

# 2011 Statement of Economic Interests Form

## DUE: February 28, 2012

**M**ilwaukee strives to maintain a reputation for good government and high ethical standards. Each employee, official, and board/commission member can support this reputation through conduct that shows integrity and concern for public interest. Ethical behavior involves using good judgment and common sense in performing duties and responsibilities.

All employees, officials and board/commission members are covered by the City Code of Ethics, found in the Milwaukee Code Ordinance (MCO), Chapter 303, which describes standards of conduct and conflicts of interest. The Milwaukee Common Council determines which individuals are required to file the Statement of Economic Interest pursuant to Chapter 303. These persons include:

- All elected city officials
- City employees identified by department heads as having discretionary powers
- Members and nominees of designated boards and commissions
- Candidates for elective office

The Ethics Board takes the information you provide in the Statement of Economic Interests seriously. Each form is checked when it arrives for completion. Each year the Board conducts a random review of the entire filing. Some forms may be returned for clarification or completion.

The Statement of Economic Interests form is a public record as defined by the Wisconsin Public Records law, Sec. 19.31-39, Wis. Stats. Traditionally, requests to view the Statements are received by the Ethics Board shortly after the February 28 filing deadline. Occasionally requests are made for Statements from previous years. Any member of the public may request

a copy or inspection of your Statement of Economic Interests form.

**The fees and penalties for filing the Statement of Economic Interests Form after the February 28th due date are as follows: \$25 if 11 days or more late; \$5 per day for Forms filed more than 30 days late; up to a maximum of \$100 in daily late fees. Late fees must accompany any late filings or your statement will not be accepted. See s. 303-11-2a, Milwaukee Code of Ordinances**

**Employees, city officials and board/commission members who have not filed Statement of Economic Interests Forms within 45 days of the deadline may be referred to the City Attorney for charges in Municipal Court, with a conviction subject to a forfeiture of \$250 to \$1,000 and imprisonment for failure to pay the forfeiture of 10 to 40 days. See s. 303-11-2d, Milwaukee Code of Ordinances**

To view the City of Milwaukee Ethics Code and the Board of Ethics Rules and Procedures, visit our web site at [www.milwaukee.gov/ethics](http://www.milwaukee.gov/ethics). If you have any questions, please contact the City of Milwaukee Ethics Board Office at (414) 286-8641.

**Thank you,  
Your Milwaukee Ethics Board**

Annie Wacker - VICE CHAIR

Joanne Barndt

Patricia Hintz

Robert Shelledy

*(SEE REVERSE FOR LOCAL AND STATE ETHICS GUIDELINES)*

## LOCAL GUIDELINES

### **As you go about your official duties, please keep these general guidelines in mind:**

- A city employee or official should not accept anything of value that could appear to influence his/her public duties.
- A city employee or official should not accept anything of value that could appear to be a reward for action taken in his/her public duties.
- A city employee or official must report any gift or entertainment totaling more than \$50 received during the year.
- A city employee or official should not use his/her public position for personal gain or for the gain of immediate family members or for organizations in which he/she has an interest.
- A city employee or official should not use work place information that is unavailable to the public, for personal gain.
- Contracts of more than \$3,000 between a city employee or official and the city are prohibited

without written disclosure to the Ethics Board and to the contracting department.

- A city employee or official should not represent persons, for compensation, before city departments, commissions, or boards unless as part of his/her official duties or at a recorded open hearing.
- For 12 months after leaving city employment, an employee or official may not represent, for compensation, persons before city departments, commissions or boards related to his/her former position.

These comments are only a general description of parts of the Ethics code itself. The actual statutes, rules, and opinion summaries, as well as the Ethics Board itself, should be consulted when questions arise. The complete text of the ethics code can be found in Chapter 303 of the Milwaukee Code of Ordinances. City departments also have copies of the code for posting.

## STATE GUIDELINES

Many city officials are also covered by the requirements for Local Officials put forth in the Wisconsin State Statutes. The State Code of Ethics for Local Officials does not apply to all city employees and officials. Section 19.59 of the Wisconsin Statutes cover:

- Elected officials
- Individuals appointed to a position for a specified term
- Individuals who serve in a position at the pleasure of the Mayor or Common Council

Positions within City government that fit this definition are not only covered by local ethics code but also have responsibilities to conform to the requirements of the State of Wisconsin Ethics Code for Local Officials as well.

We are attaching State Ethics Form 219, which offers guidelines on gifts and entertainment. Please take a few moments to review it. Our Board recommends that you keep it on file for future reference. If you have any questions regarding the State Guidelines for Local Officials please contact the State of Wisconsin Government Accountability Board at (608) 266-8123.



