

14100107D

**SENATE BILL NO. 23**

Offered January 8, 2014

Prefiled December 10, 2013

*A BILL to amend and reenact §§ 2.2-3117 and 30-111 of the Code of Virginia, relating to the State and Local Government Conflict of Interests Act and the General Assembly Conflicts of Interests Act; gifts; disclosures.*

Patron—Alexander

Referred to Committee on Rules

**Be it enacted by the General Assembly of Virginia:**

**1. That §§ 2.2-3117 and 30-111 of the Code of Virginia are amended and reenacted as follows:**

**§ 2.2-3117. Disclosure form.**

The disclosure form to be used for filings required by subsections A and D of § 2.2-3114 and subsections A and E of § 2.2-3115 shall be substantially as follows:

**STATEMENT OF ECONOMIC INTERESTS.**

Name .....

Office or position held or sought .....

Address .....

Names of members of immediate family .....

**DEFINITIONS AND EXPLANATORY MATERIAL.**

"Business" means a corporation, partnership, sole proprietorship, firm, enterprise, franchise, association, trust or foundation, or any other individual or entity carrying on a business or profession, whether or not for profit.

"Close financial association" means an association in which the person filing shares significant financial involvement with an individual and the filer would reasonably be expected to be aware of the individual's business activities and would have access to the necessary records either directly or through the individual. "Close financial association" does not mean an association based on (i) the receipt of retirement benefits or deferred compensation from a business by which the person filing this statement is no longer employed, or (ii) the receipt of compensation for work performed by the person filing as an independent contractor of a business that represents an entity before any state governmental agency when the person filing has had no communications with the state governmental agency.

"Contingent liability" means a liability that is not presently fixed or determined, but may become fixed or determined in the future with the occurrence of some certain event.

"Dependent" means any person, whether or not related by blood or marriage, who receives from the officer or employee, or provides to the officer or employee, more than one-half of his financial support.

"Gift" means any gratuity, favor, discount, entertainment, hospitality, loan, forbearance, or other item having monetary value. It includes services as well as gifts of transportation, local travel, lodgings and meals, whether provided in-kind, by purchase of a ticket, payment in advance or reimbursement after the expense has been incurred. "Gift" shall not include any offer of a ticket or other admission or pass unless the ticket, admission, or pass is used. "Gift" shall not include honorary degrees and presents from relatives. "Relative" means the donee's spouse, child, uncle, aunt, niece, or nephew; a person to whom the donee is engaged to be married; the donee's or his spouse's parent, grandparent, grandchild, brother, or sister; or the donee's brother's or sister's spouse.

"Immediate family" means (i) a spouse and (ii) any other person residing in the same household as the officer or employee, who is a dependent of the officer or employee or of whom the officer or employee is a dependent. *For purposes of reporting gifts pursuant to Item 5 and Schedule E, "immediate family" also includes the officer's or employee's or his spouse's parent, child, and grandchild.*

**TRUST.** If you or your immediate family, separately or together, are the only beneficiaries of a trust, treat the trust's assets as if you own them directly. If you or your immediate family has a proportional interest in a trust, treat that proportion of the trust's assets as if you own them directly. For example, if you and your immediate family have a one-third interest in a trust, complete your Statement as if you own one-third of each of the trust's assets. If you or a member of your immediate family created a trust and can revoke it without the beneficiaries' consent, treat its assets as if you own them directly.

**REPORT TO THE BEST OF INFORMATION AND BELIEF.** Information required on this Statement must be provided on the basis of the best knowledge, information and belief of the individual

INTRODUCED

SB23

58 filing the Statement as of the date of this report unless otherwise stated.

59 COMPLETE ITEMS 1 THROUGH 10. REFER TO SCHEDULES ONLY IF DIRECTED.

60 You may attach additional explanatory information.

61 1. Offices and Directorships.

62 Are you or a member of your immediate family a paid officer or paid director of a business?

63 EITHER check NO / / OR check YES / / and complete Schedule A.

64 2. Personal Liabilities.

65 Do you or a member of your immediate family owe more than \$10,000 to any one creditor including  
66 contingent liabilities? (Exclude debts to any government and loans secured by recorded liens on property  
67 at least equal in value to the loan.)

68 EITHER check NO / / OR check YES / / and complete Schedule B.

69 3. Securities.

70 Do you or a member of your immediate family, directly or indirectly, separately or together, own  
71 securities valued in excess of \$10,000 invested in one business? Account for mutual funds, limited  
72 partnerships and trusts.

73 EITHER check NO / / OR check YES / / and complete Schedule C.

74 4. Payments for Talks, Meetings, and Publications.

75 During the past 12 months did you receive lodging, transportation, money, or anything else of value  
76 with a combined value exceeding \$200 for a single talk, meeting, or published work in your capacity as  
77 an officer or employee of your agency?

78 EITHER check NO / / OR check YES / / and complete Schedule D.

79 5. Gifts.

80 During the past 12 months did a business, government, or individual other than a relative or personal  
81 friend (i) furnish you with any gift or entertainment at a single event; and the value received ~~by you~~  
82 exceeded \$50 ~~in value~~ or (ii) furnish you with gifts or entertainment in any combination and the *total*  
83 value received ~~by you~~ exceeded \$100 ~~in total value~~; *or during the past 12 months did a registered*  
84 *lobbyist or a business, government, or individual furnish a member of your immediate family with gifts*  
85 *or entertainment in any combination and the total value received exceeded \$1,000 where such business,*  
86 *government, or individual transacted or is transacting business with the Commonwealth or its agencies,*  
87 *departments, or political subdivisions within 12 months from the date of the gift; and for which you or*  
88 *the member of your immediate family neither paid nor rendered services in exchange? Account for*  
89 *entertainment events only if the average value per person attending the event exceeded \$50 in value.*  
90 Account for all business entertainment (except if related to your *or your immediate family member's*  
91 private profession or occupation) even if unrelated to your official duties.

92 EITHER check NO / / OR check YES / / and complete Schedule E.

93 6. Salary and Wages.

94 List each employer that pays you or a member of your immediate family salary or wages in excess  
95 of \$10,000 annually. (Exclude state or local government or advisory agencies.)

