

**United States Senate**  
**Select Committee on Ethics - *Financial Disclosure***



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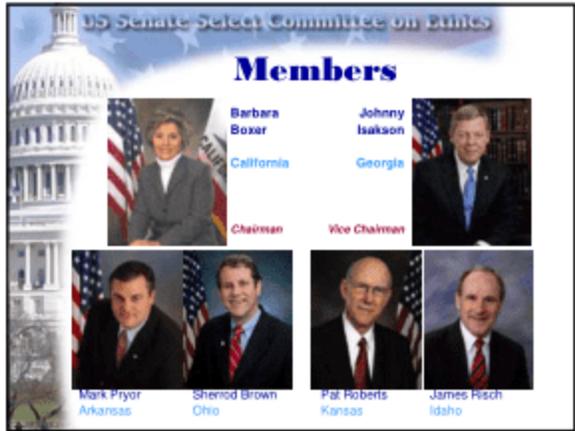
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**United States Senate**  
**Select Committee on Ethics - Financial Disclosure**

US Senate Select Committee on Ethics

### WHO REVIEWS REPORTS?

- **ETHICS COMMITTEE**
  - The committee is required by Section 106 of the Ethics in Government Act of 1978 to review public financial disclosure reports in order to determine whether they are in compliance with applicable laws and regulations.
- **STAFFER'S SUPERVISOR**
  - Pursuant to Resolution 236, the Ethics Committee is required to provide the supervising Senator or designated staff member to receive on a confidential basis the public financial disclosure reports filed by senate employees to check for possible conflicts of interests.
- **PUBLIC**
  - Any Financial Disclosure report filed by May 17 will be made available for public inspection by the Secretary of the Senate Office of Public Records within 30 days after filing or by June 15.



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US Senate Select Committee on Ethics

### WHERE TO FILE

**File Reports and Amendments with the Secretary of the Senate,**

OFFICE OF PUBLIC RECORDS, 232 HART      or      OFFICE OF PUBLIC RECORDS, Box 2517  
Alexandria, VA 22301-0517



*Reports will be made available for public inspection within 30 days of filing*

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### ON-LINE DISCLOSURE FORM

- **2 different versions to choose from**
  - Adobe
  - MS Word



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**DUE DATE**

Annual Reports Covering  
CY 2009  
are due  
**MONDAY,  
MAY 17<sup>th</sup>, 2010**



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**EXTENSIONS**

- Requests for extensions of up to 90 days for filing reports may be submitted to the Ethics Committee



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**PENALTIES**

- \$200 late filing fee is imposed for filing a report 30 days after due date



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### REQUESTS TO ETHICS

- Send requests for extensions and waivers of penalties and other general correspondence to the

**ETHICS COMMITTEE**  
220 HART  
or  
Fax: (202) 224-7416



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### WHO HAS TO FILE Annual Reports?

- SENATORS
- CANDIDATES FOR THE SENATE
- POLITICAL FUND DESIGNEES
- FELLOWS / DETAILEES who earned a rate of pay from an outside source equal to or in excess of \$117,787
- STAFFERS who earned a rate of pay equal to or in excess of \$ 117,787 for a period equal to or in excess of 60 days
  - Employees Who Received a Bonus: A report is required if:
    - Paid at a rate of pay in excess of the reporting threshold of \$117,787 for more than 60 days; and
    - Gross earning for the calendar year was equal to or in excess of \$117,787



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US Senate Select Committee on Ethics

### LATE NOTICES

- Committee policy is to mail late notices certified mail, return receipt requested
- A copy of the late notice is also cc:d to the supervising Senator

Civil and criminal sanctions may be imposed for individuals who knowingly and willfully fail to file this report



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# United States Senate Select Committee on Ethics - *Financial Disclosure*

US Senate Select Committee on Ethics

## AMENDMENT REQUESTS

■ Within 60 days of filing, the Committee reviews reports for compliance and omissions and mails letters to filers requesting additional information/clarifications




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## Completing Your Financial Disclosure Report....





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UNITED STATES SENATE FINANCIAL DISCLOSURE FOR ANNUAL AND TERMINATION REPORT			
Filer	Joe	2009	Select Committee on Ethics
<b>FOR FILING THE DISCLOSURE - ANSWER EACH OF THOSE QUESTIONS AND ATTACH THE RELEVANT PART</b>			
Did you include an organization name in disclosure marking it as a special acquisition or indicate the year to report? <small>(See, Complete and Attach PART 1)</small>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>
Did you provide firm addresses (e.g., address of your current residence) of more than 500 miles away separate source in the reporting period? <small>(See, Complete and Attach PART 1)</small>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>
Did you provide an acquisition and/or any separate asset with acquisition 10% of the price, or receive cash or a contribution, of more than \$10,000 in the reporting period? <small>(See, Complete and Attach PART 1)</small>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>
Did you provide an acquisition and/or any separate asset with acquisition more than 1% of the reporting period? <small>(See, Complete and Attach PART 1)</small>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>
Did you provide an acquisition and/or any separate asset with acquisition more than \$10,000 in the reporting period? <small>(See, Complete and Attach PART 1)</small>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>
<b>Each question must be answered and the appropriate PART attached for each "YES" response.</b>			
<small>File this report and any amendments with the Secretary of the Senate, Office of Public Records, Room 221, Hart Senate Office Building, U.S. Capitol, Washington, DC 20540. Filing Period: For filing, begin from 30 days after the date.</small>			
<small>This Form of Disclosure Statement is required by the Ethics Government Act of 2007, as amended. This statement will be made available by the Office of the Secretary of the Senate to any requesting person upon written application and will be received by the Senate Committee on Ethics. Any intentional knowledge of falsification, or who knowingly and willfully fails to file this report may be subject to civil and criminal penalties. Check 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, 37, 38, 39, 40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 55, 56, 57, 58, 59, 60.</small>			<small>5/17/10</small>

