



# MARYLAND-NATIONAL CAPITAL PARK AND PLANNING COMMISSION

## FINANCIAL DISCLOSURE STATEMENT (FDS) - FORM 1 INSTRUCTIONS

### AND FDS FORM 1

(For M-NCPPC Employees)

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ATTACHMENT: FINANCIAL DISCLOSURE STATEMENT - FORM 1

## OVERVIEW

These instructions are for employees of the Maryland-National Capital Park and Planning Commission (M-NCPPC) who are required to annually submit the Financial Disclosure Statement (FDS) Form 1, pursuant to [Administrative Practice 2-24, Code of Ethics](#). A copy of FDS Form 1 is included following these instructions.

FDS Form 1 contains 10 Schedules (i.e. Schedules A to J). Copies of these instructions, FDS Form 1, as well as the individual Schedules can be found at: [www.mncppc.org/fds/](http://www.mncppc.org/fds/). This webpage also contains a list of entities that do business with the State of Maryland, Montgomery County, Prince Georges County, and the M-NCPPC.

## DEADLINES

M-NCPPC employees who are required to submit an FDS form must do so annually by April 30<sup>th</sup> of each year, pursuant to Section II(A)(4) of the Code of Ethics.

Additional deadline instructions for (i) newly hired employees and (ii) employees placed in an acting role that are required to file an FDS, as well as (iii) individuals who leave a position required to file an FDS are contained in Section II(A)(4)(d) of the Code of Ethics (page 27).

## ASSISTANCE

For technical assistance with the form please contact the M-NCPPC's OnPoint Help Desk. For substantive questions or assistance related to completing the FDS form, please contact the M-NCPPC's Ethics Officer by email ([ethics@mncppc.org](mailto:ethics@mncppc.org)) or by phone (301-454-1670). For copies or general questions about the Code of Ethics, please contact the Policy Office by email at [policyreview@mncppc.org](mailto:policyreview@mncppc.org).

## HOW TO COMPLETE, SIGN, AND SUBMIT YOUR FDS

Provide the information requested in the form, and sign and date it, either electronically or by hand. To sign the form electronically, ensure that you save it to your computer and open the document with Adobe Acrobat. The form may not be able to be electronically signed when opened with a web browser.

Once you have signed the completed form, submit it as follows:

- a. Appointed Officers, Department Heads, and Positions Identified in Sec. II(A)(2)(a-b) of the Code of Ethics:

### PRIVACY NOTICE

The Public Ethics Law (General Provisions Article, Title 5, Annotated Code of Maryland) and M-NCPPC Administrative Practice 2-24 (Code of Ethics) require the collection of this information, which will be used primarily for public disclosure and to determine compliance with the Law and Commission policy. The information may be disclosed to any requesting person who records their name and address, and this record will be provided to the filer upon request. The employee has the right to review, correct and amend the record as set forth in the General Provisions § 4-502.

If you wish to be notified when someone looks at your FDS, under Maryland Law, please check the box in Section 3 (Notification) of the FDS form.

must submit their completed FDS Form 1 via email to: [fdssubmission@mncppc.org](mailto:fdssubmission@mncppc.org) or by mail to: Office of the Executive Director. Attention: FDS Submission. 6611 Kenilworth Avenue. Suite 402. Riverdale, MD 20737. These positions include: the Executive Director, Secretary-Treasurer, General Counsel, and their deputies; Department Heads and Deputy Department Heads; Inspector General and Inspectors within the Office of the Inspector General; Chief Information Officer; Attorneys (as designated by the General Counsel); Division Chiefs/Division Directors.

- b. Individuals Holding Positions Designated by Department Heads must submit their completed FDS Form 1 according to the instructions provided by the respective department. These positions include those that influence Commission matters because of their ability to take actions, make decisions, or recommendations, or advise on: (a) procurement matters or contracting; (b) administering grants or subsidies; (c) planning, zoning, or otherwise regulating land use; (d) policy or planning decisions that impact the financial interest(s) of third parties; (e) land acquisitions or dispositions, land development, and facility planning of Commission assets, whether owned or managed; or (f) other decisions with significant economic impact. They also include individuals assigned by Department Heads to serve on a board or foundation. See: Sec. II(A)(2)(c).

**SECTION 1: EMPLOYEE INFORMATION**

Provide the requested information, including your current M-NCPPC job title, work email, and work mailing address.

**SECTION 2: OATH & SIGNATURE**

You must file the financial disclosure statement under oath. A willful and false filing is subject to the penalties of perjury as provided in § 9-101, Criminal Law Article, Annotated Code of Maryland. Public Ethics Law § 5-602(e) provides that an electronic filer’s submission of the electronic disclosure form is made expressly under the penalties for perjury. To sign the form electronically, ensure that you save it to your computer and open the document with Adobe Acrobat. The form may not be able to be electronically signed when opened with a web browser.

**SECTION 3: REPORTING TYPE AND PERIOD**

Check the box for which of the two report types you are filing and insert the relevant date.

**SECTION 4: NOTIFICATION**

Financial disclosure statements are public records that may be examined or copied by the public. You have the right to be notified if any person has looked at a copy of your FDS. To be notified of this, please check the corresponding box.

Note: As required by State law, your home address information will be redacted in Schedule A, provided you identify that the address is your home address.

<p style="text-align: center;"><b>WHEN TO STATE INFORMATION IS “UNKNOWN”</b></p> <p>Section II(A)(2) of M-NCPPC Administrative Practice 2-24 (Code of Ethics) requires you to disclose interests and information "if known" for the calendar year for which the required statement is to be filed. Information that is obtainable is not "unknown" and must be reported. If you claim not to know information requested in a question because it is unobtainable, state "unknown" in response to that question in the FDS.</p>
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## SECTION 5: FDS SCHEDULE CHECKLIST

Answer each question for Schedules A through J as either “Yes” or “No.” Do not leave any question unanswered. In the next section you will be asked detailed follow-up questions for each schedule.

