

CHEVY CHASE VILLAGE ETHICS COMMISSION

Eff. 1/28/2014  
Updated:  
2/2015, 2/2016, 2/2017,  
1/2018, 1/2019

**VILLAGE BOARD MEMBER  
FINANCIAL DISCLOSURE STATEMENT**

This form must be filed by all sitting Village Board Members annually. Elected Board Members must file the form with the Village Manager (for the Ethics Commission) on or before April 30 in any year. An individual who applies to fill a vacancy on the Board of Managers must file the form along with the Certificate of Appointment.

*I Would Like To Be Notified If Someone Looks at or Copies My Form*

**Instructions:**

1. Fill in the preliminary information requested in the box below. Be sure to correctly identify the reporting period.
2. Upon completion of your financial disclosure statement, sign and date the lower portion of the page and make the required oath or affirmation.

**PLEASE PRINT OR TYPE**

FIRST NAME	INITIAL	LAST NAME
CURRENT ADDRESS ( <i>WHERE YOU CAN BE SENT CORRESPONDENCE</i> )		
<i>OFFICE FOR CANDIDACY</i>		
E-MAIL ADDRESS		
REPORTING PERIOD		
January 1, 2018	TO	December 31, 2018

This Financial Disclosure Statement describes all interests and related transactions and matters required to be disclosed by the Village's Public Ethics Ordinance, adopted on October 8, 2012, and approved by the State Ethics Commission on October 25, 2012 (and amended effective January 22, 2018), as being in compliance with State Government Article, Title 15, Subtitle 6 of the Maryland Public Ethics Law, with respect to the period indicated and pertaining to the person filing the statement. The statement consists of this cover sheet, the checklist, and Schedules A through I.

I hereby make oath or affirm under penalty of perjury that the contents of this Financial Disclosure Statement, including the Schedules attached hereto, are complete, true and correct to the best of my knowledge, information and belief.

Signature of Person Filing: \_\_\_\_\_  
Date: \_\_\_\_\_

STATE OF \_\_\_\_\_:  
COUNTY OF \_\_\_\_\_:  
to wit:

On this \_\_\_\_ day of \_\_\_\_\_, 2019, before me, the undersigned officer, personally appeared \_\_\_\_\_, known to me (or satisfactorily proven) to be the person whose name is subscribed to the within instrument as a resident of CHEVY CHASE VILLAGE and acknowledged that he/she executed this Financial Disclosure Statement for the purposes therein contained as his/her act and deed.

WITNESS my hand and notarial seal.

\_\_\_\_\_  
Notary Public

My commission expires: \_\_\_\_\_

**FOR USE BY VILLAGE OFFICE ONLY**

Received \_\_\_\_\_ Date \_\_\_\_\_ By \_\_\_\_\_ Village Manager

Unless the form is signed, dated and properly notarized, the Village Ethics Commission will not consider the financial disclosure statement to be filed until the properly notarized statement is resubmitted.

**Checklist:**

Complete by checking the "yes" or "no" box as to each statement. Do not leave any statement unanswered. Note that each statement corresponds to a Schedule. If you have questions as to the meaning of a statement, review the corresponding Schedule and instructions for a more detailed description of the interests involved.

**Caution:** *Please read all instructions on accompanying instruction sheet including all definitions contained therein, before completing this form.*

- A. I held interests during the reporting period in real property located in or outside Maryland. (If "Yes," complete Schedule A.)
- B. I held interests during the reporting period in corporations, partnerships and similar entities as defined in the Village's Ethics Public Ethics Ordinance. (If "Yes," complete Schedule B.)
- C. I held interests in a business entity (including partnerships and non-corporate entities) which did business with the Village during the reporting period. (If "Yes",, complete Schedule C.)
- D. I received gifts during the reporting period from persons doing business with the Village, regulated by the Village, or registered or required to register as lobbyists. (If "Yes," complete Schedule D.)
- E. I or a member of my immediate family was a partner or held an office, directorship, or salaried employment during the reporting period in or with a business entity doing business with the Village. (If "Yes," complete Schedule E.)
- F. I or a member of my immediate family owed debts (excluding retail credit accounts) during the reporting period to persons doing business with the Village. (If "Yes," complete Schedule F.)
- G. A member of my immediate family was employed by the Village during the reporting period. (If "Yes," complete Schedule G.)
- H. I, or my spouse, received a salary or other earned income from a source other than the Village, or my dependent child received earned income from an entity doing business with the Village. (If "Yes," complete Schedule H.)
- I. I have additional interest or information I would like to report. (If "Yes," complete Schedule I.)

	YES	NO
A.		
B.		
C.		
D.		
E.		
F.		
G.		
H.		
I.		

## FINANCIAL DISCLOSURE STATEMENT INSTRUCTIONS AND DEFINITIONS

### A MESSAGE TO MEMBERS OF THE CHEVY CHASE VILLAGE BOARD OF MANAGERS

*Please read the instructions carefully and be sure to provide all information requested for each interest you disclose on your statement.*

Financial disclosure statements are public records that may be examined or copied by the public. At the top of the cover page we have provided a place for you to check if you want the Chevy Chase Village Ethics Commission to notify you of the names and addresses of any persons who have examined or copied your statement.

