

**ELECTRONIC ANNUAL DISCLOSURE APPLICATION QUESTIONS**  
**(REPORTING YEAR 2017)**

Below are the questions found on the Conflict of Interest Board's annual electronic disclosure application that are available for public inspection, including definitions of underlined words and help text, which appear when the filer clicks on the underlined word or the help button. Please note that the questions appear in black and the definitions and help text in blue.

**GENERAL INFORMATION QUESTIONS**

**FILER PROFILE**

1. Did you have a paid or unpaid position during 2017 with a City agency other than your current/final City agency?

Answer "yes" if you held any City employment or office at any time during the reporting year, whether or not you were paid for it.

2. Did you have any non-City employment or engage in any business during 2017?

Answer "yes" if you engaged in any occupation, trade, business, profession, or employment during the reporting year. Do not include City employment or a position reported in your response to the question on paid or unpaid City positions.

3. Did you hold a position as an officer of any political party or political organization or as a member of any political party committee or as a political party district leader during 2017?

(**Political party** means any political organization that polled at least 50,000 votes for its candidate for Governor at the last preceding gubernatorial election.)

(**Political organization** means any organization or group of voters that nominates a candidate or candidates for office to be voted for at an election, any independent body, or any organization that is affiliated with or a subsidiary of a party or another political organization or independent body.)

(**Independent body** means any organization or group of voters which nominates a candidate or candidates for office to be voted for at an election and which is not a political party.)

4. Did you hold any office, position, trusteeship, directorship, or partnership, whether compensated or not, including any honorary position, during 2017, other than a position with the City or State of New York or a political position?

(**Trusteeship** means a member on a Board of Trustees. It does not mean a trustee of a trust.)

5. Did you receive any income of \$1,000 or more from any source (e.g., bank interest) during 2017, other than from your City position and other than from non-City employment or a business?

Do not include maintenance received in connection with a matrimonial action, alimony, or child support payments. Do not include scholarships, court settlements, worker's compensation, awards, income tax refunds, or life insurance proceeds from a relative.

(**Income** includes, but is not limited to,

- income from directorships and other fiduciary or advisory positions (e.g., executor of an estate)
- contracts
- partnerships
- teaching income
- lecture fees and honoraria
- consultant fees
- real estate rental income (report the aggregate net income before taxes for each building address)
- bank and bond interest (whether or not tax-exempt)
- dividends
- trusts
- royalties
- annuities
- distributions from a retirement account
- life insurance proceeds from a non-relative
- gambling winnings
- recognized gains from the sale or exchange of real or other property or the sale or redemption of securities
- social security benefits
- unemployment benefits
- capital gains )

6. In 2017, did you practice law or were you a licensed real estate broker or agent or did you practice a profession licensed by the State Department of Education?

The professions licensed by the Department of Education include but are not limited to: Teaching, Medicine, Physician's Assistants and Specialist's Assistants, Chiropractic, Dentistry and Dental Hygiene, Veterinary Medicine and Animal Health Technology,

Physical Therapy and Physical Therapist Assistants, Pharmacy, Nursing, Podiatry, Optometry, Ophthalmic Dispensing, Engineering and Land Surveying, Architecture, Landscape Architecture, Public Accountancy, Shorthand Reporting, Psychology, Social Work, Massage, Occupational Therapy, Speech-Language Pathologists and Audiologists.

7. Did you earn any deferred income (your deferred compensation plan should be reported in the "Trusts, Estates, and Other Beneficial Interests" question) of \$1,000 or more during 2017, or any time before 2017, which was paid or was to be paid after the close of 2017?

**(Deferred income** is income that was earned during 2017 or any time before 2017 but which was paid or was to be paid after December 31 of 2017.)

8. Did you have during 2017 any agreements with a former or current employer, other than the City of New York, for future payments or benefits?
9. Did any non-governmental entity or person pay for travel-related expenses in an amount of \$1,000 or more in 2017 for activities related to your official duties with the City by either reimbursing you or paying the travel related expenses directly on your behalf?

**(Activities related to your official duties** include, but are not limited to, speaking engagements, conferences, and fact-finding events, but does not include gifts.)

10. Did you receive any gift or gifts from the same person, entity or donor or affiliated donors who had business dealings with the City, other than a relative, in the total amount or with a total value of \$50 or more during 2017?