## SECTION 6: FDS SCHEDULES

### Schedule A: Real Property

Please check the applicable box in question 1 and follow the instructions provided in the schedule. If you answered “Yes” to question 1, answer questions 2 to 12C. If you answered “No” go to the next schedule.

In question 2, check the “Yes” box if the property is your home address. State law requires the M-NCPPC to redact home address information disclosed in Schedule A, provided you check the box in question 2. If the property is your home residence you may alternatively give the lot and block legal description instead, if you wish.

### **DO YOU NEED TO DISCLOSE MORE THAN ONE INTEREST ON A SCHEDULE?**

You must complete one schedule for each applicable interest you hold. Please do so by completing an additional copy of the schedule for each additional interest. See: [www.mncppc.org/fds/](http://www.mncppc.org/fds/) for copies of blank Schedules.

Real property held by you or by a partnership, limited liability partnership, or limited liability company in which you have an interest must be disclosed, if it is held at any time during the reporting period. You must report real property whether it is located **in or outside of Maryland**. Partnership property must be disclosed, without regard to the extent of your interest in the partnership. You must also report any interest you have in **leasehold property, for example, property in which you are tenant, including business offices and personal residences. You must report your personal residence if it is owned directly by you, attributable to you or rented by you.** Note also that all appropriate information (e.g., date, seller, etc.) must be reported for land you own whether or not you have constructed improvements on it.

Schedule A deals with real property interests only; do not report here your interests in business entities. If **real property** held by an entity is attributable to you, or is a partnership, limited liability partnership, or limited liability company property, list the **real property** on this Schedule. Report your interest in the entity on Schedule B, C, or H (whichever is appropriate) if it falls within the reporting requirements of those Schedules.

State Ethics Law requires that for each property you disclose you must give the location, the type of property, the nature and extent of your interest, the identity of other persons holding an interest in the property, encumbrances, date and manner of acquisition, the identity of the person from whom you acquired the property, and the nature and amount of consideration. Additionally, if in question 12, you indicate you transferred the property during the calendar year, you must provide the name of the person to whom you transferred the property, the portion of interest transferred, and the amount of consideration received are required to be disclosed.

## **Schedule B: Interests in Corporations/Partnerships**

Please check the applicable box in question 1 and follow the instructions provided in the schedule. If you answered “Yes” to question 1, answer questions 2 to 9C. If you answered “No” go to the next schedule. See the list of entities that did business with the State, M-NCPPC, Montgomery County or Prince George’s County at: [www.mncppc.org/fds](http://www.mncppc.org/fds).

Report **all interests in any corporation, partnership, limited liability partnership or limited liability company** held by you during the reporting period, **whether or not the entity does business with the State, M-NCPPC, Montgomery County, or Prince George's County**. Examples of frequently disclosed items on this schedule are corporate stocks, corporate bonds and partnerships. Interests in publicly traded mutual funds or exchange-traded funds traded on a national scale need not be disclosed unless the mutual fund or exchange-traded fund is composed primarily of holdings of stocks and interests in a specific sector or area that is regulated by the filer’s governmental unit. Filers are not required to disclose holdings in an Internal Revenue Service qualified trust or college savings plan, including the M-NCPPC § 401(a), and § 457 (deferred compensation) plans. This would also include Maryland College Savings Plans, such as 529 investment accounts. Other possible qualified retirement accounts include 403(b) plans. Filers must determine whether the plan in which they participate meets the requirements for exemption from disclosure.

See definition of “interest” in the definitions section of this document.

Please answer Questions 1 through 9C as appropriate. The State Ethics Law requires that for each interest disclosed you must provide the name and address of the entity, the nature and extent of your interest, the amount of the interest, other interests held in the entity, and any encumbrances or conditions. Additionally, if the interest was acquired during the calendar year, the date and manner of acquisition, the identity of the person from whom you acquired the interest, and the nature and amount of consideration that will need to be disclosed. If the acquisition solely consists of an addition to an existing, publicly traded corporate interest acquired by dividend or dividend reinvestment and the total value is less than \$500, you need not provide any additional information.

Finally, if you transferred the interest during the calendar year, the name of the person to whom you transferred the interest (if known), the portion of interest transferred, and the amount of consideration received.

Note: In lieu of completing a separate Schedule B for each interest owned, you can attach a year-end statement from your broker identifying your holdings, provided the statement includes all of the information required by Schedule B for each interest you held during the calendar year. Do not confuse a year-end statement (acceptable), reflecting the activity during the course of the entire calendar year, with a statement for the month of December (not acceptable), reflecting only the activity during the month of December. If you elect to use a year-end statement, you should redact information such as account numbers and social security numbers before doing so, as the statement will be available for review by the public.

### **Schedule C. Interests in Non-Corporate Business Entities**

Please check the applicable box in question 1 and follow the instructions provided in the schedule. If you answered “Yes” to question 1, answer questions 2 to 8C. If you answered “No” go to the next schedule

Report all interests in any **non-corporate business entities** not disclosed on Schedule B that do business with the State, M-NCPPC, Montgomery County, or Prince George's County. A sole proprietorship is the type of entity that is included in this Schedule. For a list of entities that did business with the State, M-NCPPC, Montgomery County or Prince George’s County see: [www.mncppc.org/fds](http://www.mncppc.org/fds).

Please answer Questions 2 through 8C as appropriate. The State Ethics Law requires for each interest in any non-corporate business entity doing business with the State, M-NCPPC, Montgomery County, or Prince George's County that you give the name and address of the entity, the nature and extent of your interest, the amount of the interest, other interests held in the entity, and any encumbrances or conditions. Additionally, if the interest was acquired during the calendar year, the date and manner of acquisition, the identity of the person from whom you acquired the interest, and the nature and amount of consideration will need to be disclosed.

Finally, if you transferred the interest during the calendar year, the name of the person to whom you transferred the interest (if known), the portion of interest transferred, and the amount of consideration received.