96 If no reportable salary or wages, check here / /.

97 \_\_\_\_\_  
98 \_\_\_\_\_  
99 \_\_\_\_\_

100 7. Business Interests.

101 Do you or a member of your immediate family, separately or together, operate your own business, or  
102 own or control an interest in excess of \$10,000 in a business?

103 EITHER check NO / / OR check YES / / and complete Schedule F.

104 8. Payments for Representation and Other Services.

105 8A. Did you represent, excluding activity defined as lobbying in § 2.2-419, any businesses before any  
106 state governmental agencies, excluding courts or judges, for which you received total compensation  
107 during the past 12 months in excess of \$1,000, excluding compensation for other services to such  
108 businesses and representation consisting solely of the filing of mandatory papers and subsequent  
109 representation regarding the mandatory papers? (Officers and employees of local governmental and  
110 advisory agencies do NOT need to answer this question or complete Schedule G-1.)

111 EITHER check NO / / OR check YES / / and complete Schedule G-1.

112 8B. Subject to the same exceptions as in 8A, did persons with whom you have a close financial  
113 association (partners, associates or others) represent, excluding activity defined as lobbying in § 2.2-419,  
114 any businesses before any state governmental agency for which total compensation was received during  
115 the past 12 months in excess of \$1,000? (Officers and employees of local governmental and advisory  
116 agencies do NOT need to answer this question or complete Schedule G-2.)

117 EITHER check NO / / OR check YES / / and complete Schedule G-2.

118 8C. Did you or persons with whom you have a close financial association furnish services to  
119 businesses operating in Virginia pursuant to an agreement between you and such businesses, or between

persons with whom you have a close financial association and such businesses for which total compensation in excess of \$1,000 was received during the past 12 months?

EITHER check NO / / OR check YES / / and complete Schedule G-3.

9. Real Estate.

9A. State Officers and Employees.

Do you or a member of your immediate family hold an interest, including a partnership interest, valued at \$10,000 or more in real property (other than your principal residence) for which you have not already listed the full address on Schedule F? Account for real estate held in trust.

EITHER check NO / / OR check YES / / and complete Schedule H-1.

9B. Local Officers and Employees.

Do you or a member of your immediate family hold an interest, including a partnership interest, or option, easement, or land contract, valued at \$10,000 or more in real property (other than your principal residence) for which you have not already listed the full address on Schedule F? Account for real estate held in trust.

EITHER check NO / / OR check YES / / and complete Schedule H-2.

10. Real Estate Contracts with Governmental Agencies.

Do you or a member of your immediate family hold an interest valued at more than \$10,000 in real estate, including a corporate, partnership, or trust interest, option, easement, or land contract, which real estate is the subject of a contract, whether pending or completed within the past 12 months, with a governmental agency? If the real estate contract provides for the leasing of the property to a governmental agency, do you or a member of your immediate family hold an interest in the real estate valued at more than \$1,000? Account for all such contracts whether or not your interest is reported in Schedule F, H-1, or H-2. This requirement to disclose an interest in a lease does not apply to an interest derived through an ownership interest in a business unless the ownership interest exceeds three percent of the total equity of the business.

EITHER check NO / / OR check YES / / and complete Schedule I.

Statements of Economic Interests are open for public inspection.

AFFIRMATION BY ALL FILERS.

I swear or affirm that the foregoing information is full, true and correct to the best of my knowledge.

Signature .....

(Return only if needed to complete Statement.)

#### SCHEDULES

to

#### STATEMENT OF ECONOMIC INTERESTS.

NAME .....

#### SCHEDULE A - OFFICES AND DIRECTORSHIPS.

Identify each business of which you or a member of your immediate family is a paid officer or paid director.

Name of Business	Address of Business	Position Held
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

RETURN TO ITEM 2

#### SCHEDULE B - PERSONAL LIABILITIES.

Report personal liability by checking each category. Report only debts in excess of \$10,000. Do not report debts to any government. Do not report loans secured by recorded liens on property at least equal in value to the loan.

Report contingent liabilities below and indicate which debts are contingent.

1. My personal debts are as follows:

Check appropriate categories	Check one \$10,001 to \$50,000	More than \$50,000
Banks	_____	_____
Savings institutions	_____	_____

180 Other loan or finance companies \_\_\_\_\_  
 181 Insurance companies \_\_\_\_\_  
 182 Stock, commodity, or other brokerage companies \_\_\_\_\_  
 183 Other businesses: \_\_\_\_\_  
 184 (State principal business activity for each \_\_\_\_\_  
 185 creditor.) \_\_\_\_\_  
 186 \_\_\_\_\_  
 187 \_\_\_\_\_  
 188 Individual creditors: \_\_\_\_\_  
 189 (State principal business or \_\_\_\_\_  
 190 occupation of each creditor.) \_\_\_\_\_  
 191 \_\_\_\_\_  
 192 \_\_\_\_\_  
 193 \_\_\_\_\_  
 194 2. The personal debts of the members of my immediate family are as follows:  
 195 \_\_\_\_\_

197	Check	Check one
198	appropriate	\$10,001 to
199	categories	\$50,000
200		More than
201		\$50,000
200	Banks	_____
201	Savings institutions	_____
202	Other loan or finance companies	_____
203	Insurance companies	_____
204	Stock, commodity, or other brokerage companies	_____
205	Other businesses:	_____
206	(State principal business activity for each	_____
207	creditor.)	_____
208		_____
209		_____
210	Individual creditors:	_____
211	(State principal business or	_____
212	occupation of each creditor.)	_____
213		_____
214		_____

215 \_\_\_\_\_  
216 RETURN TO ITEM 3

217 SCHEDULE C - SECURITIES.

218 "Securities" INCLUDES stocks, bonds, "Securities" EXCLUDES  
 219 mutual funds, limited partnerships, certificates of deposit,  
 220 and commodity futures contracts. money market funds, annuity  
 221 contracts, and insurance policies.

222 Identify each business or Virginia governmental entity in which you or a member of your immediate  
 223 family, directly or indirectly, separately or together, own securities valued in excess of \$10,000. Name  
 224 each entity and type of security individually.

225 Do not list U.S. Bonds or other government securities not issued by the Commonwealth of Virginia  
 226 or its authorities, agencies, or local governments. Do not list organizations that do not do business in  
 227 this Commonwealth, but most major businesses conduct business in Virginia. Account for securities held  
 228 in trust.

