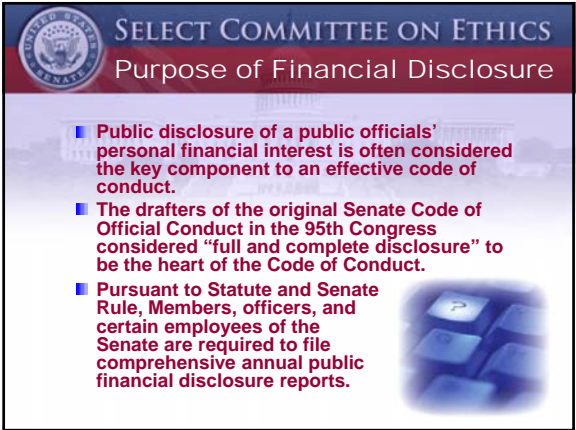


United States Senate Select Committee on Ethics - *Financial Disclosure*







United States Senate

Select Committee on Ethics - Financial Disclosure

SELECT COMMITTEE ON ETHICS
Who Reviews Reports?

- **ETHICS COMMITTEE**
 - The committee is required by Section 106 of the Ethics in Government Act of 1978 to review public financial disclosure reports in order to determine whether they are in compliance with applicable laws and regulations.
- **STAFFER'S SUPERVISOR**
 - Pursuant to Resolution 236, the Ethics Committee is required to provide the supervising Senator or designated staff member to receive on a confidential basis the public financial disclosure reports filed by senate employees to check for possible conflicts of interests.
- **PUBLIC**
 - Any Financial Disclosure report filed by May 16 will be made available for public inspection by the Secretary of the Senate Office of Public Records within 30 days after filing or by June 16.



SELECT COMMITTEE ON ETHICS
Where to File

File Reports and Amendments with the Secretary of the Senate,

OFFICE OF PUBLIC RECORDS, 232 HART	<i>or</i>	OFFICE OF PUBLIC RECORDS, P.O. Box 77578 Washington, DC 20013-7578
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Reports will be made available for public inspection within 30 days of filing


SELECT COMMITTEE ON ETHICS
ON-LINE Disclosure Form

- **Download the form from the Committee's website**
 - ethics.senate.gov

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 **SELECT COMMITTEE ON ETHICS**
Due Date

Annual Reports Covering
CY 2011
are due
TUESDAY,
MAY 15th, 2012



 **SELECT COMMITTEE ON ETHICS**
Extensions

■ Requests for extensions of
up to 90 days for filing
reports may be submitted
to the Ethics Committee



 **SELECT COMMITTEE ON ETHICS**
Penalties

■ \$200 late filing fee is imposed for
filing a report 30 days after due date



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SELECT COMMITTEE ON ETHICS
Requests to Ethics

- Send requests for extensions and waivers of penalties and other general correspondence to the **ETHICS COMMITTEE**
220 HART
or
Fax: (202) 224-7416



SELECT COMMITTEE ON ETHICS
Who has to File Annual Reports?

- **SENATORS**
- **CANDIDATES FOR THE SENATE**
- **POLITICAL FUND DESIGNEES**
- **FELLOWS / DETAILEES** who earned a rate of pay from an outside source equal to or in excess of \$119,554
- **STAFFERS** who earned a rate of pay equal to or in excess of \$119,554 for more than 60 days
 - > **Employees Who Received a Bonus: A report is required if:**
 - Paid at a rate of pay in excess of the reporting threshold of \$119,554 for more than 60 days; and
 - Gross earning for the calendar year was equal to or in excess of \$119,554



SELECT COMMITTEE ON ETHICS
Late Notices

- Committee policy is to mail late notices certified mail, return receipt requested
- A copy of the late notice is also cc:d to the supervising Senator

Civil and criminal sanctions may be imposed for individuals who knowingly and willfully fail to file this report



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SELECT COMMITTEE ON ETHICS
Amendment Requests

Within 60 days of filing, the Committee reviews reports for compliance and omissions and mails letters to filers requesting additional information/clarifications


SELECT COMMITTEE ON ETHICS

Completing Your Financial Disclosure Report

UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR ANNUAL AND TERMINATION REPORTS			
Amendment	Filer Name and Middle Initial Joe	Calendar Year 2011	Reporting Agency or Office Select Committee on Ethics
File Date	Senate Office Telephone Number - Check One Washington, DC 20510	Senate Office Fax Number - Check One 202-224-2981	For Whom Reported in Written Employment
AFTER READING THE INSTRUCTIONS - ANSWER EACH OF THESE QUESTIONS AND ATTACH THE RELEVANT PART			
Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? <i>If Yes, Complete and Attach PART I.</i>	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO	Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel in the reporting period (i.e., worth more than \$200 from one source)? <i>If Yes, Complete and Attach PART VI.</i>
Did you or your spouse have earned income (e.g., salaries or fees) or non-investment income of more than \$200 from any reportable source in the reporting period? <i>If Yes, Complete and Attach PART II.</i>	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO	Did you, your spouse, or dependent child have any reportable liability (more than \$10,000) during the reporting period? <i>If Yes, Complete and Attach PART VII.</i>
Did you, your spouse, or dependent child hold any reportable asset worth less than \$1,000 at the end of the period, or income unrelated to investment income of more than \$200 in the reporting period? <i>If Yes, Complete and Attach PART III.</i>	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO	Did you hold any reportable positions on or before the date of filing in the current calendar year? <i>If Yes, Complete and Attach PART VIII.</i>
Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than \$500 in the reporting period? <i>If Yes, Complete and Attach PART IV.</i>	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO	Do you have any reportable agreement or arrangement with an outside party? <i>If Yes, Complete and Attach PART IX.</i>
Did you, your spouse, or dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$300 and not otherwise exempt)? <i>If Yes, Complete and Attach PART V.</i>	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO	Did you receive compensation of more than \$2,000 from a single source in the two prior years? <i>If Yes, Complete and Attach PART X.</i>
Each question must be answered and the appropriate PART attached for each "YES" response.			
File this report and any amendments with the Secretary of the Senate, Office of Public Records, Room 222, Hart Senate Office Building, U.S. Senate, Washington, DC 20510. \$200 Penalty for filing more than 30 days after due date.			
This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. This statement will be made available by the Office of the Secretary of the Senate to any requesting person upon written application and will be reviewed by the Select Committee on Ethics. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil and criminal sanctions. (See 5 U.S.C. app. 4, § 104, and 18 U.S.C. § 1001.)			FOR OFFICIAL USE ONLY Do Not Write Below This Line
I CERTIFY that the statements I have made on this statement and attached schedules are true, complete and correct to the best of my knowledge and belief.		Joe Filer	5/16/12
I am the Spouse of the member and the statements made in this report are in compliance with Title 18 of the Ethics in Government Act.		Signature of Reporting Office	Date Month Day Year