### **Schedule D. Gifts**

Please check the applicable box in question 1 and follow the instructions provided in the schedule. If you answered “Yes” to question 1, answer questions 2 to 5. If you answered “No” go to the next schedule

You must report **each gift in excess of \$20 in value, or a series of gifts from any one person totaling \$100 or more**, received by you at any time during this reporting period or by any other person at your direction, from or on behalf of, directly or indirectly, any person who does business with the State, M-NCPPC, Montgomery County, or Prince George's County, or is registered or required to register under the lobbying title of the State Public Ethics Law. For each gift, answer Questions 1 through 5. Generally, gifts received by members of your immediate family will be considered as gifts received by you for reporting purposes. You should note if the gift was received by a spouse or dependent child. Gifts received from your spouse, children and parents need not be reported.

Political campaign contributions regulated in accordance with the provisions of the Election Law Article or any other provision of State law regulating the conduct of elections, or the receipt of political campaign contributions are by definition not gifts. Contributions to legal defense funds are generally considered to be gifts under the State Ethics Law.

### **Schedule E. Offices, Directorships, Salaried Employment, and Similar Interests**

Please check the applicable box in question 1 and follow the instructions provided in the schedule. If you answered “Yes” to question 1, answer questions 2 to 7. If you answered “No” go to the next schedule.

List on this schedule the name and address of the principal office of each business entity doing business with the State, M-NCPPC, Montgomery County, or Prince George's County in which, at any time during the reporting period, you or a member of your immediate family (spouse and dependent children) held an office, directorship, salaried employment, or similar interest. Also list any other similar interests (such as being a partner) held by you or a member of your immediate family during the reporting period, and not otherwise disclosed on this Schedule, in any business entity doing business with the State, MNCPPC, Montgomery County, or Prince George's County. For example, the presidency of a corporation or a partnership in a law firm should be reported, as should employment as an engineer in a consulting firm that is a partnership. For each office, directorship, and employment to be disclosed, answer Questions 2 through 7.

### **Schedule F. Debts**

Please check the applicable box in question 1 and follow the instructions provided in the schedule. If you answered “Yes” to question 1, answer questions 2 to 8. If you answered “No” go to the next schedule.

Report all **debts you owed** during the reporting period **to any entity doing business with, or regulated by, the State, M-NCPPC, Montgomery County, or Prince George's County**. The State Ethics Law requires the M-NCPPC to provide to their financial disclosure filers on or before January 15 of each year a list of entities that did business with the agency during the preceding calendar year. **Exclude retail credit accounts** (which include store and bank charge accounts). You must, however, include installment loans, mortgages, car loans, or other time-fixed liabilities owed to an entity doing business with or regulated by your agency.

Please answer Questions 2 through 8 for each debt you are disclosing. The Ethics Law requires that you identify the person or entity to whom the debt is owed, the date the debt was incurred, the terms of payment of the debt, the amount of the debt owed as of the last day of the calendar year, the extent to which the principal amount of the debt increased or decreased during the calendar year, and a description of any security given for the debt. Additionally, if this transaction resulted in a debt being owed by your spouse or dependent child, you need to identify your spouse and/or child and describe the transaction.

### **Schedule G. Family Members Employed by the State**

Please check the applicable box in question 1 and follow the instructions provided in the schedule. If you answered “Yes” to question 1, answer questions 2 to 4. If you answered “No” go to the next schedule.

Please answer Questions 2 through 4 as appropriate, listing all members of your immediate family (spouse and dependent children) who were employed by the State in any capacity at any time during the reporting period. Include the name of the agency that employed them.

### **Schedule H. Employment and Business Ownership**

Please check the applicable box in question 1 and follow the instructions provided in the schedule. If you answered “Yes” to question 1, answer questions 2 to 3. If you answered “No” go to the next schedule.

Please answer questions 2 and 3 as appropriate, listing: 1) the name and address of any places of employment for you, your spouse or a dependent child, and 2) business entities wholly or partially owned by you, your spouse or a dependent child, and from which income was earned during the reporting period, whether or not the entity did business with the State, M-NCPPC, Montgomery County, or Prince George's County. For example, you should disclose salaried employment, individual consulting activities, private practices, and business activities involving income-producing real property. With regard to dependent children, you need report only earned income from employment or an interest in a business entity if that employment or business entity did business in excess of \$10,000 with the M-NCPPC or was regulated by the M-NCPPC.

For statements filed on or after January 1, 2019, if your spouse is an individual regulated lobbyist, you must identify each entity that has engaged your spouse for lobbying purposes (i.e., your spouse's clients).

### **Schedule I: Financial or Contractual Relationships with Governmental or Quasi-Governmental Entities**

Please check the applicable box in question 1 and follow the instructions provided in the schedule. If you answered "Yes" to question 1, answer questions 2 to 5. If you answered "No" go to the next schedule.

### **Schedule J: Supplemental or Additional Information or Explanations**

Use this schedule for the following purposes:

- To provide supplemental information or explanations for a question for which the form did not provide sufficient space. Make sure you mention the relevant schedule and question.
- To disclose any interest(s) or transaction(s) you have not been required to disclose on Schedules A through I but wish to disclose.

### **DEFINITIONS**

**"Business or business entity"** means any corporation, general or limited partnership, limited liability partnership, limited liability company, sole proprietorship (including a private consulting operation), joint venture, unincorporated association or firm, institution, trust, foundation or other organization engaged in business whether profit or nonprofit.

**"Entity doing business with the State, M-NCPPC, Montgomery County, or Prince George's County"** means:

1. a party to any one or any combination of sales, purchases, leases or contracts to, from, or with the State, or any agency thereof, involving consideration of five thousand dollars (\$5,000) or more on a cumulative basis during the calendar year for which a required statement is filed; including, to the extent ascertainable as of the awarding or execution of a contract or lease, the total consideration committed to be paid, regardless of the period of time over which such payments are to be made;
2. a regulated lobbyist (lobbyist or lobbyist employer) as defined in § 5-702 of the Public Ethics Law; or



3. an entity regulated by the department or executive agency of the official or employee. For a list of entities that do business with the State, M-NCPPC, Montgomery County or Prince George's County see: [www.mncppc.org/fds](http://www.mncppc.org/fds).

