

Dear County Employee:

You are a part of a dedicated group of people that provide many important services to the citizens of Westchester. The residents of our county rely on the officers and employees of our government to use professional, courteous and ethical conduct.

The Westchester County Ethics Code was created in 1988 and among its many provisions, it requires some County employees, elected officials, candidates for County office, and members of certain County Boards and Commissions to file annual financial disclosure statements.

The code also restricts, for one year, certain former County employees from working with companies that did business with the County during their employ and also prevents those employees from returning as consultants to the County within one year of leaving. The Board of Legislators has the authority, if requested, to waive these restrictions on an individual basis.

Please familiarize yourself with the Ethics Code because it affects each and every County employee.

Sincerely,

Andrew J. Spano
County Executive

LOCAL LAW NO. 3-1988
(as amended by Local Law No. 3-1989
and Local Law No. 17-1991
and Local Law No. 2-1993)

A LOCAL LAW to amend the Laws of Westchester County in relation to regulating business or professional activities of certain elected officials and county officers and employees and certain political party officials and to require financial disclosure by certain of said persons and candidates for county elected office pursuant to chapter eight hundred thirteen of the laws of nineteen hundred eighty-seven and repealing certain laws of said county relating thereto.

BE IT ENACTED by the County Board of the County of Westchester as follows:

Section 1. The Laws of Westchester County are amended by adding a new chapter eight hundred eighty-three to read as follows:

CHAPTER 883

CODE OF ETHICS

§883.01.	Purpose.
§883.11.	Definitions.
§883.21.	Standards of conduct.
§883.31.	Testimony.
§883.41.	Suits against the County.
§883.51.	Distribution of Code of Ethics.
§883.61.	Disclosure form; Distribution.
§883.71.	Disclosure form.
§883.81.	Disclosure form; filing.
§883.91.	Penalties

§883.01. Purpose. The residents of Westchester County are entitled to expect the highest degree of conduct on the part of County officers and employees. Pursuant to the provisions of Article eighteen of the General Municipal Law, the Board of Legislators of the County of Westchester recognizes that there must be rules of ethical conduct for its public officials, officers and employees to observe if a high degree of moral conduct is to be obtained and if public confidence is to be maintained in our County government. It is the purpose of this Chapter to promulgate these rules of ethical conduct for the officers and employees of the County of Westchester. These rules shall serve as a guide for official conduct of such officials, officers and employees. The rule of ethical conduct of this Chapter shall not conflict with, but shall be in addition to any prohibition of Article

eighteen of the General Municipal Law or any other general or special law relating to ethical conduct of such municipal officers and employees, any interest they may have in municipal contracts, and disclosure of certain financial aspects of their private lives.

§883.11. Definitions. Unless otherwise specifically indicated, for purpose of this Chapter, the following terms shall have the following meanings:

- (a) “Agency” means any of the divisions of County government referred to in Subdivision (d) of this Section.
- (b) “Appropriate body” means the Temporary State Commission on Local Government Ethics or, if such body does not exist, the Board of Ethics of the County of Westchester.
- (c) “Child” means any son, daughter, step-son or step-daughter of a municipal officer or employee.
- (d) “County” means the County of Westchester or any department, board, branch, bureau, commission, agency or other division or part thereof.
- (e) “County elected official” means the County Executive, a County Legislator, the County Clerk or the District Attorney.

- (f) “Interest” means a direct or indirect pecuniary or material benefit accruing to a county officer or employee, his or her spouse, child or dependent whether as the result of a contract with the County or otherwise. For the purpose of this Chapter, a County officer or employee shall be deemed to have an interest in the contract of (i) his spouse, children and dependents, except a contract of employment with the County; (ii) a firm, partnership or association of which such officer or employee is a member or employee; (iii) a corporation of which such officer or employee is an officer, director or employee; and (iv) a corporation of which more than 5% of the outstanding capital stock is owned by any of the aforesaid parties.
- (g) “Legislation” means a matter which appeared upon the calendar of the Board of Legislators of Westchester County or upon a committee thereof upon which any official action has been taken and shall include only proposed or adopted acts, local laws, ordinances or resolutions.
- (h) “Officer or employee” means a candidate for County elected office or an elected or appointed official, officer or employee of the County of Westchester, whether paid or unpaid, including members of any administrative board, commission or other agency thereof. No person shall

be deemed to be a municipal officer or employee solely by reason of being a volunteer fireman or civil defense volunteer, except a fire chief or assistant fire chief.

