

AGENDA
PORT AUTHORITY OF THE GREATER OKLAHOMA CITY AREA
Regular Meeting
Wednesday, March 18, 2015 at 12:00 noon
The Alliance for Economic Development of Oklahoma City
Conference Room (High Tower Building)
105 North Hudson, Suite 101
Oklahoma City, OK

1. Call to Order
- 2.* Approve Minutes of January 21, 2015 Port Authority Meeting
- 3.* Accept Financial Reports
4. Consultant Report – Matthew Weaver
- 5.* Ratify and approve payment of claims and invoices
6. Financial Disclosure Statement with Ethics Commission
7. Consider New Business
8. Receive Comments from Members, Staff and Citizens
9. Schedule of Next Meeting – Wednesday, May 20, 2015
- 10.* Adjournment

*Action Required

MINUTES
PORT AUTHORITY OF THE GREATER OKLAHOMA CITY AREA
REGULAR MEETING
January 21, 2015 - 12:00 noon
The Alliance Conference Room
Oklahoma City, OK

Board Members in Attendance: Barry Murphy, Vice Chairman; Chuck Mills, Erika Lucas and Richard Tanenbaum

Board Members Absent: Craig Knutson, Chairman

Others Present: Susan Barrett, Finance; Matthew Weaver, Marketing Director; Hailey Rawson, Municipal Counselor's Office, Mark Kranenburg, Airport, Cathy O'Connor, The Alliance and Pam Lunnon, The Alliance

1. Call to Order at 12:01 p.m.

2.* Approve Minutes of September 29, 2014 Port Authority Meeting

APPROVED. Moved by C. Mills; seconded by R. Tanenbaum; Ayes: Tanenbaum, Mills, Lucas and Murphy

3.* Accept Financial Reports

Presentation made by Susan Barrett, City of Oklahoma on Financial Reports dated October 31, 2014 and December 31, 2014.

ACCEPTED. Moved by R. Tanenbaum; seconded by C. Mills; Ayes: Tanenbaum, Mills, Lucas and Murphy

4. Consultant Report – Matthew Weaver

Presentation made by Matthew Weaver, Director of Marketing & Business Development
(see attached Consultant Report)

Discussion: General Administrative & Marketing
Citizen Potawatomie Nation
Comanche Tribe
Apache Tribe
Siemens – Woodward, OK
Wiggin Properties, Mid America Business Park

5.* Ratify and approve payment of claims and invoices. Matthew Weaver, FTZ Marketing Director's time 9/1/14 through 10/31/14 - \$675.00 and 11/1/14 through 12/31/14 - \$800.00 and NAFTA Membership - \$1,200.00

APPROVED. Moved by C. Mills; seconded by R. Tanenbaum; Ayes: Tanenbaum, Mills, Lucas and Murphy

6. Consider New Business

7. Receive Comments from Members, Staff and Citizens
8. Schedule of Next Meeting – Wednesday, March 18, 2015
9. ADJOURNMENT – 12:19 p.m.

Moved by R. Tanenbaum; seconded by C. Mills; Ayes: Tanenbaum, Mills, Lucas and Murphy

*Action Required

Foreign Trade Zone #106 Marketing Activity Report & Invoice

September 1st, 2014 – October 31st, 2014

Matthew S. Weaver

Date: September, 2014

Activities:

- General administrative and marketing activities. i.e., phone calls, emails, meetings.
- O.E.D.C. Conference and Metro 50 Networking Takeaways: Southwest Cupid Mfg. in Blackwell - John Robertson, E.D. Blackwell Industrial Authority; Darry Stacy (Chuck Mill's referral), Cleveland Co. Commissioner – distributor in Shawnee; Jarek Swekosky, Livability.com – target stats.; Chris Bryant, Ardmore Ind. Authority – to provide contacts in 106 service area.

Hours worked: 6 hours x \$50/hr = \$300

Date: September 29th, 2014

Activities:

- Foreign-Trade Zone #106 Board Meeting, Oklahoma City, OK

Hours worked: 1.5 hours x \$50/hr = \$75

Date: October, 2014

Activities:

- General administrative and marketing activities. i.e., phone calls, emails, meetings.
- Networking Takeaways: I anticipate meeting with Goodyear Plant manager, Brent Copeland, in November. Lawton; Attorney Chris Tytanic of Norman, has had me put in contact with Robert Smith, Pres. of SW Regional Dev., that I've spoken with 4 times about a tribal investment opportunity in the Lawton area that would like to pursue FTZ benefits. Client is still anonymous.

Hours worked: 5 hours x \$50/hr = \$250

Date: October 19th , 2014

Activities:

- Citizen Potawatomi Nation application
- Application completed the Public Comment period on October 16th with no comments. FTZB liaison Camille Evans informed me that she had not received response form back from local USCBP Port Director Clark. I spoke with Director Clark, she had no receipt of such a request. I had that corrected with Camille and the document was emailed and hard-copied to Director Clark on October 30. My conversation with Director Clark concluded with that she has no objections to the application.