**(Gift** means anything of value for which a person pays nothing or less than fair market value. A gift may be in the form of money, service, loan, forgiveness of debt, discount, travel, entertainment, hospitality, thing, or promise or in any other form. Gifts include gifts of securities or real estate as well as wedding gifts (except from a relative).)

**(Affiliated** means a firm that is a subsidiary of another firm, or two firms that have a parent in common, or two firms with a stockholder in common who owns at least twenty-five per cent of the shares of each such firm.)

**(Business dealings** means any transaction involving the sale, purchase, rental, disposition or exchange of any goods, services, or property, any license, permit, grant or benefit, and any performance of or litigation with respect to any of the foregoing, but shall not include any transaction involving a public servant's residence or any ministerial matter.)

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)

11. Did you receive any gift or gifts from the same person, entity or donor or affiliated donors who had no business dealings with the City, other than a relative, in the total amount or with a total value of \$1,000 or more during 2017?

(**Gift** means anything of value for which a person pays nothing or less than fair market value. A gift may be in the form of money, service, loan, forgiveness of debt, discount, travel, entertainment, hospitality, thing, or promise or in any other form. Gifts include gifts of securities or real estate as well as wedding gifts (except from a relative).)

(**Affiliated** means a firm that is a subsidiary of another firm, or two firms that have a parent in common, or two firms with a stockholder in common who owns at least twenty-five per cent of the shares of each such firm.)

(**Business dealings** means any transaction involving the sale, purchase, rental, disposition or exchange of any goods, services, or property, any license, permit, grant or benefit, and any performance of or litigation with respect to any of the foregoing, but shall not include any transaction involving a public servant's residence or any ministerial matter.)

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)

12. Was any loan, note, or account receivable owed to you during 2017? In the amount of \$1,000 or more by anyone other than a relative (i.e., did anyone owe you money)?

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)

13. Did you owe any entity or person (other than a relative) \$5,000, excluding mortgages on your primary and secondary residences, or more for a period of 90 consecutive days during 2017 or on the date you file this report?

14. Did you hold any security at the close of 2017 having a market value of \$1,000 or more?

(**Securities** means stocks (any class), bonds (including savings bonds and tax exempt bonds), mutual funds, stock options, warrants, debentures, obligations, notes (not mortgage notes), mortgages (not on one's home), investment interests in limited partnerships, REITs, and such other evidences of indebtedness and certificates of interest or participation in any profit-sharing agreement as are usually referred to as securities.)

15. Did you have a vested or contingent interest valued at \$1,000 or more in any real property during 2017, aside from your primary or secondary personal residence (unless your primary or secondary residence is co-owned by someone who is not a relative)?

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)

16. Did you have an investment of \$1,000 or more during 2017 in a business, other than an investment in securities or an interest in real property?

(**Securities** means stocks (any class), bonds (including savings bonds and tax exempt bonds), mutual funds, stock options, warrants, debentures, obligations, notes (not mortgage notes), mortgages (not on one's home), investment interests in limited partnerships, REITs, and such other evidences of indebtedness and certificates of interest or participation in any profit-sharing agreement as are usually referred to as securities.)

17. Did you, or any partnership of which you are a member or any corporation 10% or more of whose stock you own or control, have any interest of \$1,000 or more, excluding bonds and notes, in any contract made or executed by a State agency or local agency during 2017?

(**State agency** means

- any New York State department
- any division, board, commission, or bureau of any State department
- any public benefit corporation, public authority, or commission at least one of whose members is appointed by the Governor
- the State University of New York or the City University of New York, including all their constituent units except community colleges and except the independent institutions operating statutory or contract colleges on behalf of the State.)

**(Local agency means**

- any county, City, town, village, school district, or district corporation
- any agency, department, division, board, commission, or bureau thereof
- any public benefit corporation or public authority not included within the definition of a State agency.)

18. Did you hold any trust, estate, or other **beneficial interest** (such as an Individual Retirement Account (IRA)) of \$1,000 or more during 2017, **including New York City or New York State deferred compensation plans** but excluding membership in New York City or New York State retirement systems, and excluding any interest in a trust, estate, or other beneficial interest established by or for a **relative** or by or for the estate of a relative?

**(Beneficial interest** includes, but is not limited to

- individual retirement accounts (IRAs)
- Keogh retirement plans
- annuities
- deferred compensation plans (including New York City or New York State deferred compensation plans)
- interests in a trust or estate
- beneficiary of a bank account established by another person or entity
- retirement plans (except New York City or New York State retirement systems).)

