GOVERNMENT OF THE DISTRICT OF COLUMBIA
BOARD OF ETHICS AND GOVERNMENTACCOUNTABILITY

Office of Government Ethics

FINANCIAL DISCLOSURE STATEMENT

Every year each agency must identify, to BEGA, those who they believe should file a Financial Disclosure Statement. Each designated employee subject to sections 224 and 225 of the District of Columbia Board of Ethics and Government Accountability Establishment and Comprehensive Ethics Reform Act of 2011 (D.C. Official Code §§ 1-1162.24 and 1-1162.25) is required to complete and submit a Financial Disclosure Statement (FDS) annually.

This PDF form should only be completed by Confidential Financial Disclosure Statement filers and District employees who have received an E-filing waiver from BEGA. BEGA will NOT accept a hard copy form from a Public Financial Disclosure Statement filer unless that filer has been granted an E-filing waiver.

Confidential Financial Disclosure Statement filers should submit their completed forms to their agency head per agency instructions.

E-filing waiver recipients should send their completed hard copy forms directly to BEGA via email at **bega-fds@dc.gov** or regular mail to **441 4th Street, NW, Suite 830 South, Washington, DC 20001**. **The granting of an e-filing waiver does *not* release a filer from the obligation to file but releases the filer from the obligation to file via BEGA's FDS e-filing system.**

All questions on this FDS should be answered for the previous calendar year. For purposes of this form, the "previous calendar year" is defined as January through December of the previous year.

If the form is submitted as an Amendment, answer only the question to which there is a change in information.

Please read the Instructions and utilize the Glossary attached to this form. FAQs and other Financial Disclosure information can be found on our website: bega.dc.gov.

Please complete every field on this form. Failure to submit a complete and accurate Financial Disclosure Statement could result in a violation the District's Code of Conduct and lead to fines and penalties. If you are uncertain of how you should answer a question, contact bega-fds@dc.gov. Please do not submit a form that contains incomplete or inaccurate responses.

Failure to timely submit a full, accurate and complete form to BEGA or your agency head may result in fines of $10.00 per day for up to thirty (30) days and up to $5,000 in other penalties and fines. Any late-filer fines levied against a current District employee are deducted directly from the bi-weekly District government paycheck.

INSTRUCTIONS

(1) There are fifteen (15) 'Yes' or 'No' questions. **You must answer each question completely.** If you answer 'Yes' to a question you must complete additional fields regarding your response.

(2) If you need more space, use a blank sheet of paper, and attach it to the end of the form.

(3) If you would like to submit supplemental documents with your form, attach them to the end of the form.

(4) If you cannot agree to all the statements in the Certification section, please explain why in the text box below the Certification statements.

(5) Once a report is submitted, it can only be changed by filing an amendment.

Personal Information	
Name	
Home Phone	
Work Phone	
District Email	
Personal Email	
Home Address	

Work Information	
Name of Agency:	
Position/title for your current position:	
Position/title for the position you held at end of the previous calendar year:	
Grade and Step:	
Start date for the position you held at end of the previous calendar year:	

Current salary:		
Salary last calendar year:		
Position title for any other paid or unpaid position(s) with the District you held for more than thirty days during the previous calendar year:	**Position titles:**	**Dates:**
If you no longer work with the District, what was your date of departure?		
Previous Calendar for which filing is being made:		

Employee's Non-District Income and Positions

1. Did you have any non-District employment or engage in any outside business or other activity during the previous calendar year for which you received compensation of $200 or more?	☐ **YES** ☐ **NO**	
1a. If you answered 'yes' to Q1, provide your: i. Position/title ii. Name of employer (do not use abbreviations or acronyms) iii. A narrative description of work iv. Start date and end date (if applicable) v. Estimated amount of income received from outside business or work vi. Website of business or employer ***Note:*** *Answer "yes" if you engaged in any occupation, trade, business, profession, or employment during the reporting year and received income of $200 or more for doing so (the term "income" is defined in the Glossary below). Do not include your District government employment.* *Attach a Supplemental Sheet if you have additional entries. Report other entries in the same format.*	i.	
	ii.	
	iii.	
	iv.	
	v.	☐ **None (or less than $200)** ☐ **$200 - $1,000** ☐ **$1,001 - $15,000** ☐ **$15,001 - $50,000** ☐ **$50,001 - $100,000** ☐ **$100,001 - $250,000** ☐ **$250,001 - $500,000**