Hours worked: 1 hours x \$50/hr = \$50

Foreign Trade Zone #106 Marketing Activity Report & Invoice

November 1st, 2014 – December 31st, 2014

Matthew S. Weaver

Date: November, 2014

Activities:

- General administrative and marketing activities. i.e., phone calls, emails, meetings.
- Followed-up with contacts arranging meeting with Goodyear.
- Conversations and email exchanges with Melissa Milligan of Wiggin Properties, they manage/own Mid America Business Park in Okc, about a prospective FTZ client that they will be selling property to in Lawton.

Hours worked: 5 hours x \$50/hr = \$250

Date: December, 2014

Activities:

- General administrative and marketing activities. i.e., phone calls, emails, meetings.
- Conversations with Amie Ahanchian. KPMG, about Hobby Lobby status and 2 regional projects she is working on that will fall within FTZ #106's service territory.
- Facilitated conference call meetings (3) with Robert Allen Smith of SW Regional Development and his client Gary Tahmahker, a Comanche tribal trust landowner outside of Lawton, about an import distribution project that the Gary is working on for the Tribe. I've contacted USCBP about the project's feasibility. Conducted research regarding this project
- Meetings (3) with Thomas Shon, President, and Rebecca Ware, Exec. V.P., of the Lenape Development Group – Apache Tribe of Oklahoma, about a significant import project concerning coffee beans. Having signed a non-disclosure agreement with them, sharing any further pertinent information regarding the Project will be at their discretion. I've spoken with the USCBP Port Director concerning the proposed import product, which is classified by the USDA, and she has advised me on the USCBP particulars surrounding its importation. Conducted research regarding this project.
- Spoke with Camille Evans about the CPN's application for Iron Horse and was informed that she had not received final USCBP support of the application. USCBP apparently has supporting documentation that does not support that. Not sure what the issue is, but, USCBP has agreed to resend the documentation. Camille will be out of the office until the 12th of January 2015.

Hours worked: 11 hours x \$50/hr = \$450

PORT AUTHORITY OF THE GREATER OKLAHOMA CITY AREA

A Discrete Component Unit of
Oklahoma City, Oklahoma

Board of Directors

Craig R. Knutson, Chairman

Erica Lucas
Chuck Mills
Barry Murphy
Richard Tanenbaum

Management

James D. Couch, General Manager

Financial Report For the Eight Months Ended February 28, 2015

Prepared by The Oklahoma City Finance Department, Accounting Services Division
Laura L. Papas, Controller

PORT AUTHORITY OF THE GREATER OKLAHOMA CITY AREA

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MEMORANDUM

The City of OKLAHOMA CITY

TO: Port Authority Board of Directors

FROM: Accounting Services Division

DATE: March 9, 2015

SUBJECT: Port Authority of the Greater Oklahoma City Area (Port Authority) Financial Schedules For the Eight Months Ended February 28, 2015 and 2014

The financial schedules presented on the following pages include the schedule of cash receipts and disbursements and the supplemental listing of checks issued for the eight months ended February 28, 2015 and 2014.

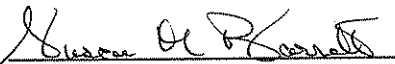
Current year to date receipts totaled \$2,338.45. This compares to prior year to date receipts of \$16,273.91 for a decrease of \$13,935.46. The decrease in receipts is due primarily to annual fees for subzones received in the prior year from VF Services, Inc. in the amount of \$12,000.00 and from Citizen Potawatomi Nation Iron Horse Industrial Park for \$1,600.00.

Current year to date disbursements totaled \$7,161.61. This compares to prior year to date disbursements of \$2,999.47 for an increase of \$4,162.14. The consulting contract is on an hourly basis for special projects. In both years, the Port Authority has used the service of the consultant on various projects including the Seminole, Lawton, Oklahoma City, and Woodward sub zones. Consultant fees were \$4,100.00 in the current year, an increase of \$2,575.00. Also, in the current year, the application fee for Citizen Potawatomi Nation Iron Horse Industrial Park was sent to the U.S. Department of Commerce for \$1,600.00.

The financial schedules are unaudited and prepared for internal use only. The financial schedules are prepared by the City of Oklahoma City, Finance Department, Accounting Services Division. The undersigned are prepared to answer any questions you may have pertaining to the financial schedules.

Prepared by:

Reviewed by:


Susan M. Barrett
Municipal Accountant II


Christy D. Jameson, CPA
Accounting Manager

Approved for issuance:


Laura L. Papas
Controller

SCHEDULE OF CASH RECEIPTS AND DISBURSEMENTS
For the Eight Months Ended February 28,
(unaudited)

