United States Senate
Select Committee on Ethics - *Financial Disclosure*

SELECT COMMITTEE ON ETHICS
Training Objectives

- **Two Parts**
  - **Administrative**
    - Who has to file
    - When to file
    - Where to file
  - **Substance**
    - What must be disclosed
    - How to properly disclose

SELECT COMMITTEE ON ETHICS
Purpose of Financial Disclosure

- **Public disclosure of a public official's personal financial interest is often considered the key component to an effective code of conduct.**
- **The drafters of the original Senate Code of Official Conduct in the 95th Congress considered "full and complete disclosure" to be the heart of the Code of Conduct.**
- **Pursuant to Statute and Senate Rule, Members, officers, and certain employees of the Senate are required to file comprehensive annual public financial disclosure reports.**

United States Senate
Select Committee on Ethics - *Financial Disclosure*

SELECT COMMITTEE ON ETHICS
Background

- **Required since 1978**
- **Ethics Committee develops forms and instructions; gives advice; reviews reports**
- **Secretary of the Senate makes forms available to the public**

SELECT COMMITTEE ON ETHICS
Who has to File Annual Reports?

- **SENATORS**
- **CANDIDATES FOR THE SENATE**
- **POLITICAL FUND DESIGNEES**
- **FELLOWS / DETAILEES** who earned a rate of pay from an outside source equal to or in excess of $119,554
- **STAFFERS** who earned a rate of pay equal to or in excess of $119,554 for a period equal to or in excess of 60 days
  - **Employees Who Received a Bonus: A report is required if:**
    - **Paid at a rate of pay in excess of the reporting threshold of $119,554 for more than 60 days; and**
    - **Gross earning for the calendar year was equal to or in excess of $119,554**

SELECT COMMITTEE ON ETHICS
Where to File

File Reports and Amendments with the Secretary of the Senate,

OFFICE OF PUBLIC RECORDS
232 HART

or

OFFICE OF PUBLIC RECORDS
P.O. Box 77578
Washington, DC 20013-7578

Reports will be made available for public inspection within 30 days of filing

Select Committee on Ethics
Due Date

Annual Reports Covering
CY 2012
are due

Wednesday,
MAY 15, 2013

- Requests for extensions of up to 90 days for filing reports may be submitted to the Ethics Committee on or before the due date.

Select Committee on Ethics
Penalties

- $200 late filing fee is imposed for filing a report 30 days after due date
- Civil and criminal sanctions may be imposed on individuals who knowingly and willfully fail to file this report or falsifies the report

Select Committee on Ethics
Late Notices

- Committee policy is to mail late notices certified mail, return receipt requested
- A copy of the late notice is also cc'd to the supervising Senator

SELECT COMMITTEE ON ETHICS
Amendment Requests

- Within 60 days of filing, the Committee reviews reports for compliance and omissions and mails letters to filers requesting additional information/clarifications, if necessary

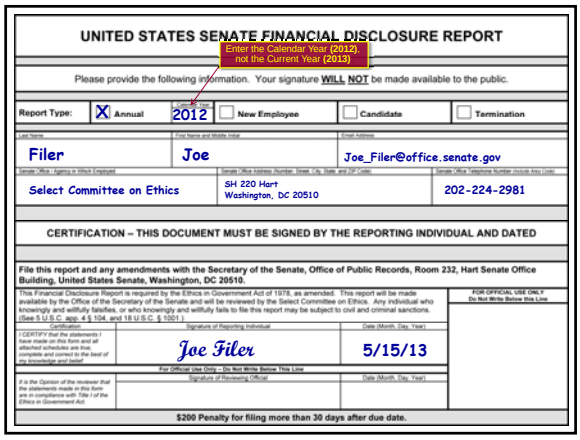
SELECT COMMITTEE ON ETHICS
Who Reviews Reports?

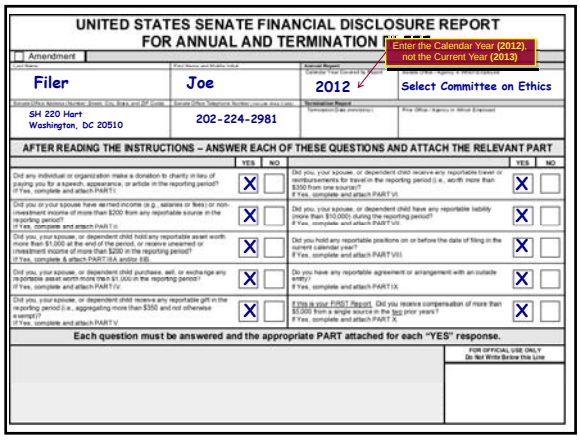
- PUBLIC
  - Any Financial Disclosure report filed by May 15 will be made available for public inspection by the Secretary of the Senate Office of Public Records within 30 days after filing or by June 14.
- STAFFER'S SUPERVISOR
  - Pursuant to Resolution 236, the Ethics Committee is required to provide the supervising Senator or, designated staff member, to receive on a confidential basis the public financial disclosure reports filed by senate employees to check for possible conflicts of interests.