(i) “Official record” means the minutes, stenographic or otherwise, kept of a meeting, hearing or other proceeding or, in the absence of such minutes, a written communication from an officer or employee delivered to either the Chairman of the Board of Legislators or the County Executive.

(j) “Political party official” means

(1) any chairman of a county committee elected pursuant to Section 2-112 of the Election Law, or his or her successor in office:

(2) that person (usually designated by the rules of a county committee as the “county leader” or “chairman of the executive committee”) by whatever title designated, who, pursuant to the rules of a County committee or in actual practice, possesses or performs any or all of the following duties or roles:

- i. the principal political executive and administrative officer of the county committee;
- ii. the power of general management over the affairs of the county committee;
- iii. the power to exercise the powers of the chairman of the county committee as provided for in the rules of the county committee;
- iv. the power to preside at all meetings of the county executive committee, if such a committee is created by the rules of the county committee or exists de facto, or any other committee or subcommittee of the county committee vested by such rules with or having de facto the power of general management over the affairs of the county committee at times when the county committee is not in actual session;
- v. the power to call a meeting of the county committee or of any committee or subcommittee vested with the rights, powers, duties or privileges of

the county committee pursuant to the rules of the county committee, for the purpose of filling an office at a special election in accordance with Section 6-114 of the Election Law for the purpose of filling a vacancy in accordance with Section 6-116 of such law or for the purpose of filling a vacancy or vacancies in the county committee which exist by reason of an increase in the number of election districts within the county occasioned by a change of the boundaries of one or more election districts, taking effect after the election of its members, or for the purpose of determining the districts that the elected members shall represent until the next election at which such members of such committee are elected; provided, however, that in no event shall such power encompass the power of the chairperson of an assembly district committee or other district committee smaller than a county and created by the

rules of the county committee, to call a meeting of such district committee for such purpose;

vi. the power to direct the treasurer of the party to expend funds of the county committee; or

vii. the power to procure from one or more bank accounts of the county committee the necessary funds to defray the expenses of the County committee;

(3) The terms “constituted committee” and “political committee”, shall have the same meanings as those contained in Section 14-100 of the Election Law.

(k) “Relative” means a spouse, child or any person who is a direct descendant of the grandparents of a municipal officer or employee or of a candidate for County office or his or her spouse.

(l) “Reporting officer or employee” means a full-time officer or employee who is required to complete and file an annual statement of financial disclosure pursuant to §883.61 of this chapter. Such term shall also include candidates for County elected office.

- (m) “Spouse” means the husband or wife of a candidate for County office or of an officer or employee subject to the provisions of this Chapter unless living separate and apart from such officer or employee with the intention of terminating the marriage or providing for permanent separation or unless separated pursuant to: (a) a judicial order, decree or judgment or (b) a legally binding separation agreement.
- (n) “Unemancipated child” means a child who is under the age of eighteen, unmarried and living in the household of an officer or employee.

§883.21. Standards of Conduct. The officers or employees of the County of Westchester shall be subject to and abide by the following standards of conduct:

1. (a) Gifts: They shall not directly or indirectly, solicit any gifts; or accept or receive any gift, having a value of seventy-five dollars or more, whether in the form of money, services, loan, travel, entertainment, hospitality, thing or promise, or any other form, under circumstances in which it could reasonably be expected to influence

them, or could reasonably be expected to influence them, in the performance of their official duties or was intended as a reward for any official action on their part. A donation to a person seeking public or party office or to a committee supporting the efforts of such person shall not be considered a gift hereunder.

(b) Confidential Information. They shall not disclose confidential information acquired by them in the course of their official duties or use such information to further their personal interests.