PORT AUTHORITY OF THE
GREATER OKLAHOMA CITY AREA

| | <u>2015</u> | <u>2014</u> |
|--|--------------------|--------------------|
| <u>RECEIPTS</u> | | |
| Warehouse operator fees - Biagi Warehousing, Inc. ----- | \$2,332.98 | \$2,666.64 |
| Annual fee - VF Jeanswear----- | - | 12,000.00 |
| Annual fee - Citizen Potawatomi Nation Iron Horse Industrial Park----- | - | 1,600.00 |
| Interest on checking ----- | 5.47 | 7.27 |
| Total receipts ----- | <u>2,338.45</u> | <u>16,273.91</u> |
| <u>DISBURSEMENTS</u> | | |
| Checks issued for previous period----- | 6,100.00 | 2,235.00 |
| Checks issued for the two months ended February 28, | | |
| Consultant fees - 1233 Matthew Weaver----- | - | 450.00 |
| Hosting renewal fee - 1234 The Alliance for Economic Development of OKC----- | - | 139.87 |
| Checks issued for the two months ended February 28, | | |
| Consultant fees - 1245 Matthew Weaver----- | 800.00 | - |
| Total checks issued for two months ended February 28,----- | <u>800.00</u> | <u>589.87</u> |
| Bank fees ----- | 261.61 | 174.60 |
| Total disbursements ----- | <u>7,161.61</u> | <u>2,999.47</u> |
| Net increase (decrease) in cash ----- | (4,823.16) | 13,274.44 |
| Beginning cash - July 1,----- | 36,859.86 | 21,715.19 |
| Ending cash - February 28,----- | <u>\$32,036.70</u> | <u>\$34,989.63</u> |

SUPPLEMENTAL LISTING OF CHECKS ISSUED
FISCAL YEAR 2015
For the Eight Months Ended February 28, 2015
(unaudited)

PORT AUTHORITY OF THE
GREATER OKLAHOMA CITY AREA

Previously Reported

| | | |
|------|--|-------------------|
| 1238 | Matthew Weaver ----- | \$1,500.00 |
| 1239 | U.S. Department of Commerce ----- | 1,600.00 |
| 1242 | Matthew Weaver ----- | 1,125.00 |
| 1243 | Matthew Weaver ----- | 675.00 |
| 1244 | National Association of Foreign-Trade Zones----- | 1,200.00 |
| | Total----- | <u>\$6,100.00</u> |

Currently Reported

| | | |
|------|----------------------|-----------------|
| 1245 | Matthew Weaver ----- | <u>\$800.00</u> |
|------|----------------------|-----------------|

SUPPLEMENTAL LISTING OF CHECKS ISSUED
FISCAL YEAR 2014
For the Eight Months Ended February 28, 2014
(unaudited)

PORT AUTHORITY OF THE
GREATER OKLAHOMA CITY AREA

Previously Reported

| | | |
|------|--|-------------------|
| 1230 | Matthew Weaver ----- | \$675.00 |
| 1231 | National Association of Foreign-Trade Zones----- | 1,160.00 |
| 1232 | Matthew Weaver ----- | 400.00 |
| | Total----- | <u>\$2,235.00</u> |

Currently Reported

| | | |
|------|---|-----------------|
| 1233 | Matthew Weaver ----- | \$450.00 |
| 1234 | The Alliance for Economic Development of OKC----- | 139.87 |
| | Total----- | <u>\$589.87</u> |

I. RELATION TO THE CITY OF OKLAHOMA CITY

The Port Authority of the Greater Oklahoma City Area, (Port Authority), was created by the City of Oklahoma City (City), pursuant to Title 82, Oklahoma Statutes, Sections 1101-1104. The Port Authority was established on October 30, 1962. The Port Authority was granted Foreign Trade Zone #106, (the Zone) on September 14, 1984. The Foreign Trade Zone provides for the physical plant and operation of general warehousing facilities to companies for manufacturing or manipulation, duty free.

The Port Authority is governed by a Board of Directors consisting of five members appointed by the Mayor with the advice and consent of the City Council. The Directors serve a term of four years.

Method of Reporting in the City's Comprehensive Annual Financial Report (CAFR)

The Port Authority is the City's financial reporting entity. The Port Authority is a discretely presented component unit of the City. The City's CAFR can be obtained from the City of Oklahoma City, Finance Department, 100 N. Walker, Ste. 300, Oklahoma City, OK 73102.

II. BASIS OF ACCOUNTING

The attached schedule of cash receipts and disbursements is presented on the cash basis of accounting. Receipts are recorded when cash is received, and disbursements are recorded when paid.

III. OPERATOR'S AGREEMENT

The Port Authority selected Biagi Warehousing, Inc., to act as the operator of the general purpose warehouse. Biagi Warehousing, Inc. is responsible for all warehousing and warehouse-related activities; maintenance of the warehouse; marketing and promotion of the Zone; developing the general purpose warehouse; and assisting and cooperating with the Port Authority on any audit, report, inventory, or other documentation of activities in the Zone. The Port Authority receives a fee of \$3,999.96 from Biagi annually, payable in monthly installments of \$333.33 for the operation of warehousing space.

IV. CONSULTING SERVICES CONTRACT

The Port Authority entered into a contractual agreement for professional services with a consultant to provide marketing and development services, assist in the administration of the Zone #106, and to advise the management and the Board. The consultant is required to prepare a written and oral report of scope of work and services performed at each Board meeting. Among other requirements of the consultant are the preparation and filings of documents to the U.S. Customs Services, the Foreign Trade Zone Board and any other government agency with jurisdiction. The Board has agreed to work with the consultant on an hourly basis on special projects.