### GENERAL INSTRUCTIONS

#### **A. Persons Required to File**

Sitting members of the Board of Managers are required to file this financial disclosure statement.

#### **B. When to File**

1. Sitting Board Members must file a financial disclosure statement on or before April 30<sup>th</sup> each year during that person's term in office covering the previous calendar year.
2. A person who does not have a current financial disclosure statement on file and who is applying to fill a Board vacancy must file a statement covering the previous calendar year along with their Certificate of Appointment.
3. If a Board Member leaves his/her position after January 1, but prior to filing the regular annual statement due April 30, he or she must file the annual statement (covering the previous calendar year), plus an additional termination statement covering the part of the current year served. You must file your termination statement within 60 days of leaving your position.

#### **C. Where to File and Where to Get Forms**

Forms are available at the Chevy Chase Village Office and on the Village's website at [www.chevychasevillagemd.gov](http://www.chevychasevillagemd.gov). The completed form is to be filed with the Village Manager.

#### **D. Definitions:**

**"Attributable" interest:** Certain property and business interests not directly held by a person may be "attributed" to him or her and must be reported on the financial disclosure statement. The circumstances under which attribution occurs are as follows:

- (1) If you owned a 30% or greater equity interest in any business entity during the reporting period and that business entity holds a property or business interest which, if you owned directly, you would be required to report on Schedule A, B, or C, the interest is attributable to you and you must report it on the appropriate

Schedule. This limited attribution does not reduce or affect in any way the requirement for disclosure on Schedule A of real property held by a partnership even if the filer holds less than a 30% interest in the partnership.

- (2) If your spouse or child holds a property or business interest which you would have to report on Schedule A, B, or C, if you owned it directly, and if you exercised direct or indirect legal control over that interest at any time during the reporting period, the interest is attributable to you and must be reported on the appropriate Schedule.
- (3) If at any time during the reporting period you (a) held a reversionary interest in a trust or estate or (b) were the beneficiary of a trust or estate or (c) were the settler of a revocable trust, then any interest held by the trust or estate which you would have to report on Schedule A, B, or C, if you owned it directly, it is attributable to you and must be reported on the appropriate Schedule. For purposes of this attribution provision, you are a beneficiary of a trust if you are a current income beneficiary, either receiving income or currently entitled to receive income, or if you have a current ownership or other interest in the corpus of the trust. Beneficiaries of an estate include immediate beneficiaries of an estate even if it is not settled. A trust, within the meaning of this section, does not include a common trust fund or a trust which forms part of a pension or profit-sharing plan that has more than 25 participants.

**“Business entity”:**

- (1) means a corporation, general or limited partnership, sole proprietorship, joint venture, unincorporated association or firm, institution, trust, foundation, or other organization, whether or not operated for profit.
- (2) does NOT include a federal, state or local governmental entity.
- (3) includes a mutual fund or managed fund, the disclosure of which requires only information as to the fund itself, and not partnerships, corporations or other business entities in which the fund has invested.

**“Commission”** means the Chevy Chase Village Ethics Commission.

**“Compensation”** means any money or thing of value, regardless of form, received or to be received by any individual from an employer for service rendered.

**“Dependent child”** means a son or daughter, more than half of whose total support during the reporting year was provided by you and/or your spouse.

**“Doing business with”** means:

- (1) having or negotiating a contract that involves the commitment, either in a single or combination of transactions, of five thousand dollars (\$5,000) or more of Village controlled funds; or

- (2) Being regulated by or otherwise subject to the authority of the Village.

**“Elected official”** means any individual who holds an elective office of the Village.

**“Employee”:**

- (1) means an individual who is employed by the Village.
- (2) does NOT include a local elected official.

**“Gift”:**

- (1) means the transfer of anything of economic value, regardless of the form, without adequate and lawful consideration.
- (2) does NOT include a political campaign contribution regulated under Election Law Article, Annotated Code of Maryland, or any other provision of State or local law regulating the conduct of elections or the receipt of political campaign contributions.

**“Immediate family”** means a spouse and dependent children.

**“Interest”:**

- (1) means a legal or equitable economic interest, whether or not subject to an encumbrance or a condition, that is owned or held, in whole or in part, jointly or severally, directly or indirectly.
- (2) includes any “interest” held at any time during the reporting period.
- (3) “Interest” does NOT include:
  - (i) an interest held in the capacity of a personal agent, custodian, fiduciary, personal representative, or trustee, unless the holder has an equitable interest in the subject matter;
  - (ii) an interest in a time or demand deposit in a financial institution or government entity;
  - (iii) an interest in an insurance policy, endowment policy, or annuity contract under which an insurer promises to pay a fixed amount of money either in a lump sum or periodically for life or a specified period;
  - (iv) a common trust fund or a trust which forms part of a pension or profit sharing plan which has more than twenty-five (25) participants and which has been determined by the Internal Revenue Service to be a qualified trust under the Internal Revenue Code; or

- (v) a college savings plan under the Internal Revenue Code.
- (vi) a mutual fund or exchange-traded fund that is publicly traded on a national scale unless the mutual fund or exchange-traded fund is composed primarily of holdings of stocks and interests in a specific sector or area that is regulated by the Village.

“**Official**” means an elected official, an employee of the Village, or a person appointed to or employed by the Village or any Village agency, board, commission, or similar entity:

- (1) whether or not paid in whole or in part with Village funds; and
- (2) whether or not compensated.