229 If no reportable securities, check here / /.

232			Check one
233	Type of	Type of Security	\$10,001
234	Name of Issuer	(stocks, bonds, mutual	\$50,001
235	Entity	funds, etc.)	More
236			than
			\$250,000
			\$250,000
	_____	_____	_____

237					
238					
239					
240					

RETURN TO ITEM 4

**SCHEDULE D - PAYMENTS FOR TALKS, MEETINGS, AND PUBLICATIONS.**

List each source from which you received during the past 12 months lodging, transportation, money, or any other thing of value (excluding meals or drinks coincident with a meeting) with combined value exceeding \$200 for your presentation of a single talk, participation in one meeting, or publication of a work in your capacity as an officer or employee of your agency.

List payments or reimbursements by an advisory or governmental agency only for meetings or travel outside the Commonwealth.

List a payment even if you donated it to charity.

Do not list information about a payment if you returned it within 60 days or if you received it from an employer already listed under Item 6 or from a source of income listed on Schedule F.

If no payment must be listed, check here / /.

Payer	Approximate Value	Circumstances	Type of payment (e.g. honoraria, travel reimburse- ment, etc.)
254			
255			
256			
257			
258			
259			
260			
261			
262			
263			

RETURN TO ITEM 5

**SCHEDULE E - GIFTS.**

List each business, governmental entity, or individual that, during the past 12 months, (i) furnished you with any gift or entertainment at a single event and the value received by you exceeded \$50 in value, or (ii) furnished you with gifts or entertainment in any combination and the total value received by you exceeded \$100 in total value; and each registered lobbyist and business, governmental entity, or individual that, during the past 12 months, furnished a member of your immediate family with gifts or entertainment in any combination and the total value received exceeded \$1,000 and where such business, governmental entity, or individual transacted or is transacting business with the Commonwealth or its agencies, departments, or political subdivisions within 12 months from the date of the gift; and for which you or the member of your immediate family neither paid nor rendered services in exchange. List each such gift or event and the name of the recipient of the gift.

Do not list entertainment events unless the average value per person attending the event exceeded \$50 in value. Do not list business entertainment related to your or your immediate family member's private profession or occupation. Do not list gifts or other things of value given by a relative or personal friend for reasons clearly unrelated to your public position.

Do not list campaign contributions publicly reported as required by Chapter 9.3 (§ 24.2-945 et seq.) of Title 24.2 of the Code of Virginia.

Name of Recipient	Name of Business, Organization, or Individual	City or County and State	Gift or Event	Approximate Value
284				
285				
286				
287				
288				
289				
290				
291				

RETURN TO ITEM 6

**SCHEDULE F - BUSINESS INTERESTS.**

Complete this Schedule for each self-owned or family-owned business (including rental property, a farm, or consulting work), partnership, or corporation in which you or a member of your immediate

296 family, separately or together, own an interest having a value in excess of \$10,000.

297 If the enterprise is owned or operated under a trade, partnership, or corporate name, list that name;  
 298 otherwise, merely explain the nature of the enterprise. If rental property is owned or operated under a  
 299 trade, partnership, or corporate name, list the name only; otherwise, give the address of each property.  
 300 Account for business interests held in trust.

301						
302						
303	Name of Business,			Gross Income		
304	Corporation,					
305	Partnership,	City or	Nature of Enterprise	\$50,001	More	
306	Farm; Address of	County	(farming, law, rental	\$50,000	to	than
307	Rental Property	and State	property, etc.)	or less	\$250,000	\$250,000
308						
309						
310						
311						
312						

RETURN TO ITEM 8

### 314 SCHEDULE G-1 - PAYMENTS FOR REPRESENTATION BY YOU.

315 List the businesses you represented, excluding activity defined as lobbying in § 2.2-419, before any  
 316 state governmental agency, excluding any court or judge, for which you received total compensation  
 317 during the past 12 months in excess of \$1,000, excluding compensation for other services to such  
 318 businesses and representation consisting solely of the filing of mandatory papers and subsequent  
 319 representation regarding the mandatory papers filed by you.

320 Identify each business, the nature of the representation and the amount received by dollar category  
 321 from each such business. You may state the type, rather than name, of the business if you are required  
 322 by law not to reveal the name of the business represented by you.

323 Only STATE officers and employees should complete this Schedule.

324									
325									
326				Amount Received					
327									
328	Name	Type	Pur-	Name					
329	of	of	pose	of	\$1,001	\$10,001	\$50,001	\$100,001	\$250,001
330	Busi-	Busi-	Repre-	Agen-	to	to	to	to	and
331	ness	ness	tion	cy	\$10,000	\$50,000	\$100,000	\$250,000	over
332									
333									
334									
335									
336									

337 If you have received \$250,001 or more from a single business within the reporting period, indicate  
 338 the amount received, rounded to the nearest \$10,000.

339 Amount Received: \_\_\_\_\_.

### 340 SCHEDULE G-2 - PAYMENTS FOR REPRESENTATION BY ASSOCIATES.

341 List the businesses that have been represented, excluding activity defined as lobbying in § 2.2-419,  
 342 before any state governmental agency, excluding any court or judge, by persons who are your partners,  
 343 associates or others with whom you have a close financial association and who received total  
 344 compensation in excess of \$1,000 for such representation during the past 12 months, excluding  
 345 representation consisting solely of the filing of mandatory papers and subsequent representation  
 346 regarding the mandatory papers filed by your partners, associates or others with whom you have a close  
 347 financial association.

348 Identify such businesses by type and also name the state governmental agencies before which such  
 349 person appeared on behalf of such businesses.

350 Only STATE officers and employees should complete this Schedule.

351		
352		
353	Type of business	Name of state governmental agency
354		

SCHEDULE G-3 - PAYMENTS FOR SERVICES GENERALLY.

Indicate below types of businesses that operate in Virginia to which services were furnished by you or persons with whom you have a close financial association pursuant to an agreement between you and such businesses, or between persons with whom you have a close financial association and such businesses and for which total compensation in excess of \$1,000 was received during the past 12 months.

