



**Statement of Disclosure of Interests
 State and Local Office Holders, Candidates and Appointees to such Positions,
 Non-General Assembly Members**

****This form must be filed with the TBR General Counsel by TTC
 Directors and Senior Staff; all others, file as appropriate with
 Institution**

Please see the attached instructions before completing this form. Attach additional pages as necessary. Note that this disclosure statement must be signed and the signature attested to by a witness in item 12. In addition, please be aware that the information listed on this statement will be transferred to an electronic format for posting on the Commission's website, pursuant to T.C.A. §8-50-501(d)(3).

Please Print or Type

1. Name of Official or Candidate	2. Phone Number
	Work: _____ Home: _____
3. Home Address	
4. Check One: Director _____ Name of TCAT _____ Senior Staff _____	
Other _____	
5. Sources of Income	
List major source(s) of private (non-governmental) income of more than \$1,000 for yourself, your spouse or minor child residing with you. "Major sources of private income" include, but are not limited to: offices, directorships and salaried employments. No dollar amounts need to be stated. Select as many recipients as necessary.	
NONE	
Name of Source	Recipients
_____	Filer Spouse Minor Child
_____	Filer Spouse Minor Child
_____	Filer Spouse Minor Child
6. Investments – List any investment by you, your spouse or minor child residing with you in any corporation or other business organization in excess of ten thousand dollars (\$10,000) or five percent (5%) of the total capital. The name of the corporation or organization must be listed but no dollar amounts or percentages of the investment need be stated.	
NONE	
Name of Corporation or Organization	Held By
_____	Filer Spouse Minor Child
_____	Filer Spouse Minor Child
_____	Filer Spouse Minor Child

7. Lobbying – List any person, firm or organization for whom compensated lobbying is done by any associate, your spouse or minor child residing with you. Also, list any firm in which you, your spouse or minor child residing with you hold any interest for whom compensated lobbying is done. Explain the terms of any such employment, the subject matters lobbied and/or the measures to be supported or opposed.

NONE

Name of Lobbyist	Terms of Employment	Subject Matter or Measures	Lobbyist Relation to Filer	
_____	_____	_____	Filer	Associate of Filer
_____	_____	_____	Spouse	Minor Child
_____	_____	_____	Filer	Associate of Filer
_____	_____	_____	Spouse	Minor Child

8. Professional Services – List in general terms (by areas of the client's interests) the entities to which professional services, such as those of an attorney, accountant or architect, are furnished by you or your spouse.

NONE

Licensed Profession	Client Interest	Furnished by	
_____	_____	Filer	Spouse
_____	_____	Filer	Spouse

9. Retainer Fees – List any retainer fee you receive from any person, firm or organization who is in the practice of promoting or opposing, influencing or attempting to influence directly or indirectly, the passage or defeat of any legislation before the Tennessee General Assembly, the legislative committees or the members thereof.

NONE

10. Bankruptcy – List any adjudication of bankruptcy or discharge received in any United States district court within five (5) years of the date of this report.

NONE

11. Loans – List any loan or combination of loans for more than one thousand dollars (\$1,000) from the same source made in the previous calendar year to you, your spouse or minor child residing with you. **See the attached instructions for the list of loans that should not be disclosed on this report.**

NONE

Lender Name	Loan Recipient		
_____	Filer	Spouse	Minor Child
_____	Filer	Spouse	Minor Child

12. Signature – Must be attested to by a witness

I certify that the information contained in this disclosure statement is true and that it is a complete and accurate report in accordance with the Conflict of Interest Disclosure Act.

Signature

Date

To be completed by witness:

I, _____, the undersigned, do hereby witness the above signature, which was
(Print Name of Witness) signed in my presence:

Signature of Witness

Date

The positions listed below are required by the Ethics Reform Act of 2006 to file a Statement of Disclosure of Interests (SS-8005) with the Tennessee Ethics Commission.

- Candidates for any elected office;
- Local public officeholders as defined in T.C.A. § 2-10-102(13)(A) and newly-appointed local public officeholders (appointed to fill a vacancy)
- District attorneys general and public defenders for each judicial district and the Executive Director of the District Attorney Generals Conference as well as the Attorney General and Reporter;
- Each supreme court justice; each judge of the court of criminal appeals, each judge of the court of appeals and the administrative director of the courts;
- Each member of the state election commission, the state election coordinator and members of the registry of election finance;
- Each director of the Tennessee regulatory authority;
- Each delegate to a constitutional convention called to consider a new constitution or amendments to the Constitution of Tennessee;
- Members of the Board of Probation and Parole, members and the Executive Director of the Alcoholic Beverage Commission and Members of the Tennessee Ethics Commission; and
- The Chancellor of the Board of Regents and the president of each college or university governed by the Board of Regents (excluding directors of Tennessee technology centers) and the President of the University of Tennessee and the chancellor of each separate branch or campus of the University of Tennessee.