V. SUB ZONES

The Port Authority receives additional fees for the establishment and maintenance of sub zones. Sub zones are adjuncts to the general purpose zone and are single user private sites, usually at manufacturing facilities. The amount of the fees will vary according to the number of sub zones that are active. There is a current sub zone VF Jeanswear. The VF Jeanswear application fee was \$12,000, activated in April, 2013. The City of Seminole completed an application unit based trade zone for VF Jeanswear. The initial fee for the Seminole contract was \$5,000.00. Enid has qualified as a sub zone and has paid a fee but has no active zones at this time. The Citizen Potawatomi National Iron Horse Industrial Park sub zone fee of \$1,600.00 was activated in February, 2014 and the annual fee for Citizen Potawatomi Nation Iron Horse Industrial Park was received in April, 2014 in the amount of \$2,000.00.

VI. RECEIPTS

Receipts include sub zone fees, activation and deactivation fees. Activation fees are applied with the application for a sub zone. Deactivation fees are for voluntary discontinuation of the activation of an entire zone or sub zone.

Foreign Trade Zone #106 Marketing Activity Report & Invoice
January 1st, 2015 – February 28th, 2015
Matthew S. Weaver

Date: January, 2015

Activities:

- General administrative and marketing activities. i.e., phone calls, emails, meetings.
- Conversations with Robert Coleman, Economic Development Director, Midwest City, about the City's industrial park development and how FTZ incentives can be part of their marketing strategy. The park is 85% complete and they are completing the laying of railroad tracks and associated switching. This spring will be the beginning of their recruiting push and we plan on meeting to discuss giving FTZ presentations to the appropriate stakeholders.
- Apache Coffee Project: Conversations with USCBP Port Director, Marjorie Clark, about the importation/regulation of green coffee beans, on behalf of the Apache Tribe of Oklahoma. There are restrictions on transit through Hawaii and Puerto Rico. Conversations with Thomas Shon of the Apache Tribe.
- CPN: CPN Iron Horse application - Spoke with USCBP Port Director, and Camille Evans of the FTZB, about the CPN's application for Iron Horse and was informed that Camille has finally received final USCBP support of the application. Also had conversations with Kelley Francen of the CPN about the status of the application approval process. At my recommendation, Kelley attended the NAFTA Fundamentals course in Austin, Texas, to be better prepared for the marketing of their Zone Project.
- Siemens: Met with Dan Delagado and Dave Lucas, from Siemens' regional office in Houston, to discuss their proposal to OG&E regarding wind power equipment needs and the impact that could have on their Woodward facility's need for FTZ status, and about state legislation regarding tax credits. Having FTZ designation is a key incentive they will be pursuing, pending the outcome of their negotiations with OG&E.
- Invoiced current FTZ #106's Usage-Driven Sites for annual fees, totaling \$26k.
Hours worked: 16 hours x \$50/hr = \$800

Date: February, 2015

Activities:

- General administrative and marketing activities. i.e., phone calls, emails, meetings.
- FTZB: Conversations Camille Evans regarding required updates to FTZ #106's Zone Schedule, which was last done in 2012. Updates were completed and Camille is to post to their website's OFIS for access
- with OG&E.
Hours worked: 10 hours x \$50/hr = \$500

TOTAL Invoice

Foreign-Trade Zone #106

Marketing Activity Billing Report

Hours worked: 26 hours x \$50/hr = \$1300

Time Period: 1/1 – 2/28/15

submitted by Matthew Weaver

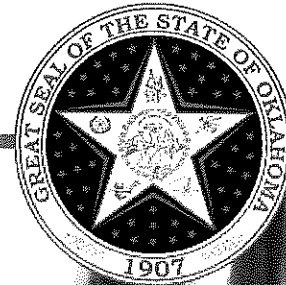
| Project | Activity | Time |
|---|---|-------------|
| General Administrative and Marketing | Responding to FTZ inquiries, research, etc; Networking | 10 |
| CPN | Managing steps to gain final approval for Magnet Site designation | 2 |
| Apache Tribe | Coffee Bean Project | 2 |
| Annual Invoices | Work with Users and The Alliance for billing | 2 |
| Zone Schedule Updating | FTZB conversations; research and input | 6 |
| Siemens | Meetings about Woodward facility, and OG&E negotiations | 4 |

Billable Time: 26 hours

Total Due: \$1300

Oklahoma Ethics Commission

FAIR RULES. FIRM ENFORCEMENT.

A black and white photograph of a woman sitting on a wooden bench, shown in silhouette against a bright background. She is looking towards the right.

Guide for Financial Disclosure

by Candidates, State Officers and Employees

JANUARY 2015

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Introduction

How to Use This Guide

This Guide summarizes Rules of the Oklahoma Ethics Commission for financial disclosure by certain state officers and employees and candidates for state elective office effective January 1, 2015. It is written by the Commission staff to assist in compliance with the Rules, as authorized by Rule 1.8. The Guide is not a substitute for the law. If there is a conflict between this Guide and the Constitution, statutes or Rules, then the Constitution, statutes or Rules prevail.