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**United States Senate**  
**Select Committee on Ethics - Financial Disclosure**

US Senate Select Committee on Ethics

**PART IIIA.**  
**Publicly Traded Assets & Unearned Income**

- Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, for production of income or investment which:
  - had a value exceeding \$1,000 at the close of the reporting period; and/or
  - generated over \$200 in "unearned" income during the reporting period

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**PART IIIA.**  
**YOU SHOULD REPORT ALL :**

- Stocks
- Bonds
- Mutual Funds
- Pension Interests
- Annuities
- IRA assets
- 529 Plans
- Futures Contracts
- Excepted Trusts
- Qualified Blind Trusts
- Underlying personal trade accounts
  - (e\*trade, Ameritrade, etc.),
- Personal Banking Accounts
  - Other bank accounts in excess of \$5000, which include:
    - CD's & Money Market Accounts

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**PART IIIA.**

- **PUBLICLY TRADED STOCKS & BONDS**
  - Identify by complete name, and preferably the exchange upon which it's listed
- **MUTUAL FUNDS**
  - Identify by complete name, including name of investment institution offering the fund (Templeton, Vanguard, etc.)
  - and the specific identification of the fund (Total Return, Equity, etc.).
- **MUNICIPAL BONDS**
  - Identify by name of municipality offering the bond and complete name of the bond

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**PART IIIA.  
PERSONAL SAVINGS  
ACCOUNTS**

- Report the complete name of the financial institution where personal accounts are held
  - (This would include personal savings, checking, money market, certificates of deposit, and any other accounts at any institution)
- AGGREGATE MORE THAN \$5,000 at the end of the reporting period or which
- GENERATED MORE THAN \$200 in unearned income during the reporting period.

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**PART IIIA.  
EXCEPTED  
INVESTMENT FUND**

- A mutual fund, common trust fund of a bank, pension or deferred compensation plan, or any other investment fund which is:
  - Widely held (i.e. has more than 100 participants or investors); and
  - Publicly traded (or available) or widely diversified; and
  - Held under circumstances where you don't have control over the financial interests held by the fund.

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**PART IIIA.  
INVESTMENT CLUBS  
OR OTHER  
HOLDING ARRANGEMENTS**

- Identify the investment club and also any underlying investment asset or property held by the club where
  - (i) you (your spouse or dependent child's) interest in the underlying asset exceeds \$1,000 in value or
  - (ii) where the underlying asset generated more than \$200 in income for you (your spouse or dependent child)
  - (iii) if the investment club or holding itself meets the definition of an excepted investment fund, the information regarding the underlying assets are not reportable

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**PART IIIA.**  
**RETIREMENT PLANS**

- Identify each asset held by a self-directed retirement plan.
- A self-directed retirement plan is one which does not meet the definition of an excepted investment fund.
  - Widely held (i.e. has more than 100 participants or investors); and
  - Publicly traded (or available) or widely-diversified; and
  - Held under circumstances where you don't have control over the financial interests held by the fund.

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**PART IIIA.**  
**EXCEPTED TRUST**

- An excepted trust is one which:
  - Was not created by you, your spouse, or your dependent child; and
  - Has holdings or sources of income of which you, your spouse, and any dependent child have no knowledge.

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**PART IIIA.**  
**QUALIFIED BLIND TRUST**

- A qualified blind trust is a trust which has been certified by the Senate Select Committee on Ethics, in accordance with Senate Rule 34.

**CERTIFIED**  
By the  
Select Committee  
on Ethics

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# United States Senate Select Committee on Ethics - Financial Disclosure

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## GENERAL RULE

- If not a lobbyist or foreign agent, or entity that employs or retains a lobbyist or foreign agent.



- One time limit - \$49.99
- Yearly aggregate limit - \$99.99
- "no limit" - \$9.99 or less

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**EMPLOYEE ADVANCED TRAVEL AUTHORIZATION AND DISCLOSURE FORM**

NAME: Joe Filer

EMPLOYER: PacifiNet, Inc.

TRAVEL DATES: March 15 - 17, 2009

TRAVEL LOCATION: Naples, Florida

TRAVEL PURPOSE: Speaking Engagements

TRAVEL AUTHORIZED BY: Joe Filer

TRAVEL AUTHORITY: Joe Filer

DATE: 3/12/09

BY: Joe Filer

### RE - 1 / 2 Travel Form

- All Staffers fill out RE 1 / 2.
- Forms should be filed with OPR within 30 days after completion of travel.
- Make sure all signatures and dates are filled in before form is turned in to OPR.
- Available on-line

Travel reported more than 30 days after completion of travel should be reported on Part VI - Reimbursements of your Public Financial Disclosure Form.

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**IF YOU HAVE ANY  
QUESTIONS, PLEASE  
CALL**

**The Senate Select Committee on Ethics**



**224-2981** *(main)*

**224-7416** *(fax)*

[REDACTED] *(email)*

All Advice is Confidential

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