# INSTRUCTIONS

## Statement of Economic Interests

ETHICS BOARD

### General filing information:

- The information sought in this form is required by Chapter 303, Milwaukee Code of Ordinances.
- Attach additional pages if necessary.
- Go to the Ethics Board website at [www.milwaukee.gov/ethics](http://www.milwaukee.gov/ethics) for extra forms and instructions.
- Questions?  
Email [ethics@milwaukee.gov](mailto:ethics@milwaukee.gov) or call (414) 286-8641.

### Definitions:

- "Immediate family member" means your spouse, and any child, step-child, parent, or parent-in-law who receives more than one-half his or her support from you or from whom you receive more than one-half of your support.
- "Income" means gross income before deductions and depreciation, from whatever source derived, as defined by the Internal Revenue Code, but excludes dividends and interest.

## Part 1 - Sources of Income

For calendar year 2011

### A. EMPLOYERS. List each EMPLOYER from which you and your immediate family received \$1,000 or more in 2011.

#### List:

- each employer from which you and your immediate family member received \$1,000 or more during the year
- City of Milwaukee if applicable

#### Do not list:

- an individual (unless the individual was a lobbyist, your employer, or acting on behalf of a business or organization)

### B. OTHER SOURCES OF INCOME. List other sources from which you or your immediate family received income of \$1,000 or more in 2011.

#### List:

- any entity from which you or your immediate family has received income of \$1,000
- Social Security payments
- an entity from which you or your family received retirement benefits
- an entity from which you or your family received directors fees

#### Do not list:

- the source of dividends or interest
- the source of insurance benefits, inheritances, scholarships (if no teaching or services were required in return)
- a decedent's estate
- a political contribution that has been reported to the Election Commission
- an individual (unless the individual was a lobbyist, your employer, or acting on behalf of a business or organization)

## Part 2 - Business

For any BUSINESS that is a partnership, limited liability company, Subchapter S, or Subchapter C corporation in which you or your immediate family, directly or indirectly, separately or together, owned or controlled at least 10% interest and from which you or your immediate family has received \$1,000 or more during 2011, list the name of the business and identity of each payer of \$1,000 or more to the business, as of December 31, 2011.

#### List:

- partnership (general, limited or limited liability)
- corporation (regardless of tax status and including service corporations)
- limited liability company (LLC)

#### Do not list:

- an individual (unless the individual was a lobbyist, your employer, or acting on behalf of a business or organization)
- a decedent's estate

## Part 3 - Investments

### List stocks, bonds, notes or other investments you and your immediate family held (minimum \$5,000) as of December 31, 2011.

**List the name of each:**

- stocks and stock options
- bond
- note or other evidence of indebtedness
- sponsor of mutual fund and money market fund (i.e. Fidelity or Janus Fund)
- security issued by the State of Wisconsin or by local governmental entities within Wisconsin
- any of the above held directly or:
  - in a deferred compensation plan, profit sharing plan, or pension plan whose investments you or your immediate family direct
  - in an individual retirement account (IRA)
  - in a trust in which you or your immediate family member has beneficial use
  - held for you by a corporation, partnership, or other entity which you or your immediate family member controls

**Do not list:**

- savings accounts
- checking accounts
- certificates of deposit
- annuities
- insurance contracts
- securities issued by the federal government or a government outside Wisconsin
- securities in a company in which you and your immediate family's total interest is valued at less than \$5,000

### EXPLANATIONS:

**List the security by name.** For example, list "Harley Davidson" or "IBM." Do **NOT** list "deferred compensation plan" or "IRA" or "Charles Schwabb," since these terms do not identify the securities within the deferred compensation plan, IRA, or brokerage account.

**Name of sponsor of mutual fund or money market fund:**

List the sponsor name only, **NOT** each separate fund within each mutual fund or money market. Combine the value of all within each sponsor name.

**To determine whether an investment meets the \$5,000**

**minimum for reporting** add the total value of all types of securities you and your immediate family held in an individual business or other entity.

**Investments held by a corporation, partnership or other entity which you and your immediate family control:**

Investments must be listed (if aggregating \$5,000 or more) if they are owned by another entity which you and your immediate family control (i.e. have more than 50% of outstanding voting interests or have a majority of the directors or managers of the entity).

**Investments held in a trust:** List the name of each security valued at \$5,000 or more, held in a trust created by you or in which you have a vested beneficial interest.

**Investments held in a Tax Qualified Account:** If an investment is owned in a tax qualified account (a deferred compensation plan, profit-sharing plan, or pension plan), you must list the name of the security **only if you or a member of your immediate family controls the selection of that security in your account.** (If the individual investments in your plan are selected by someone other than you, such as an investment advisor or plan trustee, then you do not have to list the individual securities in that plan.) Because you control investments in your Individual Retirement Account (IRA), you must list individual securities held by your IRA.