Limited Scope

This Guide is not intended to provide comprehensive information about all Ethics Rules and other relevant law concerning financial disclosure. Individuals who may be required to file Financial Disclosure Statements should become familiar with the relevant Constitutional and statutory provisions as well as with the Ethics Rules.

Advisory Opinions

Rule 1.7 authorizes the Commission to issue official advisory opinions interpreting its Rules. Such advisory opinions are binding on the Commission. Ordinarily, the Commission will consider an advisory opinion only as it applies to the person requesting the opinion, rather than third parties. Requests for advisory opinions may be addressed to the

Oklahoma Ethics Commission
Room B-5 State Capitol
Oklahoma City, OK 73105

Commission Website

Additional information on compliance with the Rules may be found on the Commission's Internet website at www.ok.gov/ethics.

Contacting the Commission

The Commission offices are located in Room B-5 of the State Capitol. The Commission's hours are 8 a.m. to 5 p.m. The Commission telephone number is (405) 521-3451. Electronic mail addresses for the Commission and its staff may be found on the Commission's Internet website at www.ok.gov/ethics.

Commissioners

Karen Long – Chair, re-appointed by Speaker of the House Jeff Hickman, term expires July 2019

Jo Pettigrew – Vice-Chair, re-appointed by Governor Fallin, term expires July 2017

John Hawkins – appointed by Senate President Pro Tempore Brian Bingman, term expires July 2019

Cathy Stocker – appointed by Attorney General Scott Pruitt, term expires July 2017

Tom Walker – appointed by Chief Justice Steven Taylor, term expires July 2016

Purpose of Financial Disclosure

Constitution Requires Ethics Commission to Promulgate Rules of Ethical Conduct

Art. XXIX, § 3 requires the Oklahoma Ethics Commission to promulgate rules of ethical conduct for campaigns for elective state office and rules of ethical conduct for state officers and employees. Okla. Const. art. XXIX, § 3. The purpose of requiring financial disclosure is to reveal potential conflicts of interest between public duties and private economic interests of state officers and employees.

No Amounts of Income or Assets Must Be Disclosed

Although there are minimum threshold requirements for disclosing certain forms of income or financial holdings, no Rule requires the disclosure of the amount of a filer's income or the amount of a filer's financial holdings.

Who Is Required to File

Individuals Required to File

The following persons are required to file Financial Disclosure Statements:

All elected state executive, legislative and judicial officers;

All state judicial officers subject to retention;

All candidates for state elective executive, legislative and judicial offices;

All chief administrative officers and first assistant administrative officers of each state agency;

All state officers who make policy decisions;

All state officers and employees who are engaged in purchasing decisions and

All members of boards, commissions, authorities and similar public bodies of state agencies.

Rule 3.3.

All Candidates Are Required to File

All candidates for state elective office are required to file a Financial Disclosure Statement. Rule 3.3(3).

Agency Liaisons Responsible for Identifying Other Filers

Each state agency is required to designate one individual to serve as "Agency Liaison" to identify individuals required to file Financial Disclosure Statements.

If there is a vacancy in the position of Agency Liaison, the Chief Administrative Officer of the agency serves as Agency Liaison.

For an agency with five or fewer full-time equivalent employees, the Agency Liaison is a person appointed by the Governor's Cabinet Secretary for the agency.

How Filers Are Reported to the Commission

The Agency Liaison identifies individuals required to file Financial Disclosure Statements. During the month of December of each year, the Agency Liaison provides the Ethics Commission with a list of all officers and employees of the agency and all members of boards, commission, authorities and similar public bodies of the agency required to file Financial Disclosure Statements. The Agency Liaison supplements the list during the following calendar year as the names of filers are added or deleted from the list. [Rule 3.9](#).

Individuals Who Make Policy Decisions

State officers and employees who make policy decisions are those who (1) determine policies or (2) vote on policies, provided the policies are not internal policies used only for operation of the state entity involved. [Rule 3.3](#).

Individuals Who Are Engaged in Purchasing Decisions

State officers and employees who are engaged in purchasing decisions are those who perform functions in the purchasing process for purchases in excess of \$50,000. This group includes those who participate in preparation of requests for proposals, bid specifications or similar documents; who review or evaluate proposals, bids or similar responses; who recommend selection of successful proposals or bids or other similar awards and who approval requisitions for purchases. This group does not include those individuals who perform only nondiscretionary or clerical functions.

Credit Card Authorization Alone Does Not Trigger Filing Requirement

The fact that a state officer or employee is authorized to use a state credit card (purchase card or P-card) does not, by itself, mean that individual is required to file. Often those individuals perform only nondiscretionary or clerical functions with the credit cards. Their discretion also may be far below the \$50,000 threshold required for filers. [Rule 3.3](#).

Filing Requirements

One Time Per Year

Except in the case of filing a Final Disclosure Statement, no individual is required to file a Financial Disclosure Statement more than one time during any calendar year. [Rule 3.4](#).

When Statements Are Filed by State Officers and Employees

Financial Disclosure Statements ordinarily are filed no later than May 15 of each calendar year for the preceding calendar year.

