Print Form

Tennessee TEC Ethics Commission

STATEMENT OF DISCLOSURE OF INTERESTS
STATE AND LOCAL OFFICE HOLDERS, CANDIDATES AND APPOINTEES TO SUCH POSITIONS, NON-GENERAL ASSEMBLY MEMBERS, ETC.

Please see the attached Instructions before completing this form (the failure to timely and properly submit the required disclosure statement can, under T.C.A. §3-6-205, result in the imposition of civil penalties in amounts up to $10,000). Attach additional pages as necessary. Note that this disclosure statement must be signed and the signature attested to by a witness in item 13. In addition, please be aware that the information listed on this statement will be transferred to an electronic format for posting on the Commission's website.

Please PRINT OR TYPE.

1. NAME OF OFFICIAL OR CANDIDATE

____

2. PHONE NUMBER

(Home) ____________________(Work)_____________________

3. HOME ADDRESS

Street or Rural Route	City	State	Zip Code

____

____

MAILING ADDRESS *(CHECK HERE IF SAME AS HOME ADDRESS*☐)

Street or Rural Route	City	State	Zip Code

____

____

4. ☐ OFFICE HOLDER or ☐ NEW CANDIDATE

COUNTY: ____

TITLE OF OFFICE HELD OR SOUGHT : ____

DISTRICT NUMBER OR COUNTY WHERE OFFICE LOCATED: ______________________________________

5. SOURCES OF INCOME

List major source(s) of private income of more than $1,000 and that of your spouse or minor child residing with you. "Major sources of private income" include, but are not limited to, offices, directorships and salaried employments. No dollar amounts need to be stated. Select as many recipients as necessary.

☐ None

Name of Source	Recipeints
______________________________________	☐ Filer ☐ Spouse ☐ Minor Child
______________________________________	☐ Filer ☐ Spouse ☐ Minor Child
______________________________________	☐ Filer ☐ Spouse ☐ Minor Child

6. INVESTMENTS: List any investment by you, your spouse or minor children residing with you in any corporation or other business organization in excess of ten thousand dollars ($10,000) or five percent (5%) of the total capital. The name of the corporation or organization must be listed but no dollar amounts or percentages of the investment need be stated.

☐ None

Name of Organization	Held By
______	☐ Filer ☐ Spouse ☐ Minor Child
______	☐ Filer ☐ Spouse ☐ Minor Child
______	☐ Filer ☐ Spouse ☐ Minor Child

7. LOBBYING: List any person, firm or organization for whom compensated lobbying is done by any associate, your spouse or minor children residing with you. Also, list any firm in which you, your spouse or minor children residing with you hold any interest for whom compensated lobbying is done. Explain the terms of any such employment, the subject matters lobbied and/or the measures to be supported or opposed.

☐ None

Name of Lobbyist	Terms of Employment	Subject Matter or Measures	Lobbyist Relation to Filer
______	______	______	☐ Filer ☐ Spouse ☐ Minor Child ☐ Associate of Filer
______	______	______	☐ Filer ☐ Spouse ☐ Minor Child ☐ Associate of Filer

8. PROFESSIONAL SERVICES: List in general terms (by areas of the client's interests) the entities to which professional services, such as those of an attorney, accountant or architect, are furnished by you or your spouse.

☐ None

Licensed Profession	Clients Interests	Furnished by
______	______	☐ Filer ☐ Spouse
______	______	☐ Filer ☐ Spouse

9. RETAINER FEES: List any retainer fee you receive from any person, firm or organization who is in the practice of promoting or opposing, influencing or attempting to influence directly or indirectly, the passage or defeat of any legislation before the Tennessee General Assembly, the legislative committees or the members thereof.

☐ None

______

______

10. BANKRUPTCY: List any adjudication of bankruptcy or discharge received in any United States district court within five (5) years of the date of this report.

☐ None

______

______

11. LOANS: List any loan or combination of loans for more than one thousand dollars ($1,000) from the same source made in the previous calendar year to you, your spouse or minor children residing with you. *See the attached Instructions for the list of loans that should not be disclosed on this report*.

☐ None

Lender Name	Loan Recipient
______________________________	☐ Filer ☐ Spouse ☐ Minor Child
______________________________	☐ Filer ☐ Spouse ☐ Minor Child
______________________________	☐ Filer ☐ Spouse ☐ Minor Child

12. TO BE SIGNED BY REPORTING OFFICIAL *(must be attested to by a witness)*

I certify that the information contained in this disclosure statement is true and that it is a complete and accurate report in accordance with the Conflict of Interest Disclosure Act.