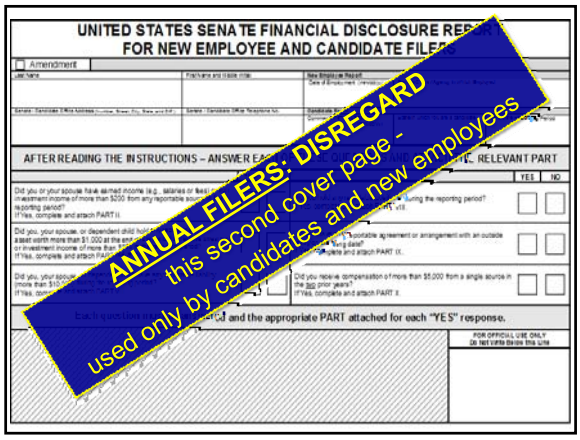
SELECT COMMITTEE ON ETHICS

Completing Your Financial Disclosure Report

United States Senate
Select Committee on Ethics - *Financial Disclosure*







United States Senate
Select Committee on Ethics - *Financial Disclosure*

UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT
FOR ANNUAL AND TERMINATION

Enter the Calendar Year (2012), not the Current Year (2013)

☐ Amendment

Last Name	First Name and Middle Initial	Annual Report: Calendar Year Covered by Report	Senate Office - Agency or Which Employed
Filer	Joe	2012	Select Committee on Ethics
Senate Office Address (Number, Street, City, State, and ZIP Code)	**Senate Office Telephone Number (include area code)**	**Termination Report: Termination Date (mm/dd/yyyy)**	**Prior Office - Agency in Which Employed**
SH 220 Hart Washington, DC 20510	202-224-2981		

AFTER READING THE INSTRUCTIONS – ANSWER EACH OF THESE QUESTIONS AND ATTACH THE RELEVANT PART

	YES	NO		YES	NO
Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If Yes, complete and attach PART I.	X		Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel in the reporting period (i.e., worth more than $350 from one source)? If Yes, complete and attach PART VI.	X	
Did you or your spouse have earned income (e.g., salaries or fees) or non-investment income of more than $200 from any reportable source in the reporting period? If Yes, complete and attach PART II.	X		Did you, your spouse, or dependent child have any reportable liability (more than $10,000) during the reporting period? If Yes, complete and attach PART VII.	X	
Did you, your spouse, or dependent child hold any reportable asset worth more than $1,000 at the end of the period, or receive unearned or investment income of more than $200 in the reporting period? If Yes, complete & attach PART III A and/or IIIB.	X		Did you hold any reportable positions on or before the date of filing in the current calendar year? If Yes, complete and attach PART VIII.	X	
Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? If Yes, complete and attach PART IV.	X		Do you have any reportable agreement or arrangement with an outside entity? If Yes, complete and attach PART IX.	X	
Did you, your spouse, or dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $350 and not otherwise exempt)? If Yes, complete and attach PART V.	X		If this is your FIRST Report: Did you receive compensation of more than $5,000 from a single source in the two prior years? If Yes, complete and attach PART X.	X	

Each question must be answered and the appropriate PART attached for each "YES" response.

FOR OFFICIAL USE ONLY
Do Not Write Below this Line

CONFIDENTIAL DISCLOSURE OF CANDIDATES HOME ADDRESS

Last Name	First Name and Middle Initial	Commencement of Candidacy
Filer	Joe	10/15/12
Home Mailing Address (Number, Street, City, State, and ZIP)	**Home Telephone Number (include Area Code)**	
1234 2nd and C Sreet Washington, DC 20510	202-555-5555	
Office Mailing Address (Number, Street, City, State, and ZIP)	**Office Telephone Number (include Area Code)**	
1235 2nd and C Sreet Washington, DC 20510	202-555-5556	

Who Must File: Any candidate who files a public financial disclosure report with the S[illegible] also file this confidential report.

Where to File: File this report with the ***Select Committee on Ethics***, Ro[illegible] S. Senate, Washington, DC 20510.

When to File: Within 30 days after becoming a candidate f[illegible] Member of the United States Senate, or by May 15 of that calendar year, which ever is later, but [illegible] on or before May 15 of each succeeding year an individual continues to be a candidate. A ca[illegible] position in the United States Congress is not required to file a Candidate Report.

Contents of Reports: List your home[illegible] Please sign your report certifying that your report is complete and correct.

Penalty Provisions: An[illegible] port and does so more than 30 days after the date the report is required to be filed, or, if an exte[illegible] the last day of the filing extension period, shall be subject to a $200 penalty fee. Waivers of [illegible] in extraordinary circumstances if requested in writing. Falsifying or failing to file this report m[illegible] minal sanctions. *(See 2 U.S.C. 701 et seq. and 18 U.S.C. 1001.)*

Review of Rep[illegible] [illegible] viewed by the Committee along with the corresponding public reports within 60 days of the filing date. These rep[illegible] ial by the Committee in accordance with the Ethics in Government Act 1978, as amended.