(c) Representation before one's own agency. They shall not receive, or enter into any agreement, express or implied, for compensation to themselves or a relative, directly or indirectly, for services to be rendered in relation to any matter before any County agency of which they are an officer, member or employee or of any County agency

over which they have jurisdiction or to which they have the power to appoint any member, officer or employee.

(d) Representation before any agency for a contingent fee.

They shall not receive, or enter into any agreement, express or implied for compensation to themselves or a relative, directly or indirectly, for services to be rendered in relation to any matter before any agency of the County, whereby their compensation is to be dependent or contingent upon any action by such agency with respect to such matter, provided that this paragraph shall not prohibit the fixing at any time of fees based upon the reasonable value of the services rendered.

(e) Disclosure of interest in legislation or County contracts.

To the extent that they know thereof, any officer or employee of the County of Westchester, whether paid or unpaid, who has any interest in any legislation before the County Board or who gives any opinion to such Board upon such legislation or who has any interest in any

contract or agreement of the County or an agency thereof shall publicly disclose on the official record and to an immediate supervisor in writing the nature and extent of such interest.

(f) Investments in conflict with official duties. An officer or employee shall not invest or hold any investment directly or indirectly in any financial, business, commercial or other private endeavor or entity, which creates a conflict with official County duties.

(g) Private employment or services. An officer or employee shall not engage in, solicit, negotiate for or promise to accept private employment or render services for private interests when such employment or service creates a conflict with or impairs the proper discharge of official County duties.

(h) Future employment.

1. After the termination of service or employment with the County, no former reporting officer or employee, on his or her own behalf, or as an employee,

agent or representative of another may appear before any agency in relation to any contract, case, proceeding or application in connection with which he or she personally rendered substantial services during the period of his or her service to or employment by such agency. Nor shall any such former reporting officer or employee appear before any such agency in connection with any other matter for a period of one year following such termination.

2. No paid reporting officer or employee shall accept present or future employment within one year following termination of County service, with any person, firm or corporation which furnished goods or services to the County during such person's service to the County unless such potential employment is disclosed to the Board of Legislators before being accepted by the officer or employee and is approved prospectively by such Board.

3. A reporting officer or employee shall disclose in writing to an immediate supervisor any offer of employment received by such person from any person, firm or corporation which, to the knowledge of such officer or employee, is

furnishing or seeking to furnish goods or services to the County, whether or not such offer is verbal or written and whether or not it is accepted.

(i) Consulting services.

(1) No person, firm or corporation shall render services to the County as a consultant, whether paid or unpaid, unless such consultant files an instrument with the Westchester County Clerk.

(2) Such instrument shall be in the form of an affidavit and shall state that “the consultant agrees that it has no interest and will not acquire any interest, direct or indirect, that would conflict in any manner or degree with the performance of the services to be rendered to Westchester County.” Such instrument shall further state that “the consultant further agrees that, in the rendering of services to the County, no person having any such interest shall be employed by it.”

(3) No reporting officer or employee shall, upon termination of employment with the County, become employed or accept a position of paid consultant to the County or any agency thereof within a period of one year following such termination unless such consultation be first approved by the Board of Legislators.

§883.31. Testimony. No officer or employee of the County shall decline or refuse to answer questions specifically or directly relating to the performance of his or her official duties before any official, board or agency authorized or empowered to so inquire into the performance of such duties. This section shall not be construed as barring any County officer or employee from exercising the constitutional privilege against self-incrimination; provided, however, when the inquiry or such official, board or agency is wholly civil in nature, failure to fully cooperate with and diligently answer the inquiries of such board or agency shall constitute grounds for dismissal or removal of said officer or employee.

§883.41. Suits against the County. Nothing herein shall be deemed to bar or prevent the timely filing by a present or former municipal officer or employer of any claim, account, demand or suit against the County or any agency thereof on his or her own behalf or the behalf of a relative arising out of any personal injury or property damage or for any lawful benefit authorized or permitted by law.

§883.51. Distribution of Code of Ethics. Within thirty days of the effective date of this Chapter, the County Executive shall cause a copy of this Code of Ethics to be distributed to every officer and employee of the County, and shall further cause a copy of this Local Law to be conspicuously posted in all public buildings owned or controlled by the County. Each officer and employee elected or appointed thereafter shall be furnished a copy before entering upon the duties of County employment.

