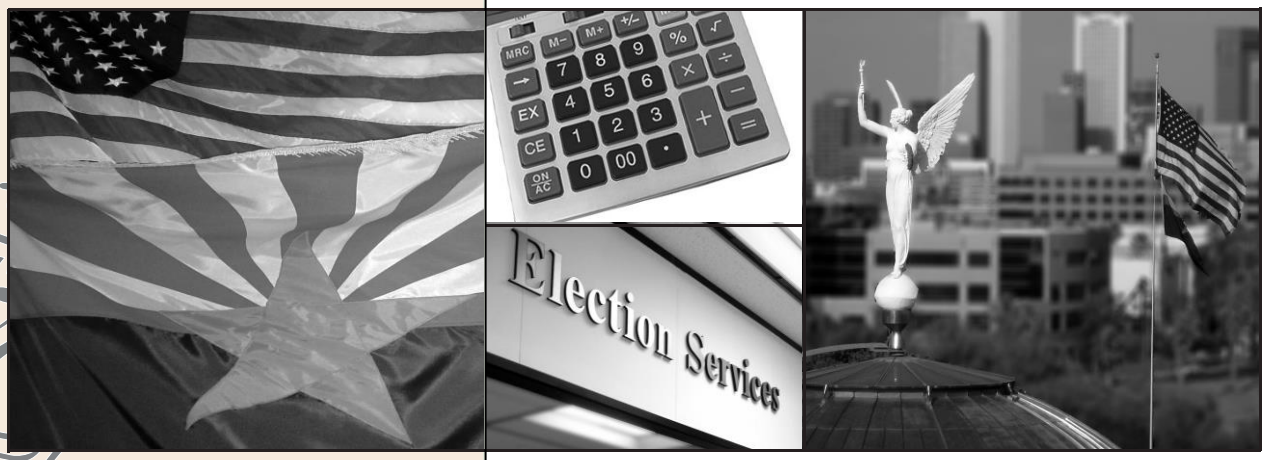
ARIZONA

DEPARTMENT OF STATE
Office of Secretary of State
AN ELECTION SERVICES DIVISION PUBLICATION

Instructions for

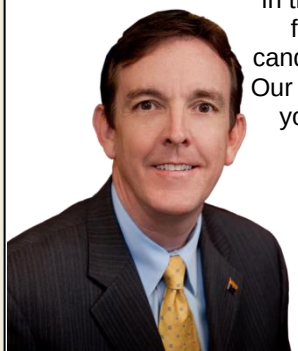
Financial Disclosure Statements

DECEMBER 2013



About this publication:

This Financial Disclosure handbook aids in the understanding of filing requirements for Financial Disclosure Reports as a candidate and as a public officer in Arizona. Our staff is available to help you understand your filing requirements with this office.



FINANCIAL DISCLOSURE STATEMENTS

A PUBLICATION OF
THE ARIZONA SECRETARY OF STATE'S OFFICE
ELECTION SERVICES DIVISION

INTRODUCTION

This booklet provides instructions on how to prepare financial disclosure statements that are filed with this office.

As a candidate and public officer you must follow guidelines established in Arizona Revised Statutes. These statutes have been provided for your review. We've also included a sample financial disclosure statement to help you understand how to fill out the form.

If you have any questions feel free to contact our office. Our staff is ready to help and assist you with your filing needs.

Sincerely,

KEN BENNETT
Arizona Secretary of State

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If the user finds a misprint or error, please contact our office at (602) 542-8683.

Rev. November 30, 2012

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COMMON QUESTIONS AND ANSWERS

ABOUT FINANCIAL DISCLOSURE STATEMENTS

1. WHO MUST FILE A FINANCIAL DISCLOSURE STATEMENT?

If at any time during the past calendar year you held one of the positions listed below, you must file a Financial Disclosure Statement with the Secretary of State:

- a statewide officer, whether elected or appointed
- a member of the Arizona legislature, whether elected or appointed
- a justice or judge of the Arizona Supreme Court, Arizona Court of Appeals or superior court, whether elected or appointed
- a full time judge pro tempore, commissioner, or juvenile hearing officer serving the appellate courts or the superior court

If you are a candidate for a statewide or legislative office, you must also file a Candidate's Financial Disclosure Statement with the Secretary of State at the same time as and as part of your nomination papers.

2. DO PUBLIC OFFICERS AND CANDIDATES IN COUNTIES, CITIES, AND TOWNS HAVE TO FILE FINANCIAL DISCLOSURE STATEMENTS?

Probably–but the forms may not be the same as the ones the Secretary of State provides. Section 38-545, A.R.S., says counties, incorporated cities and towns must adopt their own standards for Financial Disclosure Statements. Check with the clerk or the filing office where you filed your nomination papers.

3. WHEN DO I HAVE TO FILE MY ANNUAL FINANCIAL DISCLOSURE STATEMENT?

Public Officers

If you were a public officer at any time during a calendar year (even for a day), you must file an annual Financial Disclosure Statement between January 1 and January 31 of the following calendar year. Public officers whose final terms expire less than 31 days into the immediately following calendar year may file their final financial disclosure statement between January 1 and January 31 of the year in which they leave office. That Financial Disclosure Statement covers the entire year in which you served, January 1 through December 31, even if you only served for a day and later left office due to resignation, retirement or another reason. If you additionally run for the same or any other office, you must file an additional candidate Financial Disclosure Statement on the day you file your nomination papers and petitions.