Identify opposite each category of businesses listed below (i) the type of business, (ii) the type of service rendered and (iii) the value by dollar category of the compensation received for all businesses falling within each category.

	Check if	Type of	Value of Compensation				
	ser-	vice	\$1,001	\$10,001	\$50,001	\$100,001	\$250,001
	ren-	ren-	to	to	to	to	and
	dered	dered	\$10,000	\$50,000	\$100,000	\$250,000	over
Electric utilities							
Gas utilities							
Telephone utilities							
Water utilities							
Cable television							
companies							
Interstate							
transportation							
companies							
Intrastate							
transportation							
companies							
Oil or gas retail							
companies							
Banks							
Savings institutions							
Loan or finance							
companies							
Manufacturing							
companies (state							
type of product,							
e.g., textile,							
furniture, etc.)							
Mining companies							
Life insurance							
companies							
Casualty insurance							
companies							
Other insurance							
companies							
Retail companies							
Beer, wine or liquor							
companies or							
distributors							
Trade associations							

412	Professional							
413	associations							
414	Associations of							
415	public employees							
416	or officials							
417	Counties, cities							
418	or towns							
419	Labor organizations							
420	Other							
421								

RETURN TO ITEM 9

**SCHEDULE H-1 - REAL ESTATE - STATE OFFICERS AND EMPLOYEES.**

List real estate other than your principal residence in which you or a member of your immediate family holds an interest, including a partnership interest, option, easement, or land contract, valued at \$10,000 or more. Each parcel shall be listed individually.

427			
428			
429		Describe the type of real	
430	List each location	estate you own in each	If the real estate is
431	(state, and county	location (business, recre-	owned or recorded in
432	or city) where you	ational, apartment, com-	a name other than your
433	own real estate.	mercial, open land, etc.).	own, list that name.
434			
435			
436			
437			
438			

**SCHEDULE H-2 - REAL ESTATE - LOCAL OFFICERS AND EMPLOYEES.**

List real estate other than your principal residence in which you or a member of your immediate family holds an interest, including a partnership interest or option, easement, or land contract, valued at \$10,000 or more. Each parcel shall be listed individually. Also list the names of any co-owners of such property, if applicable.

446				
447		Describe the type		
448		of real estate		
449		you own in		
450		each location	If the real estate	
451	List each location	(business,	is owned or rec-	
452	(state, and county	recreational,	orded in a name	
453	or city) where	apartment, com-	other than your	List the names
454	you own real	mercial, open	own, list that	of any co-owners,
455	estate.	land, etc.).	name.	if applicable.
456				
457				
458				
459				
460				

**SCHEDULE I - REAL ESTATE CONTRACTS WITH GOVERNMENTAL AGENCIES.**

List all contracts, whether pending or completed within the past 12 months, with a governmental agency for the sale or exchange of real estate in which you or a member of your immediate family holds an interest, including a corporate, partnership or trust interest, option, easement, or land contract, valued at \$10,000 or more. List all contracts with a governmental agency for the lease of real estate in which you or a member of your immediate family holds such an interest valued at \$1,000 or more. This requirement to disclose an interest in a lease does not apply to an interest derived through an ownership interest in a business unless the ownership interest exceeds three percent of the total equity of the



business.

State officers and employees report contracts with state agencies.

Local officers and employees report contracts with local agencies.

List your real estate  
interest and the  
person or entity,  
including the type  
of entity, which  
is party to  
the contract.

Describe any  
management role and  
the percentage  
ownership  
interest you or your  
immediate family  
member has in the real  
estate or entity.

List each governmental  
agency which is a  
party to the contract  
and indicate the  
county or city where  
the real estate  
is located.

State the annual  
income from the  
contract, and the  
amount, if any, of  
income you or any  
immediate family  
member derives  
annually from the  
contract.

#### § 30-111. Disclosure form.

A. The disclosure form to be used for filings required by subsections A and B of § 30-110 shall be substantially as follows:

#### STATEMENT OF ECONOMIC INTERESTS.

Name .....

Office or position held or sought .....

Home address .....

Names of members of immediate family .....

#### DEFINITIONS AND EXPLANATORY MATERIAL.

"Business" means a corporation, partnership, sole proprietorship, firm, enterprise, franchise, association, trust or foundation, or any other individual or entity carrying on a business or profession, whether or not for profit.

"Close financial association" means an association in which the filer shares significant financial involvement with an individual and the filer would reasonably be expected to be aware of the individual's business activities and would have access to the necessary records either directly or through the individual. "Close financial association" does not mean an association based on (i) the receipt of retirement benefits or deferred compensation from a business by which the legislator is no longer employed, or (ii) the receipt of compensation for work performed by the legislator as an independent contractor of a business that represents an entity before any state governmental agency when the legislator has had no communications with the state governmental agency.

"Contingent liability" means a liability that is not presently fixed or determined, but may become fixed or determined in the future with the occurrence of some certain event.

"Dependent" means any person, whether or not related by blood or marriage, who receives from the legislator, or provides to the legislator, more than one-half of his financial support.

"Gift" means any gratuity, favor, discount, entertainment, hospitality, loan, forbearance, or other item having monetary value. It includes services as well as gifts of transportation, local travel, lodgings and meals, whether provided in-kind, by purchase of a ticket, payment in advance or reimbursement after the expense has been incurred. "Gift" shall not include any offer of a ticket or other admission or pass unless the ticket, admission, or pass is used. "Gift" shall not include honorary degrees and presents from relatives. "Relative" means the donee's spouse, child, uncle, aunt, niece, or nephew; a person to whom the donee is engaged to be married; the donee's or his spouse's parent, grandparent, grandchild, brother, or sister; or the donee's brother's or sister's spouse.

"Immediate family" means (i) a spouse and (ii) any other person residing in the same household as

the legislator, who is a dependent of the legislator or of whom the legislator is a dependent. *For purposes of reporting gifts pursuant to Item 5 and Schedule E, "immediate family" also includes the legislator's or his spouse's parent, child, and grandchild.*

"Lobbyist relationship" means (i) an engagement, agreement, or representation that relates to legal services, consulting services, or public relations services, whether gratuitous or for compensation, between a member or member-elect and any person who is, or has been within the prior calendar year, registered as a lobbyist with the Secretary of the Commonwealth, or (ii) a greater than three percent ownership interest by a member or member-elect in a business that employs, or engages as an independent contractor, any person who is, or has been within the prior calendar year, registered as a lobbyist with the Secretary of the Commonwealth. The disclosure of a lobbyist relationship shall not (i) constitute a waiver of any attorney-client or other privilege, (ii) require a waiver of any attorney-client or other privilege for a third party, or (iii) be required where a member or member-elect is employed or engaged by a person and such person also employs or engages a person in a lobbyist relationship so long as the member or member-elect has no financial interest in the lobbyist relationship.