Individuals who become a state officer or employee required to file a Financial Disclosure Statement later than May 1 of a calendar year must file the Statement within 30 days after the change in their status requires filing. This applies to individuals who enter state service for the first time and are required to file by virtue of their position. It also applies to state officers and employees who had not previously been required to file, but whose circumstances change in a

way that requires that they file, e.g., an individual who becomes involving in drafting bid specifications for the first time.

An extension of no more than 30 days will be granted upon an application in writing filed with the Ethics Commission within 10 days prior to the last day for filing the Financial Disclosure Statement.

Rule 3.5.

When Statements Are Filed by Candidates

A candidate is required to file a Financial Disclosure Statement at the same time he or she files a Statement of Organization for a candidate committee with the Ethics Commission.

Elected state officers who already have filed a Financial Disclosure Statement during the calendar year for which they are filing a Statement of Organization are not required to file an additional Financial Disclosure Statement.

Candidates are required to file Financial Disclosure Statements each year as long as they remain candidates.

Rule 3.6.

How Financial Disclosure Statements Are Filed

All Financial Disclosure Statements are filed electronically, unless otherwise ordered by the Commission or the Executive Director of the Commission. Rule 3.10. Additional information about filing Financial Disclosure Statements may be found on the Commission's Internet website at www.ok.gov/ethics.

Information Required on Financial Disclosure Statements

Not all the information included on the Financial Disclosure Statements will apply to all individuals who file. For example, elected officials and candidates will not have an "appointing authority." Most filers will not have engaged in business or professional relationships with registered lobbyists.

Information that is required, if applicable, is as follows.

Name, mailing address, work place telephone number and electronic mail address of the filer.

Name of state office held or sought by the filer, or name of the agency and position held by the filer.

Expiration of term of office. (This provision applies to all candidates and elected officials and may apply to appointive positions that are for fixed terms.)

Appointing authority. (This may be an individual, e.g., the Governor, or it may be a board, commission, authority or similar entity.)

Name, mailing address and category of business, profession or industry of the filer's private employer; or, if the filer is self-employed, the name, mailing address and category of business, profession or industry of the filer's self-employment; or, if the filer

is retired, the name, mailing address and category of the filer's last employment, including self-employment. (This provision requires the specific name of the employing entity as well as a categorization of the type of business, profession or industry. For example, the company may be Ajax, Inc., and the business may be "manufacturing of soap.")

The name of any state agency providing a salary or similar compensation amounting to \$5,000 or more during the preceding calendar year received by the filer or the filer's spouse or dependents. (There is no requirement to list the amount of the compensation, other than that it is at least \$5,000.)

A list, by category, of business, profession or industry of any other entity providing income of any kind which the filer or the filer's spouse or dependents received in the amount of \$5,000 during the preceding calendar year. (There is no requirement to list the amount of the income, provided it is at least \$5,000. Nor is there a requirement to list the specific name of the entity; the only requirement is to categorize the business, profession or industry.)

A list, by category of business, profession or industry, of entities including mutual funds or similar securities in which the filer held securities valued at \$5,000 or more at any time during the preceding calendar year. (There is no requirement to list the value of the security, provided it is at least \$5,000. The threshold figure applies to any point in time during the reporting period, i.e., the preceding calendar year. A mutual fund that was worth \$10,000 in July but is worth only \$2,000 on December 31 would be reported. The category of investments by a mutual fund or security might be listed as "diversified," or "varied," or some similar description, if applicable. Only if the security is restricted to a particular type of business, profession or industry, e.g., oil and gas company stock, should it be identified as such.)

Any business or professional relationships with registered lobbyists that resulted in income in any amount to the filer or the filer's spouse or dependents during the preceding calendar year, stating with specificity the nature of the relationship. (While no amount is required to be listed, this provision applies to any business or professional relationships with registered lobbyists.)

Every office, directorship, trusteeship or similar position held by the filer in an entity doing business with any state agency during the preceding calendar year and the agency with which the entity was doing business.

Professional or occupational permits or licenses held by the filer.

Contracts (other than a contract of employment) between a state agency and the filer or the filer's spouse or dependents or any entity in which the filer or the filer's spouse or dependents has a material financial interest. (This provision applies to contracts with all state agencies, not just the one with which the filer is associated.)

Whether the filer, the filer's spouse or dependents or an entity in which the filer or the filer's spouse or dependents has a material financial interest is regulated or licensed by the agency with which the filer is associated. (This provision is limited to regulation or licensing by the agency with which the filer is associated. Many agencies neither regulate nor license anyone.)

Whether the employer of the filer or the filer's spouse or dependents is regulated or licensed by the agency and, if so, the name and mailing address of the individual or entity so regulated or licensed. (This regulation and licensing disclosure provision applies to employers of the filer and the filer's spouse and dependents.)

If no information has changed since the filer last filed a Financial Disclosure Statement, there is an opportunity to indicate that fact rather than filling out the entire form again. Filers should take caution in exercising this option, however, by ensuring that the information provided in the preceding Financial Disclosure Statement is identical in all respects. Even a tiny change requires filing of an updated Statement.