		☐ $500,001 - $1,000,000 ☐ $1,000,001 - $5,000,000 ☐ $5,000,001 - $25,000,000 ☐ $25,000,001 - $50,000,000 ☐ Over $50,000,000
	vi.	
1b. If you answered 'yes' to Q1 because you were paid by a client who does business with the District, may do business with the District within the next twelve months, or did gain or stands to gain a direct financial benefit from legislation that was pending before the Council during the previous calendar year (as opposed to an employer), please identify your client(s). *NOTE: If you do not know whether your client did business with the District, does business with the District or benefited from Council legislation you must make a good faith effort to ascertain this information (i.e. inquire with your client, review public records).* *The term "client" is defined in the Glossary below; if you are uncertain about client disclosure please contact bega-fds@dc.gov for assistance.* *Attach a Supplemental Sheet if you have additional entries. Report other entries in the same format.*	1. ____________ 2. ____________ 3. ____________ 4. ____________ 5. ____________ 6. ____________ 7. ____________ 8. ____________ 9. ____________ 10. ____________	
2. In the previous calendar year, did you serve in any unpaid position or in any other formal capacity (without compensation) of a non-government board or other outside entity where you had influence over the entity's finances or decision-making (e.g., as an officer, director, partner, consultant, contractor, volunteer, or member)?	☐ Yes	☐ No

2a. If you answered 'yes' to Q2, please provide your: i. Position/title ii. Name of entity (do not use abbreviations or acronyms) iii. Start date and end date (if applicable) iv. Website of entity v. Description of work *Note: Attach a Supplemental Sheet if you have additional entries. Report other entries in the same format.*	i.	
	ii.	
	iii.	
	iv.	
	v	
	i.	
	ii.	
	iii.	
	iv.	
	v.	

3. During the previous calendar year, did you have any agreements with a former or current employer, other than with the District of Columbia, for future payments or benefits (such as separation pay, partnership buyouts, or pension or retirement pay) or for future employment or for a leave of absence?	☐ Yes	☐ No

3a. If you answered 'yes' to Q3, please provide your: i. Former/current employer name (do not use abbreviations or acronyms) ii. Type of agreement or benefit	i.	
	ii.	

4. Did you have a beneficial interest in or hold any security at the close of the previous calendar year that exceeded, in the aggregate, $1,000 or that produced income of $200 or more? *Note: "Security" means stocks (any class), bonds (including savings bonds and tax exempt bonds), stock options, warrants, debentures, obligations, notes (not mortgage notes), mortgages (not on one's home), investment interests in limited partnerships, REITs, and such other evidences of indebtedness and certificates of interest or participation in any profit- sharing agreement as are usually referred to as securities.*	☐ Yes	☐ No

