STATEMENT OF ECONOMIC INTERESTS INSTRUCTIONS

GENERAL INFORMATION

The Alabama Ethics Law requires that certain public officials and employees complete the Statement of Economic Interests form. Public interest requires that the law protect against conflict of interests. Financial disclosure, coupled with appropriate ethical standards, is designed to accomplish this objective. All questions in this form are required by the Alabama Ethics Law, which was enacted by the Alabama Legislature. The full text of the Ethics law is codified in §36-25-1 through 36-25-30-30, Code of Alabama, 1975, as amended.

WHO MUST FILE – This form is to be completed, **even if there have been no changes since your last filing**, covering the period of the last full calendar year by the following:

1. Any person elected to public office by the vote of the people at the State, County or Municipal level of government or their instrumentalities.
2. Each employee of the Legislature or of agencies, including temporary committees and commissions established by the Legislature, and each employee of the judicial branch of government including active supernumerary district attorneys and judges other than those employed in maintenance, clerical, secretarial, or similar positions.
3. All candidates, must file simultaneously with the date he or she becomes a candidate, or the date the candidate files his or her qualifying papers, whichever comes first. (See amended law as defined in §17-22A-2,Code of Alabama,1976, as amended.)
4. Members of the Alabama Ethics Commission and appointed members of boards and commissions having statewide jurisdiction (but excluding members of solely advisory boards).
5. All full-time non-merit employees, other than those employed in maintenance, clerical, secretarial, or other similar positions.
6. Chief clerks and chief managers; chief county clerks and chief county managers; chief administrators and chief county administrators.
7. Any public official or public employee whose primary duty is to invest public funds.
8. Chief and assistant county building inspectors.
9. Any county or municipal administrator with power to grant or deny land development permits.
10. Chief municipal clerks; chiefs of police; fire chiefs.
11. City and county school superintendents and school board members; city and county school principals or administrators.
12. Purchasing or procurement agents having the authority to make any purchase.
13. Directors and assistant directors of state agencies.
14. Chief financial and accounting directors; chief grant coordinators.
15. Any person appointed as a public official and any public employee at the State, County or Municipal level of government or their instrumentalities who earns $50,000 or more annually.
16. **Each person who meets the necessary criteria regardless of whether they served/worked in the public position for even a portion of one day during last year, is required to file.**

PENALTY FOR FAILURE TO FILE – Any person required to file the disclosure form who fails to do so is subject to a fine, of $10 a day for each day the disclosure statement is delinquent or the proper information is unreported, not to exceed $1,000 annually. **Failure to timely file will also result in this fine and, for intentional failure to file, fines or a Class A Misdemeanor.**

GENERAL INSTRUCTIONS – The form is completed by filling in the appropriate blanks, checking the appropriate blocks or circling the appropriate words. Please pay special attention to the following reminders:

1. If appropriate, be sure to list the public position you are seeking as a candidate for elective public office.
2. If appropriate, be sure to list your principal occupation, if different than your government position, including the name and address of the business, partnership, etc.
3. If appropriate, be sure to include occupation of spouse as well as the name and address of the business, partnership, etc. or governmental agency for which he or she works.
4. In Item 04.3, be sure to list the names of all family members regardless of where they reside.
5 In Items .06 through .06.4, be sure to name/list the other sources from which you, your spouse or dependents received income during the reporting year.
6. In Item .07, remember that only candidates for public office and elected or appointed officials are required to complete this section.
7. In Item .08, check the aggregate amount of indebtedness for each category; i.e., if you, your spouse or dependents owe $25,000 to each of 5 banks, check the $100,000 or more block.
8. In Item .09, if you or your spouse have not received any income during the reporting year for professional or consulting services and anticipate no receipt of annual retainer income for the next reporting year, please check the statement to that effect.
9. The reporting person must sign and date the form.

Check the form to be sure that the information you have provided pertains to the period of January 1 through December 31 of the proper reporting year. If you have already completed and filed a form for this year, you need not do so again. If you were employed anytime, whether one day or all year, you MUST file. Call 242-2997 if you have questions about this financial disclosure requirement.

POSTAGE is required – the state does not pay postage for individuals. See your local post office for current rates.