§883.61 Disclosure form; distribution. The County Executive shall on or before the fifteenth day of March of each year cause to be distributed, for completion and filing, to those persons filling the following positions a form substantially similar to that set forth in Section 883.71 of this Chapter.

BOARD OF LEGISLATORS

County Legislators
Clerk of the County Board of Legislators
and Chief of Staff
Assistant to the Chairman –
Board of Legislators
Legislative Counsel (Counsel to the Board)
Director of Public Affairs – Board of Legislators
Assistant to the Chairman of the Budget Committee;

COUNTY CLERK

County Clerk
First Deputy County Clerk

Second Deputy County Clerk
Deputy County Clerk/Chief Clerk;

DISTRICT ATTORNEY

District Attorney
First Deputy District Attorney
Second Deputy District Attorney
Deputy District Attorney
Chief Administrator
Chief of Bureau
Director of Administrative Services – District Attorney;

COUNTY EXECUTIVE

County Executive
Deputy County Executive
Chief of Staff County Executive
Special Counsel to the County Executive
Counsel to the County Executive
Assistant to the County Executive IV
Assistant to the County Executive III
Assistant to the County Executive II
Assistant to the County Executive I
Director of Intergovernmental Relations
Director of Public Affairs
Legislative Liaison
Director of Research & Economic Development
Equal Employment Opportunity Coordinator
Director Youth Bureau
Director Aging
Director Office for Disabled
Assistant to the County Executive
for Human Development
Director Office of Employment and Training
Executive Assistant for Office Management
Director of Real Estate
Director Office for Women

Director Office Criminal Justice Planning
Coordinator Veterans Affairs
County Fire Coordinator
Coordinator of Administrative Affairs;

PERSONNEL

Personnel Officer
Director of Labor Relations
Chief Deputy Personnel Officer
Director – Employee Assistance Program;

BUDGET

Budget Director
Assistant Budget Director
and Director of Risk Management
Deputy Budget Director;

BOARD OF ELECTIONS

Commissioner of Elections
Deputy Commissioner of Elections;

FINANCE

Commissioner of Finance
First Deputy Commissioner of Finance
Deputy Commissioner of Finance
Manager of Payroll Benefits
Manager of Accounting Services;

GENERAL SERVICES

Administrator of General Services
Purchasing Agent
Deputy Purchasing Agent
Manager of Data Processing
Director of Telecommunications
Director of Accounting and Control
Director of Administrative Services;

LAW

County Attorney
Chief Deputy County Attorney
Assistant Chief Deputy County Attorney
Deputy County Attorney;

PLANNING

Commissioner of Planning
Deputy Commissioner of Planning
Deputy Commissioner of Planning for
Housing and Community Development
Deputy Commissioner of Planning (Capital and Facilities Planning)
Director of Natural Resources Planning;

TAX COMMISSION

Executive Director of Tax Commission;

SOCIAL SERVICES

Commissioner of Social Services
Deputy Commissioner for Finance and Administrative Services
Deputy Commissioner for Systems Development and Control
Deputy Commissioner for Community Services
Assistant Commissioner of Social Services;

WEIGHTS, MEASURES, CONSUMER PROTECTION

County Sealer of Weights and Measures
and Director of Consumer Protection
Deputy County Sealer of Weights and Measures
and Consumer Protection;

MENTAL HEALTH

Commissioner of Community Mental Health Services
Deputy Commissioner of Community Mental Health Services
Director of Administrative Services – Community Mental
Health Services;

HEALTH

Commissioner of Health
First Deputy Commissioner of Health
Second Deputy Commissioner of Health
Deputy Commissioner of Health for Disease Control
Associate Director of Division –
Community Health Services
Assistant Commissioner of Health –
Health Planning
Assistant Commissioner of Health –
Nursing
Assistant Commissioner of Health –
Environmental Health;

LABORATORIES AND RESEARCH

Pathologist – Medical Examiner
Pathologist – Deputy Medical Examiner
Chief, Public Health Laboratory
Director of Toxicological and Forensic
Science Services
Director of Administrative Services – Laboratories
and Research;