4a. If you answered 'yes' to Q4, please provide: i. Each security and/or beneficial interest by full name and stock symbol (if applicable) ii. The total value of *all* of the beneficial interests and/or securities at the close of the previous calendar year. *Note: You **do not** need to disclose mutual funds or other similar investment vehicles that own multiple securities and are managed by someone other than yourself. You only need to disclose individual stocks that are self-directed.* *Attach a Supplemental Sheet if you have additional entries. Report other entries in the same format.*	i.	
	ii.	☐ None (or less than $200) ☐ $200 - $1,000 ☐ $1,001 - $15,000 ☐ $15,001 - $50,000 ☐ $50,001 - $100,000 ☐ $100,001 - $250,000 ☐ $250,001 - $500,000 ☐ $500,001 - $1,000,000 ☐ $1,000,001 - $5,000,000 ☐ $5,000,001 - $25,000,000 ☐ $25,000,001 - $50,000,000 ☐ Over $50,000,000
5. Did you owe any entity or person (other than a member of your immediate family) $1,000 or more (excluding: mortgages on your personal residence, student loans, automobile loans, credit card accounts or other revolving credit, and other loans from a federal or state insured or regulated financial institution) during the previous calendar year?	☐ Yes	☐ No
5a. If you answered 'yes' to Q5, please provide the: i. Name of entity or person ii. Type of liability iii. Amount of liability	i. ii.	

Note: Attach a Supplemental Sheet if you have additional entries. Report other entries in the same format.	iii.	☐ **None (or less than $200)** ☐ **$200 - $1,000** ☐ **$1,001 - $15,000** ☐ **$15,001 - $50,000** ☐ **$50,001 - $100,000** ☐ **$100,001 - $250,000** ☐ **$250,001 - $500,000** ☐ **$500,001 - $1,000,000** ☐ **$1,000,001 - $5,000,000** ☐ **$5,000,001 - $25,000,000** ☐ **$25,000,001 - $50,000,000** ☐ **Over $50,000,000**

6. Did you have an interest in any real property located in the District of Columbia during the previous calendar year, aside from your primary personal residence, where your interest had a fair market value $1,000 or more, or where the property produced income of $200 or more? *Note: The term "income" is defined in the Glossary below.* *Attach a Supplemental Sheet if you have additional entries. Report other entries in the same format.*	☐ Yes	☐ No

6a. If you answered 'yes' to Q6, please provide the: i. Location of real property ii. Purchase or acquisition date iii. Date sold (if applicable) iv. Value of real estate or interest	i.	
	ii.	
	iii.	
	iv.	☐ **None (or less than $200)** ☐ **$200 - $1,000** ☐ **$1,001 - $15,000** ☐ **$15,001 - $50,000** ☐ **$50,001 - $100,000** ☐ **$100,001 - $250,000** ☐ **$250,001 - $500,000** ☐ **$500,001 - $1,000,000** ☐ **$1,000,001 - $5,000,000** ☐ **$5,000,001 - $25,000,000** ☐ **$25,000,001 - $50,000,000** ☐ **Over $50,000,000**

7. Do you hold any professional or occupational licenses issued by the District of Columbia government (i.e., are you licensed to practice law in the District of Columbia, or are you licensed by the District's Department of Health, the District's Department of Consumer and Regulatory Affairs, the District's Department of Mental Health, the District's Department of Insurance Securities and Banking, the Metropolitan Police Department, the District's Occupational and Professional Licensing Administration, etc.)?	☐ Yes	☐ No

7a. If you answered 'yes' to Q7, please provide the: i. Type of license(s) issued (e.g., real estate license, bar license, etc.) ii. Issuing entity(or entities) iii. Expiration date (if applicable)	i.	
	ii.	
	iii.	

8. Did you receive any gift(s) from any person that has or is seeking to do business with the District, conducts operations or activities that are regulated by the District, or has an interest that may be favorably affected by the performance or nonperformance of your duties in the total amount or with a total value of $100 or more during the previous calendar year? *Note: The term"gift" is defined in the Glossary below.*	☐ Yes	☐ No

8a. If you answered 'yes' to Q8, please provide the: i. Identity of gift giver ii. Gift giver's company iii. Description of gift iv. Date of gift v. Amount or estimated value *Note: Attach a Supplemental Sheet if you have additional entries. Report other entries in the same format.*	i.	
	ii.	
	iii.	
	iv.	
	v.	