TRUST. If you or your immediate family, separately or together, are the only beneficiaries of a trust, treat the trust's assets as if you own them directly. If you or your immediate family has a proportional interest in a trust, treat that proportion of the trust's assets as if you own them directly. For example, if you and your immediate family have a one-third interest in a trust, complete your Statement as if you own one-third of each of the trust's assets. If you or a member of your immediate family created a trust and can revoke it without the beneficiaries' consent, treat its assets as if you own them directly.

REPORT TO THE BEST OF INFORMATION AND BELIEF. Information required on this Statement must be provided on the basis of the best knowledge, information and belief of the individual filing the Statement as of the date of this report unless otherwise stated.

COMPLETE ITEMS 1 THROUGH 11. REFER TO SCHEDULES ONLY IF DIRECTED.

You may attach additional explanatory information.

1. Offices and Directorships.

Are you or a member of your immediate family a paid officer or paid director of a business?

EITHER check NO / / OR check YES / / and complete Schedule A.

2. Personal Liabilities.

Do you or a member of your immediate family owe more than \$10,000 to any one creditor including contingent liabilities? (Exclude debts to any government and loans secured by recorded liens on property at least equal in value to the loan.)

EITHER check NO / / OR check YES / / and complete Schedule B.

3. Securities.

Do you or a member of your immediate family, directly or indirectly, separately or together, own securities valued in excess of \$10,000 invested in one business? Account for mutual funds, limited partnerships and trusts.

EITHER check NO / / OR check YES / / and complete Schedule C.

4. Payments for Talks, Meetings, and Publications.

During the past 12 months did you receive lodging, transportation, money, or anything else of value with a combined value exceeding \$200 for a single talk, meeting, or published work in your capacity as a legislator? Do not include payments and reimbursements from the Commonwealth for meetings attended in your capacity as a legislator; see Question 11 and Schedule D2 to report such meetings.

EITHER check NO / / OR check YES / / and complete Schedule D.

5. Gifts.

During the past 12 months did a business, government, or individual other than a relative or personal friend (i) furnish you with any gift or entertainment at a single event, and the value received by you exceeded \$50 in value or (ii) furnish you with gifts or entertainment in any combination and the total value received by you exceeded \$100 in total value; or during the past 12 months did a registered lobbyist or a business, government, or individual furnish a member of your immediate family with gifts or entertainment in any combination and the total value received exceeded \$1,000 where such business, government, or individual transacted or is transacting business with the Commonwealth or its agencies, departments, or political subdivisions within 12 months from the date of the gift; and for which you or the member of your immediate family neither paid nor rendered services in exchange? Account for entertainment events only if the average value per person attending the event exceeded \$50 in value. Account for all business entertainment (except if related to you or your immediate family member's private profession or occupation) even if unrelated to your official duties.

EITHER check NO / / OR check YES / / and complete Schedule E.

6. Salary and Wages.

List each employer that pays you or a member of your immediate family salary or wages in excess of \$10,000 annually. (Exclude any salary received as a member of the General Assembly pursuant to § 30-19.11.)

If no reportable salary or wages, check here / / .

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7. Business Interests and Lobbyist Relationships.

7A. Do you or a member of your immediate family, separately or together, operate your own business, or own or control an interest in excess of \$10,000 in a business?

EITHER check NO / / OR check YES / / and complete Schedule F-1.

7B. Do you have a lobbyist relationship as that term is defined above?

EITHER check NO / / OR check YES / / and complete Schedule F-2.

8. Payments for Representation and Other Services.

8A. Did you represent any businesses before any state governmental agencies, excluding courts or judges, for which you received total compensation during the past 12 months in excess of \$1,000, excluding compensation for other services to such businesses and representation consisting solely of the filing of mandatory papers and subsequent representation regarding the mandatory papers?

EITHER check NO / / OR check YES / / and complete Schedule G-1.

8B. Subject to the same exceptions as in 8A, did persons with whom you have a close financial association (partners, associates or others) represent any businesses before any state governmental agency for which total compensation was received during the past 12 months in excess of \$1,000?

EITHER check NO / / OR check YES / / and complete Schedule G-2.

8C. Did you or persons with whom you have a close financial association furnish services to businesses operating in Virginia, pursuant to an agreement between you and such businesses, or between persons with whom you have a close financial association and such businesses for which total compensation in excess of \$1,000 was received during the past 12 months? Services reported under this provision shall not include services involving the representation of businesses that are reported under question 8A or 8B above.

EITHER check NO / / OR check YES / / and complete Schedule G-3.

9. Real Estate.

Do you or a member of your immediate family hold an interest, including a partnership interest, valued at \$10,000 or more in real property (other than your principal residence) for which you have not already listed the full address on Schedule F? Account for real estate held in trust.

EITHER check NO / / OR check YES / / and complete Schedule H.

10. Real Estate Contracts with State Governmental Agencies.

Do you or a member of your immediate family hold an interest valued at more than \$10,000 in real estate, including a corporate, partnership, or trust interest, option, easement, or land contract, which real estate is the subject of a contract, whether pending or completed within the past 12 months, with a state governmental agency?

If the real estate contract provides for the leasing of the property to a state governmental agency, do you or a member of your immediate family hold an interest in the real estate, including a corporate, partnership, or trust interest, option, easement, or land contract valued at more than \$1,000? Account for all such contracts whether or not your interest is reported in Schedule F or H. This requirement to disclose an interest in a lease does not apply to an interest derived through an ownership interest in a business unless the ownership interest exceeds three percent of the total equity of the business.

EITHER check NO / / OR check YES / / and complete Schedule I.

