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|--|-------------------------|
| Select type of Disclosure: | |
| <input type="checkbox"/> | New Disclosure |
| <input type="checkbox"/> | Amendment to Disclosure |
| If Amendment to Disclosure, what is the date of the approval of original Disclosure: _____ | |

Officer and Employee Disclosure Statement

Name _____

City ID _____

1. In accordance with the City of Ocala Employee Handbook, I hereby report the following financial interest.
2. Solicitation number(s) and project description(s) of possible conflicts: _____

3. Please provide the requested information on the financial interest held, performed or proposed. Please use additional pages if necessary. All financial interests for one entity should be disclosed on one form. Additional financial interests should each be reported on separate forms.
 - (a) Name of entity (or person) with which the activity is to be conducted, or name of entity in which the financial interest is held, address and nature of its business:

Name _____

Address _____

Nature of business _____
 - (b) Position/ownership held by: Self Family Member Domestic Partner

Name _____ Relationship _____

 - (c) Description of activity or financial interest. Please check all that apply.

Agent Consultant Director Royalty recipient

Officer Employee Honorarium

Ownership interest Percentage of ownership: _____ Value of ownership: _____

Type of ownership interest:

Stock (not publicly traded) ownership LLC ownership Partner

Stock (publicly traded) ownership Sole proprietor

Other Describe _____

Stock Option or other Option Agreement

Other Describe _____
 - (d) Source of and type of compensation: (e.g., company/organization/client and cash/expense reimbursement; in the case of legal representation or service as an expert witness, all parties to the matter must also be identified.):

Source of compensation _____

Type of compensation _____

Amount or value of compensation _____
 - (e) Will City of Ocala employees be involved in connection with the financial interest? No ____ Yes ____
 (Explain) _____

 - (f) Will City equipment, facilities or services be used in connection with the financial interest?
 No ____ Yes ____

(g) Does the interest create a conflict between public duties and such interest? No ____ Yes ____

(h) Description or explanation of interest. _____

4. I understand that the interest(s) identified in the Instructions to this form must be reviewed and acted upon by the appropriate City officials as set forth below. For each financial interest disclosed, other information may also be requested in order to completely review the interest if there are potential conflicts involved.
5. I understand that if I (or my spouse, domestic partner, child or other relative) have a material financial interest or a managerial interest in an entity, or an employment or other contractual relationship with an entity that proposes to do business with or does business with the City, I will submit a copy of this form to the City's Purchasing Department (with the bid response) or the respective purchasing agent, prior to the purchase being made or the City's entering into contract with the entity. I understand that if I am involved in the procurement or contractual process for the entity or for the City (including but not limited to making recommendations) I must inform the purchasing agent handling the procurement or entering into the contract of my financial interest prior to the procurement or the signing of the contract in order that determination may be made whether the procurement and/or contract is allowable under Florida law and City regulations.
6. I have read the City of Ocala Employee Handbook, and I understand my obligations of disclosure and conduct.
7. I hereby certify that the information reported here is accurate and complete. Further, I understand that my financial interests or my immediate family's interests must not create a conflict of interest, unless such conflict is allowable under the law and City regulations, or interfere with the full and faithful performance of my City professional responsibilities or other City of Ocala obligations.

Employee Signature

Date

TO BE COMPLETED BY REVIEWERS ONLY

Reviewer # 1: _____ Date: _____

No conflict Conflict identified: Exemption/Monitoring Plan required

Comment(s): _____

Signature: _____

Print name: _____

Title: _____

Department: _____

Reviewer # 2: _____ Date: _____

No conflict Conflict identified: Exemption/Monitoring Plan required

Comment(s): _____

Signature: _____

Print name: _____

Title: _____

Department: _____



Officer and Employee Disclosure Statement Instructions, and Florida Statute References