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	*Joe Filer*	5/15/13

ANNUAL FILERS: DISREGARD
this page - used only by candidates

Reporting Individual's Name: **JOE FILER**

PART I. PAYMENTS TO PAY CHARITABLE ORGANIZATIONS IN LIEU OF HONORARIA

Page Number: 1

Report the source (name and address), date, and amount of any payment from each source to a charitable organization made in lieu of honoraria to you during the reporting period. Identify the activity (speech, article, or appearance), which generated the payment. For further information, see Instructions.

Note: Travel expenses in excess of $335 related to activities giving rise to these payments must be reported in Part VI, Reimbursements.

	Date of Payment	Name of Source	Address (City, State)	Speech, Article, or Appearance	Amount
Example:	3/26/XX	*Association of American Associations*	*Wash., DC* EXAMPLE	*Speech* EXAMPLE	*$1,000*
	7/23/XX	*XYZ Magazine*	*NY, NY* EXAMPLE	*Article* EXAMPLE	*$500*
1	6/10/12	Let's Go Knicks, Inc.	New York, New York	Speech	$2000
2					
3					
4					
5					
6					
7					
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14					

REMEMBER…

A separate, confidential report which names the charitable organization receiving such payments must be filed directly with the Select Committee on Ethics.

United States Senate
Select Committee on Ethics - *Financial Disclosure*

CONFIDENTIAL DISCLOSURE OF PAYMENTS TO CHARITABLE ORGANIZATIONS IN LIEU OF HONORARIA

Last Name	First Name and Middle Initial	Telephone Number (Include Area Code)
FILER	JOE	202-224-2981
[X] ANNUAL FILER	Calendar Year Covered by Annual Report: 2012	Office / Agency in which Employed (or formerly employed): US SENATE ETHICS COMMITTEE
[ ] TERMINATION FILER	Dates Covered by Termination Report:	Office / Agency in which Formerly Employed / Termination Date (mm/dd/yy):

Who Must File: Any reporting individual who files an annual or termination public financial disclosure report with the Senate Select Committee on Ethics must also file this confidential report if that individual writes, gives a speech, or makes an appearance (or a series of articles, speeches, or appearances which are directly related to official duties or the status of the individual within the government) for which the sponsoring organization makes a payment directly to a charitable organization in lieu of honoraria. To determine whether you are a reporting individual for purposes of this report, please refer to the instructions for the Senate Public Financial Disclosure Report or contact the U.S. Senate Select Committee on Ethics.

Where to File: File this report with the Select Committee on Ethics, Room 220, Hart Senate Office Building, U.S. Senate, Washington, DC 20510. (Please note: This is not the filing location for the public reports.)

When to File: Reporting individuals should file this report no later than May 15th, annually. In the event that May 15 or other filing date falls on a weekend, or other holiday, the filing deadline shall be on the next business day. If an individual terminates employment, the report must be filed no later than the 30th day after termination. Reasonable extensions may be granted if requested in writing, but the total of all such extensions may not exceed 90 days. These filing deadlines correspond with the filing dates of the Senate Public Financial Disclosure Report.

Contents of Reports: List the date of the payment (or, if unascertainable, the date of the activity giving rise to the payment), the name and address (city, state) of the source of the payment, the name and address (city, state) of the recipient charitable organization, and the amount of the payment. Include all payments which correspond to the reporting period of the annual or termination public financial disclosure form filed in conjunction with this report. Please sign your report certifying that your report is complete and correct and that no payments were made to charitable organizations from whichever of your parent, sibling, spouse, child, or dependent relative receives any financial benefit. If you attach additional pages, please number them.

Penalty Provisions: Any individual who is required to file this report and does so more than 30 days after the date the report is required to be filed, or, if an extension is granted, more than 30 days after the last day of the filing extension period, shall be subject to a $200 penalty fee. Waivers of this fee may be granted by the Committee in extraordinary circumstances, if requested in writing. Falsifying or failing to file or report information on this report may result in civil and criminal sanctions. (See 2 U.S.C. 701 et seq. and 18 U.S.C. 1001.)

Review of Reports: These reports will be reviewed by the Committee along with the corresponding public reports within 60 days of the filing date. These reports will be kept confidential by the Committee in accordance with the Ethics in Government Act of 1978, as amended.

Date	Source of Payment (Name, Address)	Recipient Charitable Organization (Name, Address)	Amount
6/10/12	Lets Go Knicks, New York, NY	American Red Cross, Washington, DC	$2,000

This particular page of the report should be filed with the US Senate Ethics Committee

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief. No financial benefit is derived from any charitable organization listed by me, or a parent, sibling, spouse, child or dependent relative of mine.	*Joe Filer*	5/15/2013

Reporting Individual's Name: JOE FILER

PART II. EARNED AND NON-INVESTMENT INCOME — Page Number: 2

Report the source (name and address), type, and amount of earned income to you from any source aggregating $200 or more during the reporting period. For your spouse, report the source (name and address) and type of earned income which aggregate $1,000 or more during the reporting period. No amount needs to be specified for your spouse. (See p.3, CONTENTS OF REPORTS Part B of Instructions.) Do not report income from employment by the U.S. Government for you or your spouse.

