

CITY ETHICS COMMISSION

INSTRUCTION SHEET FOR COMPLETION OF FINANCIAL DISCLOSURE FORM

GENERAL INSTRUCTIONS

All questions must be answered in regard to yourself, your spouse, and all dependent children. All items on the form must be completed. If you have no information to disclose under a particular item, check "None". If additional space is required to complete an item, check "Additional sheets attached."

Where any item calls for the stating of an amount, you should always answer by using the appropriate letter from the following code:

A - Less than \$1,000	G - \$150,000 - \$199,000	M - \$700,000 - \$799,999
B - \$1,000 - \$9,999	H - \$200,000 - \$299,999	N - \$800,000 - \$899,999
C - \$10,000 - \$24,999	I - \$300,000 - \$399,999	O - \$900,000 - \$999,999
D - \$25,000 - \$49,999	J - \$400,000 - \$499,999	P - At least \$1,000,000
E - \$50,000 - \$99,999	K - \$500,000 - \$599,999	
F - \$100,000 - \$149,999	L - \$600,000 - \$699,999	

INSTRUCTION FOR SPECIFIC ITEMS IN PART B

Item 1 INCOME: Only report compensation earned for services rendered equal to \$1,000 a year or more from any employment including, but not limited to, income from the City, retirement, social security, and deferred compensation. Do not report interest, dividends, alimony, property settlements, or child support. Individual items of compensation that constitute a portion of the gross income of a business or profession need not be disclosed. Report income from rental property here.

Item 2 CREDITORS: Do not report any debts of less than \$3,000. Do not report debts that arise out of retail installment transactions for the purchase of consumer goods, whatever the amount.

Report a secured obligation such as a home mortgage or a car loan. Report student loans.

Item 3 OWNERSHIP OR INTERESTS IN BUSINESSES IN THE STATE: Only report ownerships or beneficial interests having a value of \$5,000 or more or equal to 10% or more of ownership of businesses incorporated, regulated, or licensed to carry on business in Hawaii.

Do not report accounts in federal or state regulated financial institutions, mutual insurance policies, or individual items in a mutual fund or blind trust, if the fund or trust is disclosed under this item.

Item 4 OWNERSHIP OR INTERESTS TRANSFERRED: Only report transfers of ownerships or interests in businesses incorporated, regulated, or licensed to carry on business in Hawaii.

Item 5 FIDUCIARY POSITIONS: Fiduciary positions include, but are not limited to, officerships, directorships, or positions as trustee in any business or organization, whether or not operated for profit. Fiduciary positions also include being a majority shareholder in a small or closely held corporation. Be sure to report fiduciary positions in non-profit corporations.

Item 7 CLIENTS PERSONALLY REPRESENTED BEFORE CITY AGENCIES: Only report representation for which you received compensation during the past year. Do not report representation involving ministerial matters. "Ministerial matters" do not require discretionary authority and do not need to be disclosed.

Item 8 REAL PROPERTY OWNED: Only report real property owned in the City and County of Honolulu. Report the value of the real property in any reasonable manner, such as assessed value.

Item 9 REAL PROPERTY TRANSFERRED: Only report real property transferred in the City and County of Honolulu during the past year. For this item, indicate the actual amount of the transaction, even if it is less than the value (as in the case of a gift).

WHO MUST FILE

The applicable provisions of the text of the disclosure ordinance are printed on the back of this instruction sheet. Section 3-8.4, Revised Ordinances of Honolulu, lists the City officers and employees who are required to file disclosures.

In accordance with Section 3-8.4, you must disclose the financial interests held by yourself, your spouse, and your dependent children, or by another person for the use or benefit of yourself, your spouse or your dependent children.

PENALTY FOR FAILURE TO FILE

Your appointing authority may take disciplinary action if you fail to disclose your interests accurately. Penalties allowed by law include: reprimand, probation, demotion, suspension, discharge, fine or imprisonment.

Additionally, financial penalties have been established by ordinance for late filing or failure to file a financial disclosure form by persons required to file one.

Sec. 3-8.4, Revised Ordinances of Honolulu, 1990. Financial Disclosures.