**(Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)

19. Did you **assign income** of \$1,000 or more to any person, including a **relative**, during 2017?

Do not include maintenance received in connection with a matrimonial action, alimony, or child support payments. Do not include scholarships, court settlements, worker's compensation, awards, income tax refunds, or life insurance proceeds from a relative.)

**(An assignment** is a type of transfer or giving of income or a right to such income to another.)

**(Income** includes, but is not limited to,

- income from directorships and other fiduciary or advisory positions (e.g., executor of an estate)

- contracts
- partnerships
- teaching income
- lecture fees and honoraria
- consultant fees
- real estate rental income (report the aggregate net income before taxes for each building address)
- bank and bond interest (whether or not tax-exempt)
- dividends
- trusts
- royalties
- annuities
- distributions from a retirement account
- life insurance proceeds from a non-relative
- gambling winnings
- recognized gains from the sale or exchange of real or other property or the sale or redemption of securities
- social security benefits
- unemployment benefits
- capital gains)

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)

20. Did you transfer any interest having a value of \$1,000 or more in a trust, estate, other beneficial interest, securities, or real property to a non-relative for less than fair consideration during 2017?

(**Beneficial interest** includes, but is not limited to

- individual retirement accounts (IRAs)
- Keogh retirement plans
- annuities
- deferred compensation plans (including New York City or New York State deferred compensation plans)
- interests in a trust or estate
- beneficiary of a bank account established by another person or entity
- retirement plans (except New York City or New York State retirement systems).)

(**Securities** means stocks (any class), bonds (including savings bonds and tax exempt bonds), mutual funds, stock options, warrants, debentures, obligations, notes (not mortgage notes), mortgages (not on one's home), investment interests in limited

partnerships, REITs, and such other evidences of indebtedness and certificates of interest or participation in any profit-sharing agreement as are usually referred to as securities.)

**(Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)

21. Did you have any contract, promise, or agreement during 2017 with any person or entity with respect to your employment after leaving your City office or position?
22. Do you have any relative(s) holding a position, whether paid or unpaid, with the City?

**(Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)

**(City** means the city of New York and shall include an agency of the city. An agency or city agency includes but is not be limited to all mayoral agencies, the council, the offices of each elected city official, the board of education, community boards, the health and hospitals corporation, the New York city industrial development agency, the offices of the district attorneys of the counties of Bronx, Kings, New York, Queens and Richmond, and of the special narcotics prosecutor, the public administrators, the New York city housing authority, and the New York city housing development corporation.)

## **POSITIONS, INCOME AND REIMBURSEMENTS**

### **A. Current/Final City Position**

Report your current or final City employment or office, whether you are paid or not.

Example: You received \$55,000 in salary and \$10,000 in overtime payments. Under "Nature of Income," state "salary and overtime payments" and report the total amount as "\$60,000 - \$99,999.99"

### **B. Additional City Positions**

Report any City employment or office, whether you were paid or not, that you held during 2017 at agencies other than your current (or final) City agency.



Example: You received \$55,000 in salary and \$10,000 in overtime payments. Under "Nature of Income" state "salary and overtime payments" and report the total amount as \$60,000 - \$99,999.99."

### **C. Non-City Employment/Business**

Report any non-City occupation, trade, business, profession, or employment you engaged in during 2017.

Do not include a position reported in the "Primary City Position" or "Elected Position and/or Candidacy" questions. If income was received from a business or profession, indicate the name of the entity and not the names of individual customers or clients. The net aggregate income before taxes derived from a single business or profession should be totaled, i.e., the net profit reported in Schedule C of your personal income tax return.

**Interactions with State or Local Agencies:** Was this employer or business licensed or regulated by any State agency or local agency, did it do business with a State or local agency or did it have non-ministerial matters before a State or local agency?

- Yes
- No
- Unknown

Answer "yes" if a state or local agency licenses or regulates such activity; or if the entity you listed had non-ministerial matters before a State or local agency. For example, if you practice law, you must report that such activity is regulated by the Appellate Division of the State of New York. NOTE: providing pro bono (free) services to a state or local agency does not constitute business dealings with the agency.