WHEN TO FILE – For all appointed officials and public employees who earn $50,000 or more annually and who fall in the required categories and, all elected officials, regardless of salary, **the Statement of Economic Interests form is due no later than April 30 of each year.**

Filing for all candidates should be simultaneously with the date he or she becomes a candidate as defined in §17-22A-2 of the Code or the date the candidate files his or her qualifying papers, whichever comes first.

PLEASE DO NOT IGNORE THIS NOTICE – Your name was provided to our office by your employer and is currently on a list at the Alabama Ethics Commission as being required to file a financial disclosure form covering the preceding calendar year. Mail the original form and keep a copy for your records. A handling fee of 50¢ per page will be charged for ALL requested copies. If you believe our records are incorrect, please contact your personnel officer and have them contact this office at 334-242-2997.

PLEASE DO NOT MAIL THE INSTRUCTIONS WITH YOUR FORM AS THEY MAY INCREASE YOUR POSTAGE. THEY SHOULD BE DESTROYED OR RETAINED WITH YOUR COPY OF YOUR FORM.

LINE-BY-LINE INSTRUCTIONS FOR COMPLETING THE STATEMENT OF ECONOMIC INTERESTS FORM

The Legislature feels for matters of the public trust, certain individuals should be required to file Statements of Economic Interests, disclosing potential conflicts of interest. These financial disclosures do not violate the United States Constitution and do not intrude on the employees' financial privacy. While the list of job responsibilities set out in Section 36-25-14 is not all-inclusive, it does give a great deal of guidance. In addition, Section 36-25-2(c) states that: *"This chapter shall be liberally construed to promote complete disclosure of all relevant information and to insure that the public interest is fully protected."*

There may be sections of this form that do not apply to you personally, but this form was created to best apply to over 30,000 public officials, public employees, candidates for public office, and members of boards, commissions, committees, authorities, councils, etc.

If you received this form or instructions for downloading from your employer, your name has been submitted to the Alabama Ethics Commission as being required to file for the previous year. Public officials and public employees who are required to file annual Statements of Economic Interests may be fined $10.00 per day not to exceed $1,000.00 for failure to timely file a Statement of Economic Interests with the Ethics Commission, or be charged with a Class A misdemeanor for intentional failure to file [36-25-14(d) & (e)]. Each person who meets the necessary criteria, regardless of whether they retired the previous year or served/worked in the public position **for any time (even a portion of one day) during the previous year**, is required to file.

General Information

01. Print your entire name, beginning with your last name, and include your nickname, if applicable. Print your entire home address and include both your home and your business phone numbers. Also, in the space provided, print any previous name, if it has changed within the past year, i.e. married/divorced.

02. Circle appropriate designation – elected official, appointed official, employee. Circle appropriate public entity with which you are associated. Print the name and address of your public position.

02.1 Circle appropriate designation – elected, appointed, official, employee. Print your job title/position for your public employment or office held during the reporting year.

02.2 Print the name of any **other** public authority (board, commission, committee, authority, council) of which you were a member during the reporting year.

02.3 Circle the amount that applies to your earnings in 02. through 02.2

03. If applicable, circle appropriate designation and print the name of the office for which **you are** a candidate.

04. Print the name of the position(s) in which you or your spouse spent 1/3 or more of your time or your spouse's time, whether public or private, other than the aforementioned public position(s) in 02.2.

04.1 Print the name and address of the business associated with the position mentioned in 04. above. (Print name and address of self-employment in line 04.2.)

04.2 If the position mentioned in 04., for you or your spouse, was associated with self-employment, print the name and address of that business.

04.3 Print your spouse's name, address and occupation/business. Print additional family members' names where applicable.

05. Circle the appropriate amount of earnings as listed in the employment specified in 04. This is employment for you, your spouse and dependents **other than** compensation for your public position.

05.1 Circle the appropriate response if you, your spouse, or your dependent(s) owned 5% or more stock in the company listed in 04.1 and/or 04.2.

05.2 Circle the applicable response if your spouse or you were a consultant and earned more than $1,000 from the business(es) listed in 04.1 and/or 04.2.