Spouse, Domestic Partner, Dependent Children		
9. Was your spouse, registered domestic partner, or dependent child(ren) employed by a private entity or did they engage in any business endeavors during the previous calendar year for which they received compensation of $200 or more?	☐ Yes	☐ No

9a. If you answered 'yes' to Q9, please provide: i. Position/title ii. Name of employer (do not use abbreviations or acronyms) iii. A narrative description of work iv. Start date and end date (if applicable) v. Website of business or employer (if applicable) ***Note:*** *Answer "yes" if your spouse or dependent child engaged in any occupation, trade, business, profession, or employment during the reporting year and received income of $200 or more for doing so (the term "income" is defined in the Glossary below). Do not include any District government employment.* *Attach a Supplemental Sheet if you have additional entries. Report other entries in the same format.*	i. ii. iii. iv. v.	
9b. If you answered 'yes' to Q9 because your spouse, registered domestic partner, or dependent child(ren) was paid by a client who does business with the District, may do business with the District within the next twelve months or did gain or stands to gain a direct financial benefit from legislation that was pending before the Council during the previous calendar year (as opposed to an employer), please identify their client(s): *NOTE: If you do not know whether your spouse, registered domestic partner, or dependent child(ren) clients did business with the District, does business with the District or benefited from* Council *legislation you must make a good faith effort to ascertain this information (i.e. inquire with your client, review public records).* *The term "client" is defined in the Glossary below. If you are uncertain about client disclosure please contact bega-fds@dc.gov for assistance.*	1. _____ 2. _____ 3. _____ 4. _____ 5. _____ 6. _____	

Attach a Supplemental Sheet if you have additional entries. Report other entries in the same format. .	7. __________________________ 8. __________________________ 9. __________________________ 10. _________________________
10. During the previous calendar year, did your spouse, registered domestic partner, or dependent child(ren) serve in any unpaid position or in any other formal capacity (without compensation) of a non-government board or other outside entity where they had influence over the entity's finances or decision-making (e.g., as an officer, director, partner, consultant, contractor, volunteer, or member)?	☐Yes ☐No

10a. If you answered 'yes' to Q10, please provide: i. Position/title ii. Name of entity (do not use abbreviations or acronyms) iii. Start date and end date (if applicable) iv. Website of entity v. Description of work *Note: Attach a Supplemental Sheet if you have additional entries. Report other entries in the same format.*	i.	
	ii.	
	iii.	
	iv.	
	v.	
	i.	
	ii.	
	iii.	
	iv.	
	v	

11. During the previous calendar year, did your spouse, registered domestic partner, or dependent child(ren) have any agreements with a former or current employer, other than with the District of Columbia, for future payments or benefits (such as separation pay, partnership buyouts, or pension or retirement pay) or for future employment or for a leave of absence?	☐ Yes	☐ No
11a. If you answered 'yes' to Q11, please provide: i. Former/current employer name (do not use abbreviations or acronyms) ii. Type of agreement or benefit	i. ii.	
12. Did your spouse, registered domestic partner, or dependent child(ren) have a beneficial interest in or hold any security, at the close of the previous calendar year, that exceeded, in the aggregate, $1,000 or that produced income of $200 or more? *Note: "Security" means stocks (any class), bonds (including savings bonds and tax exempt bonds), stock options, warrants, debentures, obligations, notes (not mortgage notes), mortgages (not on one's home), investment interests in limited partnerships, REITs, and such other evidences of indebtedness and certificates of interest or participation in any profit- sharing agreement as are usually referred to as securities.*	☐ Yes	☐ No
12a. If you answered 'yes' to Q12, please provide: iii. Each security and/or beneficial interest by full name and stock symbol (if applicable) iv. The total value of *all* of the beneficial interests and/or securities at the close of the previous calendar year. *Note: You **do not** need to disclose mutual funds or other similar investment vehicles that own multiple securities and are managed by someone other than your spouse, registered domestic partner, or dependent child(ren). You only need to disclose individual stocks that are self-directed by your spouse, registered domestic partner, or dependent child(ren).* *Attach a Supplemental Sheet if you have additional entries. Report other entries in the same format.*	i. ii.	☐ **None (or less than $200)** ☐ **$200 - $1,000** ☐ **$1,001 - $15,000** ☐ **$15,001 - $50,000** ☐ **$50,001 - $100,000** ☐ **$100,001 - $250,000** ☐ **$250,001 - $500,000** ☐ **$500,001 - $1,000,000** ☐ **$1,000,001 - $5,000,000** ☐ **$5,000,001 - $25,000,000** ☐ **$25,000,001 - $50,000,000** ☐ **Over $50,000,000**

