New York State Department of State
Division of Corporations, State Records and Uniform Commercial Code
One Commerce Plaza, 99 Washington Avenue
Albany, NY 12231-0001
www.dos.ny.gov

Local Law Filing

(Use this form to file a local law with the Secretary of State.)

Text of law should be given as amended. Do not include matter being eliminated and do not use italics or underlining to indicate new matter.

☐ **County** ☐ **City** ☐ **Town** ☒ **Village**
(Select one:)

of Port Jefferson

Local Law No. 1 **of the year 20** 24

A local law Amending the code of the Village of Port Jefferson, by repealing Chapter 41 (Ethics) in its entirety and replacing it with a new Chapter 41 (Ethics)
(Insert Title)

Be it enacted by the Board of Trustees **of the**
(Name of Legislative Body)

☐ **County** ☐ **City** ☐ **Town** ☒ **Village**
(Select one:)

of Port Jefferson **as follows:**

(If additional space is needed, attach pages the same size as this sheet, and number each.)

(Complete the certification in the paragraph that applies to the filing of this local law and strike out that which is not applicable.)

1. (Final adoption by local legislative body only.)

I hereby certify that the local law annexed hereto, designated as local law No. 1 of 20 24 of the ~~(County)~~(~~City~~)(~~Town~~)(Village) of Port Jefferson was duly passed by the Board of Trustees on January 31 20 24, in accordance with the applicable provisions of law.

(Name of Legislative Body)

2. (Passage by local legislative body with approval, no disapproval or repassage after disapproval by the Elective Chief Executive Officer*.)

I hereby certify that the local law annexed hereto, designated as local law No. _____ of 20____ of the (County)(City)(Town)(Village) of _____ was duly passed by the _____ on _____ 20____, and was (approved)(not approved)

(Name of Legislative Body)

(repassed after disapproval) by the _____ and was deemed duly adopted

(Elective Chief Executive Officer)*

on _____ 20☐☐, in accordance w ith the applicable provisions of law.

3. (Final adoption by referendum.)

I hereby certify that the local law annexed hereto, designated as local law No. _____ of 20____ of the (County)(City)(Town)(Village) of _____ was duly passed by the _____ on _____ 20____, and was (approved)(not approved)

(Name of Legislative Body)

(repassed after disapproval) by the _____ on _____ 20____.

(Elective Chief Executive Officer)*

Such local law was submitted to the people by reason of a (mandatory)(permissive) referendum, and received the affirmative vote of a majority of the qualified electors voting thereon at the (general)(special)(annual) election held on _____ 20____, in accordance with the applicable provisions of law.

4. (Subject to permissive referendum and final adoption because no valid petition was filed requesting referendum.)

I hereby certify that the local law annexed hereto, designated as local law No. _____ of 20____ of the (County)(City)(Town)(Village) of _____ was duly passed by the _____ on _____ 20____, and was (approved)(not approved)

(Name of Legislative Body)

(repassed after disapproval) by the _____ on _____ 20____. Such local law was subject to permissive referendum and no valid petition requesting such referendum was filed as of _____ 20____, in accordance with the applicable provisions of law.

Elective Chief Executive Officer)*

* Elective Chief Executive Officer means or includes the chief executive officer of a county elected on a county-wide basis or, if there be none, the chairperson of the county legislative body, the mayor of a city or village, or the supervisor of a town where such officer is vested with the power to approve or veto local laws or ordinances.

5. (City local law concerning Charter revision proposed by petition.)
I hereby certify that the local law annexed hereto, designated as local law No._____ of 20_____ of the City of _____ having been submitted to referendum pursuant to the provisions of section (36)(37) of the Municipal Home Rule Law, and having received the affirmative vote of a majority of the qualified electors of such city voting thereon at the (special)(general) election held on _____ 20_____, became operative.

