



# Erie County Water Authority

295 Main Street • Room 350 • Buffalo, NY 14203-2494  
716-849-8484 • Fax 716-849-8463

## Independent Ethics Panel (IEP)

### FINANCIAL DISCLOSURE STATEMENT For Calendar Year 2018

Name:

First

Middle

Last

Position:

Business Email:

Business Phone No:

Home Address:

Street

City

Zip

#### ACKNOWLEDGEMENTS

Please acknowledge the following statements by checking the appropriate boxes.

I hereby acknowledge receiving a copy of Policy No. 11.0, entitled “Code of Ethics & Conflicts of Interest Policy.”

I hereby acknowledge reading and understanding Policy No. 11.0.

PLEASE NOTE: If you have any questions regarding Policy No. 11.0, you may email the Independent Ethics Panel ([IEP@ecwa.org](mailto:IEP@ecwa.org)) or you may contact Associate Attorney John Gilmour, at extension 8432 or by email at [jgilmour@ecwa.org](mailto:jgilmour@ecwa.org).

I hereby acknowledge that I have complied with the provisions of Policy No. 11.0.

**If you have not checked each box in this section, please give an explanation on page 6.**

#### STANDARD OF CONDUCT

(ARTICLE II, § 3)

Please affirm the following statements by checking the appropriate boxes.

I affirm that I have endeavored to perform the duties of my position to the best of my ability and in a spirit of service to all persons and concerns for which the Erie County Water Authority (“ECWA”) was created.

Name:

I affirm that I have upheld the high standards of dedicated public service rendered over the years by ECWA members, officers and employees.

I affirm that I support and encourage fellow employees in the proper execution of their duties.

I affirm that when a question of conduct or regulation occurs, I will seek the advice of the ECWA Legal Department, or the members of the Independent Ethics Panel (“IEP”).

I affirm that I conduct myself at all times in a manner that avoids any appearance that I could be improperly or unduly, influenced or that I could be affected by the position of, or relationship with, any other party, or that I would ever act in violation of the public trust.

I affirm that I support the ECWA mission to the fullest, that I manage all matters within the scope of that mission independent of any other affiliations or employment, and that I strive to fulfill my professional responsibility to ECWA.

**If you have not checked each box in this section, please give an explanation on page 6.**

### **PROHIBITED CONDUCT**

(ARTICLE II, § 4)

**Please affirm the following statements by checking appropriate boxes.**

PLEASE NOTE: You must review the Vendor List provided to you with this Financial Disclosure Statement before you complete the remaining sections of this form.

I affirm that I have **not**:

Received any compensation for or have an interest, financial or otherwise, direct or indirect, or incur any obligation that is in substantial conflict with the proper discharge of my duties.

Engaged in other employment that might impair the independence of my judgment in the execution of my duties.

Disclosed confidential information, acquired in the course of my official duties or used such confidential information to further a personal financial interest.

PLEASE NOTE: Personal financial interest means financial interest benefiting you or an immediate family member. An immediate family member means any first-degree family member related by blood or marriage. First degree family members mean parents, step-parents, children, step-children, and siblings, including half- and step-siblings

Name:

Directly or indirectly solicited, or accepted or received any gift, having a value of seventy-five dollars or more, whether in the form of money, service, loan, travel, thing or promise, or in any other form under circumstances in which it could reasonably be inferred that the gift was intended as a reward for any official action on my part; excepting entertainment, meals or social invitations that are customary and proper under the circumstances and are wholly in keeping with good business ethics, and do not place me or an immediate family member under obligations.

Arranged for the extension of credit or renewed an extension of credit in the form of a personal loan from the Authority.

Unless otherwise permitted by the Independent Ethics Panel or Ethics Committee, I affirm to the best of my knowledge:

No immediate family member has directly or indirectly solicited, accepted, or received any gift, having a value of seventy-five dollars or more, whether in the form of money, service, loan, travel, thing or promise, or in any other form under circumstances in which it could reasonably be inferred that the gift was intended as a reward for any official action on my part; excepting entertainment, meals or social invitations that are customary and proper under the circumstances and are wholly in keeping with good business ethics, and do not place me or an immediate family member under obligations.

Neither I nor any member of my immediate family has engaged in speculating or dealing in equipment, supplies or materials normally purchased by ECWA.

Neither I nor any member of my immediate family has borrowed money from ECWA, or any suppliers, significant commercial customers, individuals or firms with whom ECWA does business.

PLEASE NOTE: Loans or mortgages from banks or individuals doing business with the Authority are exempt if the terms are at current rates and the customary collateral for such transactions is provided.

Neither I nor any member of my immediate family has acquired an interest in real estate in which it is known that ECWA also has a current or anticipated interest.

