

Statement of Financial and Other Interests



King County

Department of Executive Services
Board of Ethics
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King County Employees

For Board of Ethics use only

Date Received _____

Audit Date _____

Date Closed _____

**Read all instructions carefully and fully complete each section.
Incomplete forms will be returned.**

Name of Person Reporting _____

Position / Title _____

Department _____ Division _____

Mail Stop _____ Work Phone _____

I am filing within ten days of employment or appointment, reporting on the preceding 12 calendar months ending (**enter month, day and year**) _____

I am filing an annual statement, reporting on calendar year 2008. (See #3 Period of Reporting below.)

Important Filing Information

Please read carefully

- Who Must File:** Please see page 6 of this form for a list of those who are required to file.
- Where and When to File:** Affected employees shall file completed statements of financial and other interests with the Board of Ethics within 10 days of employment or appointment and by April 15th of each year thereafter.
Attention: Under K.C.C. 3.04.050(A), candidates for county elective office, nominees for appointment to any county elective office, except judicial candidates, within two weeks of becoming a candidate or nominee, and all elected officials, paid in whole or in part by county funds shall file with the Board of Ethics a statement of financial and other interests as defined in K.C.C. 3.04.050. These requirements may be satisfied by filing with the Board of Ethics a copy of the report required to be filed by RCW 42.17.240, if this report contains an original signature of the person filing the report. The Board of Ethics shall forward a copy of such statements, reports and forms to the division of records and elections, or its successor agency, within 10 days of their receipt.
- Period of Reporting:** In the case where the form is filed within 10 days of employment or appointment, the form shall contain information for the *preceding 12 calendar months*. Each annual statement of financial and other interests shall contain information for the *preceding calendar year*.
- Continuing Duty to Notify Supervisor:** Filing a statement of financial and other interests does not relieve an employee of the duty to notify his or her supervisor or appointing authority in writing of a potential conflict of interest as required by K.C.C. 3.04.037. See K.C.C. 3.04.050(H). The supervisor or appointing authority is required to resolve the conflict of interest and keep records of the actions taken.
- Whose Financial and Other Interests Must Be Reported:** The information reported shall include information for you and the members of your immediate family.
- Public Records and Disclosure:** The statements of elected officials, candidates for county elective office, department directors, division managers, the county administrative officer, chief officers of administrative offices and the county executive's administrative assistants are public record. All other statements shall not be made public without the written approval of the Board of Ethics and consistent with the requirements of state law. See K.C.C. 3.04.110.

Definitions

These terms are defined in the Code of Ethics. They are used throughout this statement, and are underlined to make them easy to find.

- **“Compensation”** means anything of economic value, however designated, which is paid, granted or transferred, or is to be paid, granted or transferred for, or in consideration of, personal services to any person.
- **“County action”** means any action on the part of the county, including, but not limited to: (1) Any decision, determination, finding, ruling or order; and (2) Any grant, payment, award, license, contract, transaction, sanction, or approval, or the denial thereof, or the failure to act with respect thereto. “County action” shall not include actions of the county’s judicial branch but shall include employees of the department of judicial administration.
- **“County employee”** or **“employee”** means any individual who is appointed as an employee by the appointing authority of a county agency, office, department, council, board, commission or other separate unit or division of county government, however designated, but does not include employees of the county’s judicial branch. The term “county employee” also includes county elected officials and members of county boards, commissions, committees, or other multimember bodies, but does not include officials or employees of the county’s judicial branch but does include employees of the department of judicial administration.
- **“Doing business with the county”** or **“transactions with the county”** means to participate in any proceeding, application, submission, request for ruling or other determination, contract, claim, case or other such particular matter which the county employee or former county employee in question believes, or has reason to believe: (1) Is, or will be, the subject of county action; (2) Is one to which the county is or will be a party; or (3) is one in which the county has a direct and substantial proprietary interest.
- **“Gift”** means anything of economic value, but shall not include campaign contributions regulated by the provisions of chapter 42.17 RCW, the charter and ordinances implementing them, informational materials exclusively for official or office use, memorials, trophies and plaques of no commercial value, gifts of \$20 or less for bona fide, nonrecurring, ceremonial occasions or any gifts which are not used and which within thirty days after receipt are returned to the donor, or donated to a charitable organization without seeking a tax deduction.
- **“Immediate family”** means a county employee’s spouse, domestic partner, employee’s child or the child of an employee’s domestic partner, and other dependent relatives if living in his or her household.
- **“Participate”** means, in connection with a transaction involving the county, to be involved in a county action personally and substantially as a county employee either directly, or through others through approval, disapproval, decision, recommendation, the rendering of advice, investigation, or otherwise. However, for the purposes of K.C.C. 3.04.035, “participate” does not include the provision of legal advice or other activities involving the practice of law and does not include, as an elected official, preparation, consideration or enactment of legislation or the performance of legislative duties.
- **“Person”** means any individual, partnership, association, corporation, firm, institution, or other entity, whether or not operated for profit. The term does not include governmental units of the State of Washington or the United States unless so specified.
- **“Thing of value”** means anything of tangible worth which is not compensation or a gift.

