Performed, or Details of Transaction Entered Into)

For the following consideration: **\$ _____

****NOTE:** An elected official is prohibited by law from being directly involved in negotiations, discussions, or other contacts with a government entity as to a procurement contract in which the official has a financial interest.

If necessary, please use additional sheet(s) for any additional entries.

[Reminder of Page Intentionally Left Blank]
[Schedule K on Next Page]

Schedule K – Gifts

During the reporting period, to your knowledge, did you, or someone in your behalf, receive any single gift with a value of more than \$20, or a series of gifts from the same donor with a cumulative value of \$100 or more*, from or on behalf of, directly or indirectly, a person or entity who does business with, or is regulated by, the County or your department, board, or commission, or who is registered or required to register before the County under the lobbying section of the Cecil County Code?

*(*You need not report, as defined in Ch. 39, Sec. 5(f)(4): (i) Regulated campaign contributions; (ii) Gifts from a family or household member; (iii) Meals and beverages consumed in the presence of the donor or sponsor; (iv) Reasonable food, lodging, and/or travel expenses provided for participation at a conference or meeting; (v) Admission or tickets to charitable, cultural, or political events; (vi) Unsolicited gifts, ceremonial gifts or awards of nominal value that do not exceed \$20 in cost, and trivial items of informational value; (vii) Specific gifts or a class of gifts exempted, in writing, by the Ethics Commission; and other gifts as defined in Ch. 39, Sec. 5(f)(4)(i), items A thru H.*

_____ Yes ____ No (Go to Schedule D)

If Yes, answer each question below. (A separate Schedule C will be required for each gift or series of gifts you need to disclose, or you may attach a summary sheet.)

If No, go to Schedule D.

1. Who gave you the gift(s)? _____

2. On what date was the gift(s) given? _____

3. What was the nature of the gift(s)? (Example: cash, restaurant meal, event tickets, membership or subscription, etc.)

4. What was the value of the gift(s)? \$ _____

5. If the gift(s) was given to someone else at your direction or behalf, identify the recipient of the gift: _____

Please use additional sheet(s), if necessary, for any additional entries.

**[Remainder of Page Intentionally Left Blank]
[Schedule L on the Next Page]**

Affirmation

This Financial Disclosure Statement describes all interests and related transactions and matters required to be disclosed by Cecil County Ethics Law, with respect to the period indicated, and pertaining to the filer.

I have thoroughly reviewed Schedules A through D of this Financial Disclosure Statement and the instructions and hereby certify under the penalty of perjury that the contents of this Financial Disclosure Statement are true, complete, and correct, to the best of my knowledge, information and belief.

Cecil County Employees Only: I further acknowledge that I have reviewed and understand the required annual Cecil County Government Employee Ethics Training available on www.ccgovportal.org.

TERMS AND SIGNATURE AND FILING

I, the individual submitting this Ethics Commission form, warrant the truthfulness of the information provided in this submittal. I understand that checking this box constitutes a legal signature confirming that I acknowledge and agree to the above Terms of Signature and Filing.

Signature of Person Filing

Date

Please type/print your First and Last Name
(Electronic Signature)

Check here if you wish to be notified if someone exercises the right to review your financial disclosure statement.