If the answer is "yes", the filer must indicate the type of interaction:

- Licensed,
- Regulated
- Do Business With
- Non-ministerial matters
- Unknown

**(State agency means**

- any New York State department
- any division, board, commission, or bureau of any State department
- any public benefit corporation, public authority, or commission at least one of

- whose members is appointed by the Governor
- the State University of New York or the City University of New York, including all their constituent units except community colleges and except the independent institutions operating statutory or contract colleges on behalf of the State.)

**(Local agency** means

- any county, City, town, village, school district, or district corporation
- any agency, department, division, board, commission, or bureau thereof
- any public benefit corporation or public authority not included within the definition of a State agency.)

**(Ministerial matter** means an administrative act (such as the issuance of a license, permit, or other permission) that is carried out in a prescribed manner and does not involve substantial personal discretion.)

#### **D. Political Positions Held**

Report any positions you held during 2017 as an officer of any political party or political organization, as a member of a political party committee, or as a political party district leader. Examples: a committeeperson, president of a political club.

**(Political party** means any political organization that polled at least 50,000 votes for its candidate for Governor at the last preceding gubernatorial election.)

**(Political organization** means any organization or group of voters that nominates a candidate or candidates for office to be voted for at an election, any independent body, or any organization that is affiliated with or a subsidiary of a party or another political organization or independent body.)

**(Independent body** means any organization or group of voters which nominates a candidate or candidates for office to be voted for at an election and which is not a political party.), as a member of a political party committee, or as a political party district leader. Examples: a committeeperson, president of a political club.)

#### **E. Positions Held**

Report all offices, trusteeships, directorships, partnerships, ex-officio positions, honorary positions, or other positions of any nature, whether compensated or not, you held in 2017.

Do not include

- positions reported in the questions covering City and Non-City employment
- elected positions or candidacies

- positions with the State of New York or the offices of Notary Public or Commissioner of Deeds
- entities of which you are only a member and not an officeholder

If the entity is a partnership, indicate whether you were a general or limited partner, and if the entity is a corporation, whether for profit or non-profit, report if you were a director or officer of the corporation.

**Interactions with State or Local Agencies:** Was this employer or business licensed or regulated by any State agency or local agency, did it do business with a State or local agency or did it have non-ministerial matters before a State or local agency?

- Yes
- No
- Unknown

Answer "yes" if a state or local agency licenses or regulates such activity; or if the entity you listed had non-ministerial matters before a State or local agency. For example, if you practice law, you must report that such activity is regulated by the Appellate Division of the State of New York. NOTE: providing pro bono (free) services to a state or local agency does not constitute business dealings with the agency.

If the answer is "yes", the filer must indicate the type of interaction:

- Licensed,
- Regulated
- Do Business With
- Non-ministerial matters
- Unknown

(**Trusteeship** means a member on a Board of Trustees. It does not mean a trustee of a trust.)

(**State agency** means

- any New York State department
- any division, board, commission, or bureau of any State department
- any public benefit corporation, public authority, or commission at least one of whose members is appointed by the Governor
- the State University of New York or the City University of New York, including all their constituent units except community colleges and except the independent institutions operating statutory or contract colleges on behalf of the State.)

(**Local agency** means

- any county, City, town, village, school district, or district corporation
- any agency, department, division, board, commission, or bureau thereof
- any public benefit corporation or public authority not included within the definition of a State agency.)

**(Ministerial matter** means an administrative act (such as the issuance of a license, permit, or other permission) that is carried out in a prescribed manner and does not involve substantial personal discretion.)

#### **F. Other Non-City Income**

Report any income you received of \$1,000 or more from any source during 2017, other than income reported in questions covering City and Non-City employment, elected positions, and candidacies.

**(Income** includes, but is not limited to,

- income from directorships and other fiduciary or advisory positions (e.g., executor of an estate)
- contracts
- partnerships
- teaching income
- lecture fees and honoraria
- consultant fees
- real estate rental income (report the aggregate net income before taxes for each building address)
- bank and bond interest (whether or not tax-exempt)
- dividends
- trusts
- royalties
- annuities
- distributions from a retirement account
- life insurance proceeds from a non-relative
- gambling winnings
- recognized gains from the sale or exchange of real or other property or the sale or redemption of securities
- social security benefits
- unemployment benefits
- capital gains)

## **G. Regulated Professions**

If you practice law, are a licensed real estate broker or agent, or practice a profession licensed by the New York State Department of Education, identify your profession and provide a general description of the principal subject areas of matters you undertook during 2017. Do not list the names of individual clients, customers, or patients. If you are a licensed professional but you did not practice during the reporting year, indicate your field of practice and that you did not actually engage in such practice during 2017.

