



CITY OF SOMERVILLE
ETHICS COMMISSION
STATEMENT OF FINANCIAL INTERESTS

FOR CALENDAR YEAR

This form is prepared pursuant to Somerville Code of Ordinances, Chapter 15.

Please note: Any person who is required to file a statement of financial interest pursuant to Massachusetts General Laws, Chapter 268B shall be deemed to have complied with the requirements of Somerville Ordinance 1997-5 if the person files a certified copy of the State report with the Somerville Commission either by the dates required pursuant to said Chapter 268B or those required pursuant to Somerville Ordinance 1997-5, whichever is later.

Filing period January 1, _____ - December 31, _____

Name: _____

Address: _____

Election Commission
will place its stamp here
as official receipt of filing

Telephone: Home: _____

Cell: _____

Work: _____

Fax: _____

Email: _____

Candidate for, or, Office/Position Held: _____

Name of Spouse and/or any dependent children residing in your household:

Name of Spouse: _____

Name(s) of dependent children residing in household: _____

Suggestion: Please read through the entire form before inserting information. Do not hesitate to contact the City Solicitor's Office for assistance at (617) 625-6600, ext. 4400.



DEFINITIONS

Whenever used in this chapter, the following terms shall have the following meanings, unless the context requires otherwise:

Adjudicatory proceeding means a formal, confidential investigation conducted by the commission, in which all parties in interest have an opportunity to be heard;

Affinity means related by marriage;

Amount means a category of value, rather than an exact dollar figure, as set forth in M.G.L.A. c.268B, § 1(a); provided, however, that the commission may adopt different categories by a roll call vote of the commission; and provided, further, that the mayor, board of aldermen and school committee shall be notified, in writing, of any such action of the commission along with reasons for such action.

Whenever this form asks for an “**amount**”, the reply may be a category of value, as follows:

- Greater than \$1,000.00 but not more than \$5,000.00;
- Greater than \$5,000.00 but not more than \$10,000.00;
- Greater than \$10,000.00 but not more than \$20,000.00;
- Greater than \$20,000.00 but not more than \$40,000.00;
- Greater than \$40,000.00 but not more than \$60,000.00;
- Greater than \$60,000.00 but not more than \$100,000.00; and
- Greater than \$100,000.00;

Application means a proposal or similar document written to apply for any grant and/or trust fund program.

Business means any corporation, partnership, sole proprietorship, firm, franchise, association, organization, holding company, joint stock company, receivership, business trust, or other legal entity organized for profit or charitable purposes; provided, however, any relationship which would appear to be a business association to an objective, reasonable person, regardless of the formal relationship, shall be considered a "business" for the purposes of this chapter; and provided, further, that this term shall include any fee splitting arrangement with a person subject to the requirements of this chapter;

Business Associate means any relationship which would appear to be a business association to an objective, reasonable person, regardless of the formal relationship, including any fee splitting arrangement.

Candidate for public office means any individual who seeks nomination or election to the office of mayor, alderman or school committee;

City means the City of Somerville;

City agency or department shall have the same meaning as municipal body.

City charter means the Charter of the City of Somerville;

City official or employee means any person performing services for the city or holding an office, position, employment or membership in a city agency, whether by election, appointment, contract of hire or engagement, whether serving with or without compensation, on a full, regular, part-time, intermittent, or consultant basis.

City solicitor means the city solicitor for the city;

Commission means the ethics commission created pursuant to this chapter;

Consanguinity means related by blood;

Designated municipal official means any of those city employees who hold the positions specified on a list submitted by the mayor to the commission by January 31 of each year; provided, however, such list shall include only those employees whose total compensation from the city for the reporting period is amongst the top 150 and who hold major policy making positions and in addition, any city employee(s) in the title of "project manager," who shall have the responsibility for managing projects of building construction or any other public works where the total expenditure for such project is estimated or expected to exceed \$1,000,000.00; provided, further, that the commission may request the mayor to add a specific position to the list and, if the mayor declines, may request the board of aldermen to add such position by a two-thirds roll call vote;

Direct and substantial interest in a particular matter shall be applied as interpreted under M.G.L.A. c. 268A, commonly known as the Conflict of Interest and Code of Conduct Law;



Elected official means the mayor, aldermen and school committee of the city;

Election commission means the election commission of the city;

Grant and/or grant funds means city funds disbursed as part of a federal or state pass-through or direct grant program by a city agency or department.

Grantee means a non-city entity that receives grant and/or trust funds from a city agency or department.