Newly Appointed Public Officers

If you are newly appointed to fill a vacancy in a statewide or a legislative office, you must file a Financial Disclosure Statement within 60 days of the date you take office. That Financial Disclosure Statement covers the 12 month period ending with the last full month prior to the date of taking office. If you also run for that or any other office, you must file a second Financial Disclosure Statement on the day you file your nomination papers and petitions.

Newly Appointed Justices and Judges

If you are newly appointed as a Justice of the Arizona Supreme Court, a Judge on the Arizona Court of Appeals, or a Judge of the Superior Court, you must file a Financial Disclosure Statement within 60 days of

the date you take office. That Financial Disclosure Statement covers the 12 month period ending with the last full month prior to the date of taking office.

Full time judges pro tempore, commissioners and juvenile hearing officers shall file a financial disclosure statement as provided by A.R.S. § 38-541 et. seq. upon appointment and annually. Financial disclosure statements cover the entire year served, January 1 through December 31, even if service was for only one day. Please refer to Section 1-307 of the Arizona Code of Judicial Administration on pg. 14, made effective by administrative order 2012-93.

Candidates for Public Office and Superior Court

If you are a candidate for a statewide or legislative office, or for a judgeship on the Superior Court in a county where judges are elected, you must file a Financial Disclosure Statement at the same time and as part of your nomination papers. If you are applying for merit selection to the Superior Court, you do not need to file a Financial Disclosure Statement with the Secretary of State until 60 days from the date you take office, if appointed. The Financial Disclosure Statement covers the 12 months prior to the date you file your nomination papers.

4. WHERE DO I GET A FINANCIAL DISCLOSURE STATEMENT?

Public Officers

Statewide officers, legislators, justices of the Arizona Supreme Court and judges of the Arizona Court of Appeals receive a Financial Disclosure packet from the Secretary of State's office. The packets are mailed or delivered in late November to the office address of the public officer. Also in November, the Secretary of State sends Financial Disclosure Statements to each presiding judge or court administrator of the superior court for distribution to the judges and the appropriate judges pro tempore in that court.

Newly Appointed Public Officers, Justices and Judges

Statewide officers, legislators, Arizona Supreme Court justices, and Arizona Court of Appeals judges newly appointed to fill vacancies receive a Financial Disclosure packet in the mail from the Secretary of State Election Services office. Newly appointed judges and judges pro tempore to the superior court receive the packet from the presiding judge or court administrator or upon request from the Secretary of State Election Services office by calling (602) 542-8683 or by sending an e-mail to elections@azsos.gov. Printable versions are available through the Web site www.azsos.gov.

Candidates for Public Office and Superior Court

A copy of the Financial Disclosure Statement is included in the packet of nomination materials provided to you by the Secretary of State Election Services office or can be picked up from the Secretary of State's Election Services counter. Additional copies will be sent out upon request by calling (602) 542-8683 or by sending an e-mail to elections@azsos.gov. Printable versions are available through the Web site www.azsos.gov.

County, City, and Town Public Officers and Candidates

Public officers and candidates for offices in counties, cities and towns should contact the appropriate clerks or election filing offices for information on obtaining Financial Disclosure Statements. The forms provided by the Secretary of State may not be acceptable to those filing offices.

5. WHAT LAWS GOVERN FINANCIAL DISCLOSURE STATEMENTS?

Arizona Revised Statutes §§ 38-541 through 38-545 and Attorney General Opinion No. I 78-018 govern the filing of financial disclosure statements by public officers. The Arizona Code of Judicial Conduct, Canon 3, Rule 3.15, and Arizona Code of Judicial Administration, Section 1-307 further govern the filing of Financial Disclosure Statements by Arizona justices, judges, full time judges pro tempore, commissioners and juvenile hearing officers.

Counties, cities and towns may have additional ordinances, rules, resolutions or regulations that govern the filing of Financial Disclosure Statements by their public officers and candidates.

6. WHAT IS THE PENALTY FOR FAILING TO FILE A FINANCIAL DISCLOSURE STATEMENT?

Upon referral by the Secretary of State, the Attorney General enforces the filing requirement against public officers who fail to file by the deadline. Enforcement may include a civil penalty of $50 for each day the Statement is late, until it is filed.

In addition, if any public officer or candidate is found to have knowingly filed an incomplete or a false Financial Disclosure Statement, the public officer or candidate may be found guilty of a class 1 misdemeanor.

The Secretary of State can refuse to accept nomination papers from candidates who fail to include a Financial Disclosure Statement. If you are a candidate in a county, city or town that requires Financial Disclosure Statements, your filing officer can refuse to accept your nomination packet if you do not include the Statement.