## **H. Deferred Income**

Report any deferred income of \$1,000 or more. Deferred income derived from the practice of a profession should be totaled. List the name of the entity through which the income was earned or derived, but do not list the names of individual clients or customers.

Do not report your deferred compensation plan in response to this question. You will report your deferred compensation plan in the "Trusts, Estates, and Other Beneficial Interests" question.

Do not include an interest in a retirement plan, a deferred compensation plan, a pension plan, or any interest in a trust, estate, or beneficial interest. Do not include your City salary earned during the last week of December but paid in January.

(**Deferred income** is income that was earned during 2017 or any time before 2017 but which was paid or was to be paid after December 31 of 2017.)

## **I. Payments for City-Related Travel**

Report if a non-governmental entity or person either paid directly for travel-related expenses or reimbursed you for travel-related expenses, in an amount of \$1,000 or more for activities related to your official duties with the City.

If a non-governmental entity paid for any travel-related expenses not related to your official duties, by either reimbursing you or paying the travel related expenses directly on your behalf, you must report this in the "Gifts" question.

Do not report direct payments or reimbursements for campaign expenditures or any direct payments or reimbursements by the City or any other governmental entity, whether foreign or domestic. Total all your reimbursements from a single source.

(**Activities related to your official duties** include, but are not limited to, speaking engagements, conferences, and fact-finding events, but does not include gifts.)

## J. Gifts, City Business

Report any gift or gifts you received during 2017 from the same donor who had business dealings with the City, other than a relative, with a total value of \$50 or more. Report the value of multiple gifts from the same donor or affiliated donors in the aggregate.

- Include any inheritances from non-relatives.
- Include any gifts related to your City position, e.g. gifts to the City.
- Include direct payments, or reimbursements from a non-governmental entity for travel related expenses that did not relate to your official duties.
- Do not include gifts or inheritances from relatives.
- Do not include engagement rings.
- Do not include campaign contributions.
- Do not include reimbursements from your employer(s).
- Do not include direct payments or reimbursements from a governmental entity for travel-related expenses.

Examples: You received one gift in the amount of \$75 from ABC Corporation, which has City business. You must report this gift because it is more than \$50 and ABC does business with the City.

You received two separate gifts of \$30 each from ABC Corporation and DEF Company, which ABC Corporation owns. ABC and DEF do business with the City. You must report both gifts because you received gifts in the amount of \$50 or more from affiliated donors.

Please be advised that the Conflicts of Interest Board has promulgated rules that prohibit gifts of \$50.00 or more to public servants from any person or firm that such public servant knows is or intends to become engaged in business dealings with the City, except those gifts that are customary on family or social occasions. See City Charter Chapter 68, § 2604(b)(5); Official Compilation of the Rules of the City of New York, Title 53, Chapter 1, § 1-01.

**(Gift** means anything of value for which a person pays nothing or less than fair market value. A gift may be in the form of money, service, loan, forgiveness of debt, discount, travel, entertainment, hospitality, thing, or promise or in any other form. Gifts include gifts of securities or real estate as well as wedding gifts (except from a relative).)

**(Business dealings** means any transaction involving the sale, purchase, rental, disposition or exchange of any goods, services, or property, any license, permit, grant or benefit, and any performance of or litigation with respect to any of the foregoing, but shall not include any transaction involving a public servant's residence or any ministerial matter.)

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)

(**Affiliated** means a firm that is a subsidiary of another firm, or two firms that have a parent in common, or two firms with a stockholder in common who owns at least twenty-five per cent of the shares of each such firm.)

#### **K. Gifts, No City Business**

Report any gift or gifts you received during 2017 from the same donor who had no business dealings with the City, other than a relative, with a total value of \$1,000 or more. Report the value of multiple gifts from the same donor or affiliated donors in the aggregate.

- Include any inheritances from non-relatives.
- Include any gifts related to your City position, e.g. gifts to the City.
- Include direct payments, or reimbursements from a non-governmental entity for travel related expenses that did not relate to your official duties.
- Do not include gifts or inheritances from relatives.
- Do not include engagement rings.
- Do not include campaign contributions.
- Do not include reimbursements from your employer(s).
- Do not include direct payments or reimbursements from a governmental entity for travel-related expenses.