Equity means any stock or similar ownership interest in a business;

Gift means a payment, entertainment, subscription, advance, services or anything of value, unless consideration of equal or greater value is received; provided, however, "gift" shall not include a political contribution reported as required by law, a commercially reasonable loan made in the ordinary course of business, or anything of value received by inheritance;

Honoraria means payment for services which is not customarily subject to a set price such as making a speech;

Immediate family includes a spouse and any dependent children residing in the reporting person's household;

Income means income from whatever source derived, whether in the form of a fee, salary, allowance, forbearance, forgiveness, interest, dividend, royalty, rent, capital gain, or any other form of recompense or any combination thereof; provided, however, that interest from savings accounts or from governmental obligations other than those of the commonwealth or any political subdivision thereof or any public agency or authority created by the general court, alimony and support payments, proceeds from a life insurance policy, retirement or disability benefits, and social security

payments shall not be considered income for the purposes of this chapter;

Municipal body means any agency, authority, board, bureau, commission, committee, council, department, division, school department, or other legal entity within the government of the city;

Municipal election means any preliminary, final or special election where the name of the relevant party shall appear on the ballot;

Person means a business, individual, corporation, union, association, firm, partnership, committee, or other organization or group of persons;

Preliminary inquiry means an informal, confidential investigation conducted by the commission, which may or may not accept written or verbal testimony;

Relative means any person related within the third degree of consanguinity or affinity; and

Reporting person means any person required to file a statement pursuant to this chapter.

Subgrantee means a non-city entity that receives city grant and/or trust funds from a grantee or from another subgrantee.

Trust and trust funds means city funds disbursed from a municipally established trust fund.

DISCLOSURES

Unless otherwise specified, all of the following information must be provided for the reporting person and for that person's immediate family. Attach additional pages if more space is needed.



STATEMENT OF FINANCIAL INTERESTS
DISCLOSURE 1A.

1A. **Business Associations.** State the name and address of each business (defined as any legal entity organized for profit or charitable purposes) in which you or a member of your immediate family is associated; provided, however, that the reporting person need not report an ownership or equity interest in a business in which the reporting person or the reporting person's immediate family owns or otherwise controls five percent or less of the business. Include the nature of your or your family's association with each business and the amount of income received if greater than one thousand dollars (\$1,000.00). SCO § 15-8(A).

Not applicable

INCOME RECEIVED BY YOU:

BUSINESS NAME AND ADDRESS	NATURE OF ASSOCIATION	SHARE OF EQUITY	AMOUNT OF ANNUAL INCOME

INCOME RECEIVED BY YOUR IMMEDIATE FAMILY MEMBER:

BUSINESS NAME AND ADDRESS	NAME AND RELATIONSHIP	NATURE OF ASSOCIATION	SHARE OF EQUITY	AMOUNT OF ANNUAL INCOME



STATEMENT OF FINANCIAL INTERESTS
DISCLOSURE 1B.

1B. Employment. State the name and address of each business (defined as any legal entity organized for profit or charitable purposes) from which you or your immediate family received a salary, including any salary from the City of Somerville. Include the nature of your or your family's association with each business and the amount of income received if greater than one thousand dollars (\$1,000.00). SCO § 15-8(A).

Not applicable

EMPLOYMENT BY YOU:

EMPLOYER NAME & ADDRESS	POSITION	AMOUNT OF ANNUAL INCOME

EMPLOYMENT BY YOUR IMMEDIATE FAMILY MEMBERS:

EMPLOYER NAME & ADDRESS	NAME & RELATIONSHIP	POSITION	AMOUNT OF ANNUAL INCOME



STATEMENT OF FINANCIAL INTERESTS
DISCLOSURE 2.

2. **Securities and Investments.** List all securities and investments beneficially owned by you or a member of your immediate family with a fair market value of greater than one thousand dollars as of the last date held during the reporting period, and the amount of income from any such security.

This information need not be provided unless your beneficial interest represents more than five percent of the total interest. You need not report securities held as part of a mutual fund, deferred compensation fund, individual retirement fund, certificate of deposit, or some other generalized fund which is open to public investment. SCO § 15-8(B).

Not applicable

SECURITY/INVESTMENT	OWNER OF SECURITY	AMOUNT OF ANNUAL INCOME
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	



STATEMENT OF FINANCIAL INTERESTS
DISCLOSURE 3.

3. **Certain Credit Obligations.** State the name and address of each creditor to whom more than one thousand (\$1,000.00) was owed at any time during the reporting year *by you*, the original amount owing, the amount outstanding, the general nature of the security pledged for each obligation, and the terms of repayment (the annual interest rate and either the year final repayment is due or in the case of ongoing credit, the frequency of required payments, e.g., monthly).

The following need not be reported:

- a) the original amount and the amount outstanding for a mortgage of your primary residence;
- b) the obligations on retail installment transactions, educational loans, medical and dental expenses, debt incurred in the ordinary course of an active ongoing business,
- c) alimony or support obligations; and
- d) any obligation in which the creditor is related within the third degree of consanguinity or affinity.