When Must the Statement Be Filed?:

- Candidates must file within 30 days of the last day to qualify as a candidate.
- Current officeholders must file by January 31st of each year.
- Newly-appointed officeholders must file within 30 days of appointment to office. The appointing authority must send notice to the Commission within 3 days of appointment.

Where Should the Statement Be Filed?:

File the state with the TBR General Counsel, or the appropriate designated individual at your institution.

An amended Statement of Disclosure of Interests must be filed whenever reported conditions change due to a termination or an acquisition of any of those interests that you are required to report. This report is a public document and will be posted on the internet. Social security numbers, dates of birth, and account numbers are not required and should not be included on your Statement.

SUPPLEMENTAL INSTRUCTIONS

Question 5: Sources of Income

1. "Private income" refers to any income you, your spouse or minor child residing with you receive in excess of \$1,000 per annum from a non-governmental source.
2. "Private Income includes, but is not limited to:
 - Bank and Bond Interest
 - Business Income
 - Capital Gains
 - Clinical Practice Income
 - Income from Employment
 - Income from Contractual Relationships
 - Directorships
 - Dividends from CDs, stocks and securities
 - Compensated Fiduciary Positions (trusteeships, conservatorships, etc.)
 - Honoraria
 - Lecture Fees
 - Payments from Annuities, Settlements...etc.
 - Rental income
 - Research Grants
 - Research Foundation Income
 - Trust Income (The principal is reported in the investment question.)

This list is not exhaustive, but merely exemplary. If you, your spouse or minor child residing with you have other income that is not listed here but meets the requirements of this section, you are required to list them.

3. "Private income" does not include monies received directly by inheritance or gift. The term does include the income produced by an investment which has been received by inheritance or gift.

As a general rule, if the receipts are reportable to the IRS as private income, then they must be listed on the form.

Question 6: Investments

1. Do not report holdings that are ten thousand dollars (\$10,000) or less in value or five percent (5%) of the total capital. If, however, the holding is ten thousand dollars (\$10,000) or less in value, but is five percent (5%) or more of the total capital, the holding must be reported;
2. Examples of investments that must be listed if held by you, your spouse or minor child residing with you:
 - 401K, 403(b) and 457 plans
 - Annuities
 - Bonds
 - Certificates of Deposit
 - College Savings Programs
 - State Deferred Compensation Plans
 - Estates
 - Stocks and securities
 - IRAs
 - Keogh Plans
 - Limited Liability Corporations (LLCs)
 - Mutual Funds in IRAs
 - Mutual Funds not in IRAs
 - Notes (investments)
 - Pensions
 - Real Estate (but not your primary or secondary residence)

- Real Estate Investment Trusts (REITs)
 - Retirement Plans for States other than Tennessee
 - TIAA-CREF Supplemental Retirement Plans
 - Treasury Notes
 - Blind Trusts
 - Warrants
 - Zero Coupon Bonds
3. If the investment is managed by entities other than yourself, spouse or minor child residing with you (such as mutual funds or 401Ks), list the entity managing the account and the type of investment, but not the corporations to which the money has been distributed.

Question 7: Lobbying Interests

1. If you, your spouse, or minor child residing with you are associated with a compensated lobbyist, you must provide the name(s) of the entities for which the associate lobbies.
2. If you, your spouse or minor child have any interest in any lobbying firm, you must list the name of the entity. Do not report interests in employers of lobbyists, e.g., do not report interests in public corporations or other entities that may engage a lobbyist.

Question 8: Professional Services

For the purpose of this question, you must list the general areas of interests of your (or your spouse's) clients if you (or your spouse) engage in any profession licensed by the State of Tennessee. You are not, however, required to list your clients or to otherwise furnish personal information about your clients. These professions include, but are not limited to:

Chiropractic	Massage Therapy	Optometry
Dentistry	Medicine	Audiology
Physical Therapy	Midwifery	Nursing
Pharmacology	Podiatry	Architecture
Public Accounting	Veterinary Medicine	Law

This list is not exclusive. If you or your spouse practice a profession that is not listed but that requires a license to practice in the State of Tennessee, you are required to list the general areas of your clients' interests.

Question 11: Loans

Loans need not be disclosed on this report if they are:

1. From your immediate family (spouse, parent, sibling or child);
2. From a federally insured financial institution or made in accordance with existing law in the ordinary course of doing business of making loans. The loan must bear the usual and customary rate of interest, be made on a basis which assures repayment, evidenced by a written instrument and subject to a due date or amortization schedule;
3. Secured by a recorded security interest in collateral, bearing the usual and customary interest rate of the lender made on a basis which assures repayment; evidenced by a written instrument and subject to a due date or amortization schedule;
4. From a partnership in which you have at least ten percent (10%) partnership interest;
5. From a corporation in which more than fifty percent (50%) of the outstanding voting shares are owned by you or by your immediate family (spouse, parent, sibling or child).