Examples: You received a gift in the amount of \$750 from ABC Corporation, which has no City business. You need not report this gift because it is less than \$1,000 and ABC does not do business with the City.

You received two separate gifts from John Doe, one with a value of \$500, and another with a value of \$600. John Doe does not do business with the City. You must report both gifts because you received gifts in the amount of \$1,000 or more from a single donor.

You received two separate gifts of \$550 each from ABC Corporation and DEF Company, which ABC Corporation owns. Neither ABC nor DEF does business with the City. You must report both gifts because you received gifts in the amount of \$1,000 or more from affiliated donors who do not do business with the City.

Please be advised that the Conflicts of Interest Board has promulgated rules that prohibit gifts of \$50.00 or more to public servants from any person or firm that such public servant knows is or intends to become engaged in business dealings with the City,

except those gifts that are customary on family or social occasions. See City Charter Chapter 68, § 2604(b)(5); Official Compilation of the Rules of the City of New York, Title 53, Chapter 1, § 1-01.

**(Gift** means anything of value for which a person pays nothing or less than fair market value. A gift may be in the form of money, service, loan, forgiveness of debt, discount, travel, entertainment, hospitality, thing, or promise or in any other form. Gifts include gifts of securities or real estate as well as wedding gifts (except from a relative).)

**(Business dealings** means any transaction involving the sale, purchase, rental, disposition or exchange of any goods, services, or property, any license, permit, grant or benefit, and any performance of or litigation with respect to any of the foregoing, but shall not include any transaction involving a public servant's residence or any ministerial matter.)

**(Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)

**(Affiliated** means a firm that is a subsidiary of another firm, or two firms that have a parent in common, or two firms with a stockholder in common who owns at least twenty-five per cent of the shares of each such firm.)

## **HOLDINGS**

### **A. Money Owed to Filer**

Report each note or account receivable or other outstanding loan in the amount of \$1,000 or more owed to you during 2017 - i.e., who owed you money and how much. Do not include debts owed to you by a relative. Include all debts, whether secured or unsecured. For secured debts, include debts secured by a mortgage, loan agreement, promissory note, or any instrument or document signifying a debt to you. Include all debts of \$1,000 or more which were owed to you at any time during 2017, even if they were paid in full during the year.

Do not include deferred income from the practice of a profession, i.e., a client owes you money.

**(Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)



## B. Money Owed by Filer

Report each creditor, other than a relative, to whom you owed \$5,000 or more for a period of 90 consecutive days during 2017 or to whom you owe \$5,000 or more on the date you file this report.

Include revolving charge accounts (e.g., Mastercard or VISA). Include multiple accounts with an institution that in the aggregate total \$5,000 or more. Include real estate mortgages and other secured and unsecured loans. **Do not include first or second mortgages or loans obtained to finance the purchase of, or improvements to, your primary or secondary residence.**

Include debts of a campaign that have been personally guaranteed by you; loans to the campaign that you have co-signed; and debts which arise out of the receipt of public funds by your campaign.

Include short positions in a security where the position was held for longer than 90 consecutive days and the value of the position exceeded \$5,000 at any time during that period, or as of the date that you are filing this report, the value of the position exceeds \$5,000.

Do not include any of the following types of liability:

- an obligation to pay maintenance in connection with a matrimonial action, alimony, or child support payments;
- a loan issued by a financial institution, in its ordinary course of business, to finance:
  - (i) the purchase of, or improvements to, your primary or secondary residence;
  - (ii) educational costs (for anyone), except upon default of a student loan;
  - (iii) the purchase of a personally owned motor vehicle;
  - (iv) the purchase of household furniture or appliances.
- an obligation to pay estimated quarterly taxes;
- a campaign debt, which would be a liability to the filer's campaign committee and not to the filer personally;
- a vehicle leasing;
- liabilities incurred by, or guarantees made by you, or by any proprietorship, partnership, or corporation in which you have an interest, when such liabilities were incurred or made in the ordinary course of your trade, business, or professional practice.

**(Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)

### **C. Real Estate Held**

Report any real estate in which you had a vested or contingent interest valued at \$1,000 or more during 2017. Do not include your primary or secondary personal residence, unless there is a co-owner who is a non-relative.