**City of Milwaukee Deferred Compensation Plan:** This plan is not directed by the employee **unless** you have the PCRA (Personal Choice Retirement Account). If you are involved in the PCRA you must list the name of each security valued at \$5,000 or more.

**Wisconsin Governmental Securities:** any security issued by the State of Wisconsin or by local governmental entities within Wisconsin.

## Part 4 - Real Estate

### List specific location of REAL ESTATE in Milwaukee, Ozaukee, Racine, Washington and Waukesha counties (except your principal residence) in which you or your immediate family hold at least 10% interest which is valued at \$5,000 or more as of December 31, 2011.

**List:**

- real estate you or your immediate family owned directly or through: (a) partnership; (b) a corporation; (c) a trust; or (d) other enterprise

**Do not list:**

- your principal residence unless it was used for the conduct of a business or for rental purposes

## Part 5 - Creditors

List each creditor to whom you and your immediate family owed \$5,000 or more as of December 31, 2011.

**List:**

- each creditor (for personal and business debts, including mortgages) if you or a family member was personally liable for the debt
- your portion of any partnership debts

## Part 6 - Associations

List every organization with which you are associated and the nature of your association with that organization as of December 31, 2011.

**List the name of each:**

- each business, labor union, association, cooperative, or other organization with which you were associated and the nature of your association, i.e. officer, member, director, authorized representative, or agent
- non-profit social or community service organizations
- Bar Association

**Do not list:**

- charitable organizations (entities to which a contribution is tax deductible, i.e. American Red Cross)
- political organizations (entities whose primary purpose is to influence voting)
- trusts
- federal, state, or local governmental agencies

## Part 7 - Gifts

List individuals and organizations that, directly or indirectly, provided you with ENTERTAINMENT or GIFTS totaling more than \$50 in 2011. You may disclose gifts throughout the year on the gift/honoraria/payment of expenses form. Additional forms are available on the Ethics Board website at [www.milwaukee.gov/ethics](http://www.milwaukee.gov/ethics). If you have filed a disclosure form for 2011 mark the box "yes". If you have filed disclosure forms throughout the year with the Board, you are not required to list them again on this statement.

**A "gift" includes** any money, property, favor, service, entertainment, travel, or payment furnished without valuable consideration. Includes tickets to sporting or theatrical events, golfing fees, prizes, samples and promotional items, items from sales representatives, or a part of business promotions, and similar items.

**A "gift" does not include** political contributions reported to the Election Commission, or meals, beverages, items, or lodging that an individual offers as hospitality at his or her own expense, and not as a business expense, for reasons unrelated to your holding a city office or position.

**Do not list:**

- gifts from your spouse, child, parent, brother, sister, grandchild, grandparent, aunt, uncle, niece, nephew, fiancé(e), parent-in-law, grandparent-in-law, brother-in-law, or sister-in-law

## Part 8 - Honoraria and Payment of Expenses

List, for 2011, sources of HONORARIA and payment of EXPENSES more than \$50 related to your city duties as provided for in Chapter 303-9-2a, MCO. You may disclose honoraria or payment of expenses throughout the year on the gift/honoraria/payment of expenses form. Additional forms are available for printing on the Ethics Board website at [www.milwaukee.gov/ethics](http://www.milwaukee.gov/ethics). If you have filed a disclosure form for 2011, mark the box "yes." If you have filed disclosure forms throughout the year with the Board, you are not required to list them again on this statement.

**List :**

- each individual or organization from which you received lodging, transportation, meals, expenses, or honoraria having a total value of more than \$50, for attendance at a conference, presentation of a talk, participation in a meeting, or for a published work about issues initiated by or affecting city government or city agencies

**Do not list:**

- information about lodging, transportation, meals, money or any other thing of pecuniary value if:
  - you returned it within 30 days
  - you received it from the agency of which your city public office is a part
  - you received it from a source already listed in Part 1 or Part 2
  - you already reported the payment to the Ethics Board as a matter of public record
  - the expense is unrelated to holding public office and did not arise from holding public office



### ETHICS BOARD

**Please sign and date your form and list your daytime telephone number. Clearly indicate if your daytime telephone number is your "home" telephone number. In the event of a public records request, your "home" telephone number will not be disclosed, if clearly marked.**

### **Mail or fax completed form to:**

**City of Milwaukee Ethics Board  
200 East Wells Street, Room 205  
Milwaukee, WI 53202**

**Fax: (414) 286-3456**

## **Due: February 28, 2012**

**PLEASE NOTE: Forms filed after the due date may be subject to late filing fees.**

If you fax the form, keep the original and do not mail it to the Ethics Board.  
Keep a copy of your completed form for your records.