11. Payments by the Commonwealth for Meetings.

During the past 12 months did you receive lodging, transportation, money, or anything else of value with a combined value exceeding \$200 from the Commonwealth for a single meeting attended out-of-state in your capacity as a legislator? Do not include reimbursements from the Commonwealth for meetings attended in the Commonwealth.

EITHER check NO / / OR check YES / / and complete Schedule D-2.

Statements of Economic Interests are open for public inspection.

AFFIRMATION.

In accordance with the rules of the house in which I serve, if I receive a request that this disclosure statement be corrected, augmented, or revised in any respect, I hereby pledge that I shall respond promptly to the request. I understand that if a determination is made that the statement is insufficient, I will satisfy such request or be subjected to disciplinary action of my house.

I swear or affirm that the foregoing information is full, true and correct to the best of my knowledge.

Signature \_\_\_\_\_

Commonwealth of Virginia

\_\_\_\_\_ of \_\_\_\_\_ to wit:

The foregoing disclosure form was acknowledged before me

652 This \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, by \_\_\_\_\_  
 653 \_\_\_\_\_ Notary Public

654 My commission expires \_\_\_\_\_  
 655 (Return only if needed to complete Statement.)

656  
 657 SCHEDULES  
 658 to  
 659 STATEMENT OF ECONOMIC INTERESTS.

660 NAME \_\_\_\_\_  
 661 SCHEDULE A - OFFICES AND DIRECTORSHIPS.

662 Identify each business of which you or a member of your immediate family is a paid officer or paid  
 663 director.

Name of Business	Address of Business	Position Held
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

672 RETURN TO ITEM 2

673 SCHEDULE B - PERSONAL LIABILITIES.

674 Report personal liability by checking each category. Report only debts in excess of \$10,000. Do not  
 675 report debts to any government. Do not report loans secured by recorded liens on property at least equal  
 676 in value to the loan.

677 Report contingent liabilities below and indicate which debts are contingent.

678 1. My personal debts are as follows:

Check appropriate categories	Check one \$10,001 to \$50,000	Check one More than \$50,000
Banks	_____	_____
Savings institutions	_____	_____
Other loan or finance companies	_____	_____
Insurance companies	_____	_____
Stock, commodity, or other brokerage companies	_____	_____
Other businesses:		
(State principal business activity for each creditor.)	_____	_____
_____	_____	_____
_____	_____	_____
Individual creditors:		
(State principal business or occupation of each creditor.)	_____	_____
_____	_____	_____
_____	_____	_____

701 2. The personal debts of the members of my immediate family are as follows:

Check appropriate categories	Check one \$10,001 to \$50,000	Check one More than \$50,000
Banks	_____	_____
Savings institutions	_____	_____

709	Other loan or finance companies	_____	_____
710	Insurance companies	_____	_____
711	Stock, commodity, or other brokerage	_____	_____
712	companies	_____	_____
713	Other businesses:		
714	(State principal business activity for each		
715	creditor.)	_____	_____
716	_____	_____	_____
717	_____	_____	_____
718	Individual creditors:		
719	(State principal business or occupation of		
720	each creditor.)	_____	_____
721	_____	_____	_____
722	_____	_____	_____
723	_____	_____	_____

RETURN TO ITEM 3

## SCHEDULE C - SECURITIES.

"Securities" INCLUDES stocks, bonds, mutual funds, limited partnerships, and commodity futures contracts. "Securities" EXCLUDES certificates of deposit, money market funds, annuity contracts, and insurance policies.

Identify each business or Virginia governmental entity in which you or a member of your immediate family, directly or indirectly, separately or together, own securities valued in excess of \$10,000. Name each entity and type of security individually.

Do not list U.S. Bonds or other government securities not issued by the Commonwealth of Virginia or its authorities, agencies, or local governments. Do not list organizations that do not do business in this Commonwealth, but most major businesses conduct business in Virginia. Account for securities held in trust.

If no reportable securities, check here / / .

Check one

		Type of Security	\$10,001	\$50,001	More
	Type of	(stocks, bonds,	to	to	than
Name of Issuer	Entity	mutual funds, etc.)	\$50,000	\$250,000	\$250,000
741	_____	_____	_____	_____	_____
742	_____	_____	_____	_____	_____
743	_____	_____	_____	_____	_____
744	_____	_____	_____	_____	_____
745	_____	_____	_____	_____	_____
746	_____	_____	_____	_____	_____
747	_____	_____	_____	_____	_____
748	_____	_____	_____	_____	_____

RETURN TO ITEM 4

## SCHEDULE D-1 - PAYMENTS FOR TALKS, MEETINGS, AND PUBLICATIONS.

List each source from which you received during the past 12 months lodging, transportation, money, or any other thing of value (excluding meals or drinks coincident with a meeting) with a combined value exceeding \$200 for your presentation of a single talk, participation in one meeting, or publication of a work in your capacity as a legislator. Do not list payments or reimbursements by the Commonwealth. (See Schedule D-2 for such payments or reimbursements.) List a payment even if you donated it to charity. Do not list information about a payment if you returned it within 60 days or if you received it from an employer already listed under Item 6 or from a source of income listed on Schedule F.

If no payment must be listed, check here / / .

Type of Payment  
(e.g., Honoraria,  
Travel reimburse-  
ment, etc.)

Payer Approximate Value Circumstances

765	_____	_____	_____	_____
766	_____	_____	_____	_____

767				
768				
769				
770				

RETURN TO ITEM 5

**SCHEDULE D-2 - PAYMENTS BY THE COMMONWEALTH FOR MEETINGS.**

List each meeting for which the Commonwealth provided payments or reimbursements during the past 12 months to you for lodging, transportation, money, or any other thing of value (excluding meals or drinks coincident with a meeting) with a combined value exceeding \$200 for your participation in your capacity as a legislator. Do not list payments or reimbursements by the Commonwealth for meetings or travel within the Commonwealth.

If no payment must be listed, check here / / .