Include timeshares, real estate owned outside of New York or the United States, and all other real estate in which you have a vested interest, that is, which is owned by you, owned by you jointly with another person or entity, held in a trust under which you are the beneficiary, or owned by a partnership of which you are a partner or member. Also include real estate in which you have a contingent interest, that is, in which your interest is dependent upon the occurrence of some future event. For example, where a relative has recently died, and property will pass to you, but distribution of that property has not yet been made, and thus title has not passed, you have a contingent interest that should be reported under this section. Do not include an expected inheritance from one who is still alive.

Do not include your primary or secondary personal residence even if you rent out a portion of it, unless there is a co-owner who is a non-relative, and do not include an expected inheritance from one who is still alive.

### **D. Securities Held**

Report any securities you held at the close of 2017 with a market value of \$1,000 or more.

Report individual stocks in a managed account if you own the individual stocks in your own name or if they are held in "street name."

Do not include short positions in a security in this section. If the position was held for more than 90 consecutive days and the value of the position exceeded \$5,000 at any time during that period, or if the value of the position exceeds \$5,000 as of the date that you are filing this report, it must be disclosed in the "Money Owed by Filer" question.

Do not include:

- savings accounts, certificates of deposit (CDs), NOW accounts, bank money market accounts, or securities issued by a professional corporation
- securities held in a custodial account or a mortgage held by another on your property that is reported elsewhere
- securities of which you are the owner of record but in which you have no beneficial interest, e.g., stocks held for your child
- securities that are interest in a general partnership that was listed in a prior question

- or securities that are corporate stocks, not publicly traded, in your trade or business
- individual securities held in a trust established by, or under the estate of, a relative
- securities held in a pension plan

If you hold securities jointly with your spouse or domestic partner or unemancipated child, indicate the total market value in response to this question and check yes to jointly owned. If you and your spouse or domestic partner or unemancipated child separately held securities in the same company, report your holdings here and your spouse's or domestic partner's or unemancipated child's holdings in the securities question for your spouse or domestic partner or unemancipated child; do not check the jointly owned box.

(**Securities** means stocks (any class), bonds (including savings bonds and tax exempt bonds), mutual funds, stock options, warrants, debentures, obligations, notes (not mortgage notes), mortgages (not on one's home), investment interests in limited partnerships, REITs, and such other evidences of indebtedness and certificates of interest or participation in any profit-sharing agreement as are usually referred to as securities.)

#### **E. Investments in a Business**

Report any investment of \$1,000 or more held during 2017 in a business, other than an investment in securities or an interest in real property.

Include investments that you held in any firm, partnership, corporation, or other entity in 2017, whether or not the investment was made in that year.

Do not include income from a business here. You will report such income in the "Non-City Employment" or "Non-City Income" questions. Do not report investment in a business consisting solely of the passive investment in the real estate of that business. You will report such information in the "Real Estate Held" question.

(**Securities** means stocks (any class), bonds (including savings bonds and tax exempt bonds), mutual funds, stock options, warrants, debentures, obligations, notes (not mortgage notes), mortgages (not on one's home), investment interests in limited partnerships, REITs, and such other evidences of indebtedness and certificates of interest or participation in any profit-sharing agreement as are usually referred to as securities.)

#### **F. Interests in Government Contracts**

Report any interest of \$1,000 or more that you had during 2017 in any contract made or executed by a State agency or local agency.

Include both vested and contingent interests. Include interest held by any partnership of which you are a member or any corporation 10% or more of whose stock you own or control.

Do not include:

- bonds or notes
- contracts where final payment has been made and all obligations (except for guarantees and warranties) have been performed, unless there has been an ongoing dispute during the reporting year with respect to the guarantees or warranties
- contracts made or executed by a State agency after public notice and pursuant to a process for competitive bidding or competitive requests for proposals. Do, however, include any such local agency contracts.

**(State agency means**

- any New York State department
- any division, board, commission, or bureau of any State department
- any public benefit corporation, public authority, or commission at least one of whose members is appointed by the Governor
- the State University of New York or the City University of New York, including all their constituent units except community colleges and except the independent institutions operating statutory or contract colleges on behalf of the State.)

**(Local agency means**

- any county, City, town, village, school district, or district corporation
- any agency, department, division, board, commission, or bureau thereof
- any public benefit corporation or public authority not included within the definition of a State agency.)

