STATE OF WISCONSIN
Government Accountability Board

Statement of Economic Interests- *Instructions*

General filing information:

- The information sought in this form is required by §§19.43 and 19.44, Wisconsin Statutes.
- Need a blank form or have questions about completing this form? Visit the Government Accountability Board's web site at http://gab.wi.gov.
- Still have questions? For priority service send an e-mail to: GABEthics@wi.gov; otherwise call (608) 261-2028.

Attachments:

Additional pages may be used to provide all of the information necessary to complete your Statement of Economic Interests. Attached pages should conform to the same formatting as the existing Statement of Economic Interests. Investment house and brokerage statements should not be filed with your statement. Attachments relating to investment information should contain only the name of the investment and whether its value is between $5,000 and $50,000 or greater than $50,000.

Definitions:

- **"Family" or "family member"** means your spouse, and any child, stepchild, parent, or parent-in-law who receives more than one-half of his or her support from you or from whom you receive more than one-half of your support.
- **"Income"** means **gross** income before deductions and depreciation, from whatever source derived, as defined by the Internal Revenue Code, but excludes dividends and interest.
- A **"lobbyist"** is an individual who attempts to influence legislation or administrative rules in Wisconsin by communicating with an elected state official, agency official, or legislative employee on another's behalf for pay.

Part A — As of Appointment Date

1. INVESTMENTS. List stocks, bonds, limited partnerships, Wisconsin governmental securities, and mutual and money market funds you or your family held (minimum $5,000).

a. Funds Available in Wisconsin Deferred Compensation Program. These funds are available to participants in the Wisconsin Deferred Compensation program and many of them are also available for direct purchase, independent of that program. If you held an investment of $5,000 or more in any of these funds – either directly or through the program -- please check the appropriate box.

b. Other Investments.

List

- stocks and stock options
- commodity futures contracts
- bonds
- limited partnerships
- securities issued by the State of Wisconsin or by local governmental entities within Wisconsin
- mutual funds and money market funds
- any of the above held directly or:
  - -in a deferred compensation plan, profit-sharing plan, or pension plan whose investments you or your family directs
  - -in an individual retirement account (IRA)
  - -in a trust you or a family member created or of which you or a family member has beneficial use
  - -held for you by a corporation, partnership, or other entity which you or your family controls

List the security by name. For example, list "Fidelity Puritan Fund" and "IBM." Do **not** list "deferred compensation plan" or "IRA" or "Merrill Lynch account," since these terms do not identify the securities within the deferred compensation plan, IRA, or brokerage account.

Do not list

- Wisconsin Retirement System
- savings accounts
- checking accounts
- certificates of deposit
- annuities
- insurance contracts
- securities issued by the federal government or a government outside Wisconsin
- securities issued by an organization that does not do any business in Wisconsin
- securities in a company in which you and your family's total interest is valued at less than $5,000

To determine whether an investment meets the $5,000 minimum for reporting, add the total value of all types of securities you and your family held in an individual business or other entity.

2. BUSINESS ACTIVITIES. List businesses; farms; rental, commercial, and income-producing real estate; and business activities in which you or your family had at least a 10% or greater interest.

a) Enterprise(s) operating under a business or trade name, list here. List the name of each business; farm; and rental, commercial and income-producing real estate that operated under a business name.

b) Enterprise(s) NOT operating under a business or trade name, list here.

- If you or a family member owned rental or other income-producing real estate, but did not operate under a business name, list the street address or fire number, municipality or town, county, and state of the real estate, and describe the nature of the business.
- If you or a family member was self-employed, but did not operate under a business name, list the street address or fire number, municipality or town, county, and state of the real estate, and describe the nature of the business.

3. COMMERCIAL CUSTOMERS, CLIENTS, AND TENANTS. For each unincorporated business, subchapter S corporation, service corporation (SC), limited liability company (LLC), partnership, or income-producing real estate reported in Item 2 from which the filer or a member of the filer's immediate family received $10,000 or more in 2015, list businesses, organizations, and lobbyists that paid the enterprise $10,000 or more in calendar year 2015. *Furthermore, please place a checkmark in the appropriate column if an organization listed in Item 3 authorized you to represent it in its dealings with others as an attorney-at-law, agent, spokesperson, or representative.*

List:

- both a third-party payer as well as the customer, client, or tenant if the business received income from a third-party payer (such as a fee, commission, or insurance payment received by a realtor, travel agent, or medical practice)

Do not list:

- an individual (unless the individual was a lobbyist or acting on behalf of a business or organization)
- a decedent's estate

4. BUSINESS PARTNERS. For each enterprise reported under Item 2, list its co-owners, partners, officers, and directors (other than yourself), unless the information is already registered with the Wisconsin Department of Financial Institutions.

List separately for each business the names and locations:

- for a general partnership, its partners
- for a corporation not registered to do business in Wisconsin, its officers and directors
- for a limited partnership not registered to do business in Wisconsin, its general partners

Do not list:

- information for a limited partnership created or registered in Wisconsin
- information for a corporation created or registered in Wisconsin

5. NON-COMMERCIAL REAL ESTATE. List the specific location of WISCONSIN REAL ESTATE in which you or your family had an interest (except your principal residence and real estate whose location you listed in Item 2).