**"Gift"** means the transfer of anything of economic value regardless of the form without adequate and lawful consideration. Gift does not include the solicitation, acceptance, receipt, or regulation of political campaign contributions regulated in accordance with the provisions of the Election Law Article, or any other provision of State law regulating the conduct of elections or the receipt of political campaign contributions.

**"Immediate family"** means spouse and dependent children.

**"Interest"** means any legal or equitable economic interest, whether or not subject to an encumbrance or a condition, which was owned or held, in whole or in part, jointly or severally, directly or indirectly. Interest does not include:

1. an interest held in the capacity of a personal representative, agent, custodian, fiduciary or trustee, unless the holder has an equitable interest therein;
2. an interest in a time or demand deposit in a financial institution;
3. an interest in an insurance or endowment policy or annuity contract under which an insurance company promises to pay a fixed number of dollars either in a lump sum or periodically for life or some other specified period;
4. a common trust fund or trust that forms part of a pension or a profit-sharing plan that has more than 25 participants and which is determined by the Internal Revenue Service to be a qualified trust or college savings plan under the Internal Revenue Code; or
5. a mutual fund or exchange-traded fund that is publicly traded on a national scale unless the mutual fund or exchange-traded fund is composed primarily of holdings of stocks and interests in a specific sector that is regulated by the individual's governmental unit.

**"Member of household"** means a person's spouse, child, ward, financially dependent parent, or other relative who shares the person's legal residence, or a person's spouse, child, ward, parent, or other relative over whose financial affairs the person has legal or actual control.

**"Person"** includes an individual or business entity.

**"Public official"** means:

1. Any individual in an executive agency (also including an individual employed on a full-time contractual basis if employed for more than six (6) months) who:
  - a. is a classified employee at grade level 16 or above, or, if not a classified employee, receives a rate of compensation equal thereto, or is appointed to a board or commission; and
  - b. is determined by the Ethics Commission as:
    - i. individually or as a member of an executive agency, having decision making authority or acting as a principal advisor to one with such authority: (A) in making State policy in an

- executive agency; or (B) in exercising quasi-judicial, regulatory, licensing, inspecting, or auditing functions; and
- ii. having duties that are not essentially administrative and ministerial; and
  - c. is not a full-time or part-time faculty member at a State institution of higher education, unless the individual is also employed in another State position which does fall under this definition or unless the individual also directly procures, directly influences, or otherwise directly affects the formation or execution of any State contract, purchase or sale as established by regulations of the State Ethics Commission in COMAR 19A.03.02.
2. Any individual in the legislative branch (also including an individual employed on a full-time contractual basis if employed for more than six (6) months) other than a State official, who receives a rate of compensation equal to or above grade level 16 who is so designated by order of the presiding officers of the General Assembly.
  3. Any individual in the judicial branch of government, including an individual employed in the office of the clerk of court, or paid by a political subdivision to perform services in any orphans' court, a circuit court for a county, and any individual employed by the Attorney Grievance Commission, the State Board of Law Examiners or the Standing Committee on Rules who:
    - a. is classified or compensated at State grade level 16 or above; and
    - b. is not a judge, master, commissioner, examiner, auditor, or referee;
    - c. and has not been excluded based on the recommendation of the State Court Administrator as not having duties relating to policy, policy advice, quasi-judicial or procurement functions.
  4. Except for any full-time or part-time faculty member at a State institution of higher education, any individual in an executive agency who, as determined by the Ethics Commission, is charged, individually or as a member of the executive agency, with decision making authority or acts as a principal advisor to one with such authority in drafting specifications for, negotiating, or executing contracts which commit the State or any executive agency to expend in excess of \$10,000 per annum.

**"Quasi-Governmental Entity"** means an entity that is created by State statute, which performs a public function, and that is supported in whole or in part by the State but is managed privately. An example is the Maryland Association of Counties (MaCO).

**"Regulated Lobbyist"** means any entity, person or its employer required to register pursuant to the lobbying provisions of the Public Ethics Law.

**"Reporting period"** means the period covered by the Statement. An annual financial disclosure statement covers the previous calendar year and is due by April 30th each year. A termination statement covers the portion of the current calendar year served by the filer, beginning on January 1st to the last day the position is held.

**"State official"** means a member or member-elect of the General Assembly, a judge or judge-elect of a court created by Article IV, §1 of the Constitution and a person defined in Maryland Rule No. 16-814, or a constitutional officer or officer-elect in the executive agency of State government. State official also means a person holding office as State's Attorney, Clerk of the Circuit Court for each county, Register of Wills, and Sheriff.

**“Tenants by the Entirety”** means an undivided equal ownership interest with survivorship rights in real property with one’s spouse.

### **ATTRIBUTABLE INTEREST**

Section 5-608 of the Public Ethics Law provides that certain property and business interests not directly held by a person may be attributed to him or her and must be reported on the financial disclosure statement. The circumstances under which attribution occurs are as follows:

1. If you owned a 30% or greater equity interest in any business entity during the reporting period and that business entity holds a property or business interest which, if you owned directly, you would be required to report on Schedule A, B, or C, the interest is attributable to you and you must report it on the appropriate Schedule.

This limited attribution does not reduce or affect in any way the requirement for disclosure on Schedule A of real property held by a partnership even if the filer holds less than a 30% interest in the partnership.