#### **G. Trusts, Estates, and Other Beneficial Interests**

Report any trust, estate, or other beneficial interest in which you held an interest worth \$1,000 during 2017. Include the value of such beneficial interests only if reasonably ascertainable. Note that beneficial interest refers to the holdings (principal), not to the interest earned (which is reported in non-City income).

Do not include individual securities in response to this question. If through your IRA, Keogh, annuity, deferred compensation plan, trust, or other beneficial interest, you own individual securities in your own name, report those securities in the "Securities Held" question. Do not include any interest in a trust, estate, or other beneficial interest established by or for a relative or by or for the estate of a relative. Do not include the

cash surrender value of your own life insurance policy.

If you still held the beneficial interest on December 31 of 2017, report its value on that date. If you received a partial distribution of \$1,000 or more during 2017, that distribution should be reported in the "Other Non-City Income" question, and the balance of the beneficial interest remaining as of December 31 of 2017 should be reported in this question. If you no longer held the beneficial interest on December 31 of 2017, report its value on the last day on which you held the beneficial interest, unless the distribution appears in the "Other Non-City Income" question.

**(Beneficial interest** includes, but is not limited to

- individual retirement accounts (IRAs)
- Keogh retirement plans
- annuities
- deferred compensation plans (including New York City or New York State deferred compensation plans)
- interests in a trust or estate
- beneficiary of a bank account established by another person or entity
- retirement plans (except New York City or New York State retirement systems.)

## **OTHER ACTIVITY**

### **A. Filer Assignments of Income**

Report any assignments of income of \$1,000 or more to any person, including a relative, during 2017.

Example: You assign your right to income from a trust to your brother. You must report such an assignment.

**(Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)

### **B. Transfers of Money or Property**

Report any transfers during 2017 of any interest having a value of \$1,000 or more to a non-relative for less than fair consideration. Include interest in a trust, estate, other beneficial interest; securities; or real property. Do not include assignments of income, which are reported in the "Assignments of Income" question.

Example: You transfer ownership of your cabin in the woods to a friend for less than its fair market value. You must report such a transfer.)

**(Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)

**(Beneficial interest** includes, but is not limited to

- individual retirement accounts (IRAs)
- Keogh retirement plans
- annuities
- deferred compensation plans (including New York City or New York State deferred compensation plans)
- interests in a trust or estate
- beneficiary of a bank account established by another person or entity
- retirement plans (except New York City or New York State retirement systems.)

**(Securities** means stocks (any class), bonds (including savings bonds and tax exempt bonds), mutual funds, stock options, warrants, debentures, obligations, notes (not mortgage notes), mortgages (not on one's home), investment interests in limited partnerships, REITs, and such other evidences of indebtedness and certificates of interest or participation in any profit-sharing agreement as are usually referred to as securities.)

### **C. Agreements for Future Payments**

Report any agreements you had during 2017 with a former or current employer for future benefits or payments to you. Include all former and current employers, not merely your most recent employer. Do not include agreements made with the City of New York. Do not include agreements under which the payment or benefits to you terminated in a year previous to 2017.

**(Benefits or payments** include, but are not limited to

- interests in or contributions to pension funds
- profit-sharing plans
- life or health insurance plans
- buy-out agreements
- severance payments)

#### **D. Agreements with Future Employers**

Report any contract, promise, or agreement you had during 2017 with any person or entity with respect to your employment after leaving your City position.

Do not include any arrangements for time spent during leaves of absence while employed by the City. If you have accepted a new position outside of City service, you must report it here.

#### **RELATIVES IN CITY SERVICE**

##### **A. Relative**

Report any relatives you have who hold a position, whether paid or unpaid, with the City. Include your spouse/domestic partner in your answer to this question even if the information is reported elsewhere in your report.

(**Relative** means the spouse, domestic partner, child, stepchild, brother, sister, parent, stepparent, or grandparent of the person reporting, or any person whom the person reporting claimed as a dependent on his or her most recently filed personal income tax return, and each such relative's spouse or domestic partner.)

(**City** means the city of New York and shall include an agency of the city. An agency or city agency includes but is not limited to all mayoral agencies, the council, the office or each elected city official, the board of education, community boards, the health and hospitals corporation, the New York city industrial development agency, the offices of the district of attorneys of the counties of Bronx, Kings, New York, Queens, and Richmond, and of the special narcotics prosecutor, the public administrators, the New York city housing authority, and the New York city housing development corporation.)