

520-RICR-00-00-4

TITLE 520 – ETHICS COMMISSION

CHAPTER 00 – N/A

SUBCHAPTER 00 - N/A

PART 4 – Financial Disclosure

4.1 Information Voluntarily Supplied (1029)

- A. A public official or employee who is not required to file a financial disclosure statement pursuant to the Code of Ethics may voluntarily choose to file such statement, or any other document otherwise required, with the Commission. The Commission shall accept such documents which shall be treated in the same manner as documents received from persons required to submit them.
- B. A person subject to the Code of Ethics may choose to submit information in excess of that which is required under the Code. Such information shall be treated in the same manner as information required to be filed. The Commission will not, however, accept any document in lieu of appropriately completed forms.

4.2 Continuing Duty to File a Financial Statement After Leaving Office (36-14-16004)

- A. When a public official who is required to file a financial disclosure statement leaves office, such official shall have a continuing duty to file a timely financial statement covering the last calendar year during any part of which the office was held, unless the official's tenure expired prior to the end of January in the particular year.

4.3 Commission Mailings (36-14-16001)

- A. The time periods for the mailing of financial statement forms by the Commission to an individual under this Section shall be extended in the event the Commission has not received official written notice of the individual's appointment or eligibility until the Commission receives such notice.

4.4 Occupational Income (36-14-17001)

- A. The name and address of any employer from which the public official, his or her spouse or dependent child, (individually or collectively) received one thousand dollars (\$1,000) or more gross income must be listed. If self-employed, any occupation or profession from which the public official his or her spouse, or dependent child (individually or collectively) received one thousand dollars

(\$1,000) or more gross income. If the employer is a state or municipal agency or if self-employed and services for in excess of two hundred and fifty dollars (\$250) were rendered to a state or municipal agency, the period of employment or dates services were rendered and the specific nature of the services must be listed.

4.5 Executive Positions (36-14-17002)

- A. The name and address of any business as defined in R.I. Gen. Laws § 36-14-2(2) which the public official, his or her spouse or dependent child is a director, officer, partner, trustee, or holds a supervisory management position must be listed.

4.6 Real Estate Interest (36-14-17003)

- A. A financial interest in real estate shall include direct as well as indirect ownership through a trust or other entity, mortgages, options to buy, sell, or lease for a long term, and other interests in real estate, held individually or collectively by persons under R.I. Gen. Laws § 36-14-17(a).

4.7 Trust Income (36-14-17004)

- A. Disclosure of income as beneficiary of a trust shall include identification of the particular trustee, and asset or assets which generated such income.

4.8 Business Positions (36-14-17005)

- A. Membership in a business entity necessitating disclosure shall include status as a member of a board of directors, officer, partner, trustee, or the holding of any other similar executive position in a business.

4.9 Doing Business with a State or Municipal Agency (36-14-17006)

- A. Transactions reportable under R.I. Gen. Laws § 36-14-17(b)(1) shall include any transaction or transactions which together exceed two hundred fifty dollars (\$250) at any time during the calendar year.

4.10 Business Interest (36-14-17007)

- A. Disclosure of business interest under R.I. Gen. Laws § 36-14-17(b)(1) shall include an ownership interest of ten percent (10%) or greater, or a cash value interest amounting to five thousand dollars (\$5,000) or greater, individually or collectively relating to all persons under R.I. Gen. Laws § 36-14-17(a), at any time during the calendar year.

4.11 Leadership Positions with Not-For-Profit Organizations (36-14-17008)

- A. The financial statement required to be filed pursuant to R.I. Gen. Laws § 36-14-16 shall include, in addition to any other requirements, a list of all boards of directors, trustees or equivalent fiduciary positions of which the person is a member, and all executive officer positions which the public official holds, in any not-for-profit organization. This disclosure shall include a listing of each entity or organization, its address and the position held.

4.12 Out-of-State Travel (36-14-17009)

- A. Any public official or employee who is required to file a yearly financial statement pursuant to R.I. Gen. Laws § 36-14-16(a) shall disclose the source, value and description of any out-of-state travel and related transportation, lodging, meals and entertainment having an aggregate fair market value or actual cost greater than two hundred fifty dollars (\$250) provided by any person or entity, other than the state or municipal agency of which he or she is a member or by which he or she is employed or his or her regular private employer, if under the totality of the circumstances it is more likely than not that the person or entity would not have provided the travel but for the official's or employee's public office or position.
- B. Circumstances indicating that the person or entity would not have provided the travel but for the official's or employee's public office or position may include, but are not limited to, one or more of the following:
 - 1. The official or employee became acquainted with the provider through his or her public agency;
 - 2. The official or employee was offered the out-of-state travel and related transportation, lodging, meals and entertainment through a communication sent to or through the public official's or employee's agency;
 - 3. Other officials or employees in the same agency are offered, or have been offered, out-of-state travel and related transportation, lodging, meals and entertainment from the provider;
 - 4. The official's or employee's counterparts in other public agencies or jurisdictions have been offered similar out-of-state travel and related transportation, lodging, meals and entertainment by the provider;
 - 5. The provider is affiliated with any "interested person," as defined by § 1.4.2 of this Subchapter, or has allowed an interested person to underwrite expenses associated with the out-of-state travel and related transportation, lodging, meals and entertainment;

6. The provider is an entity whose membership is limited to, or is largely comprised of, public officials;
7. The official or employee had not received out-of-state travel and related transportation, lodging, meals and entertainment from the provider prior to attaining his or her public office or employment;
8. If the out-of-state travel and related transportation, lodging, meals and entertainment involves attendance at an event, any written references by the provider or affiliated persons relative to the public official's or employee's attendance or participation refer to his or her public office, duties or agency.
9. If the travel involves a conference or seminar, the subject matter of the conference or seminar directly pertains to the public official's or employee's official duties.

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PART 4 - FINANCIAL DISCLOSURE (520-RICR-00-00-4)

Type of Filing: Post Promulgation Technical Revision

Department of State

Regulation Effective Date

Original Signing Date

Department of State Initials

Department of State Date