2. If your spouse or child holds a property or business interest which you would have to report on Schedule A, B, or C, if you owned it directly, and if you exercised direct or indirect control over that interest at any time during the reporting period, the interest is attributable to you and must be reported on the appropriate Schedule.
3. If at any time during the reporting period you (a) held a reversionary interest in a trust or estate or (b) were the beneficiary of a trust or estate or (c) were the settler of a revocable trust, then any interest held by the trust or estate which you would have to report on Schedule A, B, or C, if you owned it directly, is attributable to you and must be reported on the appropriate Schedule. For purposes of this attribution provision, you are a beneficiary of a trust if you are a current income beneficiary, either receiving income or currently entitled to receive income, or if you have a current ownership or other interest in the corpus of the trust. Beneficiaries of an estate include immediate beneficiaries of an estate even if it is not settled. A trust, within the meaning of this section, does not include a common trust fund or a trust which forms part of a pension or profit-sharing plan that has more than 25 participants.

### **BLIND TRUST**

A filer having an interest relating to a blind trust should contact the M-NCPPC about the filing requirements.



# MARYLAND-NATIONAL CAPITAL PARK AND PLANNING COMMISSION

## FINANCIAL DISCLOSURE STATEMENT - FORM 1

(For M-NCPPC Employees)

This form is to be completed by Commission employees who are required to file an FDS pursuant to Section II(A)(2) of [Administrative Practice 2-24, Code of Ethics](#). Provide the requested information, and sign and date the form, either electronically or by hand. To sign the form electronically save it to your computer and open the document with Adobe Acrobat. The form may not be able to be electronically signed when opened with a web browser. Once signed, submit the completed form, as follows:

- a. Appointed Officers, Department Heads, and Positions Identified in Sec. II(A)(2)(a-b) of the Code of Ethics: must submit their completed FDS Form 1 via email to: [fdssubmission@mncppc.org](mailto:fdssubmission@mncppc.org) or mail to: Office of the Executive Director. Attention: FDS Submission. 6611 Kenilworth Avenue. Suite 402. Riverdale, MD 20737. These positions include: the Executive Director, Secretary-Treasurer, General Counsel, and their deputies; Department Heads and their Deputies; Inspector General and Inspectors within the Office of the Inspector General; Chief Information Officer; Attorneys (as designated by the General Counsel); Division Chiefs/Division Directors.
- b. Individuals Holding Positions Designated by Department Heads: must submit their completed FDS Form 1 according to the instructions provided by the respective department. These positions include those that influence Commission matters because of their ability to take actions, make decisions, or recommendations, or advise on: (a) procurement matters or contracting; (b) administering grants or subsidies; (c) planning, zoning, or otherwise regulating land use; (d) policy or planning decisions that impact the Financial Interest(s) of third parties; (e) land acquisitions or dispositions, land development, and facility planning of Commission assets; or (f) other decisions with significant economic impact. This also includes individuals who serve on a board or foundation. See: Sec. II(A)(2)(c).

Detailed instructions on how to complete the FDS Form 1, including definitions of key terms and additional copies of individual Schedules, can be found at: [www.mncppc.org/fds/](http://www.mncppc.org/fds/). For questions contact the Commission's Ethics Officer by email ([ethics@mncppc.org](mailto:ethics@mncppc.org)) or by phone (301-454-1670).

### SECTION 1. EMPLOYEE INFORMATION. Please provide the following information:

First Name:	Middle Initial:	Last Name:
Department Name:	Division/Office Name:	
Job Title:	Work E-Mail:	
Work Mailing Address (Street, City, State and Zip Code):		

**SECTION 2: OATH AND SIGNATURE.** I hereby make an oath or affirm, under penalties of perjury, that the contents of this FDS are complete, true, and correct to the best of my knowledge, information and belief (please sign and date):

Signature of the Person Filing: \_\_\_\_\_ Date: \_\_\_\_\_

**SECTION 3. REPORTING TYPE AND PERIOD.** Select and check the type of report you are filing (only one), and insert the applicable date:

Regular FDS Report: January 1 through December 31<sup>st</sup>, 20\_\_\_\_\_, or  
 Termination FDS Report: January 1 through \_\_\_\_\_, 20\_\_\_\_\_

**SECTION 4. NOTIFICATION:** Check the following box if you want to be notified if someone requests to views your FDS form (see FDS Instructions for additional details):

Yes, I want to be notified if someone requests to view my FDS Form.

**SECTION 5. FDS SCHEDULE CHECKLIST:** Check “Yes” or “No” for questions A though J. Do not leave any questions unanswered. These questions correspond to the Schedules in Section 6 where additional follow-up questions will be asked on each schedule.

<i>LETTER</i>	<b>SCHEDULE DESCRIPTION</b>	<b>YES</b>	<b>NO</b>
<b>A</b>	I held an interest(s) during the reporting period in real property located in or outside Maryland.		
<b>B</b>	I held interest(s) during reporting period in corporations, partnerships and similar entities.		
<b>C</b>	I held interest(s) in a non-corporate business entity which did business with the State, other than a partnership.		
<b>D</b>	I received a gift(s) during reporting period from persons doing business with the State, regulated by the State, or registered or required to register as lobbyists.		
<b>E</b>	I or a member of my immediate family was a partner or held an office, directorship, or salaried employment during the reporting period in or with a business entity doing business with the State.		
<b>F</b>	I or a member of my immediate family owed debts (excluding retail credit accounts) during the reporting period to persons doing business with the State.		
<b>G</b>	A member of my immediate family was employed by the State of Maryland during the reporting period.		
<b>H</b>	I or a member of my immediate family received a salary or was sole or partial owner of a business entity from which earned income was received during the reporting period.		
<b>I</b>	I or a member of my family had a financial or contractual relationship with: (i) the University of Maryland Medical System, (ii) a governmental entity of the State of Maryland, (iii) a quasi- governmental entity of the State or local government in the State of Maryland during the reporting period.		
<b>J</b>	Do you need or want to provide additional information on a financial transaction(s) or relationship that took place during the reporting period and was not covered by bullets A to I?		