“**Person**” includes an individual or business entity.

#### **E. Instructions for Completing Schedules:**

##### **SCHEDULE A. Real Property**

Real property held by the filer or by a partnership, limited liability partnership, or limited liability company in which the filer has an interest must be disclosed, if it is held at any time during the reporting period. You must report real property whether it is located in or outside of Maryland. Partnership property must be disclosed, without regard to the extent of the filer's interest in the partnership. You must also report any interest you have in leasehold property, for example, property in which you are tenant, including business offices and personal residences. You must report your personal residence if it is owned directly by you, attributable to you or rented by you.

Note also that all appropriate information (e.g., date, seller, etc.) must be reported for land you own whether or not you have constructed improvements on it.

Schedule A deals with real property interests only; do not report here your interests in business entities. If real property held by an entity is attributable to you, or is a partnership, limited liability partnership, or limited liability company property, list the real property on this Schedule. Report your interest in the entity on Schedule B, C, or H (whichever is appropriate) if it falls within the reporting requirements of those Schedules.

Please answer the Questions 1 through 11c as appropriate. The Village Ethics Ordinance requires for each property to be disclosed that you give the location, the type of property, the nature and extent of your interest, the identity of other persons holding an interest in the property, encumbrances, date and manner of acquisition, the identity of the person from whom you acquired the property, and the nature and amount of consideration. Additionally if you transferred the property during the calendar year, the name of the person to whom you transferred the property, the portion of interest transferred and the amount of consideration received is required to be disclosed.

## **SCHEDULE B. Interests in Corporations, Partnerships and Other Business Entities**

Report all interests in any corporation, partnership, limited liability partnership or limited liability company, managed fund or mutual fund held by you during the reporting period, whether or not the entity does business with the Village. Examples of frequently disclosed items on this schedule are corporate stocks, corporate bonds, partnerships, and interests in mutual or managed funds (not the individual holdings of such funds). Filers are not required to disclose holdings in an Internal Revenue Service qualified trust or college savings plan, a mutual fund, or an exchange-traded fund, that is publicly traded on a national scale unless composed primarily of holdings of stocks and interests in a specific sector or area that is regulated by the Village. This would include the State of Maryland § 401(a), § 401(k) and § 457 (deferred compensation) plans. This would also include Maryland College Savings Plans, such as 529 investment accounts. Other possible qualified retirement accounts include 403(b) plans. The filer must determine whether the plan in which they participate meets the requirements for exemption from disclosure. (See definition of “interest” in paragraph D of Instructions and Definitions.)

Please answer the questions on Schedule B-1 as appropriate. The Public Ethics Ordinance requires for each interest to be disclosed that you give the name and address of the entity, the nature and extent of your interest, the amount of the interest in actual number of shares, range of shares (0-100, 101-250, 251-500, over 500) or estimated percentage ownership interest in the entity (less than 1%, 1-5%, 6-10% or over 10%), other interests held in the entity, and any encumbrances or conditions.

Additionally, for each interest that was acquired during the calendar year, indicate on a Schedule B-2 the date and manner of acquisition, the identity of the person from whom you acquired the interest, if known (if acquired in an open market transaction where the seller is unknown, state “unknown, open market trade”), and the number (or range) of shares or estimated percentage ownership interest acquired and the consideration. If the acquisition solely consists of an addition to an existing, public traded corporate interest acquired by dividend or dividend reinvestment and it is less than \$500, you need not provide any additional information.

Finally, for any interest sold or transferred during the calendar year, indicate on a Schedule B-2 the name of the person to whom you transferred the interest, if known (if an open market transaction where the buyer is unknown, state “unknown, open market trade”) and the number (or range) of shares or estimated percentage ownership interest transferred, and the consideration.

## **SCHEDULE C. Interests in Business Entities Doing Business with the Village**

Report all interests in any business entity that does business with the Village, **including sole proprietorships**. A list of business entities doing business with the Village is attached as Exhibit I.

Please answer the Questions 1 through 6C as appropriate. The Village Public Ethics Ordinance requires, for each interest in any business entity doing business with the Village, that you give the name and address of the entity, the nature and extent of your interest, the amount of the interest, other interests held in the entity, and any encumbrances or conditions.

Additionally, if the interest was acquired during the calendar year, the date and manner of

acquisition, the identity of the person from whom you acquired the interest, if known, (if acquired in an open market transaction where the seller is unknown, state “unknown, open market trade”) and the nature of the interest acquired will need to be disclosed. Also Indicate on a Schedule C, the number (or range) of shares or estimated percentage ownership interest acquired, and the consideration. If the acquisition solely consists of an addition to an existing, public traded corporate interest acquired by dividend or dividend reinvestment and it is less than \$500, you need not provide any additional information.

Finally, if you transferred an interest during the calendar year, the date and manner of transfer, the identity of the person to whom you transferred the interest, if known (if an open market transaction where the buyer is unknown, state “unknown, open market trade”) and the nature of the interest transferred will need to be disclosed. For any interest sold or transferred during the calendar year, also indicate on Schedule C and the number (or range) of shares or estimated percentage ownership interest transferred, and the consideration.