779				
780				
781				Type of Payment
782				(e.g., Travel
783				reimbursement,
784	Payer	Approximate Value	Circumstances	etc.)
785				
786				
787				
788				

**SCHEDULE E - GIFTS.**

List each business, governmental entity, or individual that, during the past 12 months, (i) furnished you with any gift or entertainment at a single event and the value received ~~by you~~ exceeded \$50 ~~in value~~, or (ii) furnished you with gifts or entertainment in any combination and the total value received ~~by you~~ exceeded \$100 ~~in total value~~; and each registered lobbyist and business, governmental entity, or individual that, during the past 12 months, furnished a member of your immediate family with gifts or entertainment in any combination and the total value received exceeded \$1,000 and where such business, governmental entity, or individual transacted or is transacting business with the Commonwealth or its agencies, departments, or political subdivisions within 12 months from the date of the gift; and for which you or the member of your immediate family neither paid nor rendered services in exchange. List each such gift or event and the name of the recipient of the gift.

Do not list entertainment events unless the average value per person attending the event exceeded \$50 ~~in value~~. Do not list business entertainment related to your or your immediate family member's private profession or occupation. Do not list gifts or other things of value given by a relative or personal friend for reasons clearly unrelated to your public position.

Do not list campaign contributions publicly reported as required by Chapter 9.3 (§ 24.2-945 et seq.) of Title 24.2 of the Code of Virginia.

807					
808					
809		Name of Business,	City or		
810	Name of	Organization, or	County	Gift or	Approximate
811	Recipient	Individual	and State	Event	Value
812					
813					
814					
815					
816					

RETURN TO ITEM 6

**SCHEDULE F-1 - BUSINESS INTERESTS.**

Complete this Schedule for each self-owned or family-owned business (including rental property, a farm, or consulting work), partnership, or corporation in which you or a member of your immediate family, separately or together, own an interest having a value in excess of \$10,000.

If the enterprise is owned or operated under a trade, partnership, or corporate name, list that name; otherwise, merely explain the nature of the enterprise. If rental property is owned or operated under a trade, partnership, or corporate name, list the name only; otherwise, give the address of each property.

Account for business interests held in trust.

Name of Business Corporation, Partnership, Farm; Address of Rental Property	City or County and State	Nature of Enterprise (farming, law, rental property, etc.)	Gross income \$50,001 to \$250,000 More than \$250,000

RETURN TO ITEM 8

**SCHEDULE F-2 - LOBBYIST RELATIONSHIPS AND PAYMENTS.**

Complete this Schedule for each lobbyist relationship with the following:

(i) any person who is, or has been within the prior calendar year, registered as a lobbyist with the Secretary of the Commonwealth, or

(ii) any business in which you have a greater than three percent ownership interest and that business employs, or engages as an independent contractor, any person who is, or has been within the prior calendar year, registered as a lobbyist with the Secretary of the Commonwealth.

List each person or business	Describe each relationship	Dates of relationship	Payments to Lobbyist \$10,000 or less	More than \$10,0001

THE DISCLOSURE OF A LOBBYIST RELATIONSHIP SHALL NOT (I) CONSTITUTE A WAIVER OF ANY ATTORNEY-CLIENT OR OTHER PRIVILEGE, (II) REQUIRE A WAIVER OF ANY ATTORNEY-CLIENT OR OTHER PRIVILEGE FOR A THIRD PARTY, OR (III) BE REQUIRED WHERE A MEMBER OR MEMBER-ELECT IS EMPLOYED OR ENGAGED BY A PERSON AND SUCH PERSON ALSO EMPLOYS OR ENGAGES A PERSON IN A LOBBYIST RELATIONSHIP SO LONG AS THE MEMBER OR MEMBER-ELECT HAS NO FINANCIAL INTEREST IN THE LOBBYIST RELATIONSHIP.

**SCHEDULE G-1 - PAYMENTS FOR REPRESENTATION BY YOU.**

List the businesses you represented before any state governmental agency, excluding any court or judge, for which you received total compensation during the past 12 months in excess of \$1,000, excluding compensation for other services to such businesses and representation consisting solely of the filing of mandatory papers and subsequent representation regarding the mandatory papers filed by you.

Identify each business, the nature of the representation and the amount received by dollar category from each such business. You may state the type, rather than name, of the business if you are required by law not to reveal the name of the business represented by you.

Name of Busi- ness	Type of Busi- ness	Pur- pose of Repre- senta- tion	Amount Received Name of Agency \$1,001 to \$10,000 \$10,001 to \$50,000 \$50,001 to \$100,000 \$100,001 to \$250,001 \$250,000 and over

884 \_\_\_\_\_  
 885 \_\_\_\_\_  
 886 \_\_\_\_\_  
 887 \_\_\_\_\_  
 888 \_\_\_\_\_

889 If you have received \$250,001 or more from a single business within the reporting period, indicate  
 890 the amount received, rounded to the nearest \$10,000. Amount Received: \_\_\_\_\_.

891 SCHEDULE G-2 - PAYMENTS FOR REPRESENTATION BY ASSOCIATES.

892 List the businesses that have been represented before any state governmental agency, excluding any  
 893 court or judge, by persons who are your partners, associates or others with whom you have a close  
 894 financial association and who received total compensation in excess of \$1,000 for such representation  
 895 during the past 12 months, excluding representation consisting solely of the filing of mandatory papers  
 896 and subsequent representation regarding the mandatory papers filed by your partners, associates or others  
 897 with whom you have a close financial association.

898 Identify such businesses by type and also name the state governmental agencies before which such  
 899 person appeared on behalf of such businesses.

900 \_\_\_\_\_  
 901 \_\_\_\_\_  
 902 Type of Business Name of State Governmental Agency  
 903 \_\_\_\_\_  
 904 \_\_\_\_\_  
 905 \_\_\_\_\_  
 906 \_\_\_\_\_

907 \_\_\_\_\_  
 908 SCHEDULE G-3 - PAYMENTS FOR OTHER SERVICES GENERALLY.

909 Indicate below types of businesses that operate in Virginia to which services were furnished by you  
 910 or persons with whom you have a close financial association pursuant to an agreement between you and  
 911 such businesses, or between persons with whom you have a close financial association and such  
 912 businesses and for which total compensation in excess of \$1,000 was received during the past 12  
 913 months. Services reported in this Schedule shall not include services involving the representation of  
 914 businesses that are reported in Schedule G-1 or G-2 above.

915 Identify opposite each category of businesses listed below (i) the type of business, (ii) the type of  
 916 service rendered and (iii) the value by dollar category of the compensation received for all businesses  
 917 falling within each category.