United States Senate

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SELECT COMMITTEE ON ETHICS
Part IIIA.

Publicly Traded Assets & Unearned Income

- Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, for production of income or investment which:
 - had a value exceeding \$1,000 at the close of the reporting period; and/or
 - generated over \$200 in "unearned" income during the reporting period



SELECT COMMITTEE ON ETHICS
Part IIIA.

YOU SHOULD REPORT ALL :

■ Stocks	■ Futures Contracts
■ Bonds	■ Excepted Trusts
■ Mutual Funds	■ Qualified Blind Trusts
■ Pension Interests	■ Underlying personal trade accounts
■ Annuities	<ul style="list-style-type: none"> ➢ (e*trade, Ameritrade, etc.),
■ IRA assets	■ Personal Banking Accounts
■ 529 Plans	<ul style="list-style-type: none"> ➢ Other bank accounts in excess of \$5000, which include: <ul style="list-style-type: none"> • CD's & Money Market Accounts






SELECT COMMITTEE ON ETHICS
Part IIIA.

- **PUBLICLY TRADED STOCKS & BONDS**
 - Identify by complete name, and preferably the exchange upon which it's listed
- **MUTUAL FUNDS**
 - Identify by complete name, including name of investment institution offering the fund (Templeton, Vanguard, etc.)
 - and the specific identification of the fund (Total Return, Equity, etc.).
- **MUNICIPAL BONDS**
 - Identify by name of municipality offering the bond and complete name of the bond



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 **SELECT COMMITTEE ON ETHICS**
Part IIIA.

**PERSONAL SAVINGS
ACCOUNTS**

- **Report the complete name of the financial institution where personal accounts are held**
 - (This would include personal savings, checking, money market, certificates of deposit, and any other accounts at any institution)
- **AGGREGATE MORE THAN \$5,000 at the end of the reporting period or which**
- **GENERATED MORE THAN \$200 in unearned income during the reporting period.**

 **SELECT COMMITTEE ON ETHICS**
Part IIIA.

**EXCEPTED
INVESTMENT FUND**

- **A mutual fund, common trust fund of a bank, pension or deferred compensation plan, or any other investment fund which is:**
 - Widely held (i.e. has more than 100 participants or investors); and
 - Publicly traded (or available) or widely-diversified; and
 - Held under circumstances where you don't have control over the financial interests held by the fund.

 **SELECT COMMITTEE ON ETHICS**
Part IIIA.

**INVESTMENT CLUBS
OR OTHER
HOLDING ARRANGEMENTS**


- **Identify the investment club and also any underlying investment asset or property held by the club where**
 - (i) you (your spouse or dependent child's) interest in the underlying asset exceeds \$1,000 in value or
 - (ii) where the underlying asset generated more than \$200 in income for you (your spouse or dependent child)
 - (iii) if the investment club or holding itself meets the definition of an excepted investment fund, the information regarding the underlying assets are not reportable

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 **SELECT COMMITTEE ON ETHICS**
Part IIIA.

RETIREMENT PLANS

- Identify each asset held by a self-directed retirement plan.
- A self-directed retirement plan is one which does not meet the definition of an excepted investment fund.
 - Widely held (i.e. has more than 100 participants or investors); and
 - Publicly traded (or available) or widely-diversified; and
 - Held under circumstances where you don't have control over the financial interests held by the fund.

 **SELECT COMMITTEE ON ETHICS**
Part IIIA.

EXCEPTED TRUST

- An excepted trust is one which:
 - Was not created by you, your spouse, or your dependent child; and
 - Has holdings or sources of income of which you, your spouse, and any dependent child have no knowledge.

 **SELECT COMMITTEE ON ETHICS**
Part IIIA.

QUALIFIED BLIND TRUST

- A qualified blind trust is a trust which has been certified by the Senate Select Committee on Ethics, in accordance with Senate Rule 34.



United States Senate
Select Committee on Ethics - *Financial Disclosure*



SELECT COMMITTEE ON ETHICS
Contact the Committee

If you have any questions, please
contact the Committee

(202) 224-2981 *(main)* (202) 224-7416 *(fax)*

mailbox_office@ethics.senate.gov *(email)*

All Advice is Confidential