7. WHERE DO I FILE MY FINANCIAL DISCLOSURE STATEMENT?

If you are one of the public officers or candidates discussed above, deliver or mail it to:

Arizona Secretary of State
Attn: Election Services Division
1700 West Washington Street, 7th Floor
Phoenix, Arizona 85007

If you are a county, city, town or special district public officer or candidate, contact your clerk or election office for information on where to file.

8. NOTE TO PUBLIC OFFICERS:

Gifts as defined in Title 38 must be reported, even if it was given by a lobbyist who properly reported it under Title 41.

ARIZONA REVISED STATUTES

TITLE 38 PUBLIC OFFICERS AND EMPLOYEES

CHAPTER 3.1 STANDARDS FOR FINANCIAL DISCLOSURE

Article 1. General Provisions

§ 38-541. Definitions

In this chapter, unless the context otherwise requires:

1. "Business" includes any enterprise, organization, trade, occupation or profession, whether or not operated as a legal entity or for profit, including any business trust, corporation, partnership, joint venture or sole proprietorship.

2. "Compensation" means anything of value or advantage, present or prospective, including the forgiveness of debt.

3. "Controlled business" means any business in which the public officer or any member of his household has an ownership or beneficial interest, individually or combined, amounting to more than a fifty per cent interest.

4. "Dependent business" means any business in which the public officer or any member of his household has an ownership or beneficial interest, individually or combined, amounting to more than a ten per cent interest, and during the preceding calendar year the business received from a single source more than ten thousand dollars and more than fifty per cent of its gross income.

5. "Gift" includes any gratuity, special discount, favor, hospitality, service, economic opportunity, loan or other benefit received without equivalent consideration and not provided to members of the public at large.

6. "Local public officer" means a person holding an elective office of an incorporated city or town, a county or a groundwater replenishment district established under title 48, chapter 27.

7. "Member of household" means a public officer's spouse and any minor child of whom the public officer has legal custody.

8. "Public officer" means a member of the legislature and any judge of the court of appeals or the superior court, or a person holding an elective office the constituency of which embraces the entire geographical limits of this state. Members of Congress are not public officers as defined in this paragraph.

§ 38-542. Duty to file financial disclosure statement; contents; exceptions

A. In addition to other statements and reports required by law, every public officer, as a matter of public record, shall file with the secretary of state on a form prescribed by the secretary of state a verified financial disclosure statement covering the preceding calendar year. The statement shall disclose:

1. The name and address of the public officer and each member of his household and all names and addresses under which each does business.

2. The name and address of each employer and of each other source of compensation other than gifts amounting to more than one thousand dollars received during the preceding calendar year by the public officer and members of his household in their own names, or by any other person for the use or benefit of the public officer or members of his household, a description of the services for which the compensation was received and the nature of the employer's business. This paragraph shall not be construed to require the disclosure of individual items of compensation that constituted a portion of the gross income of the business from which the public officer or members of his household derived compensation.

3. For a controlled business, a description of the goods or services provided by the business, and if any single source of compensation to the business during the preceding calendar year amounts to more than ten thousand dollars and

is more than twenty-five per cent of the gross income of the business, the disclosure shall also include a description of the goods or services provided to the source of compensation. For a dependent business the statement shall disclose a description of the goods or services provided by the business and a description of the goods or services provided to the source of compensation from which the dependent business derived the amount of gross income described in section 38-541, paragraph 4. If the source of compensation for a controlled or dependent business is a business, the statement shall disclose a description of the business activities engaged in by the source of compensation.

4. The names and addresses of all businesses and trusts in which the public officer or members of his household, or any other person for the use or benefit of the public officer or members of his household, had an ownership or beneficial interest of over one thousand dollars at any time during the preceding calendar year, and the names and addresses of all businesses and trusts in which the public officer or any member of his household held any office or had a fiduciary relationship at any time during the preceding calendar year, together with the amount or value of the interest and a description of the interest, office or relationship.

5. All Arizona real property interests and real property improvements, including specific location and approximate size, in which the public officer, any member of his household or a controlled or dependent business held legal title or a beneficial interest at any time during the preceding calendar year, and the value of any such interest, except that this paragraph does not apply to a real property interest and improvements thereon used as the primary personal residence or for the personal recreational use of the public officer. If a public officer, any member of his household or a controlled or dependent business acquired or divested any such interest during the preceding calendar year, he shall also disclose that the transaction was made and the date it occurred. If the controlled or dependent business is in the business of dealing in real property interests or improvements, disclosure need not include individual parcels or transactions as long as the aggregate value of all parcels of such property is reported.

6. The names and addresses of all creditors to whom the public officer or members of his household, in their own names or in the name of any other person, owed a debt of more than one thousand dollars or to whom a controlled business or a dependent business owed a debt of more than ten thousand dollars which was also more than thirty per cent of the total business indebtedness at any time during the preceding calendar year, listing each such creditor. This paragraph shall not be construed to require the disclosure of debts owed by the public officer or any member of his household resulting from the ordinary conduct of a business other than a controlled or dependent business nor shall disclosure be required of credit card transactions, retail installment contracts, debts on residences or recreational property exempt from disclosure under paragraph 5 of this subsection, debts on motor vehicles not used for commercial purposes, debts secured by cash values on life insurance or debts owed to relatives. It is sufficient disclosure of a creditor if the name and address of a person to whom payments are made is disclosed. If the public officer, any member of his household or a controlled or dependent business incurred or discharged a debt which is reportable under this subsection during the preceding calendar year, the report shall disclose that the transaction was made and the date it occurred.