13. Did your spouse, domestic partner or dependent child(ren) owe any entity or person (other than a member of their immediate family) $1,000 or more, (excluding: mortgages on your personal residence, student loans, automobile loans, credit card accounts or other revolving credit, and other loans from a federal or state insured or regulated financial institution) during the previous calendar year? *Note: Attach a Supplemental Sheet if you have additional entries. Report other entries in the same format.*	☐ Yes	☐ No

13a. If you answered 'yes' to Q13, please provide the: i. Name of entity or person ii. Type of liability iii. Amount of liability	i.	
	ii.	
	iii.	☐ **None (or less than $200)** ☐ **$200 - $1,000** ☐ **$1,001 - $15,000** ☐ **$15,001 - $50,000** ☐ **$50,001 - $100,000** ☐ **$100,001 - $250,000** ☐ **$250,001 - $500,000** ☐ **$500,001 - $1,000,000** ☐ **$1,000,001 - $5,000,000** ☐ **$5,000,001 - $25,000,000** ☐ **$25,000,001 - $50,000,000** ☐ **Over $50,000,000**
14. Did your spouse, domestic partner, or dependent child(ren) have an interest in any real property located in the District of Columbia during the previous calendar year aside from their primary personal residence, where their interest had a fair market value of more than $1,000, or where the property produced income of $200 or more? *Note: The term "income" is defined in the Glossary below.*	☐ Yes	☐ No
14a. If you answered 'yes' to Q14, please provide the: i. Location of real property ii. Purchase or acquisition date iii. Date sold (if applicable) iv. Value of real estate or interest *Note: Attach a Supplemental Sheet if you have additional entries. Report other entries in the same format.*	i.	
	ii.	
	iii.	
	iv.	

15. Does your spouse, domestic partner, or dependent child(ren) hold any professional or occupational licenses issued by the District of Columbia government (i.e., are they licensed to practice law in the District of Columbia, or are they licensed by the District's Department of Health, the District's Department of Consumer and Regulatory Affairs, the District's Department of Mental Health, the District's Department of Insurance Securities and Banking, the Metropolitan Police Department, or the District's Occupational and Professional Licensing Administration, etc.)?	☐ Yes	☐ No

15a. If you answered 'yes' to Q15, please provide the: i. Type of license(s) issued (e.g., real estate license, D.C. Bar license, etc.) ii. Issuing entity or entities iii. Expiration date (if applicable) *Note: Attach a Supplemental Sheet if you have additional entries. Report other entries in the same format.*	i.	
	ii.	
	iii.	

CERTIFICATION

I certify that I have:

☐ Completed a full ethics training within the last 365 days;
- ➢ Agency or location of training: ____
- ➢ Date of training: ____

☐ Not caused title to property to be placed in the legal name, possession, or control of another person or entity for the purpose of avoiding the disclosure requirements on this form;

☐ Filed and paid my income and property taxes or am in current good standing with the IRS because of an extension, payment plan or other arrangement or agreement;

☐ Diligently safeguarded the assets of the taxpayers and the District;

☐ Complied with my duty to report known illegal activity, including attempted bribes, to the appropriate authorities;

☐ Not been offered or accepted any bribes;

☐ Not directly or indirectly received government funds through illegal or improper means;

☐ Not raised or received funds in violation of federal or District law; and

☐ Not received or been given anything of value, including a gift, favor, service, loan gratuity, discount, hospitality, political contribution, or promise of future employment, based on any understanding that my official actions or judgment or vote would be influenced.