General Remarks

City of Ocala municipal employees, appointed persons, and elected officials (herein referred to as "employees") may engage in outside activities and hold financial interests subject to the requirements of City of Ocala Employee Handbook regulations, state law, and federal regulations and law, if applicable. Every employee who is an officer, director, agent, employee, or owner of a substantial interest in any business entity which does or anticipates doing business with the City of Ocala ("City") must complete an "Officer and Employee Disclosure Statement" and file the statement with the required procurement documents submitted to the respective purchasing agent. A statement must be submitted with every procurement response. In cases where there is no formal procurement, the disclosure statement should be submitted to the Human Resources Department. Procurement and/or Human Resources are responsible for reviewing each disclosure to determine if there are conditions necessary to manage, reduce or eliminate the conflicts or potential conflicts. These reporting provisions shall apply to interests held while an employee is active, currently serving in office, appointed, or on a compensated leave, but shall not apply to activities performed wholly during a period in which the employee has no appointment or employment with the City. The employee should still be aware of, and deal with, the conflict of interest considerations that may arise from the latter activities. An employee's failure to report financial interests under the City's regulation or the applicable collective bargaining agreement, or to follow any conditions imposed pursuant to the Procurement and/or Human Resources Department approval of such interests, may be grounds for disciplinary action. Such actions may include, but are not limited to reprimand; suspension without pay; and termination for cause.

State of Florida Statutes - Code of Ethics for Public Officers and Employees

Legislative intent and declaration of policy (FL Statute 112.311(5))

It is hereby declared to be the policy of the state that no officer or employee of a state agency or of a county, city, or other political subdivision of the state, and no member of the Legislature or legislative employee, shall have any interest, financial or otherwise, direct or indirect; engage in any business transaction or professional activity; or incur any obligation of any nature which is in substantial conflict with the proper discharge of his or her duties in the public interest. To implement this policy and strengthen the faith and confidence of the people of the state in their government, there is enacted a code of ethics setting forth standards of conduct required of state, county, and city officers and employees, and of officers and employees of other political subdivisions of the state, in the performance of their official duties. It is the intent of the Legislature that this code shall serve not only as a guide for the official conduct of public servants in this state, but also as a basis for discipline of those who violate the provisions of this part.

Standards of conduct for public officers, employees of agencies, and local government attorneys. (FL Statute 112.313)

Doing Business with One's Agency. (FL Statute 112.313(3))

No employee of an agency acting in his or her official capacity as a purchasing agent, or public officer acting in his or her official capacity, shall either directly or indirectly purchase, rent, or lease any realty, goods, or services for his or her own agency from any business entity of which the officer or employee or the officer's or employee's spouse or child is an officer, partner, director, or proprietor or in which such officer or employee or the officer's or employee's spouse or child, or any combination of them, has a material interest. Nor shall a public officer or employee, acting in a private capacity, rent, lease, or sell any realty, goods, or services to the officer's or employee's own agency, if he or she is a state officer or employee, or to any political subdivision or any agency thereof, if he or she is serving as an officer or employee of that political subdivision. The foregoing shall not apply to district offices maintained by legislators when such offices are located in the legislator's place of business or when such offices are on property wholly or partially owned by the legislator. This subsection shall not affect or be construed to prohibit contracts entered into prior to: (a) October 1, 1975. (b) Qualification for elective office. (c) Appointment to public office. (d) Beginning public employment.

Conflicting Employment or Contractual Relationship. (FL Statute 112.313(7))

- (a) No public officer or employee of an agency shall have or hold any employment or contractual relationship with any business entity or any agency which is subject to the regulation of, or is doing business with, an agency of which he or she is an officer or employee, excluding those organizations and their officers who, when acting in their official capacity, enter into or negotiate a collective bargaining contract with the state or any municipality, county, or other political subdivision of the state; nor shall an officer or employee of an agency have or hold any employment or contractual relationship that will create a continuing or frequently recurring conflict between his or her private interests and the performance of his or her public duties or that would impede the full and faithful discharge of his or her public duties.