7. The identification and amount of each debt exceeding one thousand dollars owed at any time during the preceding calendar year to the public officer and members of his household in their own names, or to any other person for the use or benefit of the public officer or any member of his household. The disclosure shall include the identification and amount of each debt exceeding ten thousand dollars to a controlled business or dependent business which was also more than thirty per cent of the total indebtedness to the business at any time during the preceding calendar year. This paragraph shall not be construed to require the disclosure of debts from the ordinary conduct of a business other than a controlled or dependent business. If the public officer, any member of his household or a controlled or dependent business incurred or discharged a debt which is reportable under this

subsection during the preceding year, the report shall disclose that the transaction was made and the date it occurred.

8. The name of each source of any gift, or accumulated gifts from a single source, of more than five hundred dollars received by the public officer and members of his household in their own names during the preceding calendar year, or by any other person for the use or benefit of the public officer or any member of his household except gifts received by will or by virtue of intestate succession, or received by way of distribution from any inter vivos or testamentary trust established by a spouse or by an ancestor, or gifts received from any other member of the household or relatives to the second degree of consanguinity. Political campaign contributions shall not be construed as gifts if otherwise publicly reported as political campaign contributions as required by law.

9. A list of all business licenses issued to, held by or in which the public officer or any member of his household had an interest at any time during the preceding calendar year, including the name in which the license was issued, the type of business and its location.

10. A list of all bonds, together with their value, issued by this state or any political subdivision of this state and held at any time during the preceding calendar year by the public officer or any member of his household, which bonds issued by a single entity had a value in excess of one thousand dollars. If the public officer or any member of his household acquired or divested any bonds during the preceding calendar year which are reportable under this paragraph, the fact that the transaction occurred and the date shall also be shown.

B. If an amount or value is required to be reported pursuant to this section, it is sufficient to report whether the amount or value of the equity interest falls within:

1. Category 1, one thousand dollars to twenty-five thousand dollars.

2. Category 2, more than twenty-five thousand dollars to one hundred thousand dollars.

3. Category 3, more than one hundred thousand dollars.

C. This section does not require the disclosure of any information that is privileged by law.

D. The statement required to be filed pursuant to subsection A shall be filed by all persons who qualified as public officers at any time during the preceding calendar year on or before January 31 of each year with the exceptions that a public officer appointed to fill a vacancy shall, within sixty days following his taking of such office, file a financial disclosure statement covering as his annual period the twelve month period ending with the last full month prior to the date of his taking office, and a public officer whose final term expires less than thirty-one days into the immediately following calendar year may file the public officer's final financial disclosure at the same time as the disclosure for the last immediately preceding year.

E. The secretary of state shall prepare written guidelines, forms and samples for completing the financial disclosure statement required by this section. A copy of the guidelines, forms and samples shall be distributed to each public officer and shall be made available to each candidate required to file a financial disclosure statement pursuant to section 38-543.

§ 38-543. Duty to file financial disclosure statement by candidate for public office

A candidate for public office as specified in section 38-541, paragraph 8 shall file a financial disclosure statement covering the preceding twelve month period and containing the information described in section 38-542 on a form prescribed by the secretary of state at the time of filing of nomination papers.

§ 38-544. Violation; classification

A. Any public officer, local public officer or candidate who knowingly fails to file a financial disclosure statement required pursuant to section 38-542, 38-543 or 38-545, who knowingly files an incomplete financial disclosure statement or

who knowingly files a false financial disclosure statement is guilty of a class 1 misdemeanor.

B. Any public officer, local public officer or candidate who violates this chapter is subject to a civil penalty of fifty dollars for each day of noncompliance but not more than five hundred dollars that may be imposed as prescribed in section 16-924.

§ 38-545. Local public officers financial disclosure

Notwithstanding the provisions of any law, charter or ordinance to the contrary, every incorporated city or town or county shall by ordinance, rule, resolution or regulation adopt standards of financial disclosure consistent with the provisions of this chapter applicable to local public officers.

ATTORNEY GENERAL OPINION 78-18 (R78-9)

DEPARTMENT OF LAW
OFFICE OF THE
Attorney General
STATE CAPITOL
Phoenix, Arizona 85007

BRUCE E. BABBITT
ATTORNEY GENERAL

February 2, 1978

Honorable Jules M. Klagge
Assistant Secretary of State
State House
Phoenix, Arizona

Re: 78 - 18 (R78-9)

Dear Mr. Klagge:

On January 5, 1978, you asked our opinion whether the financial disclosure statement required to be filed with your office by A.R.S. § 38-542 applies to "local public officers" as defined in A.R.S. § 38-541(5). "Public officers", defined in § 38-541(4), are required to make such filings.

We do not believe that "local public officers" should file financial disclosure statements with your office. Their disclosures should be filed with offices appropriately designated in the manner prescribed by A.R.S. § 38-545.