#### **SCHEDULE D. Gifts**

You must report each gift in excess of \$20 in value, or a series of gifts from any one person totaling \$100 or more, received by you at any time during this reporting period or by any other person at your direction, from or on behalf of, directly or indirectly, any person who does business with the Village. Generally, gifts received by members of your immediate family will be considered as gifts received by you for reporting purposes. You should note if the gift was received by a spouse or dependent child. A list of business entities that do business with the Village is attached as Exhibit I.

#### **The following gifts need not be reported:**

1. Gifts received from your spouse, children and parents.
2. Political campaign contributions regulated in accordance with the provisions of the Election Law Article, Annotated Code of Maryland, or any other provision of State law regulating the conduct of elections or the receipt of political campaign contributions.

#### **SCHEDULE E. Offices, Directorships, Salaried Employment, and Similar Interests**

List on this schedule the name and address of the principal office of each business entity doing business with the Village in which, at any time during the reporting period, you or a member of your immediate family (spouse and dependent children) held an office, directorship, salaried employment, or similar interest. Also list other similar interests (such as being a partner) held by you or a member of your immediate family during the reporting period, and not otherwise disclosed on this Schedule, in any business entity doing business with the Village. For example, the presidency of a corporation or a partnership in a law firm should be reported, as should employment as an engineer in a consulting firm that is a partnership if the entity does business with the Village. For each office, directorship, and employment to be disclosed, answer Questions 1 through 6. A list of businesses entities that do business with the Village is attached as Exhibit I.

## **SCHEDULE F. Debts**

Report all debts you owed during the reporting period to any entity doing business with the Village. (A list of businesses entities that do business with the Village is attached as Exhibit I). Exclude retail credit accounts (which include store and bank charge accounts). You must, however, include installment loans, mortgages, car loans, or other time-fixed liabilities owed to an entity doing business with the Village.

Please answer Questions 1 through 7 for each debt to be disclosed. The Village Public Ethics Ordinance requires that you identify the person or entity to whom the debt is owed, the date the debt was incurred, the terms of payment of the debt, the amount of the debt owed as of the last day of the calendar year, the extent to which the principal amount of the debt increased or decreased during the calendar year, and a description of any security given for the debt. Additionally, if this transaction resulted in a debt being owed by your spouse or dependent child, you need to identify your spouse and/or child and describe the transaction.

## **SCHEDULE G. Family Members Employed by the Village**

Please answer Questions 1 through 3 as appropriate listing all members of your immediate family (spouse and dependent children) who were employed by the Village in any capacity at any time during the reporting period.

## **SCHEDULE H. Employment and Business Ownership**

Please answer Questions 1 and 2 as appropriate listing: 1) the name and address of any places of employment for you, your spouse or a dependent child, and 2) business entities wholly or partially owned by you, your spouse or a dependent child, and from which income was earned during the reporting period whether or not the entity did business with the Village. For example, earned income includes salaried employment, individual consulting activities, private law or medical practices, and business activities involving income-producing real property. With regard to dependent children, you need report only earned income from employment or an interest in a business entity if that employment related to, or business entity did business with, the Village.

## **SCHEDULE I (Optional)**

You may use this Schedule for any interest or transactions you have not been required to disclose on Schedule A through G but wish to disclose. This Schedule may also be used to further explain any prior entry.

**SCHEDULE A – Real Property Interests**

Do you have any interest (as an owner or a tenant, including interests in time shares) in real property in Maryland or in any other state or country?

- Yes
- No (Go to Schedule B)

**If Yes; (Answer each question below. A separate Schedule A will be required for each property you need to disclose.)**

1. What is the address or legal description of the property? (Give street address or you may enter the lot and block legal description instead, if you wish)

Street Address \_\_\_\_\_  
 City/State/Zip \_\_\_\_\_

2. What kind of property is it?

- Improved (indicate whether property is residential or commercial property): \_\_\_\_\_
- Unimproved (vacant lot): \_\_\_\_\_

3. Is the interest held directly by you or is it attributable to you? (See Paragraph D of the Financial Disclosure Statement Instructions and Definitions for definition of “Attributable.”)

Direct \_\_\_\_\_      Attributable \_\_\_\_\_

4. Are you the owner or tenant?

Owner \_\_\_\_\_      Tenant \_\_\_\_\_

5. Do you hold the interest solely or is it jointly held with another?

Solely \_\_\_\_\_      Jointly \_\_\_\_\_      Tenants by the Entirety \_\_\_\_\_

If held jointly, or by tenants by the entirety, the name(s) of the other joint owner(s): \_\_\_\_\_  
 \_\_\_\_\_

6. Are there any legal conditions or encumbrances on the property? (Example: mortgages, liens, contracts, options, etc.)

- Yes
- No

**If yes,** what is/are the name(s) of the lender(s), creditor(s), lien holder(s), etc? \_\_\_\_\_

7. What date was the property acquired? \_\_\_\_\_

8. How was the property acquired? (Example: purchase, gift, inheritance, etc.)

\_\_\_\_\_

9. From whom was the property acquired? (Name of individual or entity from whom you purchased or inherited the property or who gifted the property to you.)

\_\_\_\_\_

10. What consideration was given when the property was acquired? (Dollar amount paid or, if you received the property as a gift or inherited it, the estimated fair market value at the time you acquired your interest in the property) \_\_\_\_\_

11. Have you transferred any interest in this property during the reporting period?

Yes

No

**If Yes;**

11.A. What percentage of interest did you transfer: \_\_\_\_\_%

11.B. What consideration did you receive for the interest: \_\_\_\_\_

11.C. To whom did you transfer the interest: \_\_\_\_\_

**If you have any additional interests in real property in Maryland, any other state, or any other country, please use additional sheet(s), if necessary, and respond to each above question for each such entry.**

## **SCHEDULE B – Interests in Corporations, Partnerships and Other Business Entities**

Did you have any interest in any corporations, partnerships, limited liability partnerships (LLP), limited liability companies (LLC), managed funds or mutual funds during the reporting period whether or not the entity did business with the Village?

Yes

No (Go to Schedule C)

**If Yes; For every entity in which you had an interest at the end of the reporting year (i.e., December 31, 2018), a separate Schedule B-1 will be required, and a separate Schedule B-2 will be required for each transaction in which you acquired, sold, or transferred any interest in that entity during the year. Alternatively, the disclosures may be made in the form of an end-of-year brokerage statement, spreadsheet chart, or other descriptive format, provided that such chart or statement contains the requested information and is accepted by the Village Ethics Commission.**

**SCHEDULE B-1 – Year-end Holdings in Corporations, Partnerships, and Other Business Entities**

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol: \_\_\_\_\_

2. Does the stock of the corporation trade on a stock exchange?

\_\_\_ Yes \_\_\_ No

If “no,” the legal address (city and state, or city and country if foreign) of the entity, if known.

\_\_\_\_\_

3. Is the interest held directly by you or is it attributable to you? (See Paragraph D of the Financial Disclosure Statement Instructions and Definitions for definition of “Attributable.”)

Directly: \_\_\_\_\_ Attributable: \_\_\_\_\_

4. Do you hold the interest in your name alone, or is it held jointly?

In your name alone: \_\_\_\_\_ Jointly: \_\_\_\_\_

If jointly, the percentage of your interest: \_\_\_\_\_%

5. What is the nature of your interest (e.g., stock, notes, corporate bonds, puts, calls, straddles, purchase options, etc.) and, if a shareholder, the number or range of shares or estimated percentage ownership interest? The number of shares may be disclosed in ranges (0-100, 101-250, 251-500, over 500). If in a non-publicly traded entity or LLP or LLC, you may report the range of your estimated ownership percentage (less than 1%, 1-5%, 6-10%, or over 10%).

Nature of Interest: \_\_\_\_\_

Number (or range) of Shares: \_\_\_\_\_, or estimated percentage ownership interest: \_\_\_\_\_%

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (Example: mortgages, liens, contracts, options, etc.)

\_\_\_ No

\_\_\_ Yes; **If yes**, name of entity holding the encumbrance: \_\_\_\_\_

## **SCHEDULE B-2 – Acquisition, Sale, or Transfer of Interest in Business Entity**

In the following questions, the number of shares may be disclosed in ranges (0-100, 101-250, 251-500, over 500). For a non-publicly traded entity or LLP or LLC, you may report the range of your estimated ownership percentage (less than 1%, 1-5%, 6-10%, or over 10%).

### **If you are reporting an acquisition of interest:**

Complete Name of the Business Entity: \_\_\_\_\_

1. In what month was the interest acquired? \_\_\_\_\_
2. How was the interest in the entity acquired? (Example: purchase, gift, will, etc.):  
\_\_\_\_\_
3. From whom did you acquire the interest in the entity? (If the interest was purchased by you or on your behalf in an open market transaction, as in the case of publicly traded securities, state “unknown, market transaction”): \_\_\_\_\_
4. Number (or range) of shares acquired: \_\_\_\_\_, or  
Estimated ownership percentage acquired: \_\_\_\_\_ %
5. If the interest acquired was shares in an entity that is publicly traded, was the acquisition at the market price? \_\_\_\_\_ (Yes/No). If your answer is “no” or if the shares acquired were not publicly traded, state the price per share acquired. \_\_\_\_\_. If the ownership interest acquired was other than shares, state the consideration paid. \_\_\_\_\_.

### **If you are reporting a sale or transfer of interest:**

Complete Name of the Business Entity: \_\_\_\_\_

6. In what month was the interest transferred?: \_\_\_\_\_
7. How was the interest in the entity transferred (Example: sale, gift, etc.):  
\_\_\_\_\_
8. To whom did you transfer your interest in the entity? (If it was sold by you or on your behalf in an open market transaction as in the case of publicly traded securities, state: “unknown, market transaction”.) \_\_\_\_\_
9. Number (or range) of shares transferred: \_\_\_\_\_, or  
Estimated ownership percentage transferred: \_\_\_\_\_ %
10. If the interest transferred was shares in an entity that is publicly traded, was the transfer at the market price? \_\_\_\_\_ (Yes/No). If your answer is “no” or if the shares transferred were not publicly traded, state the price per share transferred. \_\_\_\_\_. If the ownership interest transferred was other than shares, state the consideration received. \_\_\_\_\_.

**SCHEDULE C – Interests in Business Entities Doing Business with the Village**

Do you have an interest in any business entity (including a non-corporate business entity (such as partnership or a sole proprietorship)) that did business with the Village during the reporting period? (See Exhibit I Attached which lists entities doing business with the Village)

- Yes
- No (Go to Schedule D)

**If Yes;** (Answer each question below. A separate Schedule C will be required for each business entity to be disclosed. If the business entity is previously listed on Schedule B, list the name of the entity only and, after the name, state “See Schedule B”.)

1. Name and Address, if known, of the Principal office of the business entity?

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_

2. Is the interest held directly by you or is it attributable to you? (See Paragraph D of the Financial Disclosure Statement Instructions and Definitions for definition of “Attributable.”)

Direct: \_\_\_\_\_ Attributable: \_\_\_\_\_

3. Do you hold the interest solely or is it jointly held with another?

Solely: \_\_\_\_\_ Jointly: \_\_\_\_\_

3.A. If jointly, the percentage of your joint interest: \_\_\_\_\_%

3.B. Number (or range) of shares in the entity (see Schedule B-1, Question 5): \_\_\_\_\_ , or

Estimated percentage of ownership: \_\_\_\_\_ %

4. Are there any legal conditions or encumbrances that apply to your interest in the entity? (Example: mortgages, liens, contracts, options, etc.)

Yes, If yes give name of creditor: \_\_\_\_\_

No

5. Was any interest acquired during the reporting year?

Yes

No

**If Yes;**

5A. In what month was the interest acquired? \_\_\_\_\_

5B. How was the interest in the entity acquired? (Example: purchase, gift, will, etc.):

\_\_\_\_\_

5C. From whom did you acquire the interest in the entity? (If it was purchased by you or on your behalf in an open market transaction as in the case of publicly traded securities, state “unknown, market transaction”): \_\_\_\_\_

5D. Number (or range) of shares in the entity acquired (see instructions at Schedule B-1, Question 5): \_\_\_\_\_, or

Estimated ownership percentage acquired: \_\_\_\_\_ %

5E. If the interest acquired was shares in an entity that is publicly traded, was the acquisition at the market price? \_\_\_\_\_ (Yes/No). If your answer is “no” or if the shares acquired were not publicly traded, state the price per share acquired. \_\_\_\_\_. If the ownership interest acquired was other than shares, state the consideration paid. \_\_\_\_\_.

6. Have you transferred any interest in this entity during the reporting period?

\_\_\_ Yes

\_\_\_ No

**If Yes:**

6A. In what month was the interest transferred?: \_\_\_\_\_

6B. How was the interest in the entity transferred? (Example: sale, gift, etc.) \_\_\_\_\_

6C. To whom did you transfer your interest in the entity? (If it was sold by you on your behalf in an open market transaction as in the case of publicly traded securities, state: “unknown, market transaction”.)  
\_\_\_\_\_

6D. Number (or range) of shares transferred (see instructions at Schedule B-1, Question 5): \_\_\_\_\_, or

Estimated ownership percentage transferred: \_\_\_\_\_ %

6E. If the interest transferred was shares in an entity that is publicly traded, was the transfer at the market price? \_\_\_\_\_ (Yes/No). If your answer is “no” or if the shares transferred were not publicly traded, state the price per share transferred. \_\_\_\_\_. If the ownership interest transferred was other than shares, state the consideration received. \_\_\_\_\_.

**SCHEDULE D – Gifts**

During the reporting period, did you receive any gift(s), directly or indirectly, in excess of a value of \$20 or a series of gifts from the same donor with a cumulative value of \$100 or more from a person or entity who: 1) did business with the Village; 2) engaged in an activity that was regulated or controlled by the Village; or 3) was a regulated lobbyist? (A list of entities that do business with the Village is attached as Exhibit I). Gifts received from a member of the official’s or employee’s immediate family, another child, or a parent of the individual, do not need to be disclosed.

- Yes
- No (Go to Schedule E)

**If Yes; (Answer each question below. A separate Schedule D will be required for each gift.)**

1. Who gave you the gift?

\_\_\_\_\_

2. What was the nature of the gift? (Example: restaurant meal, theater tickets, book, etc.)

\_\_\_\_\_

3. What was the value of the gift?

\_\_\_\_\_

4. If the gift was given to someone else at your direction, list the identity of the recipient of the gift.

\_\_\_\_\_

**Please use additional sheet(s), if necessary, for any additional entries.**

**SCHEDULE E – Officers, Directorships, Salaried Employment and Similar Interests**

During the reporting period, did you or any member of your immediate family (spouse, domestic partner or dependent child) have any salaried employment or hold any office or directorship with an entity that did business with the Village? (A list of entities that do business with the Village is attached as Exhibit I).

- Yes
- No (Go to Schedule F)

**If Yes; (Answer each question below. A separate Schedule E will be required for each disclosure.)**

1. What is the name and address of the business entity?

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_

2. Who was the individual who held the position or interest listed above? (Example: yourself, spouse, dependent child)

Self: \_\_\_\_\_ Spouse: \_\_\_\_\_ Dependent child: \_\_\_\_\_

2A. Name of spouse or dependent child: \_\_\_\_\_

3. What is the title of the office you, your spouse or dependent child held? (Example: limited partner, director, treasurer, chair of the board of trustees, etc.) \_\_\_\_\_

4. What year did the position begin? \_\_\_\_\_

5. With what Village department did the business entity do business? \_\_\_\_\_

6. What was the nature of the business? (Example: regulated by the Village, registered under the lobbying law, or involved with sales and contracts with the Village)

**If necessary, please use additional sheet(s) for any additional entries.**

**SCHEDULE F – Debts You Owe**

During the reporting period, did you owe a debt (excluding a retail credit account) to a financial entity that did business with the Village? [NOTE: **If, on Schedule A, B or C you listed a financial entity that did business with the Village as the holder of your mortgage or other encumbrance, you must complete Schedule F with regard to that indebtedness.**] (A list of entities that do business with the Village is attached as Exhibit I).

- Yes
- No (Go to Schedule G)

**If Yes; (Answer each question below. A separate Schedule F will be required for each debt to be disclosed.)**

1. To whom did you owe the debt? (Do not include consumer credit debts)

\_\_\_\_\_

2. When was the debt incurred? \_\_\_\_\_

3. What are the interest rate and terms of payment of the debt?

Interest Rate \_\_\_\_\_

Terms (monthly, bimonthly, annually, etc): \_\_\_\_\_

4. What was the amount of the debt as of the end of the reporting period. If debt existed during the reporting period but was paid in full at the end of the period, put \$0. \$ \_\_\_\_\_

5. Did the principal of the debt increase \_\_\_\_\_ or decrease \_\_\_\_\_ during the reporting period, and by how much? \$ \_\_\_\_\_

6. Was any security given for the debt?

- Yes
- No

**If Yes;** Please state what type of security was given (home, car, boat, etc): \_\_\_\_\_

7. If this is a transaction in which you were involved, but which resulted in a debt being owed by your spouse or dependent child, identify your spouse or child and describe the transaction.

\_\_\_\_\_

**If necessary, please use additional sheet(s) for any additional entries.**

**SCHEDULE G – Family Members Employed by the Village**

During the reporting period, were any members of your immediate family (spouse, domestic partner or dependent children) employed by the Village in any capacity?

Yes

No (Go to Schedule H)

**If Yes; (Answer each question below. A separate Schedule G will be required for each member of the immediate family who is employed by the Village.)**

1. What is the relation and name of the immediate family member employed by the Village?

\_\_\_\_\_

2. What is the name of the department that employed the member of your immediate family?

\_\_\_\_\_

3. What was the title of your immediate family member's position in the Village during the reporting period? \_\_\_\_\_

**If necessary, please use additional sheet(s) for any additional entries.**

**SCHEDULE H – Employment/Business Ownership**

During the reporting period, did you or any member of your immediate family (i.e., spouse or dependent child) receive any **earned** income from an entity other than the Village? Please note that your dependent child’s source of earned income does not need to be disclosed unless his/her place of employment or the business entity in which he/she had an ownership interest that produced earned income is subject to regulation or the authority of the Village.

- Yes
- No (Go to Schedule I)

**If Yes; (Answer each question below. A separate Schedule H will be required for each member of the immediate family who was employed or had whole or partial ownership of a business entity from which earned income was received.)**

1. If, during the reporting period, you or a member of your immediate family had employment from which you or they earned income, list the relation, name, employer, and address of the employment. (See limitation in first paragraph above for dependent children)

Name: \_\_\_\_\_  
Relationship: \_\_\_\_\_  
Name of Employer: \_\_\_\_\_  
Address: \_\_\_\_\_  
City/State/Zip: \_\_\_\_\_

2. If, during the reporting period, you or a member of your immediate family wholly or partially owned any business entity from which income was earned, list the relation, name and address of the business entity.

Name: \_\_\_\_\_  
Relationship: \_\_\_\_\_  
Name of Business Entity: \_\_\_\_\_  
Address: \_\_\_\_\_  
City/State/Zip: \_\_\_\_\_

**If necessary, please use additional sheet(s) for any additional entries.**

**SCHEDULE I – Other**

Is there any additional information or interest you would like to disclose?

**STANDARDS OF CONDUCT**

The Chevy Chase Village Public Ethics Ordinance includes standards of conduct applicable to financial disclosure filers and Village employees and appointed officials. The standards address disqualification from participation, prohibited secondary employment, prohibited ownership interests, misuse of position, prohibited solicitation and acceptance of gifts, misuse of confidential information, post-employment limitations, prohibited dealings with the Village, and procurement specifications assistance restrictions. The Ordinance provides for exceptions and exemptions under certain circumstances.

Filers wanting more detailed information about these requirements should contact the Village Ethics Commission.

**PRIVACY NOTICE**

The Village Public Ethics Ordinance, adopted in compliance with the Public Ethics Law (State Government Article, Title 15), Annotated Code of Maryland require the collection of this information. The information will be available for public disclosure and to determine compliance with the Law. The information may be disclosed to any requesting person, including state, local or federal government officials, who record their name and address. This information will be provided to the filer upon request. See page 1 of the Financial Disclosure Statement.