______________________________ ______________________________

Signature of Official or Candidate Date

I, ______________________________, the undersigned, do hereby witness the above signature, which was signed in my presence:

(Printed Name of Witness)

______________________________ ______________________________

Signature of Witness Date

Instructions to Statement of Disclosure of Interests

The positions listed below are required by the Ethics Reform Act of 2006 to file a Statement of Disclosure of Interests with the Tennessee Ethics Commission. Please make sure you are using the correct form:

Form SS-8004:

- General Assembly Members;
- Governor;
- Governor's Cabinet;
- Cabinet Level Staff:
- Constitutional Officers

Form SS-8005

- Candidates for any elected office;
- Local public officeholders as defined in T.C.A. § 2-10-102 (13)(A) and Newly-appointed local public officeholders (appointed to fill a vacancy in an elected local public office);
- District attorneys general and public defenders for each judicial district and the Executive Director of the District Attorneys General Conference as well as the Attorney General and reporter;
- Each supreme court justice, each judge of the court of criminal appeals, each judge of the court of appeals and the administrative director of the courts;
- Each member of the state election commission, the state election coordinator and members of the registry of election finance;
- Each director of the Tennessee regulatory authority;
- Each delegate to a constitutional convention called to consider a new constitution or amendments to the Constitution of Tennessee;
- Members of the Board of Probation and Parole, members and the Executive Director of the Alcoholic Beverage Commission and Members of the Tennessee Ethics Commission; and
- The Chancellor of the Board of Regents and the president of each college or university governed by the Board of Regents (excluding directors of Tennessee technology centers) and the President of the University of Tennessee and the chancellor of each separate branch or campus of the University of Tennessee.

<u>When Must the Statement Be Filed?</u>:

Form SS-8004:

- <u>Current Officeholders</u>: File with the Commission by no later than **April 15th** of each year;
- <u>Newly-Appointed Officeholders</u>: File within **30 days** of being appointed to office; (in addition, note that the government authority that appoints the newly-elected official must send notice to the Ethics Commission within 3 days of appointing the official);

Form SS-8005:

- <u>Candidates</u>: File within **30 days** of the last day to qualify as a candidate;
- <u>Current Officeholders</u>: File with the Commission by no later than **January 31st.**
- <u>Newly-Appointed Local Officeholders</u>: File within **30 days** of being appointed to office; (in addition, note that the government authority that appoints the newly-elected official must send notice to the Ethics Commission within 3 days of appointing the official);

<u>Where Should the Statement Be Filed?</u>: This disclosure statement must be filed with the Tennessee Ethics Commission, 201

4th Ave N, Suite 1820, Nashville, TN 37243. If you have questions, please feel free to contact the Commission's office at: (615) 253-8634 or e-mail us at ethics.counsel@state.tn.us.

WARNINGS:

- ★ An amended Statement of Disclosure of Interests must be filed whenever reported conditions change due to a termination or an acquisition of any of those interests that you are required to report;
- ★ This report is a public document which may be posted on the internet. Social security numbers, dates of birth, and account numbers are not required and should not be included on your Statement of Disclosure of Interests.

SUPPLEMENTAL INSTRUCTIONS:

➤ QUESTION 5: INSTRUCTIONS FOR LISTING SOURCES OF INCOME.

A. Form SS-8004: "private income" refers to any income you or your spouse receive in excess of $200 per annum from a non-governmental source, and any income minor child(ren) residing with you receive in excess of $1000 per annum from a non-governmental source.

B. Form SS-8005: "private income" refers to any income you, your spouse or minor child(ren) residing with you receive in excess of $1000 per annum from a non-governmental source.