05.3 Circle the appropriate response if you and/or your spouse served as an officer/director/trustee of the business listed in 04.1 and/or 04.2.

Other Income

06. through 06.3

Other than previously mentioned income, list all income such as stocks, fees, dividends, profits, commissions and interest, including interest on bank accounts. Also, include any income or salary in which you spent any amount of time earning but have not listed thus far.

In the first column print the name of the employer, bank, stock, etc. from which the income was derived. In the second column, list the type of income, i.e. interest. In the following columns, check the column with the appropriate amount listed. Add attachments as necessary.

06.4 Circle the appropriate designation where you earned more than $5,000 for one of the incomes mentioned in 06. through 06.3 above.

06.5 Circle the appropriate designation where you earned more than $1,000 but less than $5,000 for one of the incomes mentioned in 06. through 06.3 above.

06.6 If you, your spouse or one of your dependents served as an officer, director, trustee or consultant last year in one of the businesses from which you received income listed in 06. through 06.3, circle the appropriate designation.

06.7 List any business or subsidiary thereof listed above in which you, your spouse or your dependents jointly or severally owned 5% or more stock and/or served as an officer during the reporting year.

Real Estate Holdings

07. This section should be completed **ONLY** by **elected officials, appointed officials or candidates for office**. **DO NOT include your homestead**. Skip this section and go to 08., if you are NOT an elected or appointed official or a candidate for office.

07.1 If you checked "yes" that you, your spouse and/or your dependents owned real estate **for investment** during the reporting year, list each piece below and check the appropriate boxes. Add attachments as needed.

07.2 If you checked "yes," list any and all **rent/lease income from any government agency in Alabama** that you, your spouse or your dependents received during the reporting year. Also, the detailed lease/rent agreement shall be filed with the Ethics Commission.

Indebtedness

08. List, in the appropriate boxes, all debt owed to all businesses operating in Alabama **(doing business in Alabama, regardless of where their home office is located or where you mail your payment)** by you, your spouse, or your dependent children **during 2007.** In the column "How many do you OWE?" only include the **quantity** of banks and/or credit cards with outstanding balances at the end of **2007**. ***(It is not necessary to list the names of these businesses.)*** Then check the column with the range of your total indebtedness, not your actual balances, i.e., if you, your spouse or dependents owe $25,000 to each of 5 banks, check the $100,000 or more block. DO NOT list indebtedness associated with your homestead (residence/home) in which you live. If you have a homestead but lived elsewhere for a short time, explain.

08.1 Include the quantity of banks, including banks where you, your spouse or your dependents have had indebtedness and credit cards.

08.2 Include the quantity of credit unions and savings and loan associations in which you, your spouse or your dependents have had indebtedness and include credit cards, if any.

08.3 Include the quantity of insurance companies where you, your spouse or your dependents had indebtedness during 2007.

08.4 Include the quantity of mortgage companies, **except your homestead**, where you, your spouse or your dependents had indebtedness during 2007.

08.5 Include the quantity of stockbrokers and/or bond firms where you, your spouse or your dependents had indebtedness during 2007.

08.6 Include the quantity of individuals and/or any other business(es), including store cards, where you, your spouse or your dependents had indebtedness during 2007.

Professional or Consulting Services

09. Complete this section **ONLY** if you or your spouse received income last year in return for **professional or consulting activities**, i.e., **legal, accounting, medical or health-related, real estate, banking, insurance, educational, farming, engineering, architectural management, or other professional services or consultations.** List the number of clients in the appropriate areas and check the dollar amount (range) received. **If this section DOES NOT apply to you, check the appropriate box, skip this section and go to 10.**

10. Read the declaration, sign your full name, include the date signing, and **legibly print** your full name.

CANDIDATE INFORMATION – VERY IMPORTANT

Section 36-25-15 requires candidates at every level of government to file a completed Statement of Economic Interests form for the previous calendar year with the appropriate election official simultaneously with the date he or she becomes a candidate as defined in Section 17-22A-2, Code of Alabama, 1975, or the date such candidate files his or her qualifying papers with the appropriate election official, whichever date occurs first. Failure to comply with this section will result in the candidate being deemed not qualified, and their name being removed from the ballot. (36-25-15(c)).