918 \_\_\_\_\_  
 919 \_\_\_\_\_  
 920 Check  
 921 if Type  
 922 ser- of Value of Compensation  
 923 vices ser-  
 924 were vice \$1,001 \$10,001 \$50,001 \$100,001  
 925 ren- ren- to to to to \$250,001  
 926 dered dered \$10,000 \$50,000 \$100,000 \$250,000 and over  
 927 Electric utilities \_\_\_\_\_  
 928 Gas utilities \_\_\_\_\_  
 929 Telephone utilities \_\_\_\_\_  
 930 Water utilities \_\_\_\_\_  
 931 Cable television \_\_\_\_\_  
 932 companies \_\_\_\_\_  
 933 Interstate \_\_\_\_\_  
 934 transportation \_\_\_\_\_  
 935 companies \_\_\_\_\_  
 936 Intrastate \_\_\_\_\_  
 937 transportation \_\_\_\_\_  
 938 companies \_\_\_\_\_  
 939 Oil or gas retail \_\_\_\_\_  
 940 companies \_\_\_\_\_  
 941 Banks \_\_\_\_\_



942	Savings						
943	institutions	_____	_____	_____	_____	_____	_____
944	Loan or finance						
945	companies	_____	_____	_____	_____	_____	_____
946	Manufacturing						
947	companies (state						
948	type of product,						
949	e.g., textile,						
950	furniture, etc.)	_____	_____	_____	_____	_____	_____
951	Mining companies	_____	_____	_____	_____	_____	_____
952	Life insurance						
953	companies	_____	_____	_____	_____	_____	_____
954	Casualty insurance						
955	companies	_____	_____	_____	_____	_____	_____
956	Other insurance						
957	companies	_____	_____	_____	_____	_____	_____
958	Retail companies	_____	_____	_____	_____	_____	_____
959	Beer, wine or						
960	liquor companies						
961	or distributors	_____	_____	_____	_____	_____	_____
962	Trade associations	_____	_____	_____	_____	_____	_____
963	Professional						
964	associations	_____	_____	_____	_____	_____	_____
965	Associations of						
966	public employees						
967	or officials	_____	_____	_____	_____	_____	_____
968	Counties, cities						
969	or towns	_____	_____	_____	_____	_____	_____
970	Labor organizations	_____	_____	_____	_____	_____	_____
971	Other	_____	_____	_____	_____	_____	_____
972		_____	_____	_____	_____	_____	_____

RETURN TO ITEM 9

**SCHEDULE H - REAL ESTATE.**

List real estate other than your principal residence in which you or a member of your immediate family holds an interest, including a partnership interest, option, easement, or land contract, valued at \$10,000 or more. Each parcel must be listed individually.

978	_____		
979			
980		Describe the type of real	
981		estate you own in each	
982	List the location	location (business,	If the real estate is
983	(state, and county	recreational, apartment,	owned or recorded in
984	or city where you	commercial, open land,	a name other than your
985	own real estate	etc.)	own, list that name
986	_____	_____	_____
987	_____	_____	_____
988	_____	_____	_____
989	_____	_____	_____
990	_____	_____	_____
991	_____	_____	_____

RETURN TO ITEM 10

**SCHEDULE I - REAL ESTATE CONTRACTS WITH STATE GOVERNMENTAL AGENCIES.**

List all contracts, whether pending or completed within the past 12 months, with a state governmental agency for the sale or exchange of real estate in which you or a member of your immediate family holds an interest, including a corporate, partnership or trust interest, option, easement, or land contract, valued at \$10,000 or more. List all contracts with a state governmental agency for the lease of real estate in which you or a member of your immediate family holds such an interest valued at

999 \$1,000 or more. This requirement to disclose an interest in a lease does not apply to an interest derived  
 1000 through an ownership interest in a business unless the ownership interest exceeds three percent of the  
 1001 total equity of the business.

1002			
1003			
1004	List your real		
1005	estate interest and		
1006	the person or entity,		
1007	including the type of		
1008	entity, which is		
1009	party to the contract.		State the annual
1010	Describe any		income from the
1011	management role and	List each	contract, and the
1012	the percentage	governmental agency	amount, if any, of
1013	ownership interest	which is a party to	income you or any
1014	you or your immediate	the contract and	immediate family
1015	family member has in	indicate the county	member derives
1016	the real estate	or city where the	annually from
1017	or entity.	real estate is located.	the contract.
1018			
1019			
1020			
1021			
1022			

1023  
 1024 B. Any legislator who makes a knowing misstatement of a material fact on the Statement of  
 1025 Economic Interests shall be subject to disciplinary action for such violations by the house in which the  
 1026 legislator sits.

1027 C. In accordance with the rules of each house, the Statement of Economic Interests of all members  
 1028 of each house shall be reviewed. If a legislator's Statement is found to be inadequate as filed, the  
 1029 legislator shall be notified in writing and directed to file an amended Statement correcting the indicated  
 1030 deficiencies, and a time shall be set within which such amendment shall be filed. If the Statement of  
 1031 Economic Interests, in either its original or amended form, is found to be adequate as filed, the  
 1032 legislator's filing shall be deemed in full compliance with this section as to the information disclosed  
 1033 thereon.

1034 D. Ten percent of the membership of a house, on the basis of newly discovered facts, may in writing  
 1035 request the house in which those members sit, in accordance with the rules of that house, to review the  
 1036 Statement of Economic Interests of another member of that house in order to determine the adequacy of  
 1037 his filing. In accordance with the rules of each house, each Statement of Economic Interests shall be  
 1038 promptly reviewed, the adequacy of the filing determined, and notice given in writing to the legislator  
 1039 whose Statement is in issue. Should it be determined that the Statement requires correction,  
 1040 augmentation or revision, the legislator involved shall be directed to make the changes required within  
 1041 such time as shall be set under the rules of each house.

1042 If a legislator, after having been notified in writing in accordance with the rules of the house in  
 1043 which he sits that his Statement is inadequate as filed, fails to amend his Statement so as to come into  
 1044 compliance within the time limit set, he shall be subject to disciplinary action by the house in which he  
 1045 sits. No legislator shall vote on any question relating to his own Statement.