C. For the purposes of BOTH Forms:

a. If you are employed by the State of Tennessee or a local government do not report your government compensation;

b. the term **"Private Income"** includes, but is not limited to:

1. Bank and Bond Interest
2. Business Income
3. Capital Gains
4. Clinical Practice Income
5. Income from Employment
6. Income from Contractual Relationships
7. Directorships
8. Dividends from stocks and securities (but not the principal which is reported in the investment question following)
9. Compensated Fiduciary Positions (Trusteeships, Conservatorships, etc.)
10. Honoraria
11. Lecture Fees
12. Payments from Annuities, Settlements…etc.
13. Rental income
14. Research Grants
15. Research Foundation Income
16. Trust Income (but not the principal which is reported in the investment question)

This list is not exhaustive, but merely exemplary. If you, your spouse or minor child(ren) residing with you have other income that is not listed here but meets the requirements of this section, you are required to list them.

c. The term **"Private Income"** does not include monies received directly by inheritance or gift. The term *does include*, however, the income produced by an investment which has been received by inheritance or gift.

As a general rule, if the receipts are reportable to the IRS as private income, then they must be listed on the form.

- QUESTION 6: INSTRUCTIONS FOR LISTING INVESTMENTS.

A. Do not report holdings that are ten thousand dollars ($10,000) or less in value or five percent (5%) of the total capital. If, however, the holding is ten thousand dollars ($10,000) or less in value, but is five percent (5%) or more of the total capital, the holding must be reported;

B. Examples of investments that must be listed if held by you, your spouse or minor child(ren) residing with you (If you have holdings that are not mentioned below, but that do meet the dollar amount requirements, the holdings must be listed in question 6):

1. 401K, 403(b) and 457 plans
2. Annuities
3. Bonds
4. Certificates of Deposit (interest in excess of $1000 must be reported in the income question above)
5. College Savings Programs
6. State Deferred Compensation Plans
7. Estates
8. Stocks and securities (dividends in excess of $1000 must be reported in the income question above)
9. IRAs
10. Keogh Plans
11. Limited Liability Corporations (LLCs)
12. Mutual Funds in IRAs
13. Mutual Funds not in IRAs
14. Notes (investments)
15. Pensions
16. Real Estate (But not your primary or secondary residence)
17. Real Estate Investment Trusts (REITs)
18. Retirement Plans for States other than Tennessee
19. TIAA-CREF Supplemental Retirement Plans
20. Treasury Notes
21. Blind Trusts
22. Warrants
23. Zero Coupon Bonds

C. If the investment is managed by entities other than yourself, spouse or minor child(ren) residing with you (such as mutual funds or 401Ks), list the entity managing the account and the type of investment, but not the corporations to which the money has been distributed.

- QUESTION 7: INSTRUCTIONS FOR LISTING LOBBYING INTERESTS.

A. If you, your spouse, or a minor child(ren) residing with you are associated with a compensated lobbyist, you must provide the name(s) of the entities for which the associate lobbies.

B. If you, your spouse or minor child(ren) have any interest in any lobbying firm, you must list the name of the entity. Do not report interests in employers of lobbyists, e.g., do not report interests in public corporations or other entities that may engage a lobbyist.

- QUESTION 8: INSTRUCTIONS FOR LISTING PROFESSIONAL SERVICES.

A. For the purpose of this question, you must list the general areas of interests of your (or your spouse's) clients if you (or your spouse) engage in any profession licensed by the State of Tennessee. You are not, however, required to list your clients or to otherwise furnish personal information about your clients. These professions include, but are not limited to:

1. Chiropractic
2. Dentistry

3. Physical Therapy
4. Pharmacology
5. Public Accounting
6. Massage Therapy
7. Midwifery
8. Podiatry
9. Veterinary Medicine
10. Optometry
11. Audiology
12. Nursing
13. Architecture
14. Law

B. This list is not exclusive. If you or your spouse practice a profession that is not listed but that requires a license to practice in the State of Tennessee, you are required to list the general areas of your clients' interests.

QUESTION 11: LOANS

Loans need not be disclosed on this report if they are:

1. From your immediate family (spouse, parent, sibling or child);
2. From a federally insured financial institution or made in accordance with existing law in the ordinary course of doing business of making loans. The loan must bear the usual and customary rate of interest, be made on a basis which assures repayment, evidenced by a written instrument and subject to a due date or amortization schedule;
3. Secured by a recorded security interest in collateral, bearing the usual and customary interest rate of the lender made on a basis which assures repayment; evidenced by a written instrument and subject to a due date or amortization schedule;
4. From a partnership in which you have at least ten percent (10%) partnership interest;
5. From a corporation in which more than fifty percent (50%) of the outstanding voting shares are owned by you or by your immediate family (spouse, parent, sibling or child).