Rule 3.11.

Material Financial Interest

The term "Material financial interest" is defined in the Rules to include:

- (a) an interest that could result in directly or indirectly receiving a substantial pecuniary gain or sustaining a substantial pecuniary loss as a result of a filer's ownership or interest in a business entity, or as a result of a filer's salary, gratuity or other compensation or remuneration; or
- (b) an ownership interest in a private business, including but not limited to, a closely held corporation, limited liability company, Subchapter S corporation or partnership for which the filer or the filer's spouse or dependents is a director, officer, owner, manager, employee, or agent or any private business, closely held corporation or limited liability company in which the filer or the filer's spouse or dependent owns or has owned stock, another form of equity interest, stock options, debt instruments, or has received dividends or income worth Five Thousand Dollars (\$5,000.00) or more at any point during the preceding calendar year; or
- (c) an ownership interest of five percent (5%) or more in a publicly held corporation by a filer or the filer's spouse; or
- (d) an ownership interest in a publicly held corporation from which dividends of Fifty Thousand Dollars (\$50,000.00) or more were derived during the preceding calendar year by the filer or the filer's spouse or dependents; or
- (e) an ownership interest in a Subchapter S corporation or partnership from which income of Fifty Thousand Dollars (\$50,000.00) or more was derived; or
- (f) an interest that arises as a result of the filer's or the filer's spouse or dependents' service as a director, officer, representative, agent or employee of a publicly held corporation during the preceding calendar year.

"Material financial interest" does not mean (1) an interest in a mutual fund or other community investment vehicle in which the filer or the filer's spouse or dependents exercises no control over the acquisition or sale of particular holdings, or (2) an interest in a pension plan, 401k, individual retirement account or other retirement investment vehicle that makes diversified investments over which the filer or the filer's spouse or dependents exercises no control over the acquisition or sale of particular holdings. Rule 3.2(6).

Amending a Statement

A filer may amend his or her Financial Disclosure Statement by filing an Amended Financial Disclosure Statement at any time. The amendment must be for the purpose of correcting a bona fide oversight or error on the Statement previously filed. The filer must certify that the filing of an Amended Financial Disclosure Statement is not made for the purpose of reporting information that was intentionally omitted or misstated. If the certification is true, the filer will not be deemed to have violated the Ethics Rules by having made an erroneous prior filing. Rule 3.7.

Final Financial Disclosure Statement

An individual who is required to file a Financial Disclosure Statement whose service to, or employment by, the State of Oklahoma ends for any reason other than death, disability or involuntary termination, is required to file a Final Financial Disclosure Statement.

The Final Financial Disclosure Statement must be filed during the last 30 days of the individual's service. The Final Financial Disclosure Statement must be supplemented if any information changes in a material way prior to the filer's last day of service.

The Final Financial Disclosure Statement covers a period of time beginning January 1 of the year in which the statement is filed and ending on the last day of the filer's service as a state officer or employee. For a filer whose service ends during the first 30 days in January of any year, the period begins on January 1 of the preceding calendar year and ends on the last day of the filer's service.

Rules 3.8 and 3-12.

STATE OF OKLAHOMA
COUNTY OF _____
(Name of County)

FINANCIAL DISCLOSURE STATEMENT

Attach additional pages as necessary, with reference to item number, to submit all required information.

1. FILER INFORMATION

AMENDED:

| | | | | |
|---|------------------------------------|-------------------------------------|--|---------------|
| Full Name of Filer | | Filing Year | Name of Office Held/Sought | |
| Expiration of Term of Office | Date of Appointment, if applicable | Appointing Authority, if applicable | | Filing Status |
| Work Phone Number (xxx) xxx-xxxx + ext. | Electronic Mail Address | | Mailing Address, City, State, Zip Code | |

**NO CHANGE FOR INFORMATION
FROM PREVIOUS YEAR'S FILING**

FINAL FORM
Last Date of Service: _____

2. FILER'S PRIVATE EMPLOYMENT INFORMATION

(CURRENT EMPLOYER OR, IF RETIRED, LAST EMPLOYER)

CURRENT **or** **RETIRED**

| | | |
|-----------------------|--|--|
| Full Name of Employer | Category of Business, Profession or Industry | Mailing Address of Employer, City, State, Zip Code |
|-----------------------|--|--|

3. STATE AGENCY PROVIDING SALARY OR SIMILAR COMPENSATION IN THE AMOUNT OF \$5,000.00 OR MORE RECEIVED DURING THE FILING YEAR BY THE FILER, FILER'S SPOUSE OR DEPENDENTS.

| | | |
|----------------------------------|----------------------------|--|
| Full Name of Governmental Entity | Filer / Spouse / Dependent | Mailing Address of Entity, City, State, Zip Code |
| Full Name of Governmental Entity | Filer / Spouse / Dependent | Mailing Address of Entity, City, State, Zip Code |
| Full Name of Governmental Entity | Filer / Spouse / Dependent | Mailing Address of Entity, City, State, Zip Code |
| Full Name of Governmental Entity | Filer / Spouse / Dependent | Mailing Address of Entity, City, State, Zip Code |