6. (County local law concerning adoption of Charter.)
I hereby certify that the local law annexed hereto, designated as local law No._____ of 20_____ of the County of _____State of New York, having been submitted to the electors at the General Election of November _____ 20_____, pursuant to subdivisions 5 and 7 of section 33 of the Municipal Home Rule Law, and having received the affirmative vote of a majority of the qualified electors of the cities of said county as a unit and a majority of the qualified electors of the towns of said county considered as a unit voting at said general election, became operative.

(If any other authorized form of final adoption has been followed, please provide an appropriate certification.)
I further certify that I have compared the preceding local law with the original on file in this office and that the same is a correct transcript therefrom and of the whole of such original local law, and was finally adopted in the manner indicated in paragraph _____ above.

Sylvia Pirillo
Clerk of the county legislative body, City, Town or Village Clerk or officer designated by local legislative body

(Seal)

Date: February 2, 2024

LOCAL LAW NO. 1 -2024
AMENDING THE CODE OF THE VILLAGE OF PORT JEFFERSON,
BY REPEALING CHAPTER 41 (ETHICS) IN ITS ENTIRETY
AND BY REPLACTING IT WITH A
NEW CHAPTER 41 (ETHICS)

Section 1. Chapter 41 (Ethics) is hereby repealed in its entirety and is replaced with a new Chapter 41 (Ethics) which is hereby added to state as follows:

CHAPTER 41
ETHICS

WHEREAS, Article 18 of the General Municipal Law prohibits the officers and employees of a Village from having certain conflicts of interest, and

WHEREAS Section 806 of the General Municipal Law requires the governing body of each village to adopt a code of ethics that sets forth for the guidance of its officers and employees standards of conduct reasonably expected of them,

WHEREAS, a code of ethics adopted by the governing body of a village must set forth standards of conduct for the guidance of the officers and employees of the village with respect to disclosure of interests in legislation before the local governing body, holding of investments in conflict with official duties, private employment in conflict with official duties, future employment, and such other standards as may be deemed advisable.

NOW, THEREFORE, be it resolved that the Village of Port Jefferson hereby adopts the following code of ethics to ensure both the reality and the appearance of integrity in Village government, and to thereby foster public confidence in Village government:

CODE OF ETHICS OF THE VILLAGE OF PORT JEFFERSON

ARTICLE I.
GENERAL PROVISIONS

Section 41-1. Purpose.

Officers and employees of the Village of Port Jefferson hold their positions to serve and benefit the public, and not to obtain unwarranted personal or private gain in the exercise and performance of their official powers and duties. The Village of Port Jefferson recognizes that, in furtherance of this fundamental principle, there is a need for clear and reasonable standards of ethical conduct. This Chapter establishes those standards. It also serves the goal of fostering public confidence in Village government by promoting not

only the reality, but also the appearance of integrity in government.

Section 41-2. Definitions.

(a) "Interest" means a direct or indirect financial or material benefit, but does not include any benefit arising from the provision or receipt of any services generally available to the residents or taxpayers of the Village or an area of the Village, or a lawful class of such residents or taxpayers. A Village officer or employee is deemed to have an interest in any private organization when he or she, his or her spouse, or dependent, is a partner, member, director, officer, employee, or directly or indirectly owns or controls more than 5% of the organization's equity or debt, whether in the form of outstanding stock or otherwise.

(b) "Relative" means a spouse, registered domestic partner, child, stepchild, dependent, parent, stepparent, sibling, stepsibling, grandparent or grandchild of a Village officer or employee.

Section 41-3. Applicability.

(a) This Chapter applies to all officers and employees of the Village of Port Jefferson, whether paid or unpaid, including the members of any Village department, agency, board or commission and, without limiting the foregoing, all persons serving the Village for a fixed term subject to an oath of office.

(b) Article II, Section 41-10 (Future Employment) of this Chapter applies to current and former officers and employees of the Village.

(c) Article II, Section 41-11 (Independent Contractors) of this Chapter applies to independent contractors of the Village.

(d) Article II, Section 41-12 (Personal Representations and Claims Permitted) and Article II, 41-18 (Inducement of Others) of this Chapter apply to officers and employees of the Village and independent contractors of the Village.