COMMUNITY COLLEGE

President Community College
Dean of Academic Affairs
Dean of Student Personnel Services
Dean of Educational Opportunity Center
Dean of Administrative Services;

CORRECTIONS

Commissioner of Correction
Deputy Commissioner
Warden;

PUBLIC SAFETY

Commissioner/Sheriff
Deputy Commissioner of Public Safety Services
Director Office of Disaster and Emergency Services
Chief Inspector;

PROBATION

Director of Probation
Deputy Director of Probation
Assistant Director of Probation;

PUBLIC ADMINISTRATOR

Public Administrator;

PARKS, RECREATION AND CONSERVATION

Commissioner of Parks, Recreation and Conservation
Deputy Commissioner of Parks, Recreation and
Conservation
General Manager of the County Center
Assistant Manager – County Center Sales
Director of Sales and Marketing
Director – Playland
Assistant Director – Playland
Controller – Playland
Program Administrator – (Sales and Marketing)
Assistant Manager – County Center Operations
Director of Program Development II (Concessions)
Director of Administrative Services – Parks,
Recreation and Conservation;

TRANSPORTATION

Commissioner of Transportation
Deputy Commissioner of Transportation;

PUBLIC WORKS

Commissioner of Public Works
First Deputy Commissioner of Public Works
Deputy Commissioner for Solid Waste
Director of Administrative Services – Public Works
Associate Engineer (Design Coordinator);

ENVIRONMENTAL FACILITIES

Commissioner of Environmental Facilities
Deputy Commissioner of Environmental Facilities
Second Deputy Commissioner of
Environmental Facilities
Director of Administrative Services – Environmental
Facilities
Deputy Director, Wastewater Treatment
Director – Water Agency
Chief Engineer
Director, Wastewater Treatment Plants;

HOSPITAL

Commissioner of Hospitals
Director of Hospital Administration
Director of Hospital Fiscal and Business Services
Medical Director
Director of Nursing – Ruth Taylor Institute
Associate Director of Hospital for Nursing
Director of Ruth Taylor Institute
Director of Automated Information Systems
Director of Hospital Facilities Management
Director of Building Services
Director of Planning
Director of Purchasing

Director of Mental Retardation Institute
Director of Finance – Ruth Taylor Institute
Risk Manager – Westchester County
Medical Center
Associate Director Hospital (Operations)
First Deputy Commissioner of Hospitals
Director of Communication and Development –
Westchester County Medical Center
Director of Professional Services – Hospital.

Such disclosure forms shall be given to any person filling a position similar to any of the above, however denominated and to the Board of Elections for distribution to and completion and filing by all candidates for County elected office and to any person filling a position as described in subdivision (j) of Section 883.11 of this Chapter and to such other persons as the Board of Legislators by resolution may prescribe, a form substantially as set forth in Section 883.71 of this Chapter and a sealable envelope to enclose same. Such persons shall complete and file such statements as provided in Section 883.81 of this Chapter.

§883.71 1. The annual statement of financial disclosure shall be in substantially the following form:

ANNUAL STATEMENT OF FINANCIAL DISCLOSURE FOR WESTCHESTER
COUNTY. For calendar year_____.

1. Name_____

2. (a) Title of Position_____

(b) Department, Agency or other Government Entity_____

(c) Address of Present Office_____

(d) Office Telephone Number_____

3. (a) Marital Status_____. If married, please give spouse's full name including maiden name where applicable.

(b) List the names of all unemancipated children.

(c) List the names of all parents, siblings, children, grand-children, step-children and their spouses (including your own spouse) who worked for and were compensated by Westchester County during the reporting year. To the extent known, please also specify for each of such names, the initial date of hire and whether the appointment

was from a civil service list or discretionary (provisional, temporary, managerial, confidential, exempt, non-competitive or labor).

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

Whenever a “value” or “amount” is required to be reported herein, such value or amount shall be reported as being within one of the following Categories:

Category A – under \$5,000;

Category B - \$5,000 to under \$20,000;

Category C - \$20,000 to under \$60,000;

Category D - \$60,000 to under \$100,000;

Category E - \$100,000 to under \$250,000; and

Category F - \$250,000 or over.