Financial and Other Interests to Report

Important Note: Words underlined are defined on page 2 and in the Code of Ethics.
If you need more space to provide the required information, please attach additional pages.

A. Compensation, Gifts and Things of Value

During the reporting period, did you, or a member of your immediate family, receive compensation, gifts or things of value from any person engaged in any transaction with King County in which you participated or for which you had responsibility as a county employee?

No Yes – **If yes**, please provide the following information.

Name of each <u>person</u> engaged in any <u>transaction with King County</u> from whom the <u>compensation, gift, or thing of value</u> was received	Name of individual who received the <u>compensation, gift, or thing of value</u> and their relationship to you

B. Financial Interests

During the reporting period, did you, or a member of your immediate family, possess a financial interest in any person engaged in any transaction with King County in which you participated or for which you had responsibility as a county employee?

No Yes – **If yes**, please provide the following information.

Name of each <u>person</u> engaged in any <u>transaction with King County</u> in whom a financial interest was possessed	Name of individual who possessed the financial interest and their relationship to you

C. Positions

During the reporting period, did you, or a member of your immediate family, hold a position in any person engaged in any transaction with King County in which you participated or for which you had responsibility as a county employee?

No Yes – **If yes**, please provide the following information.

Name of each <u>person</u> engaged in any <u>transaction with King County</u> with whom the position was held	Name of individual who held the position and their relationship to you	Title of the position held

D. Real Property

During the reporting period, did you, or a member of your immediate family, possess a financial interest in any real property that was either involved in or the subject of a King County action? Property for which the only King County action was valuation or revaluation for tax purposes does not have to be reported except that employees of the department of assessments and Board of Appeals who are required to file this statement shall report property for which valuation or revaluation actions were taken by King County during the reporting period.

No Yes – **If yes**, please provide the following information.

Street address, assessor parcel number or legal description of real property involved in or the subject of a <u>King County action</u>	Name of individual who possessed the financial interest and their relationship to you	Name of the King County department involved in the <u>King County action</u>

E. Declaration

I, _____, declare under penalty of perjury
(Print name)
 under the laws of the State of Washington that the foregoing is true, complete and correct.

(Signature) (Title)

Signed this _____ day of _____, _____.
(Month) (Year)

at _____,
(City) (State)

Alternate Formats Available
 206-296-1586 TTY Relay: 711

Who Is Required to File a Statement of Financial and Other Interests

K.C.C. 3.04.050(B) requires employees in the following categories to file statements of financial and other interests:

- Employees appointed by the county executive
- Employees appointed by the county administrative officer or department directors and who are subject to approval by the county executive
- Employees of the county council

In addition, under K.C.C. 3.04.050(C), employees in the following categories are required to file statements of financial and other interests:

- Employees who participate in or have decision-making responsibilities for the administration of agreements or contracts for the purchase, lease, rental, disposal or sale of personal tangible property or real property or public works contracts.
- Employees who participate in or have decision-making responsibilities for grants and services contracts, whose duties include, but are not limited to, the following activities: writing or preparing specifications; evaluating bids and proposals; negotiating, administering or monitoring performance on contracts; and exercising contract signature authority.
- Employees who participate in or have decision-making responsibilities for the investment, management, or expenditure of county funds.
- Employees who participate in or have decision-making responsibilities for policy and its implementation in the Office of the Assessor.

- Employees who participate in or have decision-making responsibilities for policy and its implementation in the Sheriff's Office.
- Employees whose duties and responsibilities include having access to information that is not available as a matter of public knowledge or public record, including, but not limited to, administrative assistants and confidential secretaries in non-career service positions.
- Employees who provide administrative support, greater than clerical support, to county boards, commissions, committees and other multimember bodies that are established by county council action and whose members are appointed by the executive or county council.
- Employees who conduct or supervise the conduct of audits, including audits of county programs and third party activities.
- Employees who participate in or have decision-making responsibilities for policy and its implementation in the Office of the Prosecuting Attorney, and employees appointed by the Prosecuting Attorney to serve as his or her deputies.
- Employees who supervise, directly or through others, employees identified in these categories.
- Nominees for appointment and persons appointed by the executive or county council to serve on county boards, commissions, committees and other multimember bodies that are established by county council action.