## EXHIBIT I

Entities that do business with Chevy Chase Village, updated 1/2019

### Corporations/Contractors

1000bulbs.Com	Deluxe Business Solutions	Mindys Catering	Tri-State Stone
AAA Fire Extinguishers	Drivers License Guide	Mobile Lube Express(XOM)	Tyco Integrated Security
ABC Equipment Rental	ESRI	Montgomery County Govt.	US Postal Service
AB Veirs and Sons	Feather and Associates	Monster Worldwide Inc	Unity Disposal
A.Morton Thomas	Federal Express(FDX)	Motorola(MSI)	UPS(UPS)
Ace Beverage	Ferguson Enterprises	Nextel Communications(S)	Washington Post
ADT Security(ADT)	Fleetpro Inc	Northern Safety Company	VH Sign Company
AFLAC(AFL)	Framing Studio	Oak Grove Restoration Company	Vermeer Mid-Atlantic
Airgas East(ARG)	Fred Pryor Seminars	Occupational Health Centers	Verizon Wireless(VZ)
Alianza Building Services	Freedman and Sons	Old Dominion Brush	Valley Crest Maintenance
American Express	Friends and Family Flooring	Office Depot	Watch Guard Technologies(WGRD)
American Pest Control	Fully Promoted	Officemax(OMX)	WSSC
American Flag and Gift	Gaithersburg Equipment	Oriental Trading Company	Westwood Cleaners
American Plant Food Co.	Gall's Incorporated(GLW)	Orkin Pest Control	Windstream Communications
American Reprographics	Garden State Highway Products	P and R Enterprises Inc	Xerox Local and State Solutions(XRX)
Amato Industires	Gemplers	Palace Florists	Yankee Clippers
Aramark	Genesis Security Systems	Panera Bread(PNRA)	Washington Gas Energy Services(WGLCO)
Arc Eastern	Giant Food	PaperPlus	Washington Gas(WGLCO)
Aspen Contractors	Gilbert Guns	Party Warehouse	
AT&R Trapping	Goode Companies	Pepco(POM)	
Atlantic Guns	Google	Pickney LLC	
Autonomy(AUTNF)	Grainger Industrial Supplies(GWW)	Pioneer Network	
Balduccis	Graphic Design International	Pitney Bowes(PBI)	
Banner Glass	Graves Uniforms	Police Correctional and Training	<b>Banks</b>
Bartlett Tree Experts	Hamm, Timothy	Principle Life(PFG)	
Baradel, Kosmerl, & Nolan	Hanagans	Precision Doors	Capital One(COF)
Beach Brothers Printing	Hercules Fence	Priority Construction	Congressional
Bethesda Business Solutions	Hertrich Fleet Services, Inc	Professional Gardeners	OBA Bank
Bethesda Lawn and Power	Hewlett-Packard Company	ProForma Integrated Solutions	Hamilton Bank
Benefit Wallet	Holiday Inn(IHG)	ProPet Distributors	Frederick County(FCBI)
Bialeks Music	Hilton Hotels	ProSource	Balt. CO. Savings Bank(BCSB)
Blue Tarp Financial	Home Depot	Provisions LTD	Monument
Brightview Landscapes LLC	Howard Uniform Company	Qualification Targets, Inc	Rosedale Federal
Boulevard Contractors	ICMA	Quality Engraving	Suntrust(STI)
Brownells Inc	Innovative Catering	Radial Tire	BB&T
Broadpoint Technology	Info. Technology and Communications	Regal Tickets	Rosedale Federal
CALEA	Insurance Buyers Council	RELS	
CareFirst(WLP)	Intellitec Solutions	Reliance Standard Insurance(DFG)	
Capitol Hardscapes	Interstate Battery	RK&K	
Calvert Design Group	Intoxometers	Republic Business Credit, LLC	
Care of Trees	J&J Amusements	Rockville Printing and Graphics	
Cardinal Sound	JL Property Ventures	Roberts Oxygen	
Carquest	Johnson Crane	Roberts, Stephen	
CDW Government	KeepItSafe	Ryan Rehabilitation	
Centric	Konica Minolta	Rydin Decals	
Century Cleaning	Kustom Signals	Safemasters	
Chamberlin Contractors	Lab Safety Inc	Seneca Engineering LLC	
Chief Supply Corperation	Lawman Supply Company	Shalom Kosher	
Chinook Medical Gear	Lawn and Power Equipment	Shemin Nursery	
Civic Plus	Lawrence Street, LLC	Sirchie Finger Print Labs Ic	
Comcast(COMSA)	Lexis Nexis	Site One Landscaping Supply	
Commercial Mower Depot	LGIT	Southern Police Supply	
Complete Industries	Lila Fendrick		
Compost Crew	Lindsey & Assoc.	Spectrum Printing	
Concentra Medical Centers	Long Fence	Stadler Nursery	
CODY Computer Services	Maryland Municipal League	Staples(SPLS)	
Crown Point technologies	MBC Precision Imaging	Stein Sperling Bennett DeJong	
Costco(COST)	Maryland Telephone Products	Strosniders Hardware	
Country Casual	McGuire, Pat	Studio Crowley Hall	
Criswell Chevrolet	MD Chiefs of Police	Sun Badge	
Cummins Power Systems(CMI)	MD Notary	Teltronic	
D and F Construction Inc	MD Telephone Products	Thomas E Clark	
Dade Paper	Medstar Health	Thomas T. Gardens	
Dash Medical Gloves	Metrocount	Total Contracting	
Dell Computers(DELL)	Mid Atlantic Waste Syetems	T.W.Perry	

\* Excludes Persons and Entities That Have Rented The Village Hall