**SECTION 6. FDS SCHEDULES:**

**Schedule A – Real Property Interests**

1. Do you have any interest (as an owner or a tenant, including interests in time shares) in real property in Maryland or in any other state or country?

Yes

No (Go to Schedule B)

**If yes:** A separate Schedule A will be required for each property you need to disclose. Answer each question below.

2. What is the address or legal description of the property and is this your home address? (Note: State law requires the M-NCPPC to redact home address information disclosed in Schedule A, provided you check the box below to identify it as your home address. If the property is your home residence you may alternatively give the lot and block legal description instead, if you wish.)

Yes, this is my home address.

Street Address:

\_\_\_\_\_

City/State/Zip:

\_\_\_\_\_

\_\_\_\_\_

3. What kind of property is it?

Improved. If improved, indicate if it is residential or commercial: \_\_\_\_\_

Unimproved (i.e. a vacant lot)

4. Is the interest held directly by you or is it attributable to you?

Direct

Attributable. See the FDS Form Instructions for the definition of “attributable.”

5. Are you the owner or tenant?

Owner     Tenant

6. Do you hold the interest solely or is it jointly held with another?

Solely     Jointly     Tenant(s) by the entirety

**Note:** If the interest is held jointly or by tenants, provide the name(s) of the other joint owner(s) here:

\_\_\_\_\_

7. Are there any legal conditions or encumbrances on the property? (e.g.: mortgages, liens, contracts, options, etc.)?

No       Yes. Please answer questions below.

**If yes**, what was the name(s) of the lender(s), creditor(s), lien holder(s), etc.:

\_\_\_\_\_

8. What date was the property acquired? \_\_\_\_\_

9. How was the property acquired (purchase, gift, inheritance, etc.)

\_\_\_\_\_

10. From whom was the property acquired? (Name of individual or entity from whom you purchased or inherited the property or who gifted the property to you.)

\_\_\_\_\_

11. What consideration was given when the property was acquired? (i.e. What did you pay for the property, or if you received the property as a gift or inheritance, what was its fair market value at the time you acquired the property?)

\$ \_\_\_\_\_

12. Have you transferred any interest in this property during the reporting period?

No. Go to the next schedule       Yes. Please answer questions 12.A to 12.C

12.A. What percentage of interest did you transfer: \_\_\_\_\_%

12.B. What consideration did you receive for the interest: \$ \_\_\_\_\_

12.C. To whom did you transfer the interest: \_\_\_\_\_

**NOTICE:**

**Do you have more than one real property interest to disclose per question 1 of this schedule?**

If yes, please disclose it by completing an additional copy of this schedule for each additional interest. Include each additional schedule as part of your FDS submission. Additional blank copies of this schedule and detailed FDS Form Instructions can be obtained from: <https://www.mncppc.org/fds/>.

**Schedule B – Interests in Corporations and Partnerships**

1. Did you have any interest in any corporations, partnerships, limited liability partnerships (LLPs), or limited liability companies (LLCs) during the reporting period whether or not the entity did business with the State, M-NCPPC, Montgomery County, or Prince George's County?

No. Go to the next schedule.  Yes. Answer the questions below.

**If yes:** A separate Schedule B will be required for each additional interest you need to disclose. Answer each question below.

2. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol: \_\_\_\_\_

3. Does the stock of the corporation trade on a stock exchange?

Yes  
 No. Provide the legal address of the corporation's principal office: \_\_\_\_\_

\_\_\_\_\_

4. Is the interest held directly by you or is it attributable to you? (See the FDS Instructions for definition of "attributable").

Directly  Attributable

5. Do you hold the interest in your name alone, or is it held jointly?

In your name alone  
 Jointly. If jointly, provide the percentage of your interest \_\_\_\_\_%

6. What is the nature of your interest and its dollar value or the number of shares? (Example: stock, notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: \_\_\_\_\_

Dollar Value of Shares: \$ \_\_\_\_\_ or Number of Shares: \_\_\_\_\_

7. Are there any legal conditions or encumbrances that apply to your interest in the entity? (Example: mortgage, liens, contracts, options, etc.)

No  Yes

**If yes,** provide the name of the entity holding the encumbrance: \_\_\_\_\_

\_\_\_\_\_



8. Did you acquire an interest in the entity during the reporting period?

No. Go to question 9.

Yes. Answer questions 8A to 8D

8A. In what month was the interest acquired? \_\_\_\_\_

8B. How was the interest in the entity acquired? (Example: purchase, gift, will, etc.)  
\_\_\_\_\_

8C. From whom did you acquire the interest in the entity? (If you purchased it from a brokerage, the name of the brokerage): \_\_\_\_\_

8D. What consideration was given when the interest was acquired? (Dollar amount paid, or if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property):  
\$ \_\_\_\_\_

9. Have you transferred any interest in this entity during the reporting period?

No. Go to the next schedule.

Yes. Answer questions 9A to 9C.

9A. What portion of the interest was transferred? \_\_\_\_\_ %

9B. What consideration did you receive for the interest in the entity? (Dollar amount paid, or if you received the property as a gift or inherited it, the fair market value and terms at the time you transferred your interest in the property): \$ \_\_\_\_\_

9C. To whom did you transfer your interest in the entity? \_\_\_\_\_

**NOTICE:**

**Do you need to disclose more than one interest per question 1 of this schedule?**

If yes, please disclose it by completing an additional copy of this schedule for each additional interest. Include each additional schedule as part of your FDS submission. Additional blank copies of this schedule and detailed FDS Form Instructions can be obtained from: <https://www.mncppc.org/fds/>.

**Schedule C – Interests in Non-Corporate Business Entities Doing Business with the State, M-NCPPC, Montgomery County, or Prince George's County**

1. Do you have an interest in any non-corporate business entity (a sole proprietorship) that did business with the State, M-NCPPC, Montgomery County, or Prince George's County during the reporting period?

No. Go to the next schedule.  Yes. Answer the questions below.