SCO § 15-8(C)

Not applicable

CREDITOR	ADDRESS	ORIGINAL AMOUNT	AMOUNT OWING	TERMS RATE/TIME	SECURITY



STATEMENT OF FINANCIAL INTERESTS
DISCLOSURE 4.

4. **Reimbursements.** State the name and address of the source, and cash value of any reimbursements for any person who reimbursed you or any member of your immediate family for expenses aggregating more than one hundred dollars (\$100.00) during the reporting period.

This information need not be reported unless the reimbursor has a direct and substantial interest in a matter before a municipal body. This section shall apply only to those situations that are not in violation of Chapter 268A of the Massachusetts General Laws. SCO § 15-8(D).

Not applicable

REIMBURSER'S NAME & ADDRESS	RECIPIENT	AMOUNT
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	



STATEMENT OF FINANCIAL INTERESTS
DISCLOSURE 5.

5. **Donations and Gifts.** State the name and address of any donor, and fair market value, if determinable, of any gifts to you or your immediate family aggregating more than one hundred dollars (\$100.00) in the calendar year, if the source of any such gift is a person having a direct interest in any matter before a municipal body.

No such gifts need be reported if the person making the gift is a relative of yours or of any member of your immediate family within the third degree of consanguinity or affinity; and provided further, that this subsection shall apply only to those situations that are not in violation of Chapter 268A of the Massachusetts General Laws. SCO § 15-8(E).

Not applicable

DONOR'S NAME & ADDRESS	RECIPIENT	VALUE
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	



STATEMENT OF FINANCIAL INTERESTS
DISCLOSURE 6.

6. Assessed Value of Real Property. Describe (using the description on your most recent property tax bill), including address and value, all real property (real estate) in which a beneficial interest was held **by you** which has an assessed value greater than one thousand dollars (\$1,000.00) as of the last date held during the reporting period. If the real property was transferred during the reporting period, state the name and address of the person furnishing consideration to, or receiving it from, you. This information need not be reported if your beneficial interest represents five percent or less of the total interest in the property. SCO § 15-8(F).

Not applicable

PROPERTY ADDRESS	<u>ASSESSED</u> VALUE FROM MOST RECENT TAX BILL	TRANSFEROR/TRANSFeree (If during reporting period)



STATEMENT OF FINANCIAL INTERESTS
DISCLOSURE 7.

7. **Honoraria.** State the name and address of the source and fair market value of any honoraria received by you or your immediate family aggregating more than one hundred dollars (\$100.00) if the source is a person having a direct and substantial interest in a particular matter before a municipal body. This section shall apply only to those situations that are not in violation of Chapter 268A of the Massachusetts General Laws. SCO § 15-8(G).

Not applicable

NAME AND ADDRESS OF SOURCE OF HONORARIA AND DESCRIPTION OF SUBSTANTIAL INTEREST	RECIPIENT	FAIR MARKET VALUE
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	



STATEMENT OF FINANCIAL INTERESTS
DISCLOSURE 8.

8. **Forgiven Debts.** State the name and address of any creditor who voluntarily forgave a debt of yours during the reporting period of over one thousand dollars (\$1,000.00) and the amount forgiven.

This information need not be provided if the creditor is a relative of yours or of any member of your immediate family within the third degree of consanguinity or affinity. SCO § 15-8(H).

Not applicable

CREDITOR	ADDRESS	AMOUNT FORGIVEN



STATEMENT OF FINANCIAL INTERESTS
DISCLOSURE 9.

9. **Leaves of Absence**. State the name and address of any business from which you or any member of your immediate family took a leave of absence during the reporting period . SCO § 15-8(I)

Not applicable

BUSINESS NAME AND ADDRESS	PERSON TAKING LEAVE
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:



STATEMENT OF FINANCIAL INTERESTS
DISCLOSURE 10.

10. **Transfer of Equity.** Identify the equity (defined as any stock or similar ownership interest) in any business with which you or any member of your immediate family is associated that has been transferred to another person during the reporting year. This information need not be provided if the beneficial interest represents five percent or less of the total interest held. SCO § 15-8(J).

Not applicable

EQUITY	OWNER OF EQUITY	RECIPIENT
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	



STATEMENT OF FINANCIAL INTERESTS
DISCLOSURE 11

11. **Commercial or Business Transactions.** State the nature, amount, and date of any commercial or business transaction including, but not limited to, loans, worth two hundred and fifty dollars (\$250.00) or more between any municipal official (elected or appointed) and you or a member of your immediate family. SCO § 15-8(K).

Not applicable

NATURE OF TRANSACTION	AMOUNT	ASSOCIATION	NAME OF MUNICIPAL OFFICIAL	DATE
		<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:		
		<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:		
		<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:		



STATEMENT OF FINANCIAL INTERESTS
DISCLOSURE 12.

12. **Your or Your Family's Clients/Customers Interests in a Municipal Body.** State the name, address and nature of association of any clients and customers of yours or of your immediate family who have a direct and substantial interest in a particular matter before a municipal body.

This information need not be reported if the amount paid, owed or accrued by the client or customer during the reporting period does not exceed two hundred fifty dollars (\$250.00); and provided, further, this subsection shall apply only to those situations that are not in violation of Chapter 268A of the Massachusetts General Laws. SCO § 15-8(L).

Not applicable

CLIENT/CUSTOMER NAME AND ADDRESS	ASSOCIATION	NATURE OF ASSOCIATION and DESCRIPTION OF SUBSTANTIAL INTEREST
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	
	<input type="checkbox"/> You <input type="checkbox"/> Your immediate family Name & Relationship:	



STATEMENT OF FINANCIAL INTERESTS
DISCLOSURE 13.

13. **Business Associates' Clients/Customers Interests in a Municipal Body.** State the name, address and nature of association of any clients and customers of any business associate of yours or of your immediate family who have a direct and substantial interest in a particular matter before a municipal body.

This information need not be reported if the amount paid, owed or accrued by the client or customer during the reporting period does not exceed two hundred fifty dollars (\$250.00); and provided, further, this subsection shall apply only to those situations that are not in violation of Chapter 268A of the Massachusetts General Laws. SCO § 15-8(M).

Not applicable

BUSINESS ASSOCIATE'S NAME	CLIENT/CUSTOMER'S NAME & ADDRESS	NATURE OF ASSOCIATION and DESCRIPTION OF SUBSTANTIAL INTEREST



STATEMENT OF FINANCIAL INTERESTS
DISCLOSURE 14.

14. **Employees of the City.** State the name, address, job title, any change in title, job description or pay, and year of original hire of any relative of yours or of your immediate family who received pay from the city as an employee during the reporting period.

This information need not be reported if the relative is not within the third degree of consanguinity or affinity; and provided further, that any relative who is retired and receiving no pay from the city other than retirement pay for more than six months during the reporting period need not be reported. SCO§ 15-8(N).

Not applicable

NAME, ADDRESS AND RELATIONSHIP	JOB TITLE	SPECIFY ANY CHANGE IN JOB TITLE, JOB DESCRIPTION OR PAY DURING REPORTING PERIOD	DATE OF HIRE



STATEMENT OF FINANCIAL INTERESTS
DISCLOSURE 15.

15. **City Contracts.** State the name, address, amount of payment received during the reporting period, and year of original agreement of any relative of yours or of your immediate family who received payment from the city as a contractor during the reporting period.

This information need not be reported if the relative is not within the third degree of consanguinity or affinity. SCO § 15-8(O).

Not applicable

NAME, ADDRESS AND RELATIONSHIP OF CONTRACTOR	AMOUNT OF PAYMENT	YEAR OF ORIGINAL AGREEMENT	TYPE OF CONTRACT



STATEMENT OF FINANCIAL INTERESTS
DISCLOSURE 16.

16. **Business Associates' City Employment.** State the name, address, job title, any change in title, job description or pay, and year of original hire of any relative of any business associate of yours or of your immediate family who received pay from the city as an employee during the reporting period.

This information need not be reported for any person who is retired and receiving no pay from the city other than retirement pay for more than six months during the reporting period. SCO § 15-8(P).

Not applicable

NAME, ADDRESS AND RELATIONSHIP	JOB TITLE	SPECIFY CHANGE IN JOB TITLE, JOB DESCRIPTION OR PAY	DATE OF HIRE



STATEMENT OF FINANCIAL INTERESTS
DISCLOSURE 17.

17. **Business Associates' City Contracts.** State the name, address, amount of payments received during the reporting period, and year of original agreement of any relative of any business associate of yours or of your immediate family who received payment from the city as a contractor during the reporting period. SCO § 15-8(Q).

Not applicable

NAME, ADDRESS AND RELATIONSHIP TO BUSINESS ASSOCIATE	AMOUNT OF PAYMENT	YEAR OF ORIGINAL AGREEMENT	TYPE OF CONTRACT



STATEMENT OF FINANCIAL INTERESTS
DISCLOSURE 18 &
SIGNATURE PAGE

18. Nothing in this Statement of Financial Interests shall be construed to require the disclosure of information which is privileged by law; provided, however, that you include notice that there is information being withheld pursuant to this paragraph and the category such information would have fallen into if it had been reported. SCO § 15-8, last paragraph.

Not applicable

NOTICE OF WITHHELD INFORMATION, INDICATING APPLICABLE QUESTION NUMBER:

I swear under the penalties of perjury that the information in this Statement of Financial Interests, and on any attached pages, is true to the best of my knowledge. I understand that filing a deficient or false Statement of Financial Interests may result in legal action being taken against me.

Signature

Date



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