Since A.R.S. §§ 38-541 to 545 were added to Title 38 at the same time (1974), it is proper to assume that they may be interpreted in a consistent pattern. Therefore when distinctions are made within the definition of A.R.S. § 38-541 between "public officer" and "local public officer", it should be expected that these definitions have significance.

The major apparent significance between "public officer" and "local public officer" is that the financial disclosure requirement imposed upon a "local public officer" is more properly the concern of the local governmental entities. A.R.S. § 38-545. Consistent with the view that the locus of concern regarding a "local public officer" should be with the appropriate incorporated city, town or county, financial disclosure statements required by A.R.S. § 38-545 should be filed with the local authority charged with the duty of accepting nomination papers. This system then parallels the statewide system set out in A.R.S. § 38-542 and A.R.S. § 38-543.

Hon. Jules M. Klagge
February 2, 1978
Page Two

Our view of A.R.S. § 38-541(4) and (5) is consistent with that of our Supreme Court in Armer v. Superior Court, 112 Ariz. 478 (1975). The Court held that directors of multi-county water conservation districts "are not state public officers for the purpose of financial disclosure" under § 38-542, since they are not among the office holders enumerated in paragraph 4 of § 38-541. Neither, of course, are justices of the peace, and the Armer reasoning would equally apply to them.

If we can be of further assistance, please let us know.

Very truly yours,

BRUCE E. BABBITT
Attorney General

JOHN A. LASOTA, JR.
Chief Assistant
Attorney General

JAL:db

AZ SUPREME COURT ADMINISTRATIVE ORDER 2012-93

IN THE SUPREME COURT OF THE STATE OF ARIZONA

In the Matter of:	)	
	)	
ARIZONA CODE OF JUDICIAL	)	Administrative Order
ADMINISTRATION § 1-307:	)	No. 2012 - 93
SPECIAL JUDICIAL OFFICER	)	
FINANCIAL DISCLOSURE	)	
	)	

The above-captioned provision implements the recommendations of the Presiding Judges and the Committee on Superior Court to uniformly apply to judges pro tempore, commissioners, and juvenile hearing officers the duty to file financial disclosure statements as provided by A.R.S. § 35-542 consistent with the purposes of financial disclosure statutes and the Code of Judicial Conduct. The above-captioned provision having come before the Arizona Judicial Council on June 18, 2012, and having been approved and recommended for adoption,

Therefore, pursuant to Article VI, Section 3, of the Arizona Constitution,

IT IS ORDERED that the above-captioned provision, attached hereto, is adopted as a section of the Arizona Code of Judicial Administration, effective January 1, 2013.

Dated this 5th day of December, 2012.

REBECCA WHITE BERCH
Chief Justice

1

ARIZONA CODE OF JUDICIAL ADMINISTRATION SECTION 1-307

ARIZONA CODE OF JUDICIAL ADMINISTRATION
Proposal Cover Sheet
Part 1: Judicial Branch Administration
Chapter 3: Judicial Officers and Employees
Section 1-307: Special Judicial Officer Financial Disclosure

1. **Effect of the proposal:** To uniformly apply to judges pro tempore, commissioners, and juvenile hearing officers the duty to file financial disclosure statements as provided by A.R.S. § 38-542 consistent with the purposes of financial disclosure statutes and the Code of Judicial Conduct.

2. **Significant new or changed provisions:**

   This is a codification of Administrative Order 95-1 requiring financial disclosure by persons appointed to full time judicial offices. Secretary of State financial disclosure instructions implement this requirement by providing notices and the necessary forms with the exception that currently judges pro tempore are not required to file the initial disclosure statement for the twelve months prior to appointment. The proposed code section makes the following changes in current requirements and practices:
   - Requires filing financial disclosure statement for previous twelve months upon appointment.
   - Removes coverage of part-time continuing, scheduled and compensated judges pro tempore because the Code of Judicial Conduct exempts all pro tempore part-time judges from the financial disclosure requirement of Rule 3.15.
   - Adds coverage of commissioners and juvenile hearing officers because they are included in the Code of Judicial Conduct definition of "judge" and are therefore subject to the financial disclosure requirement of Rule 3.15.

3. **Committee actions and comments:** Presiding judges at their March 28 meeting recommended changes that were included in the proposal and the Committee on Superior Court at their May 18 meeting recommended adoption of the code section as proposed.

4. **Controversial issues:** None known.

5. **Recommendation:** Recommend approval of code section.

ARIZONA CODE OF JUDICIAL ADMINISTRATION
Part 1: Judicial Branch Administration
Chapter 3: Judicial Officers and Employees
Section 1-307: Special Judicial Officer Financial Disclosure

A. Definitions. In this section the following definitions apply:

"Commissioner" means a person appointed pursuant to A.R.S. § 12-213.

"Judge pro tempore" means a person appointed pursuant to Article 6, § 3 of the Arizona Constitution and A.R.S. §§ 12-141 or 12-145.

"Juvenile hearing officer" means a person appointed pursuant to A.R.S. § 8-323.

B. Applicability. All judges pro tempore serving an appellate court or the superior court and all commissioners and juvenile hearing officers serving the superior court on a full time basis.