(e) Article III, Section 41-21 of this Chapter (Applicant Disclosure in Land Use Applications) applies to applicants, petitioners or parties requesting a variance, amendment, change of zoning, approval of a plat, exemption from a plat or official map, license or permit, pursuant to the provisions of any local law, rule or regulation constituting the zoning and planning regulations of the Village.

(f) The provisions of this Chapter shall supplement all applicable State and local laws relating to conflicts of interest and municipal ethics including, but not limited to,

article 18 of the General Municipal Law and all related rules, regulations, policies and procedures of the Village of Port Jefferson.

(g) The termination of an officer's or employee's term of office or employment with the Village shall not affect the jurisdiction of the Board of Ethics or the Village Board of Trustees with respect to the requirements imposed by this Chapter on the former officer or employee for his or her actions or interests while a Village officer or employee.

ARTICLE II. CODE OF CONDUCT

Section 41-4. Use of Village Position for Personal or Private Gain.

No Village officer or employee shall use his or her Village position or official powers and duties to secure a material benefit, whether financial or otherwise, for

(a) Himself or herself,

(b) A Relative or member of his or her household,

(c) Any private organization in which he or she has an Interest,

(d) A client or customer from which the officer or employee knows that he or she, his or her outside employer, firm, limited liability company, partnership or association, or corporation in which he or she is the owner of more than five percent of the outstanding corporate stock, directly or indirectly derived income in excess of five thousand dollars ($5,000) during the previous twenty-four months, or

(e) A person from whom the officer or employee has received a private loan, gift, tip or other benefit as defined by Section 41-17(d)), having a value of seventy-five dollars ($75) or more during the previous twelve months, or multiple private loans, gifts, tips or other benefits from the same lender or donor in a twelve-month period, having an aggregate value of seventy-five dollars ($75) or more.

Section 41-5. Recusal.

No Village officer or employee shall participate in any decision or take any official action requiring the exercise of discretion, including discussing, deliberating or voting on a matter, when he or she knows or has reason to know that the action may confer a direct or indirect, material, financial or other benefit on a person or entity specified in Section 41-4 of this Chapter.

Section 41-6. Prohibition Inapplicable; Recusal and Disclosure Not Required.

(a) The requirements relating to recusal set forth in Section 41-6 of this Chapter, and the disclosure requirements set forth in Article III of this Chapter, shall not apply with respect to the following matters:

(1) Adoption of the Village's annual budget;

(2) Any matter requiring the exercise of discretion that directly affects any of the following groups of people or a similarly situated class of such people:

(i) All or substantially all Village officers or employees;

(ii) All or substantially all residents or taxpayers of the Village or an area of the Village; or

(iii) The general public;

(4) Any ministerial matter (a matter that does not require the exercise of discretion).

(5) Uncompensated participation by a member of the Village Board of Trustees, or by his or her staff on behalf of such member, in public advocacy whether or not on behalf of a constituent.

(6) Appearance by a Village employee before a Village department, agency, board or commission in a representative capacity on behalf of an employee organization in any matter where such appearance is duly authorized by the employee organization.

(7) Uncompensated participation in public advocacy by a Village officer or employee who serves as a political party chairperson.

(b) Recusal shall not be required, but disclosure pursuant to Article II of this Chapter shall be required, with respect to any matter:

(1) Which comes before a board or commission when a majority of the entire membership of the board or commission would otherwise be prohibited from acting and the matter cannot be lawfully delegated to another board or commission; or

(2) Which comes before a Village officer when the officer would be prohibited from acting and the matter cannot be lawfully delegated to another person.

Section 41-7. Prohibited Interests in Contracts.

(a) No Village officer or employee shall have an Interest in any contract with the Village, when such officer or employee, individually or as a member of a board or

commission, has the power or duty, whether or not exercised (i.e., a violation of this Section shall not be cured by the absence, recusal or abstention of the interested officer or employee), to:

(1) Negotiate, prepare, authorize or approve the contract or authorize or approve payment thereunder;

(2) Audit bills or claims under the contract, or

(3) Appoint an officer or employee who has any of the foregoing powers or duties.

