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| Commonwealth of Kentucky  EXECUTIVE BRANCH ETHICS COMMISSION  #3 Fountain Place  Frankfort, KY 40601  Phone: 502-564-7954 or 800-664-7954  facsimile: (502) 564-2686  ethicsfiler@ky.gov  STATEMENT OF FINANCIAL DISCLOSURE  ***For Calendar Year 2016***  **COMPLETE ALL SECTIONS WITHOUT LEAVING ANY SECTION BLANK**  **EXECUTIVE BRANCH OFFICERS: Submit by one of the prescribed methods by April 15 or within 30 days of separation from an officer position. (KRS 11A.050(1)(a))**  **CANDIDATES FOR CONSTITUTIONAL OFFICE: Submit by one of the prescribed methods by February 15. (KRS 11A.050(1)(c); KRS 11A.010(13))**  Statements of Financial Disclosure Shall be Available for Public Review  ANSWER EVERY QUESTION | | | |
| 1. Name: Last        First         Middle or Maiden | | | |
| 2. Home Street Address: | | | |
| City:  State:  Zip: **‑** | | | |
| Home Phone: () ‑ | Home E-mail address: | | |
| Mobile Phone: () ‑ |  | | |
| 3. If you are a candidate for a constitutional office, check appropriate box: | | | |
| Agriculture Commissioner  Attorney General  Auditor of Public Accounts  Governor | | | Lt. Governor  Secretary of State  State Treasurer  **NOT A CANDIDATE** |
| 4. Title of Position or office in 2016 that requires filing:    Beginning Date:  Do you still occupy this position? Yes  No  If no, ending date**:** | | | |
| **State Agency for position listed above:**  **Cabinet:**   **Choose an item.**  Department or Office**:**  Division: | | | |
| Work Street Address: | | | |
| City:  State:  Zip: **‑** | | | |
| Work Phone: **(   )    ‑**  Ext. | | Work E-mail address: | |

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| If not employed by state agency, current employer:  Work Address: | |
| City:   State:  Zip: **‑** | |
| Title of any other state jobs or positions you held during the reporting year, including state government agency name.  **None** | |
| 5. Name and address of any other employers (including self-employment) during reporting year: **None** | |
| Employer:  Work Address: | |
| City:   State:  Zip: **-** | |
| 6. Marital status:   Single   Married   Widowed (if event occurred prior to calendar year 2016 skip to Question 8.)   Divorced (if event occurred prior to calendar year 2016 skip to Question 8.)  If married, please give spouse's full name (including maiden name where applicable):  Last:  First:  Middle: | |
| 7a. Spouse's current employer and employer's address: **None** | |
| Employer:  Work Address: | |
| City:   State:  Zip: **‑** | |
| Work Phone: **(   )** **‑** | Work E-mail address: |
| 7b. Spouse's position: | |
| 7c. Other employers of Spouse (including self-employment during reporting year) **None** | |

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| 8. List the full name of each dependent child of you and/or your spouse: **None** | | |
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| 9. List all positions of a fiduciary nature held by you or your spouse in a business, including the name and address of the business: **None** | | | |
| 10. List any other position in a business, partnership or corporation held by you or your spouse including the name and address of the business: **None** | | | |
| 11. Provide the name and address of any business in which you, your spouse, or dependent children owned an interest which has a fair market value of at least ten thousand dollars ($10,000) or which equals at least five percent (5%) of the business; specify whether you listed the interest because of its fair market value or because it constitutes at least five percent of the business: **None** | | | |
| 12. Provide all sources of gross income exceeding $1,000 from any one source not listed above, (including interest, dividends, investment income) to you, your spouse, or a dependent child, indicating the form of the income and the nature of the business and the name and address of the income source.  **None** | | | |
| 13. Provide the name and address of all sources of retainers received by you or your spouse relating to matters of the state agency for which you work or supervise or of any other entity of state government for which you would serve in a decision-making capacity. **None** | | | |
| 14. Describe any representation or intervention performed by you or your spouse for any person or business for compensation before a state agency for which you work or supervise or before any entity of state government for which you would serve in a decision-making capacity, and include the name and address of that person or business.  **None** | | | |
| 15. Provide the street address or location and description of all real property in which you, your spouse, or a dependent child holds an interest of at least ten thousand dollars ($10,000): None | | | |
| 16. List all sources, including name and address, of gifts of money or property with a retail value of more than two hundred dollars ($200) from any one source which were given to you, your spouse, or dependent children by any person or entity other than a member of your family. None | | | |
| 17. Identify all creditors, including an address, to whom you owe more than ten thousand dollars ($10,000) except when the debt was incurred for the purchase of consumer goods: **None** | | | |
| 18.  Are you aware of any business opportunity, investment opportunity, or other benefit, tangible or intangible, received by you or any member of your family which might reasonably be construed as being offered in return for favorable treatment or any other benefit, tangible or intangible, from state government? [PLEASE CONSIDER CAREFULLY BEFORE ANSWERING]  NO  YES  If yes, attach a description. | | | |
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| I SWEAR OR AFFIRM THAT THE INFORMATION REPORTED  IN THIS STATEMENT OF FINANCIAL DISCLOSURE  IS COMPLETE AND ACCURATE. | | | |
| **Sign and send to the Executive Branch Ethics Commission as described below.** | | | |
| Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Typed or printed name | | | Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

**PENALTIES:**

WITHHELD SALARY: Any officer, public servant, or candidate required to file a statement of financial disclosure under KRS 11A.050 who does not file the statement by a date specified in that section shall have his salary withheld from the first day of noncompliance until he shall have completed the action required by law. The amount withheld shall be deducted from his overall pay and allowances and shall be recoverable upon the filing of the statement of financial disclosure. The commission may grant a reasonable extension of time for filing a statement of financial disclosure for good cause shown. KRS 11A.990(2).

**FINES:** Any officer, public servant, or candidate who fails to file or files a false Statement of Financial Disclosure may be subject to a written, public reprimand, a recommendation from the Commission that the violator be removed or suspended from office or employment, and required to pay a civil penalty of not more than **$5,000**. **KRS 11A.100(3).**

When you have answered every question, PRINT the Disclosure, SIGN it, and SUBMIT it by: ELECTRONIC MAIL: [EthicsFiler@ky.gov](mailto:EthicsFiler@ky.gov)

FAX: (502) 564-2686

IN PERSON or by U.S. MAIL:

**Executive Branch Ethics Commission**

**#3 Fountain Place**

**Frankfort, KY 40601**