Individuals not covered by the Honoraria Ban:
For you and /or your spouse, report honoraria income received which aggregates $200 or more by exact amount, give the date of, and describe the activity (speech, appearance or article) generating such honoraria payment. Do not include payments in lieu of honoraria reported on Part I.

	Name of Income Source	Address (City, State)	Type of Income	Amount
Example:	*JP Computers*	*Wash., DC Example*	*Salary Example*	*$15,000*
	MCI (Spouse)	*Arlington, VA Example*	*Salary Example*	*Over $1,000*
1	DEWEY CHEATEM REELECTION CMTE	NEW YORK, NY	SALARY	$18,000
2	I BELIEVE SO, INC. (SPOUSE)	JOE FILER	SALARY	OVER $1,000
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				

If *"Over $1,000"* is indicated for the **AMOUNT**, please be sure to indicate that it is from your *"Spouse"*

Select Committee on Ethics
Parts IIIA & IIIB

- **IIIA: Publicly Traded Assets and Unearned Income Sources**
  - **Information pertaining to asset or source is already publicly available**
- **IIIB: Non-Publicly Traded Assets and Unearned Income Sources**
  - **More information needed for non-publicly traded assets**

Select Committee on Ethics
Determining Value of Assets

- $1,001 value threshold to report
- Seven options to determine value:
  1) Recent appraisal
  2) Book value
  3) Net worth of interest
  4) Equity value of interest
  5) Statement balance
  6) For real estate: value for tax purposes or actual purchase price
  7) Any other recognized indicator
- If difficult to assess the value, a good faith estimate may be used
- Filer must value assets as of any day that is <u>within 31 days of the close of the reporting period</u>

Reporting Individual's Name: **JOE FILER**

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES — Page Number: 3

BLOCK A — **Identity of Publicly Traded Assets And Unearned Income Sources**

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, *(See p.3, CONTENTS OF REPORTS Part B of Instructions)* for production of income or investment which:
(1) had a value exceeding $1,000 at the close of the reporting period; and/or
(2) generated over $200 in "unearned" income during the reporting period.
Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

BLOCK B — **Valuation of Assets**
At the close of reporting period. If None, or less than $1,001, Check the first column.

BLOCK C — **Type and Amount of Income**
If "None (or less than $201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

	Block A: Identity of Publicly Traded Assets And Unearned Income Sources	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000**	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Type of Income: None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	Amount of Income: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000**	$1,000,001 - $5,000,000	Over $5,000,000	Actual Amount Required if "Other" Specified
Example:	IBM Corp. (stock)					X								X								Example	X											Example
Example:	(S) Keystone Fund					X													X			Example	X											Example
1																																		
2																																		
3																																		
4																																		
5																																		
6																																		
7																																		
8																																		
9																																		
10																																		

EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐
** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Select Committee on Ethics
Determining Value of Assets

- $1,001 value threshold to report
- Seven options to determine value:
  1) Recent appraisal
  2) Book value
  3) Net worth of interest
  4) Equity value of interest
  5) Statement balance
  6) For real estate: value for tax purposes or actual purchase price
  7) Any other recognized indicator
- If difficult (or cannot be through seven options) a good faith estimate may be used
- Filer must value assets as of any day that is <u>within 31 days of the close of the reporting period</u>

Select Committee on Ethics
Block B: Valuation of Assets

- **Exact values need not be disclosed**
- **"Over $1,000,000" block**

- **May only be used if asset is held independently by <u>spouse or dependent child</u>**
- **Otherwise, you must choose the appropriate category**

Select Committee on Ethics
Block C: Type & Amount of Unearned Income

- **Assets generating more than $200 (aggregated) must be reported**
- **"Unearned" income includes:**
  - **Property interest**
  - **Interest**
  - **Rents**
  - **Dividends**
  - **Capital gains**
  - **Annuities**
  - **Retirement**
  - **Life insurance**
  - **Endowment contracts**
  - **Debt forgiveness**
  - **Distributive share of partnership or joint venture**
  - **Gross business income**
  - **Interest in an estate or trust**

Reporting Individual's Name: **JOE FILER**

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number: **3**

BLOCK A
Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child. *(See p.3, CONTENTS OF REPORTS Part B of Instructions)* for production of income or investment which:
(1) had a value exceeding $1,000 at the close of the reporting period; and/or
(2) generated over $200 in "unearned" income during the reporting period.
Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

BLOCK B
Valuation of Assets
At the close of reporting period. If None, or less than $1,001, Check the first column.