C. Purpose. To uniformly apply the duty to file financial disclosure statements as provided by A.R.S. § 38-541 et. seq. to full time judges pro tempore, commissioners and juvenile hearing officers consistent with the purposes of the financial disclosure statutes and Rule 3.15 of the Code of Judicial Conduct.

D. Reporting Procedures.

1. Full time judges pro tempore, commissioners and juvenile hearing officers shall file a financial disclosure statement as provided by A.R.S. § 38-541 et. seq. upon appointment and annually. Financial disclosure statements cover the entire year served, January 1 through December 31, even if service was for only one day.

2. Pursuant to A.R.S. § 38-542(E), financial disclosure statements shall be filed between January 1 and January 31 and delivered or mailed to Arizona Secretary of State, Attn: Election Services Division, 1700 West Washington Street, 7th Floor, Phoenix, Arizona 85007.

3. Financial disclosure packets may be obtained from the presiding judge or court administrator or upon request from the Secretary of State Election Services. Printable versions are available through the Secretary of State web site www.azsos.gov.

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SAMPLE: FINANCIAL DISCLOSURE STATEMENT

FINANCIAL DISCLOSURE STATEMENT

(For use by Public Officers and Candidates of the State of Arizona)

Name of Public Officer or Candidate: Al Doe

Address: 9130 North Ballot Avenue, Vote Falls, AZ 86000

Public Office Held or Sought: Arizona State Representative District # 32

Please select the appropriate box that reflects your service for this filing year:

- ☒ I am a **public officer** filing this statement covering the 12 months of calendar year 20 13 .
- ☐ I have been **appointed** to fill a vacancy in a public office within the last 60 days and am filing this Financial Disclosure Statement covering the 12 month period ending with the last full month prior to the date I took office.
- ☐ I am a **public officer who has served in the last full year of my final term**, which expires less than thirty-one days into calendar year 20_____. This is my final Financial Disclosure Statement covering the last 12 months plus the final days of my term for the current year.
- ☐ I am a **candidate** for a public office, and am filing this Financial Disclosure Statement covering the 12 months preceding the date of this statement, from the month of _____ 20_____, to the month of _____ 20_____.

VERIFICATION

I do solemnly swear that the Financial Disclosure Statement filed herewith is in all things true and correct, and fully shows all information I am required to report pursuant to A.R.S. § 38-542.

Al Doe

Signature of Public Officer or Candidate

State of Arizona)
)
County of Drake)

Subscribed and sworn to (or affirmed) before me this 7th day of January, 2013,

Alberta Roberts

Notary Public

December 15, 2013

My Commission expires

(Seal)

OFFICIAL SEAL
ALBERTA ROBERTS
NOTARY PUBLIC
DRAKE COUNTY
My comm. Expires December 15, 2013

SECTION A: PERSONAL DISCLOSURE

1. Names

What to disclose: Your and your spouse's names and the names of minor children of whom you have legal custody.

YOUR NAME	AL DOE
YOUR SPOUSE'S NAME	Martha Doe
CHILDREN'S NAMES	Robert Doe
	Donna Doe

2. Sources of Personal Compensation

What to disclose: The name and address of each employer who paid you, your spouse, or any member of your household more than $1,000 in salary, wages, commissions, tips or other forms of compensation during the period covered by this report. Describe each employer's business and the services for which you or a member of your household were compensated.

Also, list anything of value that any other person, outside your household, received for your use or benefit of you or any member of your household. For example, if a person was paid by your employer to be your housekeeper, list that person's wages and the name of the employer.

You need not disclose: Any money you or any member of your household received that was gross income paid to a business you or your household member owned.

PUBLIC OFFICER OR MEMBER OF HOUSEHOLD	NAME AND ADDRESS OF EMPLOYER OR OTHER SOURCE OF COMPENSATION OVER $1,000	DESCRIPTION OF EMPLOYER'S BUSINESS AND SERVICES PROVIDED BY PUBLIC OFFICER OR MEMBER OF HOUSEHOLD
Al Doe	State of Arizona	State Legislature
	1700 West Washington	
Martha Doe	Vote Falls Unified School Dist.	Principal
	456 South 1st St., Vote Falls	

3. Professional, Occupational and Business Licenses

What to disclose: List all licenses issued to or held by you or any member of your household at any time during the period covered by this Statement.

Type of License or Permit	Name in Which License is Issued	Public Officer or Household Member Holding License, if Not Issued in Own Name	Jurisdiction(s) of License	Location of Business
Real Estate Broker	Al Doe		Arizona	Inactive
Teaching Certificate	Martha Doe		Arizona	Vote Falls
Food Handler	Burgers to Go	Robert Doe	Vote Falls	Vote Falls

4. Personal Creditors

What to disclose: The name and address of each creditor to whom you, or a member of your household owed a personal debt over $1,000 during the period covered by this Statement. If the debt was incurred or discharged during this period, list the date and whether it was incurred or discharged.

You need not disclose: Debts resulting from the ordinary conduct of a business (disclose those in Section C). Debts on residences or recreational property, on motor vehicles not used for commercial purposes, on debts secured by cash values on life insurance, or debts you owe to relatives, personal credit card transactions or installment contracts.