For questions regarding the City of Milwaukee Ethics Code please contact the City of Milwaukee Ethics Board Office at (414) 286-8641 or visit our web site at [www.milwaukee.gov/ethics](http://www.milwaukee.gov/ethics).



# Statement of Economic Interests

*For Office Use Only*

**E-MAIL, MAIL OR FAX TO:**

City of Milwaukee Ethics Board, 200 E. Wells Street, Room 205, Milwaukee, WI 53202  
 ethics@milwaukee.gov • Fax: (414) 286-3456

**Due February 28, 2012**

**Filed in 2012 for Calendar Year 2011 – Print legibly in black ink or type**

Name: \_\_\_\_\_ Do you live in the City of Milwaukee? Yes No  
 City Position: \_\_\_\_\_  
 (include department, title, board, commission, elective office if applicable)

**SEE THE INSTRUCTION SHEET FOR EXPLANATIONS, EXAMPLES AND EXCEPTIONS.**

**Part 1 - Sources of Income**

**For calendar year 2011**

**A. List each EMPLOYER from which you and your immediate family received \$1,000 or more during 2011 (e.g., City of Milw.).**

Name of Payer	City and State	Nature of Business	Self (S) or Family (F)

**B. List other sources of income from which you or your immediate family received income of \$1,000 or more in 2011.**

Name of Payer	City and State	Nature of Business

**Part 2 - Business**

**As of December 31, 2011**

For any payer listed above that is a partnership, limited liability company, Subchapter S or Subchapter C corporation in which you or your immediate family has a 10% or greater interest, list the IDENTITY OF EACH PAYER of \$1,000 to such partnership, LLC, Sub-S or Sub-C corporation (see instructions for certain payers which do not have to be listed).

Name of Payer	Name of Business Receiving Payment	Nature of Business	City and State

**Part 3 - Investments**

**As of December 31, 2011**

List stocks, bonds, notes or other investments you and your immediate family held (\$5,000 or more).

Name of each Security or Mutual Fund Sponsor	TYPE OF SECURITY - "✓" ONE				AMOUNT - "✓" ONE	
	Stock, Options, Futures	Bond, Note	WI Gov't. Sect.	Mutual Funds or Money Market	\$5,000-\$50,000	more than \$50,000

**Part 4 - Real Estate****As of December 31, 2011**

List specific location of REAL ESTATE in Milwaukee, Ozaukee, Racine, Washington and Waukesha counties (except your principal residence) in which you or your immediate family hold at least 10% interest which is valued at \$5,000 or more.

Street Address	County	Type of Property	Nature of Interest

**Part 5 - Creditors****As of December 31, 2011**

List each CREDITOR to whom you and your immediate family owed \$5,000 or more on December 31, 2011.

Creditor (\$5,000 or more)	City and State	\$5,000 - \$50,000 (check <input type="checkbox"/> )	more than \$50,000 (check <input type="checkbox"/> )

**Part 6 - Associations****As of December 31, 2011**

List every organization with which you are associated and the nature of your association.

Name of Organization	City and State	Nature of Association (e.g., member, officer, director)

**Part 7 - Gifts****During calendar year 2011**

List individuals and organizations that provided you with ENTERTAINMENT or GIFTS more than \$50 in 2011.

Name of Provider	City and State	Description of Gift	Approx. Value

Did you file any separate gift reporting forms in 2011?    Yes    No

**Part 8 - Honoraria and Payment of Expenses****During calendar year 2011**

List sources of HONORARIA and payment of EXPENSES of more than \$50 related to your city duties, for 2011.

Payer	Approximate Value of Expenses	Amount of Honorarium	Circumstances of Receipt

Did you file any separate honoraria/payment of expense disclosures in 2011?    Yes    No

I have read the accompanying instructions and certify that the information contained in this Statement of Economic Interests is true, complete and correct to the best of my knowledge, information and belief. If any part has been left blank, I have done so intentionally because there is nothing to report. Typing your name on the line below constitutes your signature of this document. Please sign and date your form and list your daytime telephone number and e-mail address. Clearly indicate if your daytime telephone number or e-mail address is your home telephone number or home e-mail address. In the event of a public records request, all information required by law will be released.

 Signature \_\_\_\_\_ Date \_\_\_\_\_

Daytime telephone number \_\_\_\_\_ Is this your home telephone number?    Yes    No

E-mail address \_\_\_\_\_ Is this your home e-mail address?    Yes    No