

**RESOLUTION NO. 20 OF 2001  
ADOPTION OF CODE OF ETHICS  
CODIFIED IN CHAPTER 66 OF THE LAWS OF ROCKLAND COUNTY  
FOR THE ROCKLAND COUNTY SOLID WASTE MANGEMENT AUTHORITY**

**WHEREAS**, in 1992, the New York Department of Environmental Conservation approved Rockland County's (the "County") Final Integrated Solid Waste Management Plan and Generic Environment Impact Statement (the "SWMP/GEIS"); and,

**WHEREAS**, the SWMP/GEIS sets forth a strategy that relies upon multiple waste management and facilities, including the recycling of select solid waste materials; and

**WHEREAS**, the Rockland County Solid Waste Management authority (the "Authority") was formed in accordance with section 2053-c *et seq.* of the Public Authority Law of the State of New York (the "Act"), and resolution No. 301 of 1994 of the County Legislature to implement certain provisions of the SWMP/GEIS and to construct solid waste management facilities; and

**WHEREAS**, the Authority recognizes there are rules of ethical conduct for officers and employees of the Authority which must be observed if a high degree of moral conduct is to be obtained and if public confidence is to be maintained in the Authority; and

**WHEREAS**, Chapter 66 of the Laws of Rockland County (the "Rockland County Code of Ethics") codifies rules to serve as a guide for official conduct of the members and employees of the County of Rockland; and

**WHEREAS**, ten of the seventeen members of the Authority Board are subject to the Rockland \County Code of Ethics by virtue of their being elected members of the County Legislature of County employees; and

**WHEREAS**, the Rockland County Code of Ethics provides for certain disclosure requirements that should be applicable to Authority members and employees, not just such members and employees which are elected County officials or employees; and,

**WHEREAS**, the Rockland County Code of Ethics is attached hereto as Exhibit A; and

**WHEREAS**, the Authority has determined it would be its best interest of the Authority to adopt the Rockland County Code of Ethics as the code of ethics applicable to members and employees of the Authority; and

**NOW THEREFORE BE IT:**

**RESOLVED**, that the Authority hereby adopts the Rockland County Code of Ethics as the code of ethics applicable to members and employees of the Authority,

**RESOLVED**, that, contingent upon the approval of the County Executive and the County Legislature of Rockland County, the County Ethics Board shall serve as the Authority's Ethics Review Board in accordance with the Rockland County Code of Ethics.

**RESOLVED**, that all disclosure requirements set forth in the Rockland County Code of Ethics shall be applicable to all Authority members and employees.

**Chapter 66**  
**ETHICS, CODE OF**

	<b>ARTICLE I</b>		
	<b>General Provisions</b>		
		<b>§ 66-11.</b>	<b>Annual statement of financial disclosure forms.</b>
		<b>§ 66-11.1.</b>	<b>Officers and employees required to disclose.</b>
<b>§ 66-1.</b>	<b>Purpose.</b>	<b>§ 66-11.2.</b>	<b>No conflicting interest or activity affidavit.</b>
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**[HISTORY: Adopted by the Rockland County Board of Supervisors 3-18-1963 by L.L. No. 1-1963; amended in its entirety 1-18-1971 by L.L. No. 1-1971. Subsequent amendments noted where applicable.]**

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Attachments:

[066a Schedule A](#)**CHAPTER 66. ETHICS, CODE OF**

**[HISTORY: Adopted by the Rockland County Board of Supervisors 3-18-1963 by L.L. No. 1-1963; amended in its entirety 1-18-1971 by L.L. No. 1-1971. Subsequent amendments noted where applicable.]**

**ARTICLE I. General Provisions****§ 66-1. Purpose.**

Pursuant to the provisions of § 806 of the General Municipal Law, the Legislature of Rockland County recognizes that there are rules of ethical conduct for public officers and employees which must be observed if a high degree of moral conduct is to be obtained and if public confidence is to be maintained in our unit of local government. It is the purpose of this chapter to promulgate these rules of ethical conduct for the officers and employees of the County of Rockland. These rules shall serve as a guide for official conduct of the officers and employees of the County of Rockland. The rules of ethical conduct of this chapter, as adopted, shall not conflict with, but shall be in addition to any prohibition of Article 18 of the General Municipal Law or special law relating to ethical conduct and interest in contracts of municipal officers and employees.

**§ 66-2. Definitions.**

As used in this chapter, the following terms shall have the meanings indicated:

**INTEREST**

A pecuniary or material benefit accruing to a municipal officer or employee.

**MUNICIPAL OFFICER OR EMPLOYEE**

An officer or employee of the County of Rockland, whether paid or unpaid, including members of any administrative board, commission or other agency thereof. No person shall be deemed to be a "municipal officer or employee" solely by reason of being a volunteer fireman or civil defense volunteer, except a chief engineer or assistant chief engineer.

**VALUABLE GIFT**

A gift having a value in excess of \$25.

**§ 66-3. Standards of conduct.**

Every officer or employee of the County of Rockland shall be subject to and abide by the following standards of conduct:

A. Gifts. He shall not, directly or indirectly, solicit, accept or receive any valuable gift, whether in the form of money, services, loan, travel, entertainment, hospitality, thing or promise, or any other form, from any person, firm or corporation which, to his knowledge, is interested, directly or indirectly, in any manner whatsoever, in business or professional dealings with the County or any agency thereof. He, further, shall not accept a gift of any kind, regardless of the value thereof, under circumstances in which it could reasonably be inferred that the gift was intended to influence him, or could reasonably be expected to influence him, in the performance of his official duties or was intended as a reward for any official action on his part.

B. Confidential information. He shall not disclose confidential information acquired by him in the course of his official duties or otherwise or use such information to further his personal interest or the interest of others. This subsection shall apply during the period of County affiliation as herein described and for a period of two years thereafter.

C. Conflicts of interest prohibited. No officer or employee of the County of Rockland, whether paid or unpaid, shall:

(1) Be or become interested, directly or indirectly, in any manner whatsoever, except by operation of law, in any business or professional dealings with the County or any agency thereof.

(2) Act as attorney, agent, broker, representative or employee for any person, firm or corporation interested, directly or indirectly, in any manner whatsoever, in business or professional dealings with the County or any agency thereof.

(3) Accept other employment or engage in any business transactions or make any investments, directly or indirectly, which create a conflict with his official duties.

D. Notwithstanding the provisions hereinbefore set forth, any person serving the County or any agency thereof without compensation shall not be prohibited from so serving by reason of financial, professional or business interests unless such interest is in conflict with the proper discharge of his official duties.

E. Disclosure of interest. Any officer or employee of the County of Rockland who has a direct or indirect financial or other private interest in any matter being considered by the Legislature of Rockland County or by any other official board, agency, officer or employee of the County of Rockland and who participates in discussions before or gives opinions to such Legislature of Rockland County, or any other board, agency or individuals, shall publicly disclose on the official record the nature and extent of such interest. Any officer or employee of the County of Rockland who has knowledge of any matter being considered by the Legislature of Rockland County, or any board, agency officer or employee of the County of Rockland, in which he has any direct or indirect financial or other private interest shall be required to disclose, in writing, his interest to such Legislature, board, agency, officer or employee and the nature and extent thereof.

F. Private employment. He shall not engage in, solicit, negotiate for or promise to accept private employment or render services for private interests when such employment or service creates a conflict with or impairs the proper discharge of his official duties.

G. Future employment. No person who has served as an officer or employee of the County of Rockland shall, within a period of two years after the termination of such service or employment, appear before any board or

agency of the County or receive compensation for any services rendered on behalf of any person, firm, corporation or association in relation to any case, proceeding or application with respect to which such person was directly concerned or in which he personally participated during the period of his service or employment or which was under his active consideration.

**§ 66-4. Filing of claims.**

Nothing herein shall be deemed to bar or prevent the timely filing by a present or former municipal officer or employee of any claim, account, demand or suit against the County of Rockland or any agency thereof on behalf of himself or any member of his family arising out of any personal injury or property damage or for any lawful benefit authorized or permitted by law.

**§ 66-5. Penalties.**

A. A violation of any of the provisions of this code shall constitute cause for fine, suspension or removal from office or employment in the form and manner provided by law.

B. In addition to any penalty contained in any other provision of law, any person who shall knowingly and intentionally violate any of the provisions of § 66-3 of this code shall be guilty of a Class B misdemeanor.

**§ 66-6. Distribution of Code of Ethics.**

**[Amended 9-4-1990 by L.L. No. 11-1990]**

A. The County Executive shall cause a copy of this chapter to be distributed to every affected elected official, officer and employee of the County within 30 days after the effective date of this chapter. Each affected officer and employee elected or appointed thereafter or nominated for office shall be furnished a copy before entering upon the duties of his or her office or employment or within 10 days after nomination.

B. The Rockland County Board of Elections shall cause a copy of this chapter to be distributed to every political party official and to every candidate within 30 days after the effective date of this chapter. Said Board shall also cause a copy of this chapter to be distributed to each person receiving financial disclosure forms from said Board pursuant to Article 14 of the Election Law.

**§ 66-7. Board of Ethics.**

**[Amended 9-4-1990 by L.L. No. 11-1990; 11-20-1990 by L.L. No. 14-1990]**

There is hereby created and established a Board of Ethics of Rockland County. Such Board shall have the powers, duties, responsibilities and obligations set forth hereafter. Such Board shall consist of five members to be appointed by the County Executive, subject to confirmation by the Legislature, all of whom shall reside in the County of Rockland and shall serve without compensation. None of such members shall be an elected or appointed officer or employee of the County of Rockland. Of the members first appointed to the Board, one shall hold office for the term of one year, one for the term of two years, one for the term of three years, one for the term of four years and one for the term of five years from and after his or her appointment. Their successors shall be appointed for terms of five years from and after the expiration of the terms of their predecessors in office. The members of the Board shall elect a Chairperson.

**§ 66-8. Powers and duties of Board.**

**[Amended 9-4-1990 by L.L. No. 11-1990]**

A. The Board of Ethics shall have the powers and duties prescribed by Article 18 of the General Municipal Law and shall render advisory opinions to the officers and employees of the County of Rockland with respect to Article 18 of the General Municipal Law.

B. The Board shall promulgate its own rules and regulations as to its forms and procedures and shall maintain appropriate records of its opinions and proceedings.

**ARTICLE II. Financial Disclosure**

**[Added 9-4-1990 by L.L. No. 11-1990]**

**§ 66-9. Definitions.**

For purposes of §§ 66-10 through 66-17 of this chapter, the following terms shall have the meanings set forth hereafter:

**BOARD OF ETHICS or BOARD**

The Rockland County Board of Ethics; provided, however, that for purposes of receiving and filing annual statements of financial disclosure for reporting years 1990 and 1991 and for purposes of investigating violations and enforcing the filing provisions of this chapter relating to said reporting years, the term "Board of Ethics" or "Board" shall mean the temporary State Commission on Local Government Ethics established pursuant to § 813 of the General Municipal Law.

**[Amended 5-7-1991 by L.L. No. 5-1991]**

**CANDIDATE**

Applies to any person seeking a nomination, designation or election as an elected official or political party official.

**COMPENSATION**

Remuneration in money, services, merchandise, loans, promise, travel or any other form.

**CONTRACT**

Any claim, account or demand against or agreement with the County, expressed or implied, and includes the designation of a depository of public funds and the designation of an official newspaper.

**COUNTY**

Rockland County.

**DEPENDENT**

Any of the following individuals, over half of whose support, for the calendar year in which the taxable year of the reporting individual begins, was received from the reporting individual (or is treated under Section 152 of Title 26 of the United States Code as received from the reporting individual):

- A. A descendant of an unemancipated child;
- B. A brother, sister, stepbrother or stepsister;
- C. The father or mother of the reporting individual or an ancestor of either;
- D. A stepfather or stepmother of the reporting individual;
- E. A son or daughter of a brother or sister of the reporting individual;
- F. A brother or sister of the father or mother of the reporting individual;
- G. A son-in-law, daughter-in-law, father-in-law, mother-in-law, brother-in-law or sister-in-law of the reporting individual; or
- H. An individual (other than an individual who at any time during the reporting individual's taxable year was the spouse of the reporting individual) who, for the taxable year of the reporting individual, has as a principal place of abode the home of the reporting individual and is a member of the reporting individual's household.

**ELECTED OFFICIAL**

An elected official of the County, and includes members of the County Legislature and the County Executive.

**INTEREST**

A pecuniary or material benefit accruing to an officer or employee as the result of a business or professional transaction with the County which such officer or employee serves. For the purpose of this Article, an officer or employee shall be deemed to have an "interest" in the affairs of:

- A. His or her spouse, children or dependents;
- B. A firm, partnership or association of which such officer or employee is a member or employee;
- C. A corporation of which such officer or employee is an officer, director or employee; or
- D. A corporation, any stock of which is owned or controlled directly by such officer or employee.

**LICENSING**

Any activity of a unit respecting the grant, denial, renewal or amendment of a license, permit or other form of permission conferring the privilege to engage in:

- A. A profession, trade or occupation; or
- B. Any business or activity regulated by a regulatory agency.

**MINISTERIAL MATTER**

An administrative act carried out in a prescribed manner not allowing for substantial personal discretion.

**OFFICER OR EMPLOYEE**

[Amended 5-7-1991 by L.L. No. 5-1991; 10-15-1991 by L.L. No. 11-1991; 3-16-1993 by L.L. No. 2-1993]:

- A. The elected officials of the County of Rockland;
- B. The heads (other than local elected officials) of any unit of the County except Rockland Community College and such of their deputies and assistants who hold policy-making positions as annually determined by the County Legislature by resolution;
- C. The officers and employees of Rockland Community College who hold policy-making positions as annually certified to the County Legislature by the Board of Trustees of Rockland Community College not later than the fifth day of January of each year and as thereafter annually approved by the County Legislature by resolution;
- D. The members of the Board of Ethics; and
- E. The officers and employees of the County of Rockland who hold the following professional licenses, whether or not those persons practice their professions privately and whether or not those persons use their licenses in the performance of their County functions, provided that those persons' annual compensation exceed \$7,500:
  - (1) Attorneys.
  - (2) Physicians.
  - (3) Dentists.
  - (4) Engineers.
  - (5) Accountants.

**POLITICAL PARTY OFFICIAL**

Any chairman of a County committee elected pursuant to the Election Law or designated by the rules of a County political committee as the County Leader or Chairman of the Executive Committee, or by whatever title designated, pursuant to the rules of such County committee or, who in actual practice, possesses or performs the principal political executive and administrative functions of said County committee or has the power of general management over the affairs of such County committee or the power to exercise the powers of the Chairman of such County committee in accordance with the rules of such County committee.

**RELATIVE**

The spouse, child, stepchild or stepparent or any person who is a direct descendant of the grandparents of the reporting individual or of the reporting individual's spouse.

**REPORTING INDIVIDUAL**

The person required by this article to file an annual financial disclosure statement.

**SPOUSE**

The husband or wife of the reporting individual unless:

- A. Living separate and apart from the reporting individual with the intention of terminating the marriage or providing for permanent separation; or
- B. Separated pursuant to:
  - (1) A judicial order, decree or judgment; or
  - (2) A legally binding separation agreement.

**UNEMANCIPATED CHILD**

Any son, daughter, stepson or stepdaughter under the age of 18, unmarried and living in the household of the reporting individual.

**UNIT**

Any department, division, board, commission or bureau of the County.

**§ 66-10. Financial disclosure statement requirements.**

A. Types of statements required.

**[Amended 4-1-2004 by L.L. No. 4-2004]**

(1) Every elected official, officer, employee and political party official and every candidate for County elected office shall file an annual statement of financial disclosure containing such information and in such form as is set forth in § 66-11 of this chapter.

**[Amended 11-7-2007 by L.L. No. 17-2007]**

(2) Any person who is required to file an annual statement of financial disclosure shall also file a no conflicting interest or activity affidavit at the same time. Any person who serves on a County board or commission whose title is not listed in Schedule A Editor's Note: Schedule A is included at the end of this chapter. shall file a no conflicting interest or activity affidavit yearly and file same by the date set forth in § 66-10B in the form set forth in this chapter.

(3) Refusal to file no conflicting interest or activity affidavit.

(a) Anyone refusing to execute and affirm the accuracy of the statement of no conflicting interest or activity shall be ineligible for appointment to any County board, commission, committee or similar entity. In the case of confirmations this statement shall be signed at or before the legislative committee meeting taking up and voting on said confirmation.

(b) If any person required to file a no conflicting interest or activity affidavit is presently appointed to any County board, commission, committee or is employed by the County, and such individual presently refuses to sign the aforesaid statement by the date set forth in this statute, that person's appointment shall become immediately voidable and upon resolution of the County Legislature passed by simple majority such appointment (should such person continue to refuse to sign) shall upon passage be void (terminated).

B. Such statement shall be filed on or before the 15th day of May with respect to the preceding calendar year, except that:

**[Amended 4-2-1991 by L.L. No. 4-1991; 3-16-1993 by L.L. No. 2-1993]**

(1) A person who is subject to the reporting requirements of this subsection and who has timely filed with the Internal Revenue Service an application for automatic extension of time in which to file his or her individual income tax return for the immediately preceding calendar or fiscal year shall nonetheless be required to file such financial disclosure statement on or before May 15. However, such a person may, without being subjected to any civil penalty on account of a deficient statement, indicate with respect to any item of the disclosure statement that information with respect thereto is lacking but will be supplied in a supplementary statement of financial disclosure. Such supplementary statement shall be filed on or before the seventh day after the expiration of the period of such automatic extension of time within which to file such individual income tax return, provided that failure to file or to timely file such supplementary statement of financial disclosure or the filing of an incomplete or deficient supplementary statement of financial disclosure shall be subject to the notice and penalty provisions of this chapter respecting annual statements of financial disclosure as if such supplementary statement were an annual statement.

(2) Candidates for County elected office who file designating petitions for nomination at a primary election shall file a financial disclosure statement within two business days after the last day allowed by law for the filing of designating petitions naming said candidates for the next succeeding primary election.

(3) Candidates for independent nomination for County elected office who have not been designated by a party to receive a nomination, shall file a financial disclosure statement within two business days after the last day allowed by law for the filing of individual nominating petitions naming said candidates as candidates for County elected official in the next succeeding general or special election.

(4) Candidates for County elected office who receive the nomination of a party for a special election shall file a financial disclosure statement within two business days after the date of the meeting of the party committee at which they are nominated.

(5) Political party officials, and any other person required to file a financial disclosure statement, who commence employment after May 15 of any year shall file such statement within 30 days after commencing employment or of taking the position of political party official, as the case may be.

(6) A person who is subject to the filing requirement of both Subdivision 2 of § 73-a of the Public Officers Law and of this chapter may satisfy the requirements of this chapter by filing a copy of the financial disclosure statement filed pursuant to § 73-a of the Public Officers Law with the Rockland County Board of Ethics on or before the filing deadline provided in such § 73-a, notwithstanding the filing deadline otherwise imposed by this subsection.

(7) A person who is subject to the filing requirement of this chapter from more than one political subdivision within Rockland County may satisfy the requirements of this chapter by filing only one annual financial disclosure statement with the Rockland County Board of Ethics. If such political subdivision crosses one or more County boundary lines, then such single filing may be made for any of the counties in which one of such political subdivision is located; provided, however, that the Board of Ethics is notified of the name of the County of such compliance by the person who is subjected to the filing requirements of this chapter, within the time limit for filing specified in this chapter.

(8) A County elected official who is simultaneously a candidate for County elected official shall satisfy the filing deadline requirements of this subsection by complying only with the deadline applicable to one who holds such County elected office.

(9) A candidate whose name will appear on both a party designating petition and on an independent nominating petition for the same office or who will be listed on the election ballot for the same office more than once shall satisfy the filing deadline requirements of this chapter by complying with the earliest applicable deadline only.

(10) Upon the request of any person subject to the filing requirement of this chapter, the Board of Ethics shall grant an additional period of time within which to file such statement, such additional period not to exceed 15 days. Upon a showing to the Board of justifiable cause or undue hardship, such initial additional period may be further extended for a period not to exceed 15 days.

(11) A person who is required to file an annual financial disclosure statement with the Board of Ethics and who is granted an additional period of time within which to file such statement due to justifiable cause or undue hardship, in accordance with required rules and regulations on this subject, shall file such statement within the additional period of time granted.

C. As used in this section, the terms "party," "committee" (when used in conjunction with the term "party"), "designation," "primary," "primary election," "nomination," "independent nomination," "ballot" and "uncontested office" shall have the same meanings as those contained in § 1-104 of the Election Law.

D. The annual financial disclosure statement shall be submitted to the Board of Ethics in a sealed envelope. The Board shall keep, as a matter of public record, a log of all such filings by name and date on which such filing was received. The Board shall open the same to determine that said form is complete. Thereafter, the Board shall keep said filings in a closed file except as hereafter provided.

E. Said financial disclosure statement shall be solely for the purpose of evaluation by the Board of Ethics of the legitimacy of any charges made against any person covered by this chapter as set forth in §§ 66-15 and 66-16 of this chapter.

F. The Board of Ethics shall obtain from the Rockland County Board of Elections lists of all candidates for County elected office and, from such lists, shall determine and officially publish lists of those candidates who have not, within two days after the required date for filing a financial disclosure statement, filed the statement required by this chapter.

**§ 66-11. Annual statement of financial disclosure forms.**

**[Amended 11-7-2007 by L.L. No. 16-2007** Editor's Note: This local law provided that Form A, as set forth in Subsection A below, shall be utilized by persons in positions identified annually by resolution of the Rockland County Legislature, designating which positions are elected officers, employees and appointees who hold policymaking or influencing positions. Form B, as set forth in Subsection B below, shall be the form utilized by volunteer members of boards and commissions as designated in the annual resolution on financial disclosure. Nothing in this section will prevent Form B filers from filing the Form A form if they wish to do so. ]

A. Form A. The annual statement of financial disclosure shall contain the information and shall be in the form set forth below:

ANNUAL STATEMENT OF FINANCIAL DISCLOSURE  
FOR ROCKLAND COUNTY

Calendar Year \_\_\_\_\_

1. Name
2. (a) Title of Position
  - (b) Department, Agency or other Governmental Entity
  - (c) Address of Present Office
  - (d) Office Telephone Number
3. (a) Marital Status \_\_\_\_\_. If married, please give spouse's full name including maiden name where applicable.
  - (b) List the names of all unemancipated children.

Answer each of the following questions completely, with respect to calendar year, unless another period or date is otherwise specified. If additional space is needed, attach additional pages.

Whenever a "value" or "amount" is required to be reported herein, such value or amount shall be reported as being within one of the following Categories: Category A - under \$50,000; Category B - \$50,000 to under \$100,000; Category C - \$100,000 to under \$250,000; Category D - \$250,000 or over. A reporting individual shall indicate the Category by letter only.

For the purposes of this statement, anywhere the term "local agency" shall appear, such term shall mean a local agency of the County of Rockland, as defined in § 810 of the General Municipal Law.

4. List any office, trusteeship, directorship, partnership, or position of any nature, including honorary positions, if known, and excluding membership positions, whether compensated or not, held by the reporting individual, or by the spouse or unemancipated child of the reporting individual, with any firm, corporation, association, partnership, or other organization other than the State of New York or Rockland County. If said entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Self, Spouse or Child	Position	Organization	State or Local Agency
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5. List the name, address and description of any occupation, employment, trade, business or profession engaged in by the reporting individual, or by the spouse or unemancipated child of the reporting individual. If such activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Self, Spouse or Child	Position	Name and Address of Organization	Descrip- tion	State or Local Agency
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6. List any interest, in excess of \$1,000, excluding bonds and notes, held by the reporting individual, such individual's spouse or unemancipated child, in any contract made or executed by a state or local agency. An "interest" includes membership in a partnership or ownership of more than ten percent of the stock of a corporation. Include the name of the entity which holds such interest and the relationship of the reporting individual or such individual's spouse or such child to such entity and the interest in such contract. Do not list any interest in any such contract on which final payment has been made and all obligations under the contract except from guarantees and warranties have been performed, provided, however, that such an interest must be listed if there has been an ongoing dispute during the calendar year for which this statement is filed with respect to any such guarantees or warranties. Do not list any interest in a contract made or executed by a state agency after public notice and pursuant to a process for competitive bidding or a process for competitive requests for proposals.

<b>Self, Spouse or Child</b>	<b>Entity Which Held Interest in Value of Contract</b>	<b>Relation- ship to Entity and Interest in Contract</b>	<b>Contrac- ting State or Agency</b>	<b>Category of Value of Local Contract</b>
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7. List any position the reporting individual held as an officer of any political party or political organization, as a member of any political party committee, or as a political party district leader. The term "party" shall have the same meaning as "party" in the Election Law. The term "political organization" means any party or independent body as defined in the Election Law or any organization that is affiliated with or a subsidiary of a party or independent body.
8. If the reporting individual practices law, is licensed by the Department of State as a real estate broker or agent or practices a profession licensed by the Department of Education, give a general description of the principal subject areas of matters undertaken by such individual. Additionally, if such an individual practices with a firm or corporation and is a partner or shareholder of the firm or corporation, give a

general description of principal subject areas of matters a undertaken by such firm or corporation. Do not list the name of the individual clients, customers or patients.

- (b) List the name, principal address and general description or the nature of the business activity of any entity in which the reporting individual or such individual's spouse had an investment in excess of \$1,000, excluding investments in securities and interests in real property.

- 9. For this reporting period, list each source of gifts, excluding campaign contributions, in excess of \$1,000, received by the reporting individual or such individual's spouse or unemancipated child from the same donor, excluding gifts from a relative. Include the name and address of the donor. The term "gifts" does not include reimbursements, which term is defined in Item 10. Indicate the value (by category) and nature of each

Self, Spouse or Child	Name of Donor	Address	Category of Nature of Gift	Category of Value
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- 10. Identify and briefly describe the source of any reimbursements for expenditures, excluding campaign expenditures and expenditures in connection with official duties reimbursed by the political subdivision for which this statement has been filed, in excess of \$1,000 from each such source. For purposes of this item, the term "reimbursements" shall mean any travel-related expenses provided by nongovernmental sources and for activities related to the reporting individual's official duties, such as speaking engagements, conferences, or factfinding events. The term "reimbursements" does not include gifts reported under Item 9.

Source	Description
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- 11. List the identity and value, by category, if reasonably ascertainable, of each interest in a trust, estate or other beneficial interest, including retirement plans other than retirement plans of the State of New York or the City of New York, and deferred compensation plans established in accordance with the Internal Revenue Code, in which the reporting individual held a beneficial interest in excess of \$1,000 at any time during the preceding year. Do not report interests in a trust, estate or other beneficial interest established by or for, or the estate of, a relative.

Identity	Category of Value*
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\*The value of such interest shall be reported only if reasonably ascertainable.

- 12. (a) Describe the terms of, and the parties to, any contract, promise, or other agreement between the reporting individual and any person, firm, or corporation with respect to the employment of such individual after leaving office or position (other than a leave of absence).

(b) Describe the parties to and the terms of any agreement providing for continuation of payments or benefits to the reporting individual in excess of \$1,000 from a prior employer other than the political subdivision for which this statement is filed. (This includes interests in or contributions to a pension fund, profit-sharing plan, or life or health insurance; buyout agreements; severance payments; etc.)

13. List below the nature and amount, by category, of any income in excess of \$1,000 from each source for the reporting individual and such individual's spouse for the taxable year last occurring prior to the date of filing. "Nature of income" includes, but is not limited to, salary for government employment, income from other compensated employment, whether public or private, directorships and other fiduciary positions, contractual arrangements, teaching income partnerships, honorariums, lecture fees, consultant fees, bank and bond interest, dividends, income derived from a trust, real estate rents, and recognized gains from the sale or exchange of real or other property. Income from a business or profession and real estate rents shall be reported with the source identified by the building address in the case of real estate rents and otherwise by the name of the entity and not by the name of individual customers, clients or tenants, with the aggregate net income before taxes for each building address or entity. The receipt of maintenance received in connection with a matrimonial action, alimony and child support payments shall not be listed.

Self/Spouse	Source	Nature	Category of Amount
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14. List the sources of any deferred income in excess of \$1,000 from each source to be paid to the reporting individual following the close of the calendar year for which this disclosure statement is filed, other than deferred compensation reported in Item 11, above. Deferred income derived from the practice of a profession shall be listed in the aggregate and shall identify as the source, the name of the firm, corporation, partnership or association through which the income was derived, but shall not identify individual clients.

Source	Category of Amount
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15. List each assignment of income in excess of \$1,000 and each transfer other than to a relative during the reporting period for which this statement is filed for less than fair consideration of an interest in a trust, estate or other beneficial interest, securities or real property, by the reporting individual, in excess of \$1,000, which would otherwise be required to be reported herein and is not or has not been so reported.

Item Assigned or Transferred	Assigned or Transferred to	Category of Value
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16. List below the type and market value of securities held by the reporting individual or such individual's spouse from each issuing entity in excess of \$1,000 at the close of the taxable year last occurring prior to the date of filing, including the name of the issuing entity. Do not include securities held by the reporting individual issued by a professional corporation. Whenever an interest in securities exists through a

beneficial interest in a trust, the securities held in such trust shall be listed only if the reporting individual has knowledge thereof except where the reporting individual or the reporting individual's spouse has transferred assets to such trust for his or her benefit. In that event, such securities shall be listed unless they are not ascertainable by the reporting individual because the trustee is under an obligation or has been instructed in writing not to disclose the contents of the trust to the reporting individual (e.g., a "blind trust"). Securities of which the reporting individual or the reporting individual's spouse is the owner of record but in which such individual or the reporting individual's spouse has no beneficial interest shall not be listed. Indicate percentage of ownership if the reporting person or the reporting person's spouse holds more than five percent of the stock of a corporation in which the stock is publicly traded, or more than ten percent of the stock of a corporation in which the stock is not publicly traded. Also list securities owned for investment purposes by a corporation, more than fifty percent of the stock of which is owned or controlled by the reporting individual or such individual's spouse. For the purpose of this item, the term "securities" shall mean bonds, mortgages, notes, obligations, warrants and stocks of any class, investment interests in limited or general partnerships and certificates of deposits, and such other evidences of indebtedness and certificates of interest as are usually referred to as "securities."

The market value for such securities shall be reported only if reasonably ascertainable and shall not be reported if the security is an interest in a general partnership that was listed in Item 8(a) or if the security is corporate stock, not publicly traded, in a trade or business of a reporting individual or a reporting individual's spouse.

<b>Self/ Spouse</b>	<b>Issuing Entity</b>	<b>Type of Security</b>	<b>Category of Market Value as of the Close of the Taxable Year Last Occurring Prior to the Filing of This Statement</b>	<b>Percentage of Corporate Stock Owned or Controlled</b>
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- List below the location, size, general nature, acquisition date, market value and percentage of ownership of any real property in which any vested or contingent interest in excess of \$1,000 is held by the reporting individual or the reporting individual's spouse. Also list real property owned for investment purposes by a corporation more than fifty percent of the stock of which is owned or controlled by the reporting individual or such individual's spouse. Do not list any real property which is the primary or secondary personal residence of the reporting individual or the reporting individual's spouse, except where there is a co-owner who is other than a relative.

<b>Self/ Spous/ Other Party</b>	<b>Location</b>	<b>Size</b>	<b>General Nature</b>	<b>Acquisi- tion Date</b>	<b>Category of Market Value</b>	<b>Percentage of Ownership</b>
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<b>Self/ Spous/ Other Party</b>	<b>Location</b>	<b>Size</b>	<b>General Nature</b>	<b>Acquisi- tion Date</b>	<b>Category of Market Value</b>	<b>Percentage of Ownership</b>
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18. List below all notes and accounts receivable, other than from goods or services sold, held by the reporting individual at the close of the taxable year last occurring prior to the date of filing and other debts owed to such individual at the close of the taxable year last occurring prior to the date of filing, in excess of \$1,000, including the name of the debtor, type of obligation, date due and the nature of the collateral securing payment of each, if any, excluding securities reported in Item 16, above. Debts, notes and accounts receivable owed to the individual by a relative shall not be reported.

	Type of Obligation, Date Due, and Nature of Collateral, if any		Category of Amount
Name of Debtor			

19. List below all liabilities (e.g., monies owed) of the reporting individual and such individual's spouse, in excess of \$5,000 as of the date of filing of this statement, other than liabilities to a relative. Do not list liabilities incurred by, or guarantees made by, the reporting individual or such individual's spouse or by any proprietorship, partnership or corporation in which the reporting individual or such individual's spouse has an interest, when incurred or made in the ordinary course of the trade, business or professional practice of the reporting individual or such individual's spouse. Include the name of the creditor and any collateral pledged by such individual to secure payment of any such liability. A reporting individual shall not list any obligation to pay maintenance in connection with a matrimonial action, alimony or child support payments. Revolving charge account information shall only be set forth if the liability thereon is in excess of \$5,000 at the time of filing. Do not include any loan issued in the ordinary course of business by a financial institution to finance educational costs, the cost of home purchase or improvements for a primary or secondary residence, or purchase of a personally owned motor vehicle, household furniture or appliances. If any such reportable liability has been guaranteed by any third person, list the liability and name the guarantor.

	Type of Liability and Collateral, if any		Category of Amount
Name of Creditor or Guarantor			

The requirements of law relating to the reporting of financial interests are in the public interest and no adverse inference of unethical or illegal conduct or behavior will be drawn merely from compliance with these requirements.

(Signature of Reporting Individual) Date (month/day/year)

B. Form B. The annual statement of financial disclosure shall contain the information and shall be in the form set forth below. Answer each of the questions completely, and if additional space is needed, attach additional pages.

**ROCKLAND COUNTY  
ANNUAL STATEMENT OF FINANCIAL DISCLOSURE**

Calendar Year \_\_\_\_\_

Last Name                      First Name                      Middle Initial

Current Employer/Business                      Title/Position

Advisory Council/Board/Commission/Appointment(s)

Work Address                      Work Phone No.

Home Address                      Home Phone No.

Marital Status: \_\_\_\_\_ If married, please give spouse's full name, including maiden name where applicable.

List the names of all children under 21 living with you at home:

The purpose of this disclosure statement is to identify potential conflicts that may exist between private and public life with respect to your duties while an elected official, officer, employee, political party official, candidate for County elected office or serving on a voluntary Rockland County board, commission or advisory council. Please follow all directions carefully and attach additional pages if necessary. Disclosure of the information on this form is required for compliance with the Rockland County Code of Ethics and New York General Municipal Law.

1. Outside Employment and Business. List the name of every employer or business from which you were paid more than \$2,500 for services performed or for goods sold or produced, whether you were a paid member, officer, director, or employee during the reporting period. Do not list the County of Rockland as an employer (this information is covered in question 3 below) or individual customers or clients of the business. Do not list businesses in which you were an investor only (these are identified in question 2 below). Identify the nature and type of the business, such as a partnership, corporation, limited-liability company, or sole proprietorship, and list your relationship(s) to the employer or business (i.e., owner, partner, officer, director, member, employee and/or shareholder) and state your position with the employer. Provide the same information for your spouse.

Name	Relation- ship to you	Name of Employer or Business	Nature of Business	Type of Business	Position Held
e.g.: John Doe	Husband	ABC Realty	Real Estate	Partner- ship	Employee

2. Privately held investments. List the name of any privately held entity in which, during the reporting period, you had an ownership interest of at least 20% of the entity or an investment with a total value of at least \$50,000 in the entity. Do not list any entity listed in response to question 1 above or any publicly traded entity. Identify the nature of the business and the type of business (e.g., corporation, limited-liability company, partnership). Provide the same information for your spouse or children under 21 living with you at home.

Name	Relation- ship to you	Name of Entity	Nature of Business	Type of Business
e.g.: Mary Doe	Self	R&D Investiga- tions	Private Investiga- tions	Corpor- ation

3. Rockland County employment. List any and all relatives, defined with respect to this question only as your spouse, children, siblings, parents or in-laws, including yourself, who were employed by the County of Rockland in a permanent, full-time capacity during the reporting period. Please include the position or title and the department.

Name	Relationship to you	Position Held/Title	County Department
e.g.: Ralph Roe	Father-in-law	Attorney	Law Department

4. Government and not-for-profit positions. List each office or position, whether paid or unpaid, that you held during the reporting period with any federal, state or municipal government entity or with any not-for-profit organization. Do not list entities where you were only a member but had no office or position. Do not list entities where you only volunteered in a non-policy-making, non-administrative capacity, such as a neighborhood Girl Scout leader or a Little League coach. Do not list any office or position reported elsewhere on this form.

Entity or Organization	Position
e.g. Salvation Army	Board Member

5. List each gift worth \$75 or more that you or your spouse received from any person, firm or entity that has or had a matter pending during the reporting period before you, your department or the board, commission or counsel upon which you serve. For purposes of this question, "matter pending" means a formal request for a contract, goods, services, funding, license or permit. A "gift" means anything of value for which you or your spouse paid nothing or paid less than the fair market value and may be in the form of money, services, reduced interest on a loan, travel, travel reimbursements, entertainment, hospitality, or in any other form. Note that separate gifts from the same or affiliated donor during the reporting period must be added together for purposes of the \$75 threshold.

Name	Relationship to you	Donor of Gift	Nature of Gift
e.g.: Mary Doe	Self	XYZ Corp.	Free trip to Atlantic City

The reporting of information in this statement is required by the New York State General Municipal Law and the Laws of Rockland County. Improper use of the information

contained in this statement by any third person or entity in violation of privacy or other rights is separately punishable in accordance with the law. Please be advised that, pursuant to New York State law, this statement is available in its entirety for public inspection and reproduction, but any information within the statement deemed exempt by New York State law or the Laws of Rockland County shall be redacted accordingly.

I certify that all of the above information is true to the best of my knowledge and that within the past two weeks I have read the attached summary of the Rockland County Code of Ethics.

Dated \_\_\_\_\_ Signature

C. Required filings.

(1) All members of Rockland County boards who are not identified as persons who shall file either Form A or B financial disclosure forms shall annually file with the County Ethics Board by the date set forth for filing annual financial disclosure forms the "no conflicting interest or activity affidavit" of the County. Failure to file shall be subject to sanctions as set forth in the law.

(2) Chairpersons of the County boards shall file the Form B (short form) financial disclosure affidavit, except when all board members of a board are required to file Form A (long form) per the annual list of policymaking or influencing positions.

(3) All board members and employees of public authorities in Rockland County identified in New York State Public Authorities Law § 2825(3) shall file the Rockland County Form B (short form) as set forth in § 66-11B financial disclosure law.

**§ 66-11.1. Officers and employees required to disclose.**

**[Added 5-7-1991 by L.L. No. 5-1991; amended 4-7-1992 by L.L. No. 2-1992]**

Persons holding any of the positions listed in Schedule A annexed hereto Editor's Note: Schedule A is included at the end of this chapter. shall be considered officers and employees of the County for the purpose of filing annual statements of financial disclosure, pursuant to this article.

**§ 66-11.2. No conflicting interest or activity affidavit.**

**[Added 4-1-2004 by L.L. No. 4-2004]**

The no conflicting interest or activity form shall be as follows:

DISCLOSURE, ACKNOWLEDGEMENT AND AFFIRMATION OF NO CONFLICTING INTEREST OR ACTIVITY, WHICH WOULD CONSTITUTE A PERSONAL GAIN OR A CONFLICT OF INTEREST

(Short-Form Disclosure Affirmation)

With full knowledge and awareness I affirm that I do not have, I have not engaged in, and I will not engage in any activity that would provide a personal or pecuniary gain to myself, my spouse, or my dependent(s) from the activity (activities) in which I now give (or am about to give) my services, to the County of Rockland or any affiliated or associated board, commission or agency thereof.

Dated \_\_\_\_\_ 200

Signature

Printed Name

## Board or Activity

**§ 66-12. Penalties.**

A. A reporting individual who knowingly and willfully fails to file an annual statement of financial disclosure or who, knowingly and willfully with intent to deceive, makes a false statement or gives information which such individual knows to be false on such statement of financial disclosure filed pursuant to this article shall be assessed a civil penalty in an amount not to exceed \$10,000. Assessment of a civil penalty shall be made by the Board of Ethics with respect to persons subject to its jurisdiction. The Board of Ethics acting pursuant to this chapter may impose a civil penalty as aforesaid, and said Board shall refer a violation to the appropriate prosecutor, and upon such conviction, but only after such referral, such violation shall be punishable as a Class A misdemeanor.

B. A civil penalty for false filing may not be imposed hereunder in the event that a "value" or "amount" reported upon as required by this chapter is incorrect, unless such reported information is willfully understated. No other penalty, civil or criminal, may be imposed for a failure to file or for a false filing of such statement of financial disclosure, except that disciplinary action may be imposed as otherwise provided by law or as may be provided by professional oversight or licensing agencies.

C. The Board of Ethics shall be deemed to be an agency within the meaning of Article 3 of the State Administrative Procedure Act and shall adopt rules governing the conduct of adjudicatory proceedings relating to the assessment of the civil penalties herein authorized. Such rules, which shall not be subject to the approval requirements of the State Administrative Procedure Act, shall provide for due process procedural mechanisms substantially similar to those set forth in such Article 3, but such mechanisms need not be identical in terms of scope. Such rules shall be subject to the approval of the County Legislature and shall not be effective until so approved.

D. Assessment of a civil penalty shall be final unless modified, suspended or vacated within 30 days of imposition and, upon becoming final, shall be subject to review at the instance of the affected reporting individual in proceeding against the Board of Ethics pursuant to Article 78 of the Civil Practice Law and Rules.

**§ 66-13. Additional powers of Board of Ethics.**

The Board of Ethics created and established pursuant to § 66-7 of this chapter shall have and exercise such additional powers and duties as are set forth below:

A. The Board may delegate authority to its Chairperson to call meetings of the Board and to make preliminary review of any matter before the Board; provided, however, that any such review is subject to further review and ratification by the Board.

B. The Board may appoint such staff as are deemed necessary by the County Legislature to carry out its duties under this chapter, with the appropriations and budget established by the County Legislature.

C. The Board may recommend that the County Legislature adopt, amend and rescind rules and regulations to govern procedures and financial disclosure required hereunder. The Board may utilize or modify such rules or regulations or adopt, subject to the approval of the County Legislature, separate rules or regulations for the purposes of Subdivision (d) of § 811 of the General Municipal Law.

D. The Board may promulgate guidelines to assist the County Legislature in determining which persons hold policymaking positions for the purposes of Article II of this chapter.

E. The Board may make available forms for annual statements of financial disclosure required to be filed pursuant to Article II of this chapter.

F. The Board may review completed financial disclosure statements in accordance with the provisions of Article II of this chapter.

G. The Board may receive complaints alleging a violation of the provision of Article II of this chapter or a violation of the criteria for reporting requirements established by this chapter.

H. The Board may recommend to the County Legislature rules and regulations relating to possible conflicts between private interests and official duties of elected officials, political party officials, officers and employees, and candidates for County elective office.

I. The Board may act as repository for completed financial disclosure forms filed pursuant to this chapter.

J. Upon certification of a question, the Board may determine a question common to a class or defined category of persons or items of information required to be disclosed, where determination of the question will prevent undue repetition or prevent undue complication in complying with the requirements of such section.

K. In addition to any other powers and duties specified by law, the Board shall have the power and duty to:

(1) Administer and enforce all the provisions of this chapter.

(2) Conduct any investigation necessary to carry out the provisions of this chapter. Pursuant to this power and duty, the Board may administer oaths or affirmations, subpoena witnesses and compel their attendance and require the production of any books or records which it may deem relevant or material.

#### **§ 66-14. Availability of records for public inspection.**

A. The records of the Board which shall be available for public inspection are:

(1) Notices of delinquency;

(2) Notices of reasonable cause;

(3) Notices of civil assessments imposed under this chapter; and

(4) Information provided in an annual statement of financial disclosure filed pursuant to this chapter, except the categories of value or amount and the first and last pages of Internal Revenue Service Form 1040, all of which shall remain confidential.

**[Amended 5-7-1991 by L.L. No. 5-1991]**

B. Notwithstanding the provisions of Article 7 of the Public Officers Law, no meeting or proceeding of the Board shall be open to the public unless expressly requested to be made public by an individual to whom such meeting or proceeding directly relates. Such a request shall be granted only if the privacy rights of other involved individuals will not be compromised thereby.

#### **§ 66-15. Review of financial disclosure statements.**

A. The Board shall inspect all financial disclosure statements filed with it to ascertain whether any person subject to the reporting requirements has failed to file such a statement, has filed a deficient statement or has filed a statement which reveals a possible violation of this chapter.

B. If a person required to file a financial disclosure statement with the Board has failed to file a disclosure statement or has filed a deficient statement, the Board shall notify the reporting person in writing, state the failure to file or detail the deficiency and advise the person of the penalties for failure to comply with the reporting requirements. The Board may, in respect to deficiency that is not willful, provide the person with a period of time, not to exceed 15 days, to cure the deficiency. Such notice shall be confidential. If the person fails to make such filing or fails to cure the deficiency within the specified time period, the Board shall send a notice of delinquency:

(1) To the reporting individual; and

(2) In the case of an officer or employee, to the appointing authority for such person.

#### **§ 66-16. Investigations of violations.**

A. If a reporting individual has filed a statement which reveals a possible violation of this chapter, or the Board receives a sworn complaint alleging such a violation, or if the Board determines on its own initiative to investigate a possible violation, the Board shall notify the reporting individual in writing, describe the possible or alleged violation of such law and provide the person with a fifteen-day period in which to submit a written response setting forth information relating to the activities cited as a possible or alleged violation of law. If the Board

thereafter makes a determination that further inquiry is justified, it shall give the reporting person an opportunity to be heard. The Board shall also inform the reporting person of its rules regarding the conduct of adjudicatory proceedings and appeals and the due process procedural mechanisms available to such person. If the Board determines at any stage of the proceeding that there is no violation or that any potential conflict of interest violation has been rectified, it shall so advise the reporting person and the complainant, if any. All of the foregoing proceedings shall be confidential.

B. If the Board determines that there is reasonable cause to believe that violation has occurred, it shall send a notice of reasonable cause:

- (1) To the reporting individual;
- (2) To the complainant, if any; and
- (3) In the case of an officer or employee, to the appointing authority for such person.

C. Such notice of reasonable cause shall specify, in detail, the violation alleged to have occurred. The reporting person shall be given a thirty-day period to respond to such notice, and to request a hearing before the Board. The reporting person may be represented by counsel at all stages of this process. Such hearing shall be conducted pursuant to rules and regulations to be promulgated by the Board, which rules and regulations shall be designed to ensure that the reporting person is afforded the due process of law. Testimony before the Board shall be under oath, where the Board determines it to be appropriate and necessary. At the conclusion of the hearing, the Board shall make its determination and assess, if appropriate, any penalty provided in this chapter, including civil penalty and referral for prosecution. Such determination, assessment and referral shall be open to the public.

D. A copy of any notice of delinquency, notice of reasonable cause, determination after hearing, notice of civil assessment or referral for prosecution shall be included in the reporting person's file and be available for public inspection.

#### **§ 66-17. Advisory opinions.**

Upon written request from any person, the Board shall render advisory opinions on the requirements of said provisions. Advisory opinions as to specific acts or omissions of any person subject to the jurisdiction of the Board may only be rendered to the person whose act or omission, or contemplated act or omission, is the subject of the request for opinion. An opinion rendered by the Board in any subsequent proceeding concerning the person who requested the opinion and who acted thereon in good faith, unless material facts were omitted or misstated by the person in the request for an opinion, may also be relied upon by such person and may be introduced and shall be a defense in any criminal or civil action. Such requests shall be confidential, but the Board may publish such opinions, provided that the name of the requesting person and other identifying details shall not be included in the publication.

#### **§ 66-18. Conflict with state rules.**

**[Added 5-7-1991 by L.L. No. 5-1991]**

Notwithstanding any other provision of this chapter, for purposes of filing annual statements of financial disclosure for reporting 1990 and 1991, any conflict between the provisions hereof and the rules and regulations of the temporary State Commission on Local Government Ethics shall be resolved in favor of the latter.

Attachments:

[066a Schedule A](#)

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ARTICLE I  
**General Provisions**

**§ 66-1. Purpose.**

Pursuant to the provisions of § 806 of the General Municipal Law, the Legislature of Rockland County recognizes that there are rules of ethical conduct for public officers and employees which must be observed if a high degree of moral conduct is to be obtained and if public confidence is to be maintained in our unit of local government. It is the purpose of this chapter to promulgate these rules of ethical conduct for the officers and employees of the County of Rockland. These rules shall serve as a guide for official conduct of the officers and employees of the County of Rockland. The rules of ethical conduct of this chapter, as adopted, shall not conflict with, but shall be in addition to any prohibition of Article 18 of the General Municipal Law or special law relating to ethical conduct and interest in contracts of municipal officers and employees.

**§ 66-2. Definitions.**

As used in this chapter, the following terms shall have the meanings indicated:

INTEREST — A pecuniary or material benefit accruing to a municipal officer or employee.

MUNICIPAL OFFICER OR EMPLOYEE — An officer or employee of the County of Rockland, whether paid or unpaid, including members of any administrative board, commission or other agency thereof. No person shall be deemed to be a "municipal officer or employee" solely by reason of being a volunteer fireman or civil defense volunteer, except a chief engineer or assistant chief engineer.

VALUABLE GIFT — A gift having a value in excess of \$25.

**§ 66-3. Standards of conduct.**

Every officer or employee of the County of Rockland shall be subject to and abide by the following standards of conduct:

- A. Gifts. He shall not, directly or indirectly, solicit, accept or receive any valuable gift, whether in the form of money, services, loan, travel, entertainment, hospitality, thing or promise, or any other form, from any person, firm or corporation which, to his knowledge, is interested, directly or indirectly, in any manner whatsoever, in business or professional dealings with the County or any agency thereof. He, further, shall not accept a gift of any kind, regardless of the value thereof, under circumstances in which it could reasonably be inferred that the gift was intended to influence him, or could reasonably be expected to influence him, in the performance of his official duties or was intended as a reward for any official action on his part.
- B. Confidential information. He shall not disclose confidential information acquired by him in the course of his official duties or otherwise or use such information to further his personal interest or the interest of others. This subsection shall apply during the period of County affiliation as herein described and for a period of two years thereafter.
- C. Conflicts of interest prohibited. No officer or employee of the County of Rockland, whether paid or unpaid, shall:
  - (1) Be or become interested, directly or indirectly, in any manner whatsoever, except by operation of law, in any business or professional dealings with the County or any agency thereof.

- (2) Act as attorney, agent, broker, representative or employee for any person, firm or corporation interested, directly or indirectly, in any manner whatsoever, in business or professional dealings with the County or any agency thereof.
  - (3) Accept other employment or engage in any business transactions or make any investments, directly or indirectly, which create a conflict with his official duties.
- D. Notwithstanding the provisions hereinbefore set forth, any person serving the County or any agency thereof without compensation shall not be prohibited from so serving by reason of financial, professional or business interests unless such interest is in conflict with the proper discharge of his official duties.
- E. Disclosure of interest. Any officer or employee of the County of Rockland who has a direct or indirect financial or other private interest in any matter being considered by the Legislature of Rockland County or by any other official board, agency, officer or employee of the County of Rockland and who participates in discussions before or gives opinions to such Legislature of Rockland County, or any other board, agency or individuals, shall publicly disclose on the official record the nature and extent of such interest. Any officer or employee of the County of Rockland who has knowledge of any matter being considered by the Legislature of Rockland County, or any board, agency officer or employee of the County of Rockland, in which he has any direct or indirect financial or other private interest shall be required to disclose, in writing, his interest to such Legislature, board, agency, officer or employee and the nature and extent thereof.
- F. Private employment. He shall not engage in, solicit, negotiate for or promise to accept private employment or render services for private interests when such employment or service creates a conflict with or impairs the proper discharge of his official duties.
- G. Future employment. No person who has served as an officer or employee of the County of Rockland shall, within a period of two years after the termination of such service or employment, appear before any board or agency of the County or receive compensation for any services rendered on behalf of any person, firm, corporation or association in relation to any case, proceeding or application with respect to which such person was directly concerned or in which he personally participated during the period of his service or employment or which was under his active consideration.

#### **§ 66-4. Filing of claims.**

Nothing herein shall be deemed to bar or prevent the timely filing by a present or former municipal officer or employee of any claim, account, demand or suit against the County of Rockland or any agency thereof on behalf of himself or any member of his family arising out of any personal injury or property damage or for any lawful benefit authorized or permitted by law.

#### **§ 66-5. Penalties.**

- A. A violation of any of the provisions of this code shall constitute cause for fine, suspension or removal from office or employment in the form and manner provided by law.
- B. In addition to any penalty contained in any other provision of law, any person who shall knowingly and intentionally violate any of the provisions of § 66-3 of this code shall be guilty of a Class B misdemeanor.

#### **§ 66-6. Distribution of Code of Ethics. [Amended 9-4-1990 by L.L. No. 11-1990]**

- A. The County Executive shall cause a copy of this chapter to be distributed to every affected elected official, officer and employee of the County within 30 days after the effective date of this chapter. Each affected officer and employee elected or appointed thereafter or nominated for office shall be furnished a copy before entering upon the duties of his or her office or employment or within 10 days after nomination.
- B. The Rockland County Board of Elections shall cause a copy of this chapter to be distributed to every political party official and to every candidate within 30 days after the effective date of this chapter. Said Board shall also cause a copy of this chapter to be distributed to each person receiving financial disclosure forms from said Board pursuant to Article 14 of the Election Law.

**§ 66-7. Board of Ethics. [Amended 9-4-1990 by L.L. No. 11-1990; 11-20-1990 by L.L. No. 14-1990]**

There is hereby created and established a Board of Ethics of Rockland County. Such Board shall have the powers, duties, responsibilities and obligations set forth hereafter. Such Board shall consist of five members to be appointed by the County Executive, subject to confirmation by the Legislature, all of whom shall reside in the County of Rockland and shall serve without compensation. None of such members shall be an elected or appointed officer or employee of the County of Rockland. Of the members first appointed to the Board, one shall hold office for the term of one year, one for the term of two years, one for the term of three years, one for the term of four years and one for the term of five years from and after his or her appointment. Their successors shall be appointed for terms of five years from and after the expiration of the terms of their predecessors in office. The members of the Board shall elect a Chairperson.

**§ 66-8. Powers and duties of Board. [Amended 9-4-1990 by L.L. No. 11-1990]**

- A. The Board of Ethics shall have the powers and duties prescribed by Article 18 of the General Municipal Law and shall render advisory opinions to the officers and employees of the County of Rockland with respect to Article 18 of the General Municipal Law.
- B. The Board shall promulgate its own rules and regulations as to its forms and procedures and shall maintain appropriate records of its opinions and proceedings.

ARTICLE II  
**Financial Disclosure**  
[Added 9-4-1990 by L.L. No. 11-1990]

**§ 66-9. Definitions.**

For purposes of §§ 66-10 through 66-17 of this chapter, the following terms shall have the meanings set forth hereafter:

**BOARD OF ETHICS or BOARD** — The Rockland County Board of Ethics; provided, however, that for purposes of receiving and filing annual statements of financial disclosure for reporting years 1990 and 1991 and for purposes of investigating violations and enforcing the filing provisions of this chapter relating to said reporting years, the term "Board of Ethics" or "Board" shall mean the temporary State Commission on Local Government Ethics established pursuant to § 813 of the General Municipal Law. **[Amended 5-7-1991 by L.L. No. 5-1991]**

**CANDIDATE** — Applies to any person seeking a nomination, designation or election as an elected official or political party official.

**COMPENSATION** — Remuneration in money, services, merchandise, loans, promise, travel or any other form.

**CONTRACT** — Any claim, account or demand against or agreement with the County, expressed or implied, and includes the designation of a depository of public funds and the designation of an official newspaper.

**COUNTY** — Rockland County.

**DEPENDENT** — Any of the following individuals, over half of whose support, for the calendar year in which the taxable year of the reporting individual begins, was received from the reporting individual (or is treated under Section 152 of Title 26 of the United States Code as received from the reporting individual):

- A. A descendant of an unemancipated child;
- B. A brother, sister, stepbrother or stepsister;
- C. The father or mother of the reporting individual or an ancestor of either;
- D. A stepfather or stepmother of the reporting individual;
- E. A son or daughter of a brother or sister of the reporting individual;
- F. A brother or sister of the father or mother of the reporting individual;
- G. A son-in-law, daughter-in-law, father-in-law, mother-in-law, brother-in-law or sister-in-law of the reporting individual; or
- H. An individual (other than an individual who at any time during the reporting individual's taxable year was the spouse of the reporting individual) who, for the taxable year of the reporting individual, has as a principal place of abode the home of the reporting individual and is a member of the reporting individual's household.

**ELECTED OFFICIAL** — An elected official of the County, and includes members of the County Legislature and the County Executive.

**INTEREST** — A pecuniary or material benefit accruing to an officer or employee as the result of a business

or professional transaction with the County which such officer or employee serves. For the purpose of this Article, an officer or employee shall be deemed to have an "interest" in the affairs of:

- A. His or her spouse, children or dependents;
- B. A firm, partnership or association of which such officer or employee is a member or employee;
- C. A corporation of which such officer or employee is an officer, director or employee; or
- D. A corporation, any stock of which is owned or controlled directly by such officer or employee.

LICENSING — Any activity of a unit respecting the grant, denial, renewal or amendment of a license, permit or other form of permission conferring the privilege to engage in:

- A. A profession, trade or occupation; or
- B. Any business or activity regulated by a regulatory agency.

MINISTERIAL MATTER — An administrative act carried out in a prescribed manner not allowing for substantial personal discretion.

OFFICER OR EMPLOYEE [Amended 5-7-1991 by L.L. No. 5-1991; 10-15-1991 by L.L. No. 11-1991; 3-16-1993 by L.L. No. 2-1993]: —

- A. The elected officials of the County of Rockland;
- B. The heads (other than local elected officials) of any unit of the County except Rockland Community College and such of their deputies and assistants who hold policy-making positions as annually determined by the County Legislature by resolution;
- C. The officers and employees of Rockland Community College who hold policy-making positions as annually certified to the County Legislature by the Board of Trustees of Rockland Community College not later than the fifth day of January of each year and as thereafter annually approved by the County Legislature by resolution;
- D. The members of the Board of Ethics; and
- E. The officers and employees of the County of Rockland who hold the following professional licenses, whether or not those persons practice their professions privately and whether or not those persons use their licenses in the performance of their County functions, provided that those persons' annual compensation exceed \$7,500:
  - (1) Attorneys.
  - (2) Physicians.
  - (3) Dentists.
  - (4) Engineers.
  - (5) Accountants.

POLITICAL PARTY OFFICIAL — Any chairman of a County committee elected pursuant to the Election Law or designated by the rules of a County political committee as the County Leader or Chairman of the Executive Committee, or by whatever title designated, pursuant to the rules of such County committee or, who in actual practice, possesses or performs the principal political executive and administrative functions

of said County committee or has the power of general management over the affairs of such County committee or the power to exercise the powers of the Chairman of such County committee in accordance with the rules of such County committee.

**RELATIVE** — The spouse, child, stepchild or stepparent or any person who is a direct descendant of the grandparents of the reporting individual or of the reporting individual's spouse.

**REPORTING INDIVIDUAL** — The person required by this article to file an annual financial disclosure statement.

**SPOUSE** — The husband or wife of the reporting individual unless:

- A. Living separate and apart from the reporting individual with the intention of terminating the marriage or providing for permanent separation; or
- B. Separated pursuant to:
  - (1) A judicial order, decree or judgment; or
  - (2) A legally binding separation agreement.

**UNEMANCIPATED CHILD** — Any son, daughter, stepson or stepdaughter under the age of 18, unmarried and living in the household of the reporting individual.

**UNIT** — Any department, division, hoard, commission or bureau of the County.

**§ 66-10. Financial disclosure statement requirements. [Amended 4-2-1991 by L.L. No. 4-1991; 3-16-1993 by L.L. No. 2-1993; 4-1-2004 by L.L. No. 4-2004; 11-7-2007 by L.L. No. 17-2007; 1-22-2014 by L.L. No. 1-2014]**

- A. Types of statements required.
  - (1) Every elected official, officer, employee and political party official and every candidate for County elected office shall file an annual statement of financial disclosure containing such information and in such form as is set forth in § 66-11 of this chapter.
  - (2) Any person who is required to file an annual statement of financial disclosure shall also file a no conflicting interest or activity affidavit at the same time. Any person who serves on a County board or commission whose title is not listed in Schedule A<sup>1</sup> shall file a no conflicting interest or activity yearly and file same by the date set forth in § 66-10B in the form set forth in this chapter.
  - (3) Refusal to file no conflicting interest or activity affidavit.
    - (a) Anyone refusing to execute and affirm the accuracy of the statement of no conflicting interest or activity shall be ineligible for appointment to any County board, commission, committee or similar entity. In the case of confirmations, this statement shall be signed at or before the legislative committee meeting taking up and voting on said confirmation.
    - (b) If any person required to file a no conflicting interest or activity affidavit is presently appointed to any County board, commission, committee or is employed by the County, and such individual presently refuses to sign the aforesaid statement by the date set forth in this statute, that person's appointment shall become immediately voidable and upon

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1. Editor's Note: Schedule A is included as an attachment to this chapter.

resolution of the County Legislature passed by simple majority such appointment (should such person continue to refuse to sign) shall upon passage be void (terminated).

- B. Such statement shall be filed on or before the 15th day of May with respect to the preceding calendar year, except that:
- (1) A person who is subject to the reporting requirements of this subsection and who has timely filed with the Internal Revenue Service an application for automatic extension of time in which to file his or her individual income tax return for the immediately preceding calendar or fiscal year shall nonetheless be required to file such financial disclosure statement on or before May 15. However, such a person may, without being subjected to any civil penalty on account of a deficient statement, indicate with respect to any item of the disclosure statement that information with respect thereto is lacking but will be supplied in a supplementary statement of financial disclosure. Such supplementary statement shall be filed on or before the seventh day after the expiration of the period of such automatic extension of time within which to file such individual income tax return, provided that failure to file or to timely file such supplementary statement of financial disclosure or the filing of an incomplete or deficient supplementary statement of financial disclosure shall be subject to the notice and penalty provisions of this chapter respecting annual statements of financial disclosure as if such supplementary statement were an annual statement.
  - (2) Candidates for County elected office who file designating petitions for nomination, at a primary election shall file a financial disclosure statement within two business days after the last day allowed by law for the filing of designating petitions naming said candidates for the next succeeding primary election.
  - (3) Candidates for independent nomination for County elected office who have not been designated by a party to receive a nomination shall file a financial disclosure statement within two business days after the last day allowed by law for the filing of individual nominating petitions naming said candidates as candidates for County elected official in the next succeeding general or special election.
  - (4) Candidates for County elected office who receive the nomination of a party for a special election shall file a financial disclosure statement within two business days after the date of the meeting of the party committee at which they are nominated.
  - (5) Political party officials, and any other person required to file a financial disclosure statement, who commence employment after May 15 of any year shall file such statement within 30 days after commencing employment or of taking the position of political party official, as the case may be.
  - (6) A person who is subject to the filing requirement of both Subdivision 2 of § 73-a of the Public Officers Law and of this chapter may satisfy the requirements of this chapter by filing a copy of the financial disclosure statement filed pursuant to § 73-a of the Public Officers Law with the Rockland County Board of Ethics on or before the filing deadline provided in such § 73-a, notwithstanding the filing deadline otherwise imposed by this subsection.
  - (7) A person who is subject to the filing requirement of this chapter from more than one political subdivision within Rockland County may satisfy the requirements of this chapter by filing only one annual financial disclosure statement with the Rockland County Board of Ethics. If such political subdivision crosses one or more county boundary lines, then such single filing may be made for any of the counties in which one of such political subdivisions is located; provided,

however, that the Board of Ethics is notified of the name of the county of such compliance by the person who is subjected to the filing requirements of this chapter, within the time limit for filing specified in this chapter.

- (8) A County elected official who is simultaneously a candidate for County elected official shall satisfy the filing deadline requirements of this subsection by complying only with the deadline applicable to one who holds such County elected office.
  - (9) A candidate whose name will appear on both a party designating petition and on an independent nominating petition for the same office or who will be listed on the election ballot for the same office more than once shall satisfy the filing deadline requirements of this chapter by complying with the earliest applicable deadline only.
  - (10) Upon the request of any person subject to the filing requirement of this chapter, the Board of Ethics shall grant an additional period of time within which to file such statement, such additional period not to exceed 15 days. Upon a showing to the Board of justifiable cause or undue hardship, such initial additional period may be further extended for a period not to exceed 15 days.
  - (11) A person who is required to file an annual financial disclosure statement with the Board of Ethics and who is granted an additional period of time within which to file such statement due to justifiable cause or undue hardship, in accordance with required rules and regulations on this subject, shall file such statement within the additional period of time granted.
- C. As used in this section, the terms "party," "committee" (when used in conjunction with the term "party"), "designation," "primary," "primary election," "nomination," "independent nomination," "ballot" and "uncontested office" shall have the same meanings as those contained in § 1-104 of the Election Law.
- D. The annual financial disclosure statement shall be submitted to the Board of Ethics in a sealed envelope or via e-mail to the e-mail address designated by the Board. The Board shall keep, as a matter of public record, a log of all such filings by name and date on which such filing was received. The Board shall open the same to determine that said form is complete. Thereafter, the Board shall keep electronic copies of the filings in a secured location except as hereafter provided.
- E. Said financial disclosure statement shall be solely for the purpose of evaluation by the Board of Ethics of the legitimacy of any charges made against any person covered by this chapter as set forth in §§ 66-15 and 66-16 of this chapter.
- F. The Board of Ethics shall obtain from the Rockland County Board of Elections lists of all candidates for County elected office and, from such lists, shall determine and officially publish lists of those candidates who have not, within two days after the required date for filing a financial disclosure statement, filed the statement required by this chapter.

**§ 66-11. Annual statement of financial disclosure forms. [Amended 11-7-2007 by L.L. No. 16-2007<sup>2</sup>; 1-22-2014 by L.L. No. 1-2014]**

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2. **Editor's Note:** This local law provided that Form A, as set forth in Subsection A below, shall be utilized by persons in positions identified annually by resolution of the Rockland County Legislature, designating which positions are elected officers, employees and appointees who hold policymaking or influencing positions. Form B, as set forth in Subsection B below, shall be the form utilized by volunteer members of boards and commissions as designated in the annual resolution on financial disclosure. Nothing in this section will prevent Form B filers from filing the Form A form if they wish to do so.

- A. Form A. The annual statement of financial disclosure shall contain the information and shall be in the form set forth below:

ANNUAL STATEMENT OF FINANCIAL DISCLOSURE FOR COUNTY OF ROCKLAND  
 Calendar Year \_\_\_\_\_  
 (PURSUANT TO COUNTY OF ROCKLAND LOCAL LAW NO. 11 OF 1990, AS AMENDED)

1. Name \_\_\_\_\_
2. (a) Title of Position \_\_\_\_\_  
 (b) Department, Agency or other Governmental Entity \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
- (c) Address of Present Office \_\_\_\_\_
- (d) Office Telephone Number \_\_\_\_\_
3. (a) Marital Status \_\_\_\_\_. If married, please give spouse's full name including maiden name where applicable.  
 \_\_\_\_\_  
 \_\_\_\_\_
- (b) List the names of all unemancipated children.  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Answer each of the following questions completely, with respect to calendar year, unless another period or date is otherwise specified. If additional space is needed, attach additional pages.

Whenever a "value" or "amount" is required to be reported herein, such value or amount shall be reported as being within one of the following Categories: Category A - under \$50,000; Category B - \$50,000 to under \$100,000; Category C - \$100,000 to under \$250,000; Category D - \$250,000 or over.

A reporting individual shall indicate the Category by letter only.

For the purposes of this statement, anywhere the term "local agency" shall appear, such term shall mean a local agency of the County of Rockland, as defined in § 810 of the General Municipal Law.

- 4. List any office, trusteeship, directorship, partnership, or position of any nature, including honorary positions, if known, and excluding membership positions, whether compensated or not, held by the reporting individual, or by the spouse or unemancipated child of the reporting individual, with any firm, corporation, association, partnership, or other organization other than the State of New York or Rockland County. If said entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Self, Spouse or Child	Position	Organization	State or Local Agency

- 5. List the name, address and description of any occupation, employment, trade, business or profession engaged in by the reporting individual, or by the spouse or unemancipated child of the reporting individual. If such activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

Self, Spouse or Child	Position	Name and Address of Organization	Description	State or Local Agency

- 6. List any interest, in excess of \$1,000, excluding bonds and notes, held by the reporting individual, such individual's spouse or unemancipated child, in any contract made or executed by a state or local agency. An "interest" includes membership in a partnership or ownership of more than 10% of the stock of a corporation. Include the name of the entity which holds such interest and the relationship of the reporting individual or such individual's spouse or such child to such entity and the interest in such contract. Do not list any interest in any such contract on which final payment has been made and all obligations under the contract except from guarantees and warranties have been performed; provided, however, that such an interest must be listed if there has been an ongoing dispute during the calendar year for which this statement is filed with respect to any such guarantees or warranties. Do not list any interest in a contract made or executed by a state agency after public notice and pursuant to a process for competitive bidding or a process for competitive requests for proposals.

Self, Spouse or Child	Entity Which Held Interest in Value of Contract	Relationship to Entity and Interest in Contract	Contracting State or Agency	Category of Value of Local Contract

- 7. List any position the reporting individual held as an officer of any political party or political organization, as a member of any political party committee, or as a political party district leader. The term "party" shall have the same meaning as "party" in the Election Law. The term "political organization" means any party or independent body as defined in the Election Law or any organization that is affiliated with or a subsidiary of a party or independent body.

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- 8. (a) If the reporting individual practices law, is licensed by the Department of State as a real estate broker or agent or practices a profession licensed by the Department of Education, give a general description of the principal subject areas of matters undertaken by such individual. Additionally, if such an individual practices with a firm or corporation and is a partner or shareholder of the firm or corporation, give a general description of principal subject areas of matters a undertaken by such firm or corporation. Do not list the name of the individual clients, customers or patients.

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(b) List the name, principal address and general description or the nature of the business activity of any entity in which the reporting individual or such individual's spouse had an investment in excess of \$1,000, excluding investments in securities and interests in real property.

9. For this reporting period, list each source of gifts, excluding campaign contributions, in excess of \$1,000, received by the reporting individual or such individual's spouse or unemancipated child from the same donor, excluding gifts from a relative. Include the name and address of the donor. The term "gifts" does not include reimbursements, which term is defined in Item 10. Indicate the value (by category) and nature of each

Self, Spouse or Child	Name of Donor	Address	Category of Nature of Gift	Category of Value

10. Identify and briefly describe the source of any reimbursements for expenditures, excluding campaign expenditures and expenditures in connection with official duties reimbursed by the political subdivision for which this statement has been filed, in excess of \$1,000 from each such source. For purposes of this item, the term "reimbursements" shall mean any travel-related expenses provided by nongovernmental sources and for activities related to the reporting individual's official duties, such as speaking engagements, conferences, or fact-finding events. The term "reimbursements" does not include gifts reported under Item 9.

Source	Description

- 11. List the identity and value, by category, if reasonably ascertainable, of each interest in a trust, estate or other beneficial interest, including retirement plans other than retirement plans of the State of New York or the City of New York, and deferred compensation plans established in accordance with the Internal Revenue Code, in which the reporting individual held a beneficial interest in excess of \$1,000 at any time during the preceding year. Do not report interests in a trust, estate or other beneficial interest established by or for, or the estate of, a relative.

Identity	Category of Value*

\*The value of such interest shall be reported only if reasonably ascertainable.

- 12. (a) Describe the terms of, and the parties to, any contract, promise, or other agreement between the reporting individual and any person, firm, or corporation with respect to the employment of such individual after leaving office or position (other than a leave of absence).

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- (b) Describe the parties to and the terms of any agreement providing for continuation of payments or benefits to the reporting individual in excess of \$1,000 from a prior employer other than the political subdivision for which this statement is filed. (This includes interests in or contributions to a pension fund, profit-sharing plan, or life or health insurance; buyout agreements; severance payments; etc.).

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- 13. List below the nature and amount, by category, of any income in excess of \$1,000 from each source for the reporting individual and such individual's spouse for the taxable year last occurring prior to the date of filing. "Nature of income" includes, but is not limited to, salary for government employment, income from other compensated employment, whether public or private, directorships and other fiduciary positions, contractual arrangements, teaching income partnerships, honorariums, lecture fees, consultant fees, bank and bond interest, dividends, income derived from a trust, real estate rents, and recognized gains from the sale or exchange of real or other property. Income from a business or profession and real estate rents shall be reported with the source identified by the building address in the case of real estate rents and otherwise by the name of the entity and not by the name of individual customers, clients or tenants, with the aggregate net income before taxes for each building address or entity. The receipt of maintenance received in connection with a matrimonial action, alimony and child support payments shall not be listed.

Self/Spouse	Source	Nature	Category of Amount

- 14. List the sources of any deferred income in excess of \$1,000 from each source to be paid to the reporting individual following the close of the calendar year for which this disclosure statement is filed, other than deferred compensation reported in Item 11, above. Deferred income derived from the practice of a profession shall be listed in the aggregate and shall identify as the source, the name of the firm, corporation, partnership or association through which the income was derived, but shall not identify individual clients.

Source	Category of Amount

- 15. List each assignment of income in excess of \$1,000 and each transfer other than to a relative during the reporting period for which this statement is filed for less than fair consideration of an interest in a trust, estate or other beneficial interest, securities or real property, by the reporting individual, in excess of \$1,000, which would otherwise be required to be reported herein and is not or has not been so reported.

Item Assigned or Transferred	Assigned or Transferred to	Category of Value

Item Assigned  
or Transferred

Assigned or  
Transferred to

Category  
of Value

16. List below the type and market value of securities held by the reporting individual or such individual's spouse from each issuing entity in excess of \$1,000 at the close of the taxable year last occurring prior to the date of filing, including the name of the issuing entity. Do not include securities held by the reporting individual issued by a professional corporation. Whenever an interest in securities exists through a beneficial interest in a trust, the securities held in such trust shall be listed only if the reporting individual has knowledge thereof except where the reporting individual or the reporting individual's spouse has transferred assets to such trust for his or her benefit. In that event, such securities shall be listed unless they are not ascertainable by the reporting individual because the trustee is under an obligation or has been instructed in writing not to disclose the contents of the trust to the reporting individual (e.g., a "blind trust"). Securities of which the reporting individual or the reporting individual's spouse is the owner of record, but in which such individual or the reporting individual's spouse has no beneficial interest, shall not be listed. Indicate percentage of ownership if the reporting person or the reporting person's spouse holds more than 5% of the stock of a corporation in which the stock is publicly traded, or more than 10% of the stock of a corporation in which the stock is not publicly traded. Also list securities owned for investment purposes by a corporation, more than 50% of the stock of which is owned or controlled by the reporting individual or such individual's spouse. For the purpose of this item, the term "securities" shall mean bonds, mortgages, notes, obligations, warrants and stocks of any class, investment interests in limited or general partnerships and certificates of deposits, and such other evidences of indebtedness and certificates of interest as are usually referred to as "securities."

The market value for such securities shall be reported only if reasonably ascertainable and shall not be reported if the security is an interest in a general partnership that was listed in Item 8(a) or if the security is corporate stock, not publicly traded, in a trade or business of a reporting individual or a reporting individual's spouse.

Self/ Spouse	Issuing Entity	Type of Security	Category of Market Value as of the Close of the Taxable Year Last Occurring Prior to the Filing of This Statement	Percentage of Corporate Stock Owned or Controlled

17. List below the location, size, general nature, acquisition date, market value and percentage of ownership of any real property in which any vested or contingent interest in excess of \$1,000 is held by the reporting individual or the reporting individual's spouse. Also list real property owned for investment purposes by a corporation more than 50% of the stock of which is owned or controlled by the reporting individual or such individual's spouse. Do not list any real property which is the primary or secondary personal residence of the reporting individual or the reporting individual's spouse, except where there is a co-owner who is other than a relative.

Self/ Spouse/ Other Party	Location	Size	General Nature	Acquisition Date	Category of Market Value	Percentage of Ownership

18. List below all notes and accounts receivable, other than from goods or services sold, held by the reporting individual at the close of the taxable year last occurring prior to the date of filing and other debts owed to such individual at the close of the taxable year last occurring prior to the date of filing, in excess of \$1,000, including the name of the debtor, type of obligation, date due and the nature of the collateral securing payment of each, if any, excluding securities reported in Item 16, above. Debts, notes and accounts receivable owed to the individual by a relative shall not be reported.

Name of Debtor	Type of Obligation, Date Due, and Nature of Collateral, if any	Category of Amount



\_\_\_\_\_  
Signature of Reporting Individual

\_\_\_\_\_  
Date (month/day/year)

- B. Form B. The annual statement of financial disclosure shall contain the information and shall be in the form set forth below. Answer each of the questions completely, and if additional space is needed, attach additional pages.

ROCKLAND COUNTY  
ANNUAL STATEMENT OF FINANCIAL DISCLOSURE  
Calendar Year \_\_\_\_\_

\_\_\_\_\_  
Last Name

\_\_\_\_\_  
First Name

\_\_\_\_\_  
Middle Initial

\_\_\_\_\_  
Current Employer/ Business

\_\_\_\_\_  
Title/Position

\_\_\_\_\_  
Advisory Council/Board/ Commission/ Appointment(s)

\_\_\_\_\_  
Work Address

\_\_\_\_\_  
Work Phone No.

\_\_\_\_\_  
Home Address

\_\_\_\_\_  
Home Phone No.

\_\_\_\_\_  
Marital Status:

\_\_\_\_\_  
If married, please give spouse's full name, including maiden name where applicable.

\_\_\_\_\_  
List the names of all children under 21 living with you at home:

\_\_\_\_\_

\_\_\_\_\_

The purpose of this disclosure statement is to identify potential conflicts that may exist between private and public life with respect to your duties while an elected official, officer, employee, political party official, candidate for County elected office or serving on a voluntary Rockland County board, commission or advisory council. Please follow all directions carefully and attach additional pages if necessary. Disclosure of the information on this form is required for compliance with the Rockland County Code of Ethics and New York General Municipal Law.

1. Outside employment and business. List the name of every employer or business from which you were paid more than \$2,500 for services performed or for goods sold or produced, whether you were a paid member, officer, director, or employee during the reporting period. Do not list the County of Rockland as an employer (this information is covered in question 3 below) or individual customers or clients of the business. Do not list businesses in which you were an investor only (these are identified in question 2 below). Identify the nature and type of the business, such as a partnership, corporation, limited-liability company, or sole proprietorship, and list your relationship(s) to the employer or business (i.e., owner, partner, officer, director, member, employee and/or shareholder) and state your position with the employer. Provide the same information for your spouse.

Name	Relationship to you	Name of Employer or Business	Nature of Business	Type of Business	Position Held
e.g.: John Doe	Husband	ABC Realty	Real Estate	Partnership	Employee

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2. Privately held investments. List the name of any privately held entity in which, during the reporting period, you had an ownership interest of at least 20% of the entity or an investment with a total value of at least \$50,000 in the entity. Do not list any entity listed in response to question 1 above or any publicly traded entity. Identify the nature of the business and the type of business (e.g., corporation, limited-liability company, partnership). Provide the same information for your spouse or children under 21 living with you at home.

Name	Relationship to you	Name of Entity	Nature of Business	Type of Business
e.g.: Mary Doe	Self	R&D Investigations	Private Investigations	Corporation

3. Rockland County employment. List any and all relatives, defined with respect to this question only as your spouse, children, siblings, parents or in-laws, including yourself, who were employed by the County of Rockland in a permanent, full-time capacity during the reporting period. Please include the position or title and the department.

Name	Relationship to you	Position Held/Title	County Department
e.g.: Ralph Roe	Father-in-law	Attorney	Law Department

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- 4. Government and not-for-profit positions. List each office or position, whether paid or unpaid, that you held during the reporting period with any federal, state or municipal government entity or with any not-forprofit organization. Do not list entities where you were only a member but had no office or position. Do not list entities where you only volunteered in a non-policymaking, non-administrative capacity, such as a neighborhood Girl Scout leader or a Little League coach. Do not list any office or position reported elsewhere on this form.

Entity or Organization	Position
e.g. Salvation Army	Board Member

- 5. List each gift worth \$75 or more that you or your spouse received from any person, firm or entity that has or had a matter pending during the reporting period before you, your department or the board, commission or counsel upon which you serve. For purposes of this question, "matter pending" means a formal request for a contract, goods, services, funding, license or permit. A "gift" means anything of value for which you or your spouse paid nothing or paid less than the fair market value and may be in the form of money, services, reduced interest on a loan, travel, travel reimbursements, entertainment, hospitality, or in any other form. Note that separate gifts from the same or affiliated donor during the reporting period must be added together for purposes of the \$75 threshold.

Name	Relationship to you	Donor of Gift	Nature of Gift
e.g.: Mary Doe	Self	XYZ Corp.	Free trip to Atlantic City

The reporting of information in this statement is required by the New York State General Municipal Law and the Laws of Rockland County. Improper use of the information contained in this statement by any third person or entity in violation of privacy or other rights is separately punishable in accordance with the law. Please be advised that, pursuant to New York State law, this statement is available in its entirety for public inspection and reproduction, but any information within the statement deemed exempt by New York State law or the Laws of Rockland County shall be redacted accordingly.

I certify that all of the above information is true to the best of my knowledge and that within the past two weeks I have read the attached summary of the Rockland County Code of Ethics.

If you are submitting this form electronically, you must agree to the statement below:

- By checking this box, typing in my name and today's date and e-mailing this document to the Board of Ethics, I understand and agree that I am electronically signing and filing this Annual Statement of Financial Disclosure for Rockland County. I understand that by signing and submitting this Statement in this fashion, it is the legal equivalent of having placed my handwritten signature on the submitted Statement and this attestation. I also understand and agree that by electronically signing and submitting this Statement in this fashion, I am certifying that I personally completed this Statement, that I reviewed its entire contents and that I am affirming the truth of the information contained therein.

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Type Name of Reporting Individual

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Date (month/day/year)

If you are NOT submitting this form electronically, you must sign and date it below and submit a hard copy to the Board of Ethics.

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Signature of Reporting Individual

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Date (month/day/year)

C. Required filings.

- (1) All members of Rockland County boards who are not identified as persons who shall file either Form A or B financial disclosure forms shall annually file with the County Ethics Board by the date set forth for filing annual financial disclosure forms the "no conflicting interest or activity affidavit" of the County. Failure to file shall be subject to sanctions as set forth in the law.
- (2) Chairpersons of the County boards shall file the Form B (short form) financial disclosure affidavit, except when all board members of a board are required to file Form A (long form) per the annual list of policymaking or influencing positions.
- (3) All board members and employees of public authorities in Rockland County identified in New York State Public Authorities Law § 2825(3) shall file the Rockland County Form B (short form) as set forth in § 66-11B financial disclosure law.

**§ 66-11.1. Officers and employees required to disclose. [Added 5-7-1991 by L.L. No. 5-1991; amended 4-7-1992 by L.L. No. 2-1992]**

Persons holding any of the positions listed in Schedule A annexed hereto<sup>3</sup> shall be considered officers and employees of the County for the purpose of filing annual statements of financial disclosure, pursuant to this article.

**§ 66-11.2. No conflicting interest or activity affidavit. [Added 4-1-2004 by L.L. No. 4-2004; amended**

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3. Editor's Note: Schedule A is included at the end of this chapter.

**1-22-2014 by L.L. No. 1-2014]**

The no conflicting interest or activity form shall be as follows:

The no conflicting interest or activity form shall be as follows:

**DISCLOSURE, ACKNOWLEDGEMENT AND AFFIRMATION OF NO CONFLICTING INTEREST OR ACTIVITY,  
WHICH WOULD CONSTITUTE A PERSONAL GAIN OR A CONFLICT OF INTEREST  
(Short-Form Disclosure Affirmation)**

With full knowledge and awareness I affirm that I do not have, I have not engaged in, and I will not engage in any activity that would provide a personal or pecuniary gain to myself, my spouse, or my dependent(s) from the activity (activities) in which I now give (or am about to give) my services, to the County of Rockland or any affiliated or associated board, commission or agency thereof.

If you are submitting this form electronically, you must agree to the statement below:

- By checking this box, typing in my name and today's date and e-mailing this Affidavit to the Board of Ethics, I understand and agree that I am electronically signing and filing this No Conflicting Interest or Activity Affidavit for Rockland County. I understand that by signing and submitting this Affidavit in this fashion, it is the legal equivalent of having placed my handwritten signature on the Affidavit and this attestation. I also understand and agree that by electronically signing and submitting this Affidavit in this fashion, I am certifying that I personally completed this Affidavit, that I reviewed its entire contents and that I am affirming the truth of the information contained therein.

Type Name of Reporting Individual	Date (month/day/year)
Board or Activity	Email Address

If you are NOT submitting this form electronically, you must complete this section, sign and date it, and submit a hard copy to the Board of Ethics.

Signature of Reporting Individual	Date (month/day/year)	
Type Name of Reporting Individual	Board or Activity	Email Address

**§ 66-12. Penalties.**

- A. A reporting individual who knowingly and willfully fails to file an annual statement of financial disclosure or who, knowingly and willfully with intent to deceive, makes a false statement or gives information which such individual knows to be false on such statement of financial disclosure filed pursuant to this article shall be assessed a civil penalty in an amount not to exceed \$10,000. Assessment of a civil penalty shall be made by the Board of Ethics with respect to persons subject to its jurisdiction. The Board of Ethics acting pursuant to this chapter may impose a civil penalty as aforesaid, and said Board shall refer a violation to the appropriate prosecutor, and upon such conviction, but only after such referral, such violation shall be punishable as a Class A misdemeanor.
- B. A civil penalty for false filing may not be imposed hereunder in the event that a "value" or "amount" reported upon as required by this chapter is incorrect, unless such reported information is willfully understated. No other penalty, civil or criminal, may be imposed for a failure to file or for a false filing of such statement of financial disclosure, except that disciplinary action may be imposed as otherwise provided by law or as may be provided by professional oversight or licensing agencies.
- C. The Board of Ethics shall be deemed to be an agency within the meaning of Article 3 of the State Administrative Procedure Act and shall adopt rules governing the conduct of adjudicatory proceedings relating to the assessment of the civil penalties herein authorized. Such rules, which shall not be subject to the approval requirements of the State Administrative Procedure Act, shall provide for due process procedural mechanisms substantially similar to those set forth in such Article 3, but such mechanisms need not be identical in terms of scope. Such rules shall be subject to the approval of the County Legislature and shall not be effective until so approved.
- D. Assessment of a civil penalty shall be final unless modified, suspended or vacated within 30 days of imposition and, upon becoming final, shall be subject to review at the instance of the affected reporting individual in proceeding against the Board of Ethics pursuant to Article 78 of the Civil Practice Law and Rules.

#### **§ 66-13. Additional powers of Board of Ethics.**

The Board of Ethics created and established pursuant to § 66-7 of this chapter shall have and exercise such additional powers and duties as are set forth below:

- A. The Board may delegate authority to its Chairperson to call meetings of the Board and to make preliminary review of any matter before the Board; provided, however, that any such review is subject to further review and ratification by the Board.
- B. The Board may appoint such staff as are deemed necessary by the County Legislature to carry out its duties under this chapter, with the appropriations and budget established by the County Legislature.
- C. The Board may recommend that the County Legislature adopt, amend and rescind rules and regulations to govern procedures and financial disclosure required hereunder. The Board may utilize or modify such rules or regulations or adopt, subject to the approval of the County Legislature, separate rules or regulations for the purposes of Subdivision (d) of § 811 of the General Municipal Law.
- D. The Board may promulgate guidelines to assist the County Legislature in determining which persons hold policymaking positions for the purposes of Article II of this chapter.
- E. The Board may make available forms for annual statements of financial disclosure required to be filed pursuant to Article II of this chapter.

- F. The Board may review completed financial disclosure statements in accordance with the provisions of Article II of this chapter.
- G. The Board may receive complaints alleging a violation of the provision of Article II of this chapter or a violation of the criteria for reporting requirements established by this chapter.
- H. The Board may recommend to the County Legislature rules and regulations relating to possible conflicts between private interests and official duties of elected officials, political party officials, officers and employees, and candidates for County elective office.
- I. The Board may act as repository for completed financial disclosure forms filed pursuant to this chapter.
- J. Upon certification of a question, the Board may determine a question common to a class or defined category of persons or items of information required to be disclosed, where determination of the question will prevent undue repetition or prevent undue complication in complying with the requirements of such section.
- K. In addition to any other powers and duties specified by law, the Board shall have the power and duty to:
  - (1) Administer and enforce all the provisions of this chapter.
  - (2) Conduct any investigation necessary to carry out the provisions of this chapter. Pursuant to this power and duty, the Board may administer oaths or affirmations, subpoena witnesses and compel their attendance and require the production of any books or records which it may deem relevant or material.

**§ 66-14. Availability of records for public inspection. [Amended 5-7-1991 by L.L. No. 5-1991; 1-22-2014 by L.L. No. 1-2014]**

- A. The records of the Board which shall be available for public inspection are:
  - (1) Notices of delinquency;
  - (2) Notices of reasonable cause;
  - (3) Notices of civil assessments imposed under this chapter; and
  - (4) Information provided in an annual statement of financial disclosure filed pursuant to this chapter, except the categories of value or amount, all of which shall remain confidential.
- B. The meetings and proceedings of the Board shall be open to the public, subject to the right to enter into executive session, in accordance with the Open Meetings Law, as set forth in Article 7 of the Public Officers Law.

**§ 66-15. Review of financial disclosure statements.**

- A. The Board shall inspect all financial disclosure statements filed with it to ascertain whether any person subject to the reporting requirements has failed to file such a statement, has filed a deficient statement or has filed a statement which reveals a possible violation of this chapter.
- B. If a person required to file a financial disclosure statement with the Board has failed to file a disclosure statement or has filed a deficient statement, the Board shall notify the reporting person in

writing, state the failure to file or detail the deficiency and advise the person of the penalties for failure to comply with the reporting requirements. The Board may, in respect to deficiency that is not willful, provide the person with a period of time, not to exceed 15 days, to cure the deficiency. Such notice shall be confidential. If the person fails to make such filing or fails to cure the deficiency within the specified time period, the Board shall send a notice of delinquency:

- (1) To the reporting individual; and
- (2) In the case of an officer or employee, to the appointing authority for such person.

#### **§ 66-16. Investigations of violations.**

- A. If a reporting individual has filed a statement which reveals a possible violation of this chapter, or the Board receives a sworn complaint alleging such a violation, or if the Board determines on its own initiative to investigate a possible violation, the Board shall notify the reporting individual in writing, describe the possible or alleged violation of such law and provide the person with a fifteen-day period in which to submit a written response setting forth information relating to the activities cited as a possible or alleged violation of law. If the Board thereafter makes a determination that further inquiry is justified, it shall give the reporting person an opportunity to be heard. The Board shall also inform the reporting person of its rules regarding the conduct of adjudicatory proceedings and appeals and the due process procedural mechanisms available to such person. If the Board determines at any stage of the proceeding that there is no violation or that any potential conflict of interest violation has been rectified, it shall so advise the reporting person and the complainant, if any. All of the foregoing proceedings shall be confidential.
- B. If the Board determines that there is reasonable cause to believe that violation has occurred, it shall send a notice of reasonable cause:
  - (1) To the reporting individual;
  - (2) To the complainant, if any; and
  - (3) In the case of an officer or employee, to the appointing authority for such person.
- C. Such notice of reasonable cause shall specify, in detail, the violation alleged to have occurred. The reporting person shall be given a thirty-day period to respond to such notice, and to request a hearing before the Board. The reporting person may be represented by counsel at all stages of this process. Such hearing shall be conducted pursuant to rules and regulations to be promulgated by the Board, which rules and regulations shall be designed to ensure that the reporting person is afforded the due process of law. Testimony before the Board shall be under oath, where the Board determines it to be appropriate and necessary. At the conclusion of the hearing, the Board shall make its determination and assess, if appropriate, any penalty provided in this chapter, including civil penalty and referral for prosecution. Such determination, assessment and referral shall be open to the public.
- D. A copy of any notice of delinquency, notice of reasonable cause, determination after hearing, notice of civil assessment or referral for prosecution shall be included in the reporting person's file and be available for public inspection.

#### **§ 66-17. Advisory opinions.**

Upon written request from any person, the Board shall render advisory opinions on the requirements of said provisions. Advisory opinions as to specific acts or omissions of any person subject to the jurisdiction

of the Board may only be rendered to the person whose act or omission, or contemplated act or omission, is the subject of the request for opinion. An opinion rendered by the Board in any subsequent proceeding concerning the person who requested the opinion and who acted thereon in good faith, unless material facts were omitted or misstated by the person in the request for an opinion, may also be relied upon by such person and may be introduced and shall be a defense in any criminal or civil action. Such requests shall be confidential, but the Board may publish such opinions, provided that the name of the requesting person and other identifying details shall not be included in the publication.

**§ 66-18. Conflict with state rules. [Added 5-7-1991 by L.L. No. 5-1991]**

Notwithstanding any other provision of this chapter, for purposes of filing annual statements of financial disclosure for reporting 1990 and 1991, any conflict between the provisions hereof and the rules and regulations of the temporary State Commission on Local Government Ethics shall be resolved in favor of the latter.