A reporting individual shall indicate the Category by letter only.

For the purpose of this statement, anywhere the term “local agency” shall appear such term shall mean a local agency of the County of Westchester as defined in section 810 of the General Municipal Law.

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

Position	Organization	State or Local Agency

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

Position	Organization	State or Local Agency

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

Position	Name & Address of Organization	Description	State or Local Agency

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

the name, address and description of such occupation, employment, trade, business or profession and the name of any such agency.

Position	Name & Address of Organization	Description	State or Local Agency

6. List any interest, in excess of \$1,000, excluding bonds and notes, held by the reporting individual, such individual's spouse or unemancipated child, or partnership of which any such person is a member, or corporation, ten per centum or more of the stock of which is owned or controlled by any such person, whether vested or contingent, in any contract made or executed by a state or local agency and include the name of the entity which holds such interest and the relationship of the reporting individual or such individual's spouse or such child to such entity and the interest in such contract. Do not list any interest in any such contract on which final payment has been made and all obligations under the contract except for guarantees and warranties have been performed; provided, however, that such an interest must be listed if there has been an ongoing dispute during the calendar year for which this statement is

filed with respect to any such guarantees or warranties. Do not list any interest in a contract made or executed by a state agency after public notice and pursuant to process for competitive bidding or a process for competitive requests for proposals.

Self, Spouse or Child	Entity Which Held Interest in Contract	Relationship to Entity and Interest in Contract	Contracting State or Local Agency	Category of Value of Contract
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7. List any positions the reporting individual held as an officer of any political party or political organization, as a member of any political party committee, or as a political party district leader. The term “party” shall have the same meaning as “party” in the Election Law. The term “political organization” means any party or independent body as defined in the Election Law or any organization that is affiliated with or a subsidiary of a party or independent body.

8. (a) If the reporting individual practices law, is licensed by the Department of State as a real estate broker or agent or practices a profession licensed by the Department of Education, give a general description of the principal subject areas

of matters undertaken by such individual. Additionally, if such an individual practices with a firm or corporation and is a partner or shareholder of the firm or corporation, give a general description of principal subject areas of matters undertaken by such firm or corporation. Do not list the names of the individual clients, customers or patients.

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

9. List each source of gifts, excluding campaign contributions, in excess of \$1,000, received during the reporting period for which this statement is filed by the reporting individual or such individual's spouse or unemancipated child from the same donor, excluding gifts from a relative. Include the name and address of the

donor. The term “gifts” does not include reimbursements, which term is defined in item 10. Indicate the value and nature of each such gift.

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

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

Identity

Category of Value*

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

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

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

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

and not by the name of the individual customers, clients or tenants with the aggregate net income before taxes for each building address or entity. The receipt of maintenance received in connection with a matrimonial action, alimony and child support payments shall not be listed.

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

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

Items Assigned or Transferred	Assigned or Transferred to	Category of Value
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16. List below the type and market value of securities held by the reporting individual or such individual's spouse from each issuing entity in excess of \$1,000 at the close of the taxable year last occurring prior to the date of filing, including the name of the issuing entity exclusive of securities held by the reporting individual issued by a professional corporation. Whenever an interest in securities exists through a beneficial interest in a trust, the securities held in such trust shall be listed only if the reporting individual has knowledge thereof except where the reporting individual or the reporting individual's spouse has transferred assets to such trust for his or her benefit in which event such

securities shall be listed unless they are not ascertainable by the reporting individual because the trustee is under an obligation or has been instructed in writing not to disclose the contents of the trust to the reporting individual. Securities of which the reporting individual or the reporting individual's spouse is the owner of record but in which such individual or the reporting individual's spouse has no beneficial interest shall not be listed. Indicate percentage of ownership if the reporting person or the reporting person's spouse holds more than five percent of the stock of a corporation in which the stock is publicly traded or more than ten percent if such stock is not publicly traded. Also list securities owned for investment purposes by a corporation more than fifty percent of the stock of which is owned or controlled by the reporting individual or such individual's spouse. For the purpose of this item the term "securities" shall mean bonds, mortgages, notes, obligations, warrants and stocks of any class, investment interests in limited or general partnerships and certificates of deposits and such other evidence of indebtedness and certificates of interest as are usually referred to as securities. The market value for such securities shall be reported only if reasonably ascertainable and shall not be reported if the security is an interest in a general partnership that was listed in item 8 (a) or if the security is corporate stock, not publicly traded, in a trade or business of a reporting individual or a reporting individual's spouse.