Neither I nor any member of my immediate family has misused information to which I have had access by reason of my position – such as by disclosing confidential information (of a technical, financial or business nature) to others outside or inside ECWA (whether or not a consideration is received), or using such information for my own interest or the interest of an immediate family member.

Name:

Neither I nor any member of my immediate family has solicited funds or other items of value from ECWA vendors, suppliers or consultants for me or my immediate family, or to benefit any other organization, club or person, whether such other persons or entities are charitable, religious or profit-making.

Neither I nor any member of my immediate family has served as an officer, director or manager with another company or business organization directly or indirectly related to the ECWA without specific authorization from ECWA.

Neither I nor any member of my immediate family represents current or potential ECWA customers or have submitted applications, plans or other compliance information for such a customer to ECWA for approval.

**If you have not checked each box in this section, please give an explanation on page 6.**

**CONFLICTS OF INTEREST**

(ARTICLE III § 3)

Please check "Yes" or "No" to the following questions

**YES    NO**

Do you or an immediate family member directly or indirectly, through business or investment, have any ownership or investment interest in, or employment with, any entity with which ECWA does done any business or has a transaction or arrangement?

Do you or an immediate family member directly or indirectly, through business or investment have a compensation arrangement with any entity or individual with which ECWA does done any business or has a transaction or arrangement?

Do you or an immediate family member directly or indirectly, through business or investment have a potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which ECWA is negotiating a transaction or arrangement?

PLEASE NOTE:

- Compensation includes direct and indirect remuneration as well as gifts or favors that are substantial in nature.
- A personal financial interest is not necessarily a conflict of interest. No conflict of interest exists where a personal financial Interest arises solely from an immediate family member that holds a clerical, ministerial or low-level management position with an existing or potential vendor, lacks the power to influence the relationship between the business and the Authority and did not obtain his or her position as a means to influence a member, ad hoc member, officer, or employee of the Authority.

- A person who has a personal financial interest may have a conflict of interest only if the Board determines that a conflict of interest exists pursuant to the enforcement and hearing procedures set forth in Article V, § 2 of Policy No. 11.0.

**If you have answered “Yes” or failed to answer any question in this section, please give an explanation on page 7.**

**IF YOU ARE AN ATTORNEY LICENSED TO PRACTICE LAW IN THE STATE OF NEW YORK, PLEASE ANSWER THE FOLLOWING QUESTIONS:**

**YES NO**

If you have a private practice, do you represent any county, city, town or village (i.e. municipal corporation) or any Indian nation or tribe?

If yes, please list which municipal corporation(s) and/or Indian nation(s) or tribe(s) you represent:

**NEPOTISM POLICY**

**(ARTICLE IV § 2)**

**Please check “Yes” or “No” to the following questions**

**YES NO**

Have any of your immediate family members worked for ECWA during the 2018 calendar year?

If you answered “Yes,” please answer the following:

**YES NO**

Did you have any role in approving or appointing an immediate family member to a position with ECWA?

Was the immediate family member appointed from a Civil Service list?

Do you directly supervise an immediate family member?

Name:

Is an immediate family member supervised by someone over whom you have direct or indirect supervision?

Does an immediate family member work in the same department as you?

Please list the names of any immediate family member who works or worked for ECWA in calendar year 2018.

**ADDITIONAL INFORMATION**

If necessary, you may attach additional pages

***Acknowledgement Section:***

***Standard of Conduct Section:***

***Prohibited Conduct Section:***

**Conflicts of Interest Section:**

**ERIE COUNTY BOARD OF ETHICS**

(ARTICLE VI§ 1)

Please check "Yes" or "No" to the following questions

**YES    NO**

Are you required to file an annual financial disclosure statement with the Erie County Board of Ethics?

Have you filed with the Erie County Board of Ethics the Annual Statement of Financial Disclosure for the County of Erie for Calendar Year 2018?

Please indicate the date you filed:

For your convenience, this Financial Disclosure Statement may be filled out electronically but **requires an original signature for submission.** Please submit your statement in a sealed envelope to the Independent Ethics Panel, c/o Legal Department, 295 Main Street, Room 350, Buffalo, New York 14203. All envelopes will be time-stamped when received.

**Return this Financial Disclosure Statement by May 15, 2019.**

I affirm, under penalty of perjury, all information in this financial disclosure statement is true to the best of my knowledge.

Date

\_\_\_\_\_  
Signature

**For IEP Use Only:**

Reviewed by: \_\_\_\_\_ Date Reviewed: \_\_\_\_\_ Needs Follow-Up: \_\_\_\_\_ Date Approved by IEP: \_\_\_\_\_

**NOTES:**