(b) For the purposes of this Section, the term "contract" means any claim, account or demand against or agreement with the Village, express or implied.

(c) Notwithstanding the foregoing, for the purposes of this Section, the term "contract" shall not include:

(1) The designation of a bank or trust company as a depository, paying agent, registration agent or for investment of Village funds except when the chief fiscal officer, treasurer, or his deputy or employee, has an Interest in such bank or trust company; provided, however, that where designation of a bank or trust company outside the Village would be required because of the foregoing restriction, a bank or trust company within the Village may nevertheless be so designated;

(2) A contract with a person, firm, corporation or association in which a Village officer or employee has an Interest which is prohibited solely by reason of his or her status as an officer or employee thereof, if the compensation from such employment will not be directly affected as a result of the contract and the duties of such employment do not directly involve the procurement, preparation or performance of any part of the contract;

(3) The designation of a newspaper, including but not limited to an official newspaper, for the publication of any notice, resolution, ordinance or other proceeding where such publication is required or authorized by law;

(4) The purchase by the Village of real property or an Interest therein, provided the purchase and the consideration therefor is approved by order of the supreme court upon petition of the Village Board of Trustees;

(5) The acquisition of real property or an Interest therein, through condemnation proceedings according to law;

(6) A contract with a membership corporation or other voluntary not-for-profit corporation or association;

(7) The sale of bonds and notes pursuant to Section 60.10 of the Local Finance Law

(8) A contract in which a Village officer or employee has an Interest if such contract was entered into prior to the time he or she was elected or appointed as such officer or employee, but this paragraph shall in no event authorize a renewal of any such contract;

(9) A contract with a corporation in which a Village officer or employee has an Interest by reason of stockholdings when less than five percent of the outstanding stock of the corporation is owned or controlled directly or indirectly by such officer or employee;

(10) A contract for the furnishing of public utility services at rates or charges that are fixed or regulated by the public service commission;

(11) A contract for the payment of a reasonable rental of a room or rooms owned or leased by a Village officer or employee, used in the performance of his or her official duties, and designated as an office or chamber;

(12) A contract for the payment of a portion of the compensation of a private employee of an officer when such employee performs part time service in the official duties of the office;

(13) A contract in which a Village officer or employee has an Interest if the total consideration payable thereunder, when added to the aggregate amount of all consideration payable under contracts in which such person had an Interest during the fiscal year, does not exceed the sum of seven hundred fifty dollars.

(14) A contract with a member of a private industry council established in accordance with the federal job training partnership act or any firm, corporation or association in which such member holds an Interest, provided the member discloses such Interest to the council and the member does not vote on the contract.

Section 41-8. Investments in Conflict with Official Duties.

(a) No Village officer or employee shall acquire or maintain any investment:

(1) The ownership of which requires that the Village officer or employee frequently and inevitably recuse himself or herself; or

(2) That would impair his or her independence of judgment in the exercise or performance of his or her official powers and duties.

(b) This Section shall not prohibit a Village officer or employee from acquiring or maintaining the following:

(1) Real property located within the Village and used as his or her personal residence;

(2) Less than five percent of the stock of a publicly traded corporation; or

(3) Bonds or notes issued by the Village and acquired more than one year after the date on which the bonds or notes were originally issued.

Section 41-9. Private Employment in Conflict with Official Duties.

(a) No elected Village official or Village employee serving as staff to the Village Board of Trustees or to a Village Trustee, shall receive or agree to receive, directly or indirectly, any compensation for consulting or advisory services in connection with any proposed local law or resolution of the Village Board of Trustees.

(b) No Village officer or employee shall ask for, pursue or accept a private secondary employment opportunity with any person or organization that has a matter requiring the exercise of discretion pending before the Village officer or employee, either individually or as a member of a board or commission, while the matter is pending or within the 60 days following final disposition of the matter.