Self/Spouse	Issuing Entity	Type of Security	Category of Market Value as of the close of the taxable year last occurring prior to the filing of this statement	Percentage of corporate stock owned or controlled
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17. List below the location, size, general nature, acquisition date, market value and percentage of ownership of any real property in which any vested or contingent interest in excess of \$1,000 is held by the reporting individual or the reporting individual's spouse. Also list real property owned for investment purposes by a corporation more than fifty percent of the stock of which is owned or controlled by the reporting individual or such individual's spouse. Do not list any real property which is the primary or secondary personal residence of the reporting individual or the reporting individual's spouse, except where there is a co-owner who is other than a relative.

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

Name of Debtor	Type of Obligation, Date Due, and Nature of Collateral, if any	Category of Amount
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19. List below all liabilities of the reporting individual and such individual's spouse, in excess of \$45,000 as of the date of filing of this statement, other than liabilities to a

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

Name of Creditor or
Guarantor

Type of Liability and
Collateral, if any

Category of Amount

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

Signature of Reporting Individual

Date (month/day/year)

§883.81. Any candidate for County office, officer or employee who is required to complete and submit this annual statement and who knowingly and willfully fails to so submit an annual statement of financial disclosure or who knowingly and willfully with intent to deceive makes a false statement or gives information on such statement which such individual knows to be false filed pursuant to this Chapter shall be assessed a civil penalty in an amount not to exceed ten thousand dollars. Assessment of a civil penalty hereunder shall be made by the appropriate body, as such term is defined in Section 883.11 of this Chapter. For a violation of this Subdivision, other than for conduct which constitutes a violation of Section 73(12) of the Public Officers Law, the appropriate body 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. A civil penalty for false filing may not be imposed hereunder in the event a

category of “value” or “amount” reported hereunder is incorrect unless such reported information is falsely understated or overstated. Notwithstanding any other provision of law to the contrary, no other penalty, civil or criminal may be imposed for a failure to file, or for a false filing, of such statement, except that the appointing authority may impose disciplinary action as otherwise provided by law. Each appropriate body shall adopt rules governing the conduct of adjudicatory proceedings and appeals relating to the assessment of the civil penalties herein authorized. Such rules shall provide for due process procedural mechanisms substantially similar to those set forth in Article 3 of the State Administrative Procedure Act but such mechanisms need not be identical in terms or scope. Assessment of a civil penalty shall be final unless modified, suspended or vacated within thirty days of imposition and upon becoming final shall be subject to review at the instance of the affected reporting individual in a proceeding commenced against the appropriate body, pursuant to Article 78 of the Civil Practice Law and Rules.

Annual statement of financial disclosure; filing; exceptions and extensions.

1. Any person required to file an annual statement of financial disclosure pursuant to this Chapter shall submit such completed form on or before the first day of May of each

year to the Chairman of the Board of Legislators or the County Executive or the designee of either as the case may be except that candidates for county elected office may file such forms directly with the appropriate agency, such form may be submitted in a sealed envelope if the reporting individual so chooses.

2. Candidate for county elected official who file designating petitions for nomination at a primary election shall file such statement within seven days after the last date allowed by law for the filing of designating petitions naming them as candidates for the next succeeding primary election.

3. Candidates for independent nomination for county elected official who have not been designated by a party to receive a nomination shall file such statement within seven days after the last day allowed by law for the filing of independent nominating petitions naming them as candidates for local elected officials in the next succeeding general or special election.

4. Candidates for county elected office who receive the nomination of a party for a special election or who receive the nomination of a party other than at a primary election

(whether or not for uncontested office) shall file such statement within seven days after the date of the meeting of the party committee at which they are nominated.