BLOCK C
Type and Amount of Income
If "None (or less than $201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

	Block A: Identity of Publicly Traded Assets And Unearned Income Sources	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000**	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Type of Income: None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	Amount of Income: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000**	$1,000,001 - $5,000,000	Over $5,000,000	Actual Amount Required if "Other" Specified
Example:	*IBM Corp. (stock)*				X									X								Example	X											Example
Ex. 2	*(S) Keystone Fund*						X											X				Example	X											Example
1																																		
2																																		
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EXEMPTION TEST *(see instructions before marking box)* If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐
** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Select Committee on Ethics
Part IIIA

- Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, for production of income or investment which:
  - had a value exceeding $1,000 at the close of the reporting period; and/or
  - generated over $200 in "unearned" income during the reporting period

Select Committee on Ethics
Part IIIA

YOU SHOULD REPORT ALL :

- Stocks
- Bonds
- Mutual Funds
- Pension Interests
- Annuities
- IRA assets
- 529 Plans
- Futures Contracts
- Excepted Trusts
- Qualified Blind Trusts
- Underlying personal trade accounts
- Personal Banking Accounts

Select Committee on Ethics
Part IIIA

- PUBLICLY TRADED STOCKS & BONDS
  - Identify by complete name
- MUTUAL FUNDS
  - Identify by complete name, including name of investment institution offering the fund (Templeton, Vanguard, etc.) and the specific fund (Total Return, Equity, etc.).
- MUNICIPAL BONDS
  - Identify by name of municipality offering the bond and complete name of the bond

SELECT COMMITTEE ON ETHICS

Part IIIA

EXCEPTED INVESTMENT FUND

- A mutual fund, common trust fund of a bank, pension or deferred compensation plan, or any other investment fund which is:
  - Widely held *(i.e., has more than 100 participants or investors);*
  - Publicly traded *(or available)* or widely-diversified; and
  - Held under circumstances where you don't have control over the fund's assets.

SELECT COMMITTEE ON ETHICS

Part IIIA

RETIREMENT PLANS

- Identify each asset held by a self-directed retirement plan.
- A self-directed retirement plan is one that does not meet the definition of an excepted investment fund.

SELECT COMMITTEE ON ETHICS

Part IIIA

INVESTMENT CLUBS OR OTHER HOLDING ARRANGEMENTS

- Identify the investment club and also any underlying investment asset or property held by the club when the asset meets the reporting thresholds
  - (i) you (your spouse or dependent child's) interest in the underlying asset exceeds $1,000 in value, or
  - (ii) where the underlying asset generated more than $200 in income for you (your spouse or dependent child)
  - (iii) If the investment club or holding itself meets the definition of an excepted investment fund, the information regarding the underlying assets is not reportable

United States Senate
Select Committee on Ethics - *Financial Disclosure*

SELECT COMMITTEE ON ETHICS

Part IIIA

EXCEPTED TRUST

- **An excepted trust is one which:**
  - **Was not created by you, your spouse, or your dependent child; and**
  - **Has holdings or sources of income of which you, your spouse, and any dependent child have no knowledge.**

SELECT COMMITTEE ON ETHICS

Part IIIA

QUALIFIED BLIND TRUST

- **A qualified blind trust is a trust which has been certified by the Senate Select Committee on Ethics, in accordance with Senate Rule 34.**

Reporting Individual's Name: **JOE FILER**

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number: 3

BLOCK A — **Identity of Publicly Traded Assets And Unearned Income Sources**

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child. *(See p.3, CONTENTS OF REPORTS Part B of Instructions)* for production of income or investment which:
(1) had a value exceeding $1,000 at the close of the reporting period; and/or
(2) generated over $200 in "unearned" income during the reporting period.
Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

BLOCK B — **Valuation of Assets**

At the close of reporting period. If None, or less than $1,001, Check the first column.

BLOCK C — **Type and Amount of Income**

If "None (or less than $201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

	Name of Publicly Traded Asset	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000**	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Type of Income: None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	Amount of Income: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000**	$1,000,001 - $5,000,000	Over $5,000,000	Actual Amount Required if "Other" Specified
Example:	*IBM Corp. (stock)*				X									X								Example		X										Example
	(S) Keystone Fund						X												X			Example	X											Example
1	MOOLAH, INC. (NYSE)						X								X										X									
2	HOME DEPOT					X								X									X											
3	LEI GROWTH AND INCOME			X															X				X											
4	MICROSOFT		X												X			X									X							Partial Sale
5	FORD MOTOR	X																X							X									Complete Sale
6	DAIMLER CHRYSLER	X													X								X											
7	CIRCUIT CITY (Short Sale)	X																X							X									
8	TARGET (Underwater Stock Option)			X											X								X											
9																																		
10	CISCO			X																			X											

Do not leave items (**Valuation of Assets**, **Type of Income**, **Amount of Income**) empty.