1. When the agency referred to is that certain kind of special tax district created by general or special law and is limited specifically to constructing, maintaining, managing, and financing improvements in the land area over which the agency has jurisdiction, or when the agency has been organized pursuant to chapter 298, then employment with, or entering into a contractual relationship with, such business entity by a public officer or

employee of such agency shall not be prohibited by this subsection or be deemed a conflict per se. However, conduct by such officer or employee that is prohibited by, or otherwise frustrates the intent of, this section shall be deemed a conflict of interest in violation of the standards of conduct set forth by this section.

2. When the agency referred to is a legislative body and the regulatory power over the business entity resides in another agency, or when the regulatory power which the legislative body exercises over the business entity or agency is strictly through the enactment of laws or ordinances, then employment or a contractual relationship with such business entity by a public officer or employee of a legislative body shall not be prohibited by this subsection or be deemed a conflict.
- (b) This subsection shall not prohibit a public officer or employee from practicing in a particular profession or occupation when such practice by persons holding such public office or employment is required or permitted by law or ordinance.

Exemption. (FL Statute 112.313(12))

The requirements of subsections (3) and (7) as they pertain to persons serving on advisory boards may be waived in a particular instance by the body which appointed the person to the advisory board, upon a full disclosure of the transaction or relationship to the appointing body prior to the waiver and an affirmative vote in favor of waiver by two-thirds vote of that body. In instances in which appointment to the advisory board is made by an individual, waiver may be effected, after public hearing, by a determination by the appointing person and full disclosure of the transaction or relationship by the appointee to the appointing person. In addition, no person shall be held in violation of subsection (3) or subsection (7) if:

- (a) Within a city or county the business is transacted under a rotation system whereby the business transactions are rotated among all qualified suppliers of the goods or services within the city or county.
- (b) The business is awarded under a system of sealed, competitive bidding to the lowest or best bidder and:
 1. The official or the official's spouse or child has in no way participated in the determination of the bid specifications or the determination of the lowest or best bidder;
 2. The official or the official's spouse or child has in no way used or attempted to use the official's influence to persuade the agency or any personnel thereof to enter such a contract other than by the mere submission of the bid; and
 3. The official, prior to or at the time of the submission of the bid, has filed a statement with the Commission on Ethics, if the official is a state officer or employee, or with the supervisor of elections of the county in which the agency has its principal office, if the official is an officer or employee of a political subdivision, disclosing the official's interest, or the interest of the official's spouse or child, and the nature of the intended business.
- (c) The purchase or sale is for legal advertising in a newspaper, for any utilities service, or for passage on a common carrier.
- (d) An emergency purchase or contract which would otherwise violate a provision of subsection (3) or subsection (7) must be made in order to protect the health, safety, or welfare of the citizens of the state or any political subdivision thereof.
- (e) The business entity involved is the only source of supply within the political subdivision of the officer or employee and there is full disclosure by the officer or employee of his or her interest in the business entity to the governing body of the political subdivision prior to the purchase, rental, sale, leasing, or other business being transacted.
- (f) The total amount of the transactions in the aggregate between the business entity and the agency does not exceed \$500 per calendar year.
- (g) The fact that a county or municipal officer or member of a public board or body, including a district school officer or an officer of any district within a county, is a stockholder, officer, or director of a bank will not bar such bank from qualifying as a depository of funds coming under the jurisdiction of any such public board or body, provided it appears in the records of the agency that the governing body of the agency has determined that such officer or member of a public board or body has not favored such bank over other qualified banks.
- (h) The transaction is made pursuant to s. 1004.22 or s. 1004.23 and is specifically approved by the president and the chair of the university board of trustees. The chair of the university board of trustees shall submit to the Governor and the Legislature by March 1 of each year a report of the transactions approved pursuant to this paragraph during the preceding year.
- (i) The public officer or employee purchases in a private capacity goods or services, at a price and upon terms available to similarly situated members of the general public, from a business entity which is doing business with his or her agency.
- (j) The public officer or employee in a private capacity purchases goods or services from a business entity which is subject to the regulation of his or her agency and:
 1. The price and terms of the transaction are available to similarly situated members of the general public; and
 2. The officer or employee makes full disclosure of the relationship to the agency head or governing body prior to the transaction.