PERSONAL DEBTS OVER $1,000		
Name and Address of Creditor (or Person to Whom Payments are Made)	Public Officer or Member of Household Owing the Debt	Date Incurred and/or Discharged
Carol Winters 2398 North Elm Street, Vote Falls, AZ 86000	Martha Doe	05/02/2004 ☐ Incurred ☒ Discharged
		☐ Incurred ☐ Discharged
		☐ Incurred ☐ Discharged

5. Personal Debtors

What to disclose: The name of each debtor who owed you or a member of your household a debt over $1,000 at any time during the period covered by this Statement, and the approximate value of the debt (See last page of value categories). If the debt was incurred or discharged during the period covered by this Statement, report the date and whether the debt was incurred or discharged.

DEBTS OVER $1,000 OWED TO YOU PERSONALLY			
NAME OF DEBTOR	PUBLIC OFFICER OR MEMBER OF HOUSEHOLD TO WHOM THE DEBT IS OWED	AMOUNT BY VALUE CATEGORY	DATE INCURRED AND/OR DISCHARGED
NONE			☐ Incurred ☐ Discharged
			☐ Incurred ☐ Discharged
			☐ Incurred ☐ Discharged

6. Gifts

What to disclose: The name of the donor who gave you or a member of your household a single gift or an accumulation of gifts with a value over $500, if that gift does NOT fit into a category below.

You need not disclose: Gifts you or a household member received by will, intestate succession, *inter vivos* (living) trusts, or testamentary trusts established by a spouse or ancestor. Gifts received from any other member of the household or relatives to the second degree of consanguinity (parents, grandparents, siblings, children and grandchildren) or political contributions reported on campaign finance reports.

NAME OF DONOR OF GIFTS OVER $500	PUBLIC OFFICER OR MEMBER OF HOUSEHOLD – RECIPIENT
City College Scholarship Fund	Robert Doe
Young Writers of America	Donna Doe
American Legislative Exchange Council	Al Doe

SECTION B: REPORTABLE INTERESTS

7. Offices or Fiduciary Relationships in Businesses, Nonprofit Organizations or Trusts

What to disclose: The name and address of each business, organization, trust or nonprofit organization or association in which you or any member of your household held any office OR had a fiduciary relationship during the period covered by this Statement. Describe the office or relationship.

NAME OF ORGANIZATION AND ADDRESS	NAME OF PUBLIC OFFICER OR MEMBER OF HOUSEHOLD	OFFICE OR FIDUCIARY RELATIONSHIP
Tri-County Library Guild 210 South Main, Vote Falls, AZ 86000	Martha Doe	Chairwoman Publicity Committee
Vote Falls Good Citizens 1739 West Wicken Drive, Vote Falls, AZ 86000	Al Doe	Immediate Past President

8. Ownership or Financial Interest in Trusts, or Investment Funds

What to disclose: The name and address of each business, trust, investment or retirement fund in which you or any member of your household had an ownership or beneficial interest of over $1,000. This includes stocks, partnerships, joint ventures, sole proprietorships, annuities, mutual funds and retirement accounts. List the percentage of ownership or interest, and categorize the value of the equity. (See last page for value categories.)

NAME AND ADDRESS OF BUSINESS OR TRUST	PUBLIC OFFICER OR MEMBER OF HOUSEHOLD	DESCRIPTION OF INTEREST	EQUITY BY VALUE CATEGORY
Old Town Retirement Fund New York, NY	Al & Martha Doe	100%	3
Arizona State Elected Officials Phoenix, AZ	Al & Martha Doe	100%	1

9. Bonds

What to disclose: Bonds issued by a single agency worth more than $1,000 that you or a member of your household hold, or held during the period covered by this Statement. If the bonds were acquired or divested during the period, report the date that occurred.

BONDS OVER $1,000	ISSUING AGENCY	PUBLIC OFFICER OR MEMBER OF HOUSEHOLD	VALUE CATEGORY	DATE ACQUIRED AND/OR DIVESTED
Waterworks	City of Vote Falls	Doe Family	2	05/02/2004 ☒ Acquired ☐ Divested
				☐ Acquired ☐ Divested
				☐ Acquired ☐ Divested

10. Real Property Ownership

What to disclose: Arizona real property and improvements to which you or a member of your household hold, or held title during the period covered by this Statement. Describe the property's location and approximate size. Using the value categories (see last page) report the value of your equity. If that property was acquired or divested during the period covered by this Statement, list the date and what occurred.

You need not disclose: Your primary residence or property you use for personal recreation.

LOCATION AND APPROXIMATE SIZE OF ARIZONA REALTY	PUBLIC OFFICER OR MEMBER OF HOUSEHOLD OR BUSINESS	EQUITY BY VALUE CATEGORY	DATE ACQUIRED OR DIVESTED
Townhouse 1/16th lot Central Phoenix	Al Doe	2	03/25/2004 ☒ Acquired ☐ Divested
			☐ Acquired ☐ Divested
			☐ Acquired ☐ Divested

SECTION C: BUSINESS INTERESTS

11. Business Names

What to disclose: The name of any business under which you or any member of your household did business during the period covered by this Statement. Include corporations, limited liability companies, partnerships and trade names. Using the definitions provided in statute, disclose if the business named is controlled or dependent. If the business is both controlled and dependent, mark both boxes.

