

**NOTICE OF PENALTIES:**

**THE FAILURE OF ANY OFFICIAL OR EMPLOYEE TO FILE BY Monday, April 3, 2017, WITHOUT REASONABLE CAUSE SHALL RENDER THAT PERSON DELINQUENT AND MAY RESULT IN ADMINISTRATIVE SANCTIONS AFTER THE GRACE PERIOD ENDS ON Monday, April 17, 2017.**



**CITY OF ATLANTA BOARD OF ETHICS**  
**2017 FINANCIAL DISCLOSURE STATEMENT**

Filing Deadline Monday, April 3, 2017

*To be completed by city officials and employees who are currently serving or served in 2016  
Covering reporting period since January 1, 2016  
File online at <https://AtlantaEfile.org>*

**PART ONE: IDENTIFYING INFORMATION**

*Read all instructions carefully and complete each part. All filers must answer questions marked with \*.*

(1) **Name\*** \_\_\_\_\_  
First Middle Last

*The answers to questions 2-5 are for administrative purposes only and will not be made available online.*

(2) **Home Address\*** \_\_\_\_\_  
Street Apt.

\_\_\_\_\_  
City State Zip Code

(3) **Mailing Address** (if different) \_\_\_\_\_

(4) **Telephone Number\*** \_\_\_\_\_  
Day-time Other

(5) **E-mail Address\*** \_\_\_\_\_

**PART TWO: REASONS FOR FILING**

(6) **Filing Categories.** Select the position that applies to you.

**Note: You may need to select more than one category.**

- ☐ Are you a city elected official or were you one in 2016?
- ☐ Are you a city employee or were you one in 2016?
- ☐ Are you a member of a city board, advisory commission or task force appointed by the Mayor or City Council to another public board, or a city hearing officer, or were you one in 2016?
- ☐ Are you a neighborhood planning unit chair or vice chair, or were you one in 2016?
- ☐ Are you the executive director, president, or chief executive officer of a city board, commission, authority, or similar body, or were you one in 2016?

(7) a. **City Elected Officials.** What is or was your position as a city elected official?

- ☐ Mayor  
☐ Council President  
☐ City Council Member  
☐ Municipal Court Judge

b. Are you currently serving as an elected city official?

- ☐ Yes ☐ No (if no, answer the next question)

c. When was your last month as an elected city official?

Month Year

**(8) Board, Commission, Authority or Task Force Members & Hearing Officers**

a. What is the name of the board or entity? \_\_\_\_\_

b. Are you currently serving in this position? ☐ Yes ☐ No (if no, answer the next question)

c. When was your last month of service? \_\_\_\_\_

Month Year

**(9) Neighborhood Planning Unit Officers**

a. Which neighborhood planning unit? \_\_\_\_\_

b. Which office do you hold in 2016? ☐ Chair, President, or Presiding Officer ☐ Vice Chair

c. Which office did you hold in 2015? ☐ Chair, President, or Presiding Officer ☐ Vice Chair

**(10) Executive Directors**

a. What is the name of the board or entity? \_\_\_\_\_

b. Are you currently serving in this position? ☐ Yes ☐ No (if no, answer the next question)

c. When was your last month of service? \_\_\_\_\_

Month Year

**PART THREE: SOURCES OF INCOME**

(11) a. **City Employment Income.** Since January 1, 2016, have you been employed by or received income from the City of Atlanta or a city-related agency? *Select yes if you are now on the city's payroll or were in 2016. Select no if your only compensation from the City is related to your service as a city board member.*

- ☐ Yes ☐ No

b. City Employees. What is or was your position with the City?

- ☐ Chief or Deputy Chief Operating Officer, Chief or Deputy Chief of Staff  
☐ Commissioner, Department head, or its equivalent  
☐ Deputy Commissioner, Deputy Department head, or its equivalent  
☐ Employee in the Mayor's office who reports directly to the Mayor  
☐ Other city employee

c. What is your specific city job title? \_\_\_\_\_

d. What is your city department or agency? \_\_\_\_\_

e. Are you currently employed with the City? ☐ Yes ☐ No (if no, answer the next question)

f. When was your last month and year on the city's payroll? \_\_\_\_\_  

Month
Year

(12) a. **Non-City Employment Income.** Since January 1, 2016, have you been employed by any other entity other than the City of Atlanta (self-employment, corporation, partnership, limited liability corporation, government, nonprofit organization or other business entity).

☐ Yes ☐ No

b. List the full name of every business entity, non-profit organization, or governmental agency in which you held an employment position. *You are not required to list any individual client or customer. Do not abbreviate or use initials. Example: John Smith Consultants, not JSC.*

(1) \_\_\_\_\_

(2) \_\_\_\_\_

c. Choose the category that best describes the type of business or services offered by each entity. *If you list more than one entry, state the entity name or number next to its category.*

<input type="checkbox"/> Arts and entertainment	<input type="checkbox"/> Manufacturing
<input type="checkbox"/> Construction	<input type="checkbox"/> Professional services
<input type="checkbox"/> Educational services	<input type="checkbox"/> Other services
<input type="checkbox"/> Finance	<input type="checkbox"/> Real estate
<input type="checkbox"/> Food and accommodation services	<input type="checkbox"/> Retail trade
<input type="checkbox"/> Government	<input type="checkbox"/> Transportation
<input type="checkbox"/> Health care	<input type="checkbox"/> Wholesale trade
<input type="checkbox"/> Insurance	
<input type="checkbox"/> Other category (describe) _____	

d. If you checked professional or other services in the last question, specify the type of services offered.

☐ Legal  
☐ Accounting  
☐ Consulting  
☐ Public relations  
☐ Other service (describe) \_\_\_\_\_

(13) a. **Other Business Income.** Since January 1, 2016, have you received more than \$5,000 in annual income from any corporation, partnership, proprietorship, non-profit organization, or other business entity, including limited partnerships or limited liability corporations, not listed previously. *Select no if the income is investment income from shares or holdings in securities, common stocks, bonds, or mutual funds.*

☐ Yes ☐ No

b. List the full name of every business entity or other organization from which you received income of more than \$5,000 in 2016 and that you have not previously listed. *You are not required to list any individual client or customer. Do not abbreviate or use initials.*

(1) \_\_\_\_\_

(2) \_\_\_\_\_

c. Choose the category that best describes the type of business or services offered by each entity. *If you list more than one entry, state the entity name or number next to its category.*

- |  |  |
|--|--|
| <input type="checkbox"/> Arts and entertainment          | <input type="checkbox"/> Manufacturing         |
| <input type="checkbox"/> Construction                    | <input type="checkbox"/> Professional services |
| <input type="checkbox"/> Educational services            | <input type="checkbox"/> Other services        |
| <input type="checkbox"/> Finance                         | <input type="checkbox"/> Real estate           |
| <input type="checkbox"/> Food and accommodation services | <input type="checkbox"/> Retail trade          |
| <input type="checkbox"/> Government                      | <input type="checkbox"/> Transportation        |
| <input type="checkbox"/> Health care                     | <input type="checkbox"/> Wholesale trade       |
| <input type="checkbox"/> Insurance                       |  |
| <input type="checkbox"/> Other category (describe) _____ |  |

#### PART FOUR: BUSINESS WITH THE CITY

(14) a. **Doing Business with the City.** Since January 1, 2016, has any person, employer, or entity that you listed as a source of income engaged in business with the City of Atlanta? *Select no if your employer is a large organization and you, in good faith, do not know whether it does business with the City.*

☐ Yes ☐ No

b. What is the full name of the entity? \_\_\_\_\_  
*List each business entity separately. Do not abbreviate or use initials.*

c. What is its business address? \_\_\_\_\_

d. What is the nature of its business or contract with the City? \_\_\_\_\_

e. To which department or city agency were the services or products provided?

f. How was the business awarded?

- ☐ Competitive sealed bid
- ☐ Request for proposal
- ☐ Contract for goods and services
- ☐ Memorandum of understanding
- ☐ Grant
- ☐ Other contractual agreement
- ☐ Other (describe) \_\_\_\_\_

g. Were you personally involved in any way in acquiring or doing work in connection with the business or contract for the City?

☐ Yes ☐ No

If yes, explain fully \_\_\_\_\_

(15) a. **Representing Private Interests before City Agencies.** Since January 1, 2016, have you been paid or compensated for appearing on behalf of any person, client or private interest before any city agency or board? *Select no if you appeared on your own behalf in your personal capacity as a city resident or appeared without receiving any compensation.*

☐ Yes ☐ No

b. What is the name of the person or client represented? \_\_\_\_\_

c. Before which department or city agency did you appear? \_\_\_\_\_

d. What was the nature of the business? \_\_\_\_\_

(16) a. **Representing Private Interests before Courts.** Since January 1, 2016, have you been paid or compensated for appearing in court on behalf of any person or private interest in any action, proceeding, or litigation against the City of Atlanta or a city agency or in which the City is the complainant?

☐ Yes ☐ No

b. In what court did you appear?

☐ Municipal Court of Atlanta

☐ Superior or State Court

☐ State Appellate Court

☐ Federal Court

☐ Other (describe) \_\_\_\_\_

c. In what capacity did you appear?

☐ Attorney

☐ Expert witness

☐ Other (describe) \_\_\_\_\_

## PART FIVE: FAMILY MEMBERS' TRANSACTIONS WITH THE CITY

(17) a. **Family Employment with the City.** Since January 1, 2016, has the City employed any of the following immediate family members: your spouse, registered domestic partner, father, mother, brother, sister, adopted or natural child, or the spouse of a parent, sibling, or child?

☐ Yes ☐ No

b. What is the family member's name? \_\_\_\_\_

c. What is your relationship?

☐ Spouse or registered domestic partner

☐ Father or mother

☐ Brother or sister

☐ Son or daughter

☐ A spouse of a parent, sibling, or child

d. In which city department or agency does he or she work? \_\_\_\_\_

e. Do you directly supervise or are you directly supervised by the immediate family member?

☐ Yes ☐ No

(18) a. **Family Transaction with the City.** Since January 1, 2016, has your spouse, registered domestic partner, father, mother, brother, sister, adopted or natural child, or the spouse of a parent, sibling, or child received any benefit from any transaction with the City directly or through a business in which they have a majority or controlling interest? *Select yes if you know, or with reasonable investigation should know, about the contract or other transaction with the City. Do not include any city employment listed in the last question.*

☐ Yes ☐ No

b. What is the family member's or business's name? \_\_\_\_\_

c. What is your relationship?

- ☐ Spouse or registered domestic partner  
☐ Father or mother  
☐ Brother or sister  
☐ Son or daughter  
☐ A spouse of a parent, sibling, or child

d. What is the nature of the transaction with the City?

- ☐ Contract  
☐ Zoning matter  
☐ Liquor license  
☐ Grant or receipt of aid  
☐ Other (describe) \_\_\_\_\_

e. With what city department or agency is the transaction? \_\_\_\_\_

#### PART SIX: DIRECT OWNERSHIP INTERESTS IN REAL PROPERTY

(19) a. **Property Ownership.** Do you own any real property in the State of Georgia? (Please include your principal place of residence as property that you own) *Select yes when you have a mortgage or deed to secure debt on your home. Include any beneficial ownership interest, deed, trust, or interest in real property held by a partnership, corporation, or other business entity.*

☐ Yes ☐ No

b. List the city, county, and zip code in which you own property and check whether the property is located in the City of Atlanta. *If the information is the same for more than one parcel, you do not need to repeat the entry.*

(1)	_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
	City	County	Zip Code	Inside City of Atlanta

(2)	_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
	City	County	Zip Code	Inside City of Atlanta

**PART SEVEN: ADDITIONAL QUESTIONS FOR CERTAIN DESIGNATED FILERS**

(20) a. **Stocks, Bonds, Blind Trusts, and Debt Holdings.** *To be completed by city elected officials, chief or deputy chief operating officers; chief or deputy chiefs of staff; commissioners, department heads, or their equivalents; deputy commissioners, deputy department heads, or their equivalents; and employees in the Mayor's office who report directly to the Mayor.*

During 2016, did you hold more than \$10,000 in any stock, bond, blind trust, debenture, or other form of debt obligation of any corporation or business entity? *Select no if your holdings are in mutual funds, personal checking accounts, time deposit accounts, other savings or retirement accounts held by a financial institution or the U.S. government, or any city deferred compensation or pension program.*

☐ Yes ☐ No

b. What is the name of the stock, bond, blind trust, debenture, or other debt obligation?

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(21) a. **Relatives Employed by the City.** *To be completed by the City Council President and members of the City Council.*

Since January 1, 2016, has the City employed any of the following relatives or other related persons:

- Your husband or wife
- Your registered domestic partner
- Your father, mother, or their spouses
- Your brother, sister, or their spouses
- Your son, daughter, or their spouses
- Your grandfather, grandmother, or grandchild
- Any relative living in your household
- Any person whom you intend to marry or with whom you intend to form a household
- Any other natural person having the same legal residence as you

☐ Yes ☐ No

b. What is the relative's name? \_\_\_\_\_

c. What is your relationship?

- ☐ Spouse or registered domestic partner
- ☐ Father, mother, or their spouses
- ☐ Brother, sister, or their spouses
- ☐ Son, daughter, or their spouses
- ☐ Grandfather, grandmother, or grandchild
- ☐ Any relative living in your household
- ☐ Any person whom you intend to marry or with whom you intend to form a household
- ☐ Any other natural person having the same legal residence as you

d. In which city department or agency does he or she work? \_\_\_\_\_

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(22) a. **Identity of Individual Clients.** *To be completed by the City Council President and members of the City Council.*

For each business that was a source of income in excess of \$5,000 in 2016, does it have a client, customer, or patron that does or seeks business with the City, does or seeks official action from the City, is a registered lobbyist, or is a "prohibited source" for another reason? *Select yes if you (a) know that the client is a prohibited source and (b) know that the prohibited source is a client of your business.*

☐ Yes ☐ No

b. What is the name of the prohibited source that is your business's client, customer, or patron?

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c. What is the address of the client, customer, or patron?

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**PART EIGHT: SIGNATURE.** *You must sign your statement to complete it.*

**I declare under penalty of perjury that I have reviewed this 2017 City Financial Disclosure Statement and to the best of my knowledge it is a true, accurate, and complete statement of my current financial interests. I understand that intentionally filing a statement that contains false or misleading information can result in sanctions or other penalties.**

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Signature

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Date

**Filing Instructions:** The deadline for filing is **April 3, 2017**. All required filers except senior citizens file this form by delivering the information via the online form at <https://AtlantaEfile.org>.

**Reminder Notice:** City officials and employees need to file a separate online disclosure form if any of the following conditions applied in 2016 and they have not previously filed a form about the matter:

- File a **Conflict of Interest Disclosure Report** if you had a financial or personal interest in any proposed legislation or decision pending before you or your agency.
- File a **Gift to City Report** if you accepted gifts on behalf of the City from a prohibited source, as a result of soliciting a donation, as an honorarium, or for addition to the general fund or the city's inventory of property.
- File a **Travel Disclosure Report** if you were paid by or received expense reimbursements from non-city sources in connection with travel or training in an official capacity for a speech, conference, or other event.

#### **Civil Penalties for Violating Financial Disclosure Requirements**

- Automatic late filing fines for any official or employee filing after **Monday, April 3, 2017**
- Listing in the Roll of Delinquent Filers posted at the website of the Board of Ethics
- Public or Private Reprimand
- Recommendation to department head of disciplinary action up to a day's suspension without pay
- Recommendation to appointing authority of removal from office of any non-filing official
- Recommendation that former employees are ineligible for rehiring and former board members and NPU officers are ineligible for appointment for one year