If you are not able to certify each of the above, please provide an explanation below:

I understand that the making of a false statement on this form or materials submitted with this form is punishable by civil penalties pursuant to 3 DCMR § 5704.5, D.C. Official Code §§ 1-1162.24 and 1-1162.25, and criminal penalties pursuant to D.C. Official Code §§22-2405 et seq. I understand that any information I give may be investigated as allowed by law or Mayoral order. I certify that, to the best of my knowledge and belief, all of my statements are true, accurate, and complete.

Signature	Printed Name	Date
______________________________	________________________	__________

Glossary of Terms

Client	a person or organization using the services of a lawyer or other professional person or company; any person using your services in your capacity as an individual professional and separate from your District government work or using the services of your outside work or business
Domestic Partnership	the relationship between two persons who have registered as domestic partners under the District's registration procedures (DC Code§ 32-701)
Financial Conflict of Interest Prohibition	No employee shall use his or her official position or title, or personally and substantially participate, through decision, approval, disapproval, recommendation, the rendering of advice, investigation, or otherwise, in a judicial or other proceeding, application, request for a ruling or other determination, contract, claim, controversy, charge, accusation, arrest, or other particular matter, or attempt to influence the outcome of a particular matter, in a manner that the employee knows is likely to have a direct and predictable effect on the employee's financial interests or the financial interests of a person closely affiliated with the employee.

Financial Disclosure Statement (FDS)	The form addresses the following: ➢ Business Transactions: This consists of business entities transacting any business with the District of Columbia in which the public official (or spouse for jointly titled property) has a beneficial interest valued in excess of $1,000.00, or serves as an officer, director, partner, employee, contractor, and consultant or in any other capacity. Business entities include sole proprietorships, partnerships and corporations. ➢ Business Interests: Any business interest held by the public official (or spouse for jointly held property) in business entities transacting any business with the District of Columbia Government consisting of corporate stock, registered and traded on a national exchange, is listed only if the total value exceeds $5,000.00. ➢ Liabilities: Each outstanding liability borrowed by the public official (or spouse if a joint liability) exceeding $1,000.00 which is not a loan from a federal or state insured or regulated financial institution, immediate family member, or revolving credit or installment account. ➢ Real Property: All real property located in the District of Columbia (other than the personal residence actually occupied by the public official or spouse) that the public official or spouse (where jointly titled) holds an interest that has a fair market value in excess of $1,000.00. ➢ Licenses: Each professional or occupational license issued by the District of Columbia Government. ➢ Gifts: All gifts received in excess of $100.00 in a calendar year from any business entity **transacting business with the District of Columbia Government.**
Gift[1]	a payment, subscription, advance, forbearance, rendering, or deposit of money, services, or anything of value, unless consideration of equal or greater value is received. The term "gift" shall not include: **(A)** A political contribution otherwise reported as required by law; **(B)** A commercially reasonable loan made in the ordinary course of business; or **(C)** A gift received from a member of the person's immediate family.
Income	all monies received, from whatever source derived, including (but not limited to) the following items:

[1] D.C. Office Code § 1-1161.01(23).

	(1) Compensation for services, including fees, commissions, fringe benefits, and similar items; (2) Gross income derived from business; (3) Gains derived from dealings in property; (4) Interest; (5) Rents; (6) Royalties; (7) Dividends; (8) Alimony and separate maintenance payments; (9) Annuities; (10) Income from life insurance and endowment contracts; (11) Pensions; (12) Income from discharge of indebtedness; (13) Distributive share of partnership gross income; (14) Income in respect of a decedent; and (15) Income from an interest in an estate or trust. ***Honoraria are considered "income" for the purposes of this form.**