- (a) Definitions. The following words used in this section shall have the respective meanings in this subsection:
- "Business" includes a corporation, a partnership, a sole proprietorship, a trust or foundation, or other individual organization carrying on a business, whether or not operated for profit.
 - "Candidate" has the meaning given it by HRS Section 11-191.
 - "Elective" means all elective offices of the City and County of Honolulu.
 - "Employee" means all full-time employees of the executive and legislative branches of the City and County of Honolulu who are exempt from civil service pursuant to Revised Charter Sections 6-303 and 6-304, but excluding all persons hired under the Comprehensive Employment and Training Act and under Revised Charter Section 6-303(e), (f), (g), and (h).
 - "Income" means gross income as defined by Section 61 of the Internal Revenue Code of 1954.
 - "Officer" has the same meaning as in Section 13-101.4 of the revised charter.
- (b) Filing of Financial Disclosures.
- (1) Candidates to office. Any candidate for nomination or elective office for the City and County of Honolulu shall file within 10 working days after the deadline for filing as a candidate for office, a financial disclosure as provided herein.
 - (2) (A) Officers. Any officer of the executive or legislative branch shall file a financial disclosure as prescribed herein within 20 working days after taking the oath of office and annually thereafter on or before January 31st of each year until the end of the term of office.
(B) If an officer is reelected to office or reappointed to office for a new term, the foregoing prescription of filing financial disclosures shall be observed.
 - (3) Employees. Employees of the executive or legislative branches shall file financial disclosures as prescribed herein within 20 working days after the effective date of this section and file financial disclosures annually thereafter on or before January 31st of each year.
- (c) The disclosure of financial interests shall state, in addition to the financial interests of the person disclosing, the financial interests of the person's spouse and dependent children, and shall include:
- (1) The source and amount of all income of \$1,000.00 or more received, for services rendered, by the person in such person's own name or by any other person for such person's use or benefit during the preceding calendar year and the nature of the services rendered; provided, that information that may be privileged by law or individual items of compensation that constitute a portion of the gross income of the business or profession from which the person derives income need not be disclosed.
 - (2) The name of each creditor to whom the value of \$3,000 or more was owed during the preceding calendar year and the original amount and amount outstanding; provided that debts arising out of retail installment transactions for the purchase of consumer goods need not be disclosed.
 - (3) The amount and identity of every ownership or beneficial interests held during the disclosure period in any business incorporated, regulated, or licensed to carry on business in the state having a value of \$5,000.00 or more or equal to 10 percent of the ownership of the business and, if the interest was transferred during the preceding calendar year, the date of the transfer; provided, that an interest in the form of an account in a Federal or State regulated financial institution, an interest in the form of a policy in a mutual insurance company, or individual items in a mutual fund or a blind trust, if the mutual fund or blind trust has been disclosed pursuant to this paragraph, need not be disclosed.
 - (4) Every officership, directorship, trusteeship, or other fiduciary relationship held in a business during the preceding calendar year, the term of office and the annual compensation.
 - (5) The tax map key number and street address, if any, and the value of any real property in the City and County of Honolulu in which the person holds an interest whose value is \$10,000.00 or more, and, if the interest was transferred or obtained during the preceding calendar year, a statement of the amount and nature of the consideration received or paid in exchange for such interest, and the name of the person furnishing or receiving the consideration.
 - (6) The amount and identity of every creditor interest in an insolvent business held during the preceding calendar year having a value of \$5,000.00 or more.
 - (7) The names of clients personally represented before City agencies, except in ministerial matters, for a fee or compensation during the preceding calendar year and the names of the City agencies involved.
- (d) Filing Requirements.
- (1) All public financial disclosures shall be filed with the Office of the City Clerk. All confidential disclosures shall be filed with the City Ethics Commission.
 - (2) The form for all public financial disclosures shall be as prescribed by the City Clerk. The forms for confidential disclosures shall be as prescribed by the City Ethics Commission.
 - (3) When leaving office or employment with the City. Any officer or employee of the City shall file a financial disclosure as prescribed herein 10 working days before an officer is to leave such person's office or an employee is to terminate such person's employment with the City. This requirement will also include transfer of an officer or employee from the City to either the State or Federal governments.
- (e) The financial disclosure statements of the following persons shall be public record and may be opened for inspection by the public during office hours of the City Clerk:
- (1) All candidates for elective office;
 - (2) All elected officers;
 - (3) The directors of the City agencies and their first deputies.
- All other financial disclosure statements required to be filed under this section shall be confidential.
- (f) Penalty.
- (1) Officers and employees
 - (A) Late Filing. Any officer or employee of the City whose required financial disclosure is not received by the Ethics Commission or the City Clerk, whichever is applicable, by the close of business on the deadline date specified in subsection (b), shall be given a notice of violation of the provisions of this section by the Ethics Commission or the City Clerk, whichever is applicable. The notice shall state the City officer or employee has 10 days from receipt of the notice in which to file the required financial disclosure or be subject to the penalties provided in the paragraph. Any City officer or employee, who has received this notice and fails to file the required disclosure within 10 days of receipt of the notice, shall be subject to a civil fine according to the following schedule: \$100.00 for the first late filing; \$200.00 for the second late filing; and thereafter, for each additional late filing, the fine imposed for the previous late filing plus \$200.00. The fine shall be imposed after an opportunity for a hearing conducted by the Ethics Commission under HRS Chapter 91.
 - (B) Failure to File. Any officer or employee of the City who fails to file a financial disclosure as required in this section within 30 days from receipt of notice of violation referred to in paragraph (A), shall, in addition to any civil fines imposed under paragraph (A), be subject to:
 - (i) The provisions of Section 3-8.5 relating to noncompliance; or
 - (ii) A criminal penalty of a fine of not more than \$2,000.00 or of imprisonment for not more than one year, or of both such fine and imprisonment, or to both (i) and (ii).