**If yes:** A separate Schedule C will be required for each business entity to be disclosed. Answer each question below.

2. Provide the name and address of the principal office of the business entity:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_

3. Is the interest held directly by you or is it attributable to you? (See the FDS Instructions for the definition of attributable”)

Directly  Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely  Jointly, if jointly, provide the percentage of your interest: \_\_\_\_\_%

5. Dollar value of your interest in the entity: \$ \_\_\_\_\_, or the percentage of your interest in the entity: \_\_\_\_\_%.

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (Example: mortgages, liens, contracts, options, etc.)

No  Yes. If yes, give the name of creditor: \_\_\_\_\_

7. Was any interest acquired during the reporting year?

No. If no, skip to question 8.  Yes. If yes, answer questions 7.A to 7.D.

7.A. What month was the interest acquired? \_\_\_\_\_

7.B. How was the interest in the entity acquired? (Example: purchase, gift, will, etc.): \_\_\_\_\_

\_\_\_\_\_

7.C. From whom did you acquire the interest? \_\_\_\_\_

7.D. What consideration was given when the interest was acquired? (Dollar amount paid or if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property.) \$ \_\_\_\_\_

8. Did you transfer any of your interest during the reporting period?

No. If "No," skip to next schedule.  Yes. If yes, answer questions 8.A to 8.C.

8.A. What percentage of interest, if less than all, was transferred? \_\_\_\_\_%

8.B. What consideration was given when the interest was acquired? (Dollar amount paid or if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property.) \$ \_\_\_\_\_

8.C. To whom did you transfer your interest in the entity?

\_\_\_\_\_

**NOTICE:**

**Do you need to disclose more than one interest in a sole proprietorship(s) that did business with the State of Maryland, M-NCPPC, Montgomery County, or Prince George's County during the reporting year?**

If yes, please disclose it by completing an additional copy of this schedule for each additional interest. Include each additional schedule as part of your FDS submission. Additional blank copies of this schedule and detailed FDS Form Instructions can be obtained from: <https://www.mncppc.org/fds/>.

**Schedule D – Gifts**

1. During the reporting period, did you receive any gift(s), directly or indirectly, in excess of a value of \$20 or a series of gifts from the same donor with a cumulative value of \$100 or more from a person or entity who: 1) did business with the State, M-NCPPC, Montgomery County, or Prince George's County; 2) engaged in an activity that was regulated or controlled by the M-NCPPC; or 3) was a regulated lobbyist? Gifts received from a member of the official's or employee's immediate family, another child, or a parent of the individual, do not need to be disclosed.

No. Go to the next schedule.       Yes. Answer the questions below.

**If yes:** A separate Schedule D will be required for each gift. Answer each question below.

- 2. Provide the name of the person or entity who gave you the gift: \_\_\_\_\_
- 3. Provide the nature of the gift (Example: book, restaurant meal, theater tickets, book, etc.):  
\_\_\_\_\_
- 4. What was the dollar value of the gift? \$ \_\_\_\_\_
- 5. If the gift was given to someone else at your direction, list the identity of the recipient of the gift.  
\_\_\_\_\_

**NOTICE:**

**Do you need to disclose more than one gift per question 1 of this schedule?**

If yes, please disclose it by completing an additional copy of this schedule for each additional gift. Include each additional schedule as part of your FDS submission. Additional blank copies of this schedule and detailed FDS Form Instructions can be obtained from: <https://www.mncppc.org/fds/>.

**Schedule E – Officers, Directorships, Salaried Employment and Similar Interests**

1. During the reporting period, did you or any member of your immediate family (spouse or dependent child) have any salaried employment or hold any office or directorship with an entity that did business with the State, M-NCPPC, Montgomery County, or Prince George's County?

No. Go to the next schedule.       Yes. Answer the questions below.

**If yes:** A separate Schedule E will be required for each disclosure. Answer each question below.

2. What is the name and address of the business entity?

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_

3. Who was the individual who held the position or interest listed above?

Self       Spouse       Dependent Child

3A: Name of the spouse or dependent child (if applicable): \_\_\_\_\_

4. What is the title of the office you, your spouse or dependent child held? ? (Example: limited partner, director, treasurer, chair of the board of trustees, etc.):

\_\_\_\_\_

5. What year did the position begin? \_\_\_\_\_

6. With what agency or department(s) did the business entity do business? \_\_\_\_\_

\_\_\_\_\_

7. What was the nature of the business? (Example, regulated by your agency, registered under the lobbying law, or involved with sales and contracts with the M-NCPPC. With what M-NCPPC Department(s) did the business entity do business?

\_\_\_\_\_

\_\_\_\_\_

**NOTICE:**

**Do you need to disclose more than one interest per question 1 of this schedule?**

If yes, please disclose it by completing an additional copy of this schedule for each additional interest. Include each additional schedule as part of your FDS submission. Additional blank copies of this schedule and detailed FDS Form Instructions can be obtained from:

<https://www.mncppc.org/fds/>.

**Schedule F – Debts You Owe**

1. During the reporting period, did you owe a debt (excluding a retail credit account) to a financial entity that did business with the State, M-NCPPC, Montgomery County, or Prince George's County?

No. Go to the next schedule. Yes. Answer the questions below.

**If yes:** A separate Schedule F will be required for each disclosure. Answer each question below.

**Note:** If, on Schedule A, B or C you listed a financial entity that did business with the State, M-NCPPC, Montgomery County, or Prince George's County as the holder of your mortgage or other encumbrance, you must complete Schedule F with regard to that indebtedness.

