

CITY OF WATERBURY

Instructions for Preparing Annual Statement of Financial Interests Elected Officials, Public Officials and Employees

Disclosing Parties: Who Must File?

The Directors of Finance and Personnel are required to certify to the City Clerk a list, current as of the previous July 1st, of the names and mailing addresses of the Persons who are required to file a financial disclosure statement in the current year¹ (“Disclosing Party” or “Disclosing Parties”). There are three broad categories for determining whether to disclose.

Title or Classification. Some of the Disclosing Parties are specifically enumerated by title or classification:

- Elected Officials,
- Members of the Board of Ethics, Finance and Audit Review Commission and Civil Service Commission;
- All Department Heads;
- All full-time appointed unclassified management Employees;

Function or Responsibility. Other employees are required to disclose based on their function or responsibilities. Those responsibilities, as determined, in the sole discretion of the Board of Ethics, include the rendering dispositive and discretionary judgments regarding the:

- sale or lease of real estate, receipt of monies, purchasing of Commodities (as defined in Chapter 38 of this Code of Ordinances);
- issuing of permits or licenses, assessment of property;
- inspection of property, settlement of claims (as set forth in Chapter 36 of this Code of Ordinances); or,
- the preparation or awarding of Contracts or retention of outside services; and,

Designation by the Board of Ethics. Any other Employees or Members of Boards or Commissions may be designated by the Board of Ethics, by Regulation.

When to File?

- On or before July 1st of each year for the preceding calendar year
- Any such individual who leaves his or her office or position shall file a financial disclosure statement covering that portion of the year during which such individual held his or her office or position.
- Any individual required to file but was not in office at the time the filing was required for the current year, shall file the required statement within 21 days following the date he or she first held the position².

¹ A person claiming that it is not possible to provide information required to be disclosed may petition the Commission in writing for a waiver of the requirement.

² The statement shall be current as of the date the Public Official, Employee or Member of a Board or Commission first entered the new position, except that a Public Official, Employee or Member of

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The Contents of the Disclosure Form

Please fill in each section with the information required or check the box provided if that section does not apply. If you need additional fields, please photocopy the appropriate page(s).

I. Personal Information

The ordinance requires disclosure for the Disclosing Parties, their spouses and dependant children residing with the Disclosing Party at any time during the calendar year. The information required in this section is limited to the following:

- Name
- Home Phone
- Office Phone
- E-Mail

II. Position of Filing Party

The Disclosing Party is required to disclose his position of the current and prior calendar years.

III. Business Interests

The Disclosing Party, Spouse and Dependent Children are required to disclose interests in businesses (whether or not incorporated), for profit and not for profit. *If you, your spouse or your dependent children do not have an interest in any business please check the appropriate box in section A or B.*

If there is a business interest the following information is required for disclosure:

- Name of Business
- Address
- Nature of Business or Activity
- Nature of Interest or Association
- Identity of the Party Holding the Interest

IV. Categories or Type of All Sources of Business Income
(without specifying the amounts of income)

The Disclosing Party, Spouse and Dependent Children are required to list the category or type of business income, including the source of the income and the type of business.

a Board or Commission who has previously filed a current statement during that year is not required to file a new one merely by virtue of entering a new position.

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V. Existence of Any Known Blind Trust

The Disclosing Party, Spouse and Dependent Children shall report the existence of a blind trust and the name of the trustee.

**VI. All Real Property Located Within the City; or,
within a municipality in which the City exercises regulatory control or
authority**

The Disclosing Party, Spouse and dependent children shall list the following information pertaining to all real property in which there is an interest, whether held individually or held in the name of a corporation, partnership or trust for the benefit of such individual:

- Address of Property
- Title Holder
- Identity of Party Holding the Interest

VII. Leases or Contracts with the City

The Disclosing Party, Spouse and dependent children shall list each Lease or Contract with the City either held individually or by a business with which any of the parties are associated. The following information is required:

- Address of the Leased Property/Contracted Service or Commodity
- Term of Lease or Contract
- Identity of Party Holding the Interest in the Lease or Contract
- Identity as Lessor or Lessee

Conclusion

The Disclosing Party is required to execute the form and certify the Annual Statement of Financial interest is a complete and accurate statement of the financial interests of yourself, your spouse and your dependent children. Moreover, the Disclosing Party is required to file with the City Clerk within fifteen days any changes to your Annual Statement of Financial Interests