ETHICS COMMISSION
 CITY AND COUNTY OF HONOLULU
 715 South King Street, Suite 211
 Honolulu, Hawaii 96813-3091
 (808)768-7786 ethics@honolulu.gov

TYPE	<input type="checkbox"/> Initial
OF	<input type="checkbox"/> Annual
FILING:	<input type="checkbox"/> Leaving Office

FINANCIAL DISCLOSURE
 TO BE FILED BY:
**Full-time Exempt Employees, Civil Service
 Division Heads, and Board and
 Commission Members**

Read the attached instruction sheet before completing this form.
 TYPE or PRINT clearly.

PART A-1 ALL COMPLETE

Name _____ City Position _____
LAST FIRST MIDDLE INITIAL (Jr., Sr., III)

City Department/Agency _____ Work Phone _____ Fax _____

Home Mailing Address _____ E-Mail Address _____
 _____ Home Phone _____

Name of Spouse _____ Names of Dependent Children _____

PART A-2 ONLY CITY EMPLOYEES COMPLETE

City Division, if applicable _____

Appointing Authority _____ Phone _____

Agency Personnel Officer _____ Phone _____

PART B ALL COMPLETE

1. **INCOME** from employment or self-employment during the past year, if \$1,000 or more received. Include income of spouse and dependent children. Be sure to indicate income from the City, if applicable.

None Additional sheets attached

RECIPIENT	EMPLOYER/SOURCE	POSITION/ SERVICE RENDERED	WHEN	ANNUAL INCOME
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

2. **DEBTS** over \$3,000 which are not consumer debt.

None Additional sheets attached

PERSON(S) INCURRING DEBT	CREDITOR	ORIGINAL LOAN AMT.	AMOUNT OUTSTANDING
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

3. **OWNERSHIP OR INTERESTS IN BUSINESSES IN HAWAII** having a value of \$5,000 or more or equal to 10% ownership or more.

None Additional sheets attached

OWNER(S)	BUSINESS NAME & ADDRESS	NATURE OF BUSINESS	% OF INTEREST	VALUE OF INTEREST
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

4. **OWNERSHIP OR INTERESTS TRANSFERRED** during the past year of businesses in Hawaii.

None Additional sheets attached

OWNERSHIP OR INTEREST	DATE OF TRANSFER
_____	_____
_____	_____
_____	_____

5. **FIDUCIARY POSITIONS.** List every officership, directorship, or position as trustee held in any business or organization, whether operated for profit or not.

None Additional sheets attached

POSITION	HOLDER	NAME & ADDRESS OF BUSINESS OR ORGANIZATION	TERM OF OFFICE	ANNUAL COMPENSATION
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

6. **CREDITOR INTERESTS IN INSOLVENT BUSINESS** worth \$5,000 or more.

None Additional sheets attached

HOLDER	NAME & ADDRESS OF BUSINESS	NATURE OF INTEREST	VALUE
_____	_____	_____	_____
_____	_____	_____	_____

7. **CLIENTS PERSONALLY REPRESENTED BEFORE CITY AGENCIES** for compensation during the past twelve months.

None Additional sheets attached

REPRESENTATIVE	CLIENT	CITY AGENCY	NATURE OF BUSINESS
_____	_____	_____	_____
_____	_____	_____	_____

8. **REAL PROPERTY OWNED** in the City and County of Honolulu.

None Additional sheets attached

OWNER(S)	TAX MAP KEY NUMBER & STREET ADDRESS	VALUE	YEAR OBTAINED
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

9. **REAL PROPERTY TRANSFERRED** during the past year in the City and County of Honolulu.

None Additional sheets attached

SELLER/DONOR	BUYER/DONEE	DATE	PRICE	TAX MAP KEY NUMBER & STREET ADDRESS
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

I certify that the information reported here in combination with prior financial disclosures filed with the City and County of Honolulu Ethics Commission is a true, accurate, and complete representation of my current interests.

Signature _____ Date _____

PART C ETHICS COMMISSION COMPLETES

Notes: _____

Reviewed by _____ Date _____