2. To whom did you owe the debt? (Do not include consumer credit debts): \_\_\_\_\_

\_\_\_\_\_

3. When was the debt incurred? \_\_\_\_\_

4. What was the interest rate and terms of payment of the debt?

Interest Rate \_\_\_\_\_ %

Terms (monthly, bimonthly, annually, etc.): \_\_\_\_\_

5. What was the amount of the debt as of the end of the reporting period? If debt existed during the reporting period but was paid in full at the end of the period, put \$0: \$ \_\_\_\_\_

6. Did the principal of the debt increase or decrease during the reporting period and by how much?

Increase. Provide amount of increase: \$ \_\_\_\_\_

Decrease. Provide amount of decrease: \$ \_\_\_\_\_

7. Was any security given for the debt?

No  Yes.

**If yes,** state what type of security was given (home, car, boat, etc.): \_\_\_\_\_

8. If this a transaction in which you were involved, but which resulted in a debt being owed by your spouse or dependent child, identify your spouse or child and describe the transaction:

**NOTICE:**

**Do you need to disclose more than one debt per question 1 of this schedule?**

If yes, please disclose it by completing an additional copy of this schedule for each additional debt. Include each additional schedule as part of your FDS submission. Additional blank copies of this schedule and detailed FDS Form Instructions can be obtained from: <https://www.mncppc.org/fds/>.

**Schedule G – Family Members Employed by the State of Maryland, M-NCPPC, Montgomery County, or Prince George’s County**

1. During the reporting period, were any members of your immediate family (spouse or dependent children) employed by the State of Maryland, M-NCPPC, Montgomery County, or Prince George’s County in any capacity?

No. Go to the next schedule.       Yes. Answer the questions below.

**If yes:** A separate Schedule G will be required for each member of the immediate family who is employed by the State of Maryland, M-NCPPC, Montgomery County, or Prince George’s County. Answer each question below.

2. What is the relation and name of the immediate family member employed by the State?

\_\_\_\_\_

3. What is the name of the agency that employed the member of your immediate family?

\_\_\_\_\_

\_\_\_\_\_

4. What was the title of your immediate family member’s position in the State agency during the reporting period? \_\_\_\_\_

**NOTICE:**

**Do you have more than one immediate family member employed by the State of Maryland, M-NCPPC, Montgomery County, or Prince George’s County?**

If yes, please disclose it by completing an additional copy of this schedule for each additional immediate family member. Include each additional schedule as part of your FDS submission.

Additional blank copies of this schedule and detailed FDS Form Instructions can be obtained from:

<https://www.mncppc.org/fds/>.

**Schedule H – Employment/Business Ownership**

1. During the reporting period, did you or any member of your immediate family receive any earned income from an entity other than the State of Maryland, M-NCPPC, Montgomery County, or Prince George's County? Please note that your dependent child's employment or business ownership does not need to be disclosed unless the place of employment or the business entity is subject to regulation or the authority of your agency or has contracts in excess of \$10,000 with your agency.

No. Go to the next schedule.       Yes. Answer the questions below.

**If yes:** A separate Schedule H will be required for each member of the immediate family who had employment or ownership of a business entity. Answer each question below.

2. If, during the reporting period, you or a member of your immediate family had employment from which you or they earned income, list the relation, name, and address of the employment.

Name: \_\_\_\_\_

Relationship: \_\_\_\_\_

Name of Employer: \_\_\_\_\_

Address: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_

3. If, during the reporting period, you or a member of your immediate family wholly or partially owned any business entity from which income was earned, list the relation, name and address of the business entity.

Name: \_\_\_\_\_

Relationship: \_\_\_\_\_

Name of Employer: \_\_\_\_\_

Address: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_

**NOTICE:**

**Do you need to disclose that more than one immediate family member who received any earned income from an entity other than the State of Maryland, M-NCPPC, Montgomery County or Prince George's County during the reporting period?**

If yes, please disclose it by completing an additional copy of this schedule for each additional immediate family member. Include each additional schedule as part of your FDS submission. Additional blank copies of this schedule and detailed FDS Form Instructions can be obtained from:

<https://www.mncppc.org/fds/>.



**Schedule I – Financial or Contractual Relationships with Governmental or Quasi-Governmental Entities**

1. During the reporting period, did you or any member of your immediate family, have any financial or contractual relationship with (i) the University of Maryland Medical System, (ii) a governmental entity of the State of Maryland or of a local government in the State, or (iii) a quasi-governmental entity of the State of Maryland or local government in the State?

No. Go to the next schedule.  Yes. Answer the questions below.

**If yes:** If you need to disclose more than one relationship, please do so by completing one Schedule I for each additional relationship. Please see the notice below for additional instructions on this matter.

2. First and last name of the family member that has the financial or contractual relationship:

\_\_\_\_\_

3. Name of entity that has the contractual or financial relationship:

\_\_\_\_\_

4. Address of the entity (Street address, city, state and zip code):

Address: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_

5. Briefly describe the nature of the financial or contractual relationship. If the relationship included earning income or a monetary payment provide the estimated amount earned/paid during the reporting period.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**NOTICE:**

**Do you or a member of your immediate family have more than one financial or contractual relationship with one of the entities listed in question 1 above during the reporting period?**

If yes, please disclose it by completing an additional copy of this schedule for each additional relationship. Include each additional schedule as part of your FDS submission. Additional blank copies of this schedule and detailed FDS Form Instructions can be obtained from:

<https://www.mncppc.org/fds/>.

**Schedule J – Other**

Is there any additional information or interest you would like to disclose? If yes, describe below.

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**PRIVACY NOTICE:**

The Public Ethics Law (General Provisions Article, Title 5), Annotated Code of Maryland) requires the collection of this information, which will be used primarily for public disclosure and to determine compliance with the Law. The information may be disclosed to any requesting person, including officials of State, local or federal government, who records their name and address, and this record will be provided to the filer upon request. The subject has the right to review, correct and amend the record as set forth in the General Provisions § 4-502. Failure to file or to report information required by Public Ethics Law §5-607 can subject you to civil and administrative penalties including termination or other disciplinary action, suspension of pay, late filing fees, and/or civil fines. Willful and false filing is subject to criminal penalty for perjury pursuant to Criminal Law Article §9-101, Annotated Code of Maryland.