READ INSTRUCTIONS BEFORE MARKING BOX: Exemption Test is Extremely Difficult to Meet

EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.
** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

SELECT COMMITTEE ON ETHICS
Exemption Test

- The reporting individual is not required to report assets, transactions, and/or liabilities which the reporting individual certifies:
  - (1) represents the spouse's or dependent child's sole financial interest or responsibility and which the reporting individual has no knowledge of;
  - (2) which are not in any way, past or present, derived from the income, assets, or activities of the reporting individual; AND
  - (3) which the reporting individual neither derives, nor expects to derive, any financial or economic benefit.

SELECT COMMITTEE ON ETHICS
Part IIIA

PERSONAL SAVINGS ACCOUNTS

- Report the complete name of the financial institution where personal accounts are held
  - (This would include personal savings, checking, money market, certificates of deposit, and any other accounts at any institution)
- AGGREGATE MORE THAN $5,000 at the end of the reporting period or which
- GENERATED MORE THAN $200 in unearned income during the reporting period.

Reporting Individual's Name: JOE FILER

PART IIIB. NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number: 4

BLOCK A — Identity of Non-Publicly Traded Assets and Unearned Income Sources: Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS Part B of Instructions) for the production of income or investment in a non-public trade or business which: (1) had a value exceeding $1,000 at the close of the reporting period; and/or (2) generated over $200 in "unearned" income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.

BLOCK B — Valuation of Assets: At the close of reporting period. If None, or less than $1,001, Check the first column.

BLOCK C — Type and Amount of Income: If "None (or less than $201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

	Block A	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000**	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000**	Actual Amount Required if "Other" Specified
Example: D.C.	3. JP Computer, Software Design, Wash DC				X										X							Example	X									Example
Example: D.C.	Undeveloped land, Dubuque, Iowa					X																Example	X									Example
1	BOXER AND ISAKSON ETHICS VIDEOS					X																Distribution										$6,345
2	LTD. PARTNERSHIP WASHINGTON, DC (Making and Distribution of Ethics Videos)																															
3																																
4	Maycough Investment Holding Co. NY, NY		X											X								$50K-$100K	X									
5	LIQUID BRICK, LLP Holding Co. Richmond, VA																															
6	Undeveloped Land, Laplata, MD					X																	X									
7	SF Home Rental, Washington, DC							X								X										X						
8	SF Home Rental, Severn, MD						X									X									X							
9																																
10																																

If the Type of Income is "Other", then the actual amount must be disclosed.

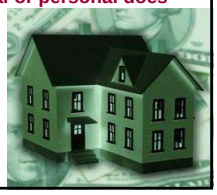
List underlying assets for Holding Companies

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.
** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

SELECT COMMITTEE ON ETHICS
Part IIIB

REAL PROPERTY

- Investment property (*e.g.*, commercial or rental real estate)
- List city or county and state
- Property that is solely recreational or personal does not have to be reported
- If a portion of property is used for a working farm, ranch, mineral excavation or other buildings for rent it must be reported



SELECT COMMITTEE ON ETHICS
Part IIIB

PERSONAL PROPERTY

- If not held for investment, do not report it
  - Unless: intermittent sales from personal property (antiques, art holdings) need to be reported

SELECT COMMITTEE ON ETHICS
Part IIIB

NON-PUBLIC SECURITIES OR PARTNERSHIP INTERESTS

- List complete name, location, and nature of business, interest, or property
- Primary trade or business must also be disclosed
- Example: Holding ownership interest in private real estate rental company that primarily owns (rents) real estate and which also buys stock in a bank, you must disclose the real estate and the stock individually

Select Committee on Ethics
Part IIIB

INTERESTS IN ESTATES

- Give brief and general statement of any interest prior to distribution
- Assets distributed during the reporting period and income for the estate are reported in the same manner as other assets and income

Reporting Individual's Name: **JOE FILER** | **PART IV. TRANSACTIONS** | Page Number: **5**

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

	Identification of Assets	Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000**	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Example	S: IBM Corp. (stock) NYSE	X			2 / 1 / 0X		X			E	X	A	M	P	L	E
Example	S: (DC) Microsoft (stock) NASDAQ/OTC		X		1 / 27 / 0X				X	E	X	A	M	P	L	E
1	MOOLAH, INC (NYSE)	X			4/9/12	X										
2	MICROSOFT		X		8/5/12		X									
3																
4																
5	TARGET (Stock)	X			10/12	X										
6	WALMART (Stock)		X					X								
7																
8																
9																
10																
11																
12																

Do not leave the **Transaction Date** empty.
The full date must be entered **mm/dd/yr**, **mm/yr** is not acceptable.

EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Reporting Individual's Name: **JOE FILER** | **PART V. GIFTS** | Page Number: **6**

Report the source, brief description and value of all gifts aggregating more than $350 in value received by you, your spouse, or your dependent child, (See p.3 CONTENTS OF REPORTS Part B of Instructions), from each source. Gifts with a value of $140 or less need not be aggregated towards the disclosure threshold. "Gift" is defined in the Instructions.