PUBLIC OFFICER OR MEMBER OF HOUSEHOLD	BUSINESS NAME	BUSINESS ADDRESS	CONTROLLED AND/OR DEPENDENT BUSINESS
Robert Doe	Burgers to Go	910 North Ballot Drive Vote Falls, AZ 86000	☐ Controlled ☒ Dependent
			☐ Controlled ☐ Dependent
			☐ Controlled ☐ Dependent
			☐ Controlled ☐ Dependent

IMPORTANT: IF A BUSINESS LISTED ABOVE DID NOT GROSS MORE THAN $10,000 OR PROVIDE MORE THAN 10% OF YOUR PERSONAL COMPENSATION DURING THE PERIOD COVERED BY THIS STATEMENT, YOU DO NOT NEED TO COMPLETE THE REST OF THIS STATEMENT.

12. Controlled Business Information

What to disclose: The name of each controlled business you listed above, and the goods or services provided by the business. If a single client or customer (person or business) accounts for more than $10,000 and 25% of the gross income, describe what it is your business provides to that customer or client. Then, in column 4, describe what the client/customer's business does (if your major client is a person, leave the last column blank). If you do not have a major client, leave the last two columns blank.

You need not disclose: The name of any customer or client, or the activities of any customer or client who is an individual rather than a business.

NAME OF YOUR CONTROLLED BUSINESS	GOODS OR SERVICES PROVIDED BY YOUR BUSINESS	WHAT YOUR BUSINESS PROVIDES TO YOUR MAJOR CUSTOMER OR CLIENT	BUSINESS ACTIVITY OF MAJOR CUSTOMER OR CLIENT
NONE			

13. Dependent Business Information

What to disclose: The name of each dependent business, the goods or services provided by the dependent business, the goods or services provided to the major customer or client and the business activity if the major customer or client is a business. If the dependent business is also a controlled business, disclose it only in response to #12, above.

You need not disclose: The name or identity of the customer or client, or the amount of income from the customer or client. If the customer or client is an individual (rather than a business), you are not required to disclose that person's activities.

Name of Dependent Business	Goods or Services Provided by the Business	Goods or Services Provided to the Major Customer or Client	Business Activity of the Major Customer or Client, if a Business
Burgers to Go	Food and Beverage		

14. Real Property Owned by Business

What to disclose: Arizona real property and improvements the titles to which were held by a controlled or dependent business listed above. If the business is one that deals in real property and improvements, list the aggregate value of all parcels held in the period covered by this Statement. Describe the property's location and approximate size. Using the value categories (see last page) report the value of equity in your business. If the property was acquired or divested during the period covered by this Statement, list that and the date.

Location and Approximate Size of Arizona Realty	Public Officer or Member of Household or Business	Equity by Value Category	Date Acquired or Divested
NONE			☐ Acquired ☐ Divested
			☐ Acquired ☐ Divested
			☐ Acquired ☐ Divested
			☐ Acquired ☐ Divested

15. Business' Creditors

What to disclose: The name and address of each creditor to which your business owed more than $10,000, if that amount was also more than 30% of your total business indebtedness at any time during the period covered by this Statement. If the debt was incurred or discharged during the period covered by this Statement, report that and the date.

You need not disclose: Debts resulting from a business other than a controlled or dependent business.

BUSINESS DEBTS OVER $10,000 AND 30%		
NAME AND ADDRESS OF CREDITOR (OR PERSON TO WHOM PAYMENTS ARE MADE)	NAME OF CONTROLLED OR DEPENDENT BUSINESS (FROM ITEM 3 OR 4)	DATE INCURRED AND/OR DISCHARGED
NONE		
		☐ Incurred ☐ Discharged
		☐ Incurred ☐ Discharged
		☐ Incurred ☐ Discharged

16. Business' Debtors

What to disclose: The name of the debtor for each debt exceeding $10,000 owed to a controlled or dependent business which was also more than 30% of the total indebtedness to the business which was owed at any time during the preceding calendar year. If the debt was incurred or discharged during the year, list that and the date. List value category.

DEBTS OVER $10,000 AND 30% OWED TO YOUR BUSINESS			
NAME OF DEBTOR	NAME OF CONTROLLED OR DEPENDENT BUSINESS TO WHOM THE DEBT IS OWED	AMOUNT BY VALUE CATEGORY	DATE INCURRED AND/OR DISCHARGED
NONE			☐ Incurred ☐ Discharged
			☐ Incurred ☐ Discharged

Value Categories: (from A.R.S. § 38-542(B))
Category 1 - $1,000 to $25,000
Category 2 – More than $25,000 to $100,000
Category 3 - More than $100,000

The Honorable Ken Bennett
Arizona Secretary of State
1700 W. Washington Street, Fl. 7
Phoenix, Arizona 85007-2808

TO:

ARIZONA

INSTRUCTIONS FOR FINANCIAL DISCLOSURE STATEMENTS

An Election Services Division Publication