(c) No Village officer or employee, during his or her tenure as a Village officer or employee, shall engage in any secondary employment, or engage in any business, commercial, or professional activity, when the secondary employment or business, commercial or professional activity:

(1) Involves duties that are incompatible with those of the official duties of the Village officer or employee;

(2) May be reasonably expected to require frequent and inevitable recusal;

(3) May be reasonably expected to require disclosure or personal use of confidential information gained by reason of serving as a Village officer or employee;

(4) Pursuant to which the officer or employee will receive, or enter into any agreement, express or implied, to receive compensation for services to be rendered in connection with any matter before any Village department, agency, board or commission of which he or she is an officer, member or employee or of any Village department, agency, board or commission over which he or she has jurisdiction or to which he has the power to appoint any member, officer or employee;

(5) Pursuant to which the officer or employee will receive, or enter into any agreement, express or implied, to receive compensation for services to be rendered in connection with any matter before any Village department, agency, board or

commission, whereby his compensation is to be dependent or contingent upon any action by such department, agency, board or commission with respect to such matter, provided that this paragraph shall not prohibit the fixing at any time of fees based upon the reasonable value of the services rendered; or

(6) Involves the representation of a person or organization other than the Village in connection with any application, request, claim or proposal before any Village department, agency, board or commission, or any litigation, negotiations or matter requiring the exercise of discretion to which the Village is a party; or

(7) Pursuant to which the officer or employee will receive, or enter into any agreement, express or implied, to receive compensation for services rendered in connection with any application, request, claim or proposal before any Village department, agency, board or commission, or any litigation, negotiations or matter requiring the exercise of discretion to which the Village is a party.

(d) Notwithstanding the foregoing, a person serving the Village or any agency thereof without compensation shall not be subject to the prohibitions set forth in subdivisions (6) or (7) of this Section

Section 41-10. Future Employment.

(a) No Village officer or employee shall ask for, pursue or accept a private post-government employment opportunity with any person or organization that has a matter requiring the exercise of discretion pending before the Village officer or employee, either individually or as a member of a board or commission, while the matter is pending or within the 60 days following final disposition of the matter.

(b) No Village officer or employee, for the one-year period after serving as a Village officer or employee, shall appear before or communicate in any form with the Village office, board, department or comparable organizational unit for which he or she served, except on behalf of the State or a political subdivision or instrumentality thereof, or in furtherance of the interests of the Village with the approval of the Board of Ethics upon application of the his or her former Village department, agency, board or commission.

(c) No Village officer or employee, at any time after serving as a Village officer or employee, shall represent or render services to a private person or organization in connection with any particular matter in which he or she personally and substantially participated while serving as a Village officer or employee, except on behalf of the State or a political subdivision or instrumentality thereof, or in furtherance of the interests of the Village with the approval of the Board of Ethics upon application of a Village department, agency, board or commission.

Section 41-11. Independent Contractors.

No independent contractor or employee of an independent contractor of the Village shall

seek to exert undue influence, or to obtain an undue preference, on behalf of a private interest, directly or indirectly, in a matter before any Village department, agency, board or commission. A violation of this Section shall be cause for termination of the independent contractor's engagement with the Village.

Section 41-12. Personal Representations and Claims Permitted.

This code shall not be construed as prohibiting a Village officer or employee or an independent contractor of the Village from:

(a) Seeking or accepting Village services, benefits, or the use of Village facilities, on the same terms and conditions as are available to Village residents or a class of similarly situated Village residents.

(b) Representing, without compensation, himself or herself, a Relative, or a member of his or her household before a Village department, agency, board or commission other than the one served by the Village officer, employee or independent contractor; or

(c) Asserting a claim against the Village on his or her own behalf, or on behalf of a Relative or member of his or her household, unless the claim is prohibited by Section 41-2 of this Article, or by Section 801 of the New York General Municipal Law.

Section 41-13. Use of Village Resources.

(a) Village resources shall be used only for authorized Village purposