

New York State Legislature - 2021
Statement of Financial and Other Interests
Pursuant to Section 73, subdivision 6(a), of the Public Officers Law

SAMPLE

When and Where to File. This Statement of Financial and Other Interests must be filed with the Legislative Ethics Commission on or after December fifteenth and before the following January fifteenth in each year by each legislative employee who receives annual compensation of \$101,379 or less and who is determined not to hold a policymaking position by his/her appointing authority.

I, _____, holding the position of _____
(please print name) (title)
in the office of _____ in the _____
(name of office) (Senate, Assembly or other legislative entity)

_____ (office address), _____ (office telephone)

make the following statement:

1) Each financial interest*, direct or indirect, of myself, my spouse and my unemancipated children under the age of 18 years in any activity which is subject to the jurisdiction of a regulatory agency**, or the name of the entity in which such interest is had, and whether such interest is over or under five thousand dollars in value, is as follows **(if none, so state):**

FINANCIAL INTERESTS

(Type of Activity or
Name of Entity)

Held in Name of

Check One

Over
\$5,000

Under
\$5,000

(Type of Activity or Name of Entity)	Held in Name of	Over \$5,000	Under \$5,000
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

(attach sheet if more space is needed)

2) Every office and directorship held by me in any corporation, firm or enterprise which is subject to the jurisdiction of a regulatory agency**, including the name of such corporation, firm or enterprise, is as follows **(if none, so state):**

Offices and Directorships Held

Name of Corporation, Firm or Enterprise

Offices and Directorships Held	Name of Corporation, Firm or Enterprise
_____	_____
_____	_____
_____	_____

(attach sheet if more space is needed)

3) Any other interests or relationships which I determine in my discretion might reasonably be expected to be particularly affected by legislative action, or in the public interest should be disclosed, are as follows **(if none, so state):**

Other Interests or Relationships

(attach sheet if more space is needed)

(Date) _____ (Signature) _____

*"Financial Interest" as defined in statute: (i) A person has a "financial interest" in any entity if that person: (i) owns or controls ten percent or more of the stock of such entity (or one percent in the case of a corporation whose stock is regularly traded on an established securities exchange); or (ii) serves as an officer, director or partner of that entity.

***"Regulatory agency" means the department of financial services, state liquor authority, department of agriculture and markets, department of education, department of environmental conservation, department of health, division of housing and community renewal, department of state, other than the division of corporations and state records, department of public service, the industrial board of appeals in the department of labor and the department of law, other than when the attorney general or his agents or employees are performing duties specified in section sixty-three of the executive law.

False statements. Section 73(6)(c) of the Public Officers Law provides that: "Any...legislative employee who knowingly and willfully with intent to deceive makes a false statement or gives information which he or she knows to be false in any written statement required to be filed pursuant to this subdivision, shall be assessed a civil penalty in an amount not to exceed ten thousand dollars. Assessment of a civil penalty shall be made by the Legislative Ethics Commission in accordance with the provisions of ... section eighty of the legislative law. For a violation of this subdivision, the commission may, in lieu of a civil penalty, refer a violation to the appropriate prosecutor and upon conviction, but only after such referral, such violation shall be punishable as a class A misdemeanor."