4. OTHER ENTITIES PROVIDING INCOME OF ANY KIND WHICH THE FILER, FILER'S SPOUSE OR DEPENDENTS RECEIVED IN THE AMOUNT OF \$5,000.00 OR MORE DURING THE FILING YEAR.

| | | |
|----------------|--|----------------------------|
| Name of Entity | Category of Business, Profession or Industry | Filer / Spouse / Dependent |
| Name of Entity | Category of Business, Profession or Industry | Filer / Spouse / Dependent |
| Name of Entity | Category of Business, Profession or Industry | Filer / Spouse / Dependent |

5. ENTITIES IN WHICH THE FILER HELD SECURITIES VALUED AT \$5,000.00 OR MORE AT ANY TIME DURING THE FILING YEAR.

| | | | |
|----------------|--|----------------|--|
| Name of Entity | Category of Business, Profession or Industry | Name of Entity | Category of Business, Profession or Industry |
| Name of Entity | Category of Business, Profession or Industry | Name of Entity | Category of Business, Profession or Industry |
| Name of Entity | Category of Business, Profession or Industry | Name of Entity | Category of Business, Profession or Industry |
| Name of Entity | Category of Business, Profession or Industry | Name of Entity | Category of Business, Profession or Industry |

6. PROFESSIONAL OR OCCUPATIONAL PERMITS OR LICENSES HELD BY FILER.

| | | |
|------------------------|------------------------|------------------------|
| Type of Permit/License | Type of Permit/License | Type of Permit/License |
| Type of Permit/License | Type of Permit/License | Type of Permit/License |

7. BUSINESS OR PROFESSIONAL RELATIONSHIPS WITH REGISTERED LOBBYISTS THAT RESULTED IN INCOME IN ANY AMOUNT TO THE FILER, FILER'S SPOUSE OR DEPENDENT DURING THE FILING YEAR. BE SPECIFIC AS TO NATURE OF RELATIONSHIP.

| | |
|-----------------------------|------------------------|
| Name of Registered Lobbyist | Nature of Relationship |
| Name of Registered Lobbyist | Nature of Relationship |
| Name of Registered Lobbyist | Nature of Relationship |
| Name of Registered Lobbyist | Nature of Relationship |

8. OFFICE, DIRECTORSHIP, TRUSTEESHIP OR SIMILAR POSITION HELD BY THE FILER IN AN ENTITY DOING BUSINESS WITH ANY STATE AGENCY DURING THE FILING YEAR AND THE STATE AGENCY WITH WHICH THE ENTITY WAS DOING BUSINESS.

| | | |
|---|----------------|-----------------------------|
| Office, Directorship, Trusteeship or Similar Position | Name of Entity | Name of Governmental Entity |
| Office, Directorship, Trusteeship or Similar Position | Name of Entity | Name of Governmental Entity |
| Office, Directorship, Trusteeship or Similar Position | Name of Entity | Name of Governmental Entity |

9. CONTRACTS (OTHER THAN CONTRACT OF EMPLOYMENT) BETWEEN A STATE AGENCY AND THE FILER, THE FILER'S SPOUSE OR DEPENDENTS OR ANY ENTITY IN WHICH THE FILER, THE FILER'S SPOUSE OR DEPENDENTS HAS A MATERIAL FINANCIAL INTEREST.

| | | |
|------------------|-----------------------------|----------------------------|
| Type of Contract | Name of Governmental Entity | Filer / Spouse / Dependent |
| Type of Contract | Name of Governmental Entity | Filer / Spouse / Dependent |
| Type of Contract | Name of Governmental Entity | Filer / Spouse / Dependent |

10. IDENTIFY WHETHER THE FILER, FILER'S SPOUSE, DEPENDENTS, EMPLOYER THEREOF OR ENTITIES IN WHICH THE FILER, FILER'S SPOUSE OR DEPENDENTS HAVE A MATERIAL FINANCIAL INTEREST IS REGULATED OR LICENSED BY THE FILER'S OFFICE.

| | | |
|------|--|----------------------------|
| Name | Mailing Address, City, State, Zip Code | Filer / Spouse / Dependent |
| Name | Mailing Address, City, State, Zip Code | Filer / Spouse / Dependent |
| Name | Mailing Address, City, State, Zip Code | Filer / Spouse / Dependent |

Amended Financial Disclosure Statement Certification. I certify this amendment is not made for the purpose of reporting information that was intentionally omitted or misstated on the original or previously filed Financial Disclosure Statement.

By signing, electronic or otherwise, my name below, I, acknowledge that the information submitted is complete, true and accurate as of the date submitted. I understand the failure to provide such information is a violation of the laws of Oklahoma. I understand that I can update the information above at any time by filing an amended Financial Disclosure Statement.

_____ Date

_____ Filer's signature

Signed and sworn to before me on _____ by Officer signing this form.

(Date)

State of Oklahoma)

) ss

County of)

My Commission expires: _____

Notary Seal

My commission #: _____

_____ Notary signature