5. As used in this Section, the terms “party”, “committee” (when used in conjunction with the term “party”), “designation”, “primary”, “uncontested office” shall have the same meanings as those contained in Section 1-104 of the Election Law.

6. The appropriate body, as defined in Section 883.11 of this Chapter shall obtain from the Board of Elections, as such term is defined in §1-104 of the Election Law, lists of all candidates for County elected office, and from such lists, shall determine and publish lists of those candidates who have not, within ten days after the required date for filing such statement, filed the statement required by this Subdivision.

7. The person to whom such statements are submitted shall deliver them, without review, by whatever means seems appropriate and expeditious to the appropriate body to assure their receipt by such body on or before the fifteenth day of May in the year received.

8. Any person required to file such statements who become so required after May fifteenth of any year shall file such statement within thirty days.

9. A person who is subject to the filing requirements of this section from more than one county may satisfy the requirements of this Section by filing only one annual statement of financial disclosure with the appropriate body (as is required in that county) for the county in which such person is employed. Such single filing may be made for any of such counties provided, however, that the appropriate bodies (as required by such other counties) are notified of the name of the county of such compliance by the person who is subjected to the filing requirements of this Subdivision, within the time limit for filing specified in this Subdivision.

10. A County elected official who is otherwise required to file under the provisions of this Chapter shall satisfy the filing deadline requirements of this Subdivision by complying only with the deadline applicable to one who holds such County elected office.

11. A candidate whose name will appear on both a party designating petition and on an independent nominating petition for the same office or who will be listed on the

election ballot for the same office more than once shall satisfy the filing deadline requirements of this Subdivision by complying with the earliest applicable deadline only.

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

13. Any person who is required to file an annual financial disclosure statement and who is granted an additional period of time within which to file such statement due to justifiable cause or undue hardship, in accordance with required rules and regulations on the subject adopted pursuant to Subdivision 3 of this Section shall file such statement within the additional period of time granted.

§883.91. Penalties. In addition to any penalty contained in any other provision of law, other than Subdivision (2) of Section 883.71 of this Chapter, any person who shall knowingly and intentionally violate any of the provisions of this Chapter may be fined not less than one hundred dollars nor more than ten thousand dollars, suspended or removed from office or employment, as the case may be, in the manner provided by law.

§883.92. Chapter eight hundred eight-three of the laws of Westchester County as revised by local law twelve of nineteen hundred seventy is REPEALED.

§883.93. Separability. If any Section, Subdivision, Clause, item or other part of this Local Law, or the application thereof should be held by a court of competent jurisdiction to be invalid, void or violative of a constitution or controlling law such holding or determination

shall be restricted to such Section, Subdivision, Clause, item or other part or the application thereof and shall not apply to the remaining parts of such Local Law.

§883.94. The provisions of this Local Law are enacted pursuant to the authority granted by Subdivision 3 of Section 812 of the General Municipal Law as enacted by Section fifteen of Chapter eight hundred thirteen of the Laws of nineteen hundred eighty-seven.

§883.95. This Local Law shall take effect immediately except that the provisions of Sections 883.61, 883.71 and 883.81 of the Laws of Westchester County, as added by this Local Law, shall not take effect until December thirtieth, nineteen hundred ninety or upon the constitution of the Temporary State Commission on Local Government Ethics, whichever occurs first, notwithstanding any other inconsistent local law, ordinance, act, resolution or order, and the provisions of said Sections 883.61, 883.71 and 883.81 shall apply to disclosure for all or any part of the calendar year preceding the calendar year in which this Local Law takes effect and any calendar years thereafter during which a person subject to such Sections was rendering service to the County or was a candidate for County office or was a person holding a position as described in Subdivision (j) of Section 883.11 of this Chapter except that during the year in which this Local Law takes effect distribution

by the County Executive as prescribed in Section 883.61 as added by this Local Law may be deferred until seventy-five days after the effective date hereof and the submission and filing prescribed in Subdivisions one and two of Section 883.81 as added by this Local Law need not take place until forty-six and sixty days, respectively, after such distribution.

§883.96. This Local Law shall take effect immediately.