List:

- real estate you or your family owned directly or through: (a) a partnership; (b) a corporation; (c) a trust; or (d) other enterprise

Do not list:

- your principal residence unless it was used for the conduct of a business or for rental purposes
- real estate for which you provided the location in Item 2

6. OFFICERS AND DIRECTORS. List organizations of which you or a family member was an officer or director (unless already listed in Item #2).

List:

- each business, labor union, association, cooperative, or other organization of which you or a family member was an officer or director

Do not list:

- charitable organizations (entities to which a contribution is tax deductible)
- political organizations (entities whose primary purpose is to influence voting)
- non-profit social or community service organizations
- trusts; or
- federal, state, or local governments or governmental agencies

7. AGENT, REPRESENTATIVE OR SPOKESPERSON. List organizations that authorized you or a family member to represent it in its dealings with others as an attorney-at-law, agent, spokesperson, or representative (unless already listed in Item 2, 3, or 6).

List:

- each business, labor union, association, cooperative, partnership, or other organization for which you or a family member was an authorized representative or legal agent
- in the case of a lawyer, business clients for which you or a family member was authorized to provide representation in dealing with other parties or before a tribunal

Do not list:

- employers listed in Item 9
- businesses you listed in Item 2 as having a 10% or greater interest
- individuals
- charitable organizations (entities to which a contribution is tax deductible)
- political organizations (entities whose primary purpose is to influence voting)
- non-profit social or community service organizations
- trusts
- federal, state, or local governments or governmental agencies
- in the case of a lawyer, organizations for which your efforts or those of a family member did not include representation to third parties

8. CREDITORS. List creditors to which you or your family owed $5,000 or more.

List:

- each creditor (for personal and business debts) if you or a family member was personally liable for the debt
- your portion of any partnership debts

Part B — For calendar year 2015

9. EMPLOYERS. List your and your family's EMPLOYERS ($1,000 or more of income) in 2015.

List:

- each employer from which you or a family member received income of $1,000 or more during the year
- if State of Wisconsin employee, the office or department

Do not list:

- an individual (unless the individual was a lobbyist or acting on behalf of a business or organization)

10. ADDITIONAL SOURCES OF INCOME. List other sources from which you or your family received income of $1,000 or more in 2015.

List:

- Social Security payments
- an entity from which you or your family received retirement benefits
- an entity from which you or your family received directors fees
- in the case of a fee or commission, both a third-party payer as well as your customer, client, or tenant
- an entity that purchased real estate from you or your family
- an entity that furnished you or your family honoraria not reported in Item 12
- any source of income not listed in Item 2 or 9

Do not list:

- the source of dividends or interest
- the source of insurance benefits, inheritances, scholarships (if no teaching or services were required in return)
- the purchaser of securities unless you know the purchaser's identity
- an individual (unless the individual was a lobbyist or acting on behalf of a business or organization)

11. ENTERTAINMENT AND GIFTS. List individuals and organizations that provided *you* with entertainment or gifts (more than $50) in 2015.

Do not list:

- gifts received by family members if they were not intended for you
- gifts from your spouse, child, parent, brother, sister, grandchild, grandparent, aunt, uncle, niece, nephew, fiancé(e), parent-in-law, grandparent-in-law, brother-in-law, or sister-in-law

A **"gift" includes** any money, property, favor, service, entertainment, travel, or payment furnished without valuable consideration. Include tickets to sporting or theatrical events, golfing fees, prizes, samples and promotional items, items from sales representatives or as part of business promotions, and similar items.
A **"gift" does not include** political contributions reported to the Government Accountability Board, or meals, beverages, or lodging that an individual offers as hospitality at his or her own expense, and not as a business expense, for reasons unrelated to your holding state public office.

12. HONORARIA AND EXPENSES. List, for 2015, sources of honoraria and payment of expenses related to *your* state government duties (more than $50) not previously reported to the Government Accountability Board.

List:

- each individual or organization from which you received, in 2015, lodging, transportation, meals, expenses, or honoraria having a total value of more than $50, for attendance at a conference, presentation of a talk, participation in a meeting, or for a published work about issues initiated by or affecting state government or state agencies

Do not list:

- information about lodging, transportation, meals, money or any other thing of pecuniary value:
  (1) if you returned it within 30 days
  (2) if you received it from the agency of which your state public office is a part
  (3) if you received it from a source already listed in Items 2, 9, or 10
  (4) if you already reported the payment to the Government Accountability Board as a matter of public record

Mail or fax or email completed form to:
Wisconsin Government Accountability Board
P.O. Box 7984
Madison, WI 53707-7984
Fax: (608) 264-9319
Email: GABEthics@wi.gov

Keep a copy of your completed form for your records.

If you fax or email the form, keep the original--
Do not mail it to the Government Accountability Board