Exclude: (1) Bequests and other forms of inheritance; (2) Political campaign contributions; (3) Communications to your offices including subscriptions to newspapers and periodicals; (4) Consumable products provided by home state businesses to your offices, if those products are intended for consumption by persons other than yourself; (5) Gifts received prior to your Federal employment; (6) Gifts to your spouse or dependent child totally independent of his or her relationship to you; (7) Gifts from relatives; (8) Personal hospitality of any individual (see instructions); (9) meals and beverages unless consumed in connection with a gift of overnight lodging; and (10) Food, lodging, transportation, and entertainment provided by a foreign government within a foreign country, or by federal, state, D.C., or local governments.

	Name of Income Source	Address of Source	Dates and Brief Description	Gift Value
Example	*Mr. John Q. Smith*	*Anytown, VA Example*	*August 12, 200X, Silver platter - Ethics Committee waiver granted*	*$400*
1	CHARLES GENEROUS	WASHINGTON, DC	July 9, 2012 – Marble Statue	$ 500
2			(Ethics Committee Waiver Granted)	
3				
4				
5				
6				
7	JOHN GERTZ	(?)	July 8, 2012 – Marble Statue – waiver granted	$ 500
8	DAVE WALTER	NAPLES, FL	Royal Palm Tree – waiver granted (? – Date)	$ 300
9				
10				
11				

Disclosure of gifts does not authorize their acceptance which may otherwise be in violation of Senate Rule 35

Include the **Address of Source**
Include the *Date* in the **Dates and Brief Description**

Note: The Senate Gift Rule prohibits most gifts in excess of $140.55.

United States Senate
Select Committee on Ethics - *Financial Disclosure*

Reporting Individual's Name: **JOE FILER** | **PART VI. REIMBURSEMENTS** | Page Number: **7**

Report necessary travel related expenses from each source aggregating more than $350 in value during the reporting period received by you, your spouse and/or dependent child in connection with your provision of services at a speaking engagement, fact-finding event, or other event (personal campaign, or otherwise). Disclosure is required regardless of whether those expenses were **reimbursed** to the individual or **paid directly** by the sponsoring organization. A description of the itinerary, including date(s) and the nature of expenses is required. If you are reimbursed for more than one trip from the same sponsor (and the trips added together are worth more than $350), then you must report each trip individually, even if the reimbursement for each separate trip does not equal more than $350. Report Gifts of travel in Part V.

Exclude: Travel related expenses provided by federal, state, D.C., and local governments; or by a foreign government; reimbursements from campaign funds which are reported to the FEC; reimbursements to a spouse or dependent child totally independent of his or her relationship to you; and reimbursements reported to the Office of Public Records pursuant to Senate Rule 35. For further information, see Instructions.

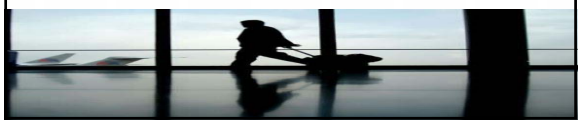
	Name of Income Source	Address of Source	Dates and Brief Description
Example:	*All States Company*	*Maintown, TX* **EXAMPLE**	*Roundtrip air travel from Washington, D.C. to Maintown, TX and lunch for self and spouse for speaking engagement: May 1-3, 200X* **EXAMPLE**
1			
2	**Factfinders, Inc.**	**Orlando, FL**	**Roundtrip air and lodging, and meals from Wash, DC to Naples, FL for Speaking Engagement, March 15 – 17, 2012**
3			
4			
5			
6			
7			
8			
9			
10	**Russell Company**	**(?)**	**Roundtrip air from DC to San Diego, CA, lodging and meals (?)**
11			
12			
13			

Travel reported on Rule 35 forms (RE – 1 / 2, RE – 3) pursuant to Rule 35 (within 30 days of travel) does not have to be disclosed again

Include the **Address of Source**
Include the *Date* in the **Dates and Brief Description**

Select Committee on Ethics
Disclosing Travel

- **Privately-sponsored travel must be disclosed with the Secretary of the Senate within 30 days of return**
- **Please contact the Committee for more information pertaining to travel and gift rules**
- **Privately-sponsored travel training module is available the Committee's website**



Reporting Individual's Name: **JOE FILER** ☐ Amendment | **PART VII. LIABILITIES** | Page Number: **8**

Report liabilities over $10,000 owed by you, your spouse, or dependent child (See p.3, CONTENTS OF REPORTS, Part B of instructions), to any one creditor at any time during the reporting period. Check the highest amount owed during the reporting period. Exclude: (1) mortgages on your personal residences unless rented (**except for Senators**); (2) loans secured by automobiles, household furniture or appliances; and (3) liabilities owed to certain relatives listed in instructions. See Instructions for reporting revolving charge accounts.

	Name of Creditor	Address	Type of Liability	Date Incurred	Interest Rate	Discount Points Paid for Mortgage (Senators Only)	Term if Applicable	Category of Amount of Value (x): $10,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000**	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Example:	S. DC, et al. *First District Bank*	*Wash., DC*	*Mortgage on undeveloped land*	*1992*	*12%*	*1 pt*	*23 yrs*			X		E	X	A	M	P	L	E
	Lt. John Jones	*Wash., DC*	*Promissory Note*	*2000*	*10%*	*n/a*	*On demd*				X	E	X	A	M	P	L	E
1	**LEG BREAKER BANK**	**NY, NY**	**UNSECURED LOAN**	**2012**	**100%**	**n/a**	**on dmd**		X									
2																		
3																		
4																		
5																		
6																		
7	**First US Bank**	**Baltimore, MD**	**Unsecured Loan**	**2011**	**(?)**	**n/a**	**(?)**			X								
8																		
9																		
10																		
11																		
12																		

Do not leave items (**Interest Rate**, **Term if Applicable**) empty.

EXEMPTION TEST: See instructions before marking box. If you checked any asset because it meets the time period for exemption described in the instructions, please check box to the right ☐
** This category applies only if the asset was held independently by the spouse or dependent child. If the asset is not either held by the filer or jointly held, use the other categories of value, as appropriate.

United States Senate
Select Committee on Ethics - *Financial Disclosure*

Reporting Individual's Name: **JOE FILER**

PART VIII. POSITIONS HELD OUTSIDE U.S. GOVERNMENT

Page Number: **9**

Report any positions held by you during the applicable reporting period whether compensated or not. Positions include, but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. Both the year and month must be reported for the period of time that the position was held.

Exclude: Positions with federal government, religious, social, fraternal, or political entities, and those solely of an honorary nature.

	Name of Organization	Address (City, State)	Type of Organization	Position Held	From (Mo/Yr)	To (Mo/Yr)
Example	*National Assn. of Rock Collectors*	*NY,NY* EXAMPLE	*Non-profit education*	*President*	*6 / 90*	*Present*
	Jones & Smith	*Hometown, USA* EXAMPLE	*Law Firm*	*Partner*	*7 / 95*	*11 / 0X*
1	DEWEY, CHEATUM & HOWE	NEW YORK, NY	Non-Profit Education	DIRECTOR	5/10	Present
2	GOOD SAMARITIAN CHARITY	WASHINGTON, DC	CHARITY	BOARD MEMBER	1/11	2/12
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						

Remember that compensation in excess of $200 from any position must be reported on Part II (Earned and Non-Investment Income)

Compensation in excess of $200 from any position must be reported in Part II.

Reporting Individual's Name: **JOE FILER**

PART IX. AGREEMENTS OR ARRANGEMENTS

Page Number: **10**

Report your agreements or arrangements for future employment (including agreements with a publisher for writing a book or sale of other intellectual property), leaves of absence, continuation of payment by a former employer (including severance payments), or continuing participation in an employee benefit plan. See Instructions regarding the reporting of negotiations for any of these arrangements or benefits.

	Status and Terms of any Agreement or Arrangement	Parties	Date
Example	*Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on services performed through 11/0X and retained pension benefits (diversified, independently managed, fully funded, defined contribution plan)*	*Jones & Smith, Hometown, USA* Example	*1 / 93*
	Employment agreement with XYZ Co. to become Vice President of Government Relations. Terms of agreement include salary between $50,001-$100,000, signing bonus between $2,501-$5,000 and stock options	*XYZ Co., Bethesda, MD* Example	*1 / 0X*
1	Pursuant to Partnership Agreement, will remain in Partnership	DEWEY, CHEATUM & HOWE	1/12
2	401K Plan *(No further contributions to Plan from Partnership or Self)*		
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			

Reporting Individual's Name: **JOE FILER**

PART X. COMPENSATION IN EXCESS OF $5,000 PAID BY ONE SOURCE

Page Number: **11**

FIRST TIME FILERS ONLY:

Report sources of compensation received by you or your business affiliation for services provided directly by you during the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any non-profit organization when you directly provided the services to the clients and/or customers of the firm that generated a fee or payment of more than $5,000. You need not report the U.S. Government as a source.

	Name of Source	Address of Source	Brief Description of Duties
Example	*Jones & Smith*	*Hometown, TX*	*Legal Services* EXAMPLE
	Metro University (client of Jones & Smith	*Moneytown, USA*	*Legal Services in connection with university construction* EXAMPLE
1	DEWEY, CHEATUM & HOWE	New York, NY	Legal Services
2			
3			
4	CLIENT LIST		
5	- Clark Kent	New Orleans, LA	Legal Services
6	- Diana Prince	Los Angeles, CA	Legal Services
7	- Bruce Wayne	Hollywood, NY	Legal Services
8	- Super Landlord, Inc.	New York, NY	Legal Services
9			
10			
11			
12			
13			
14			
15			

SELECT COMMITTEE ON ETHICS
Contact the Committee
If you have any questions, please contact the Committee
(202) 224-2981 (main)
(202) 224-7416 (fax)
mailbox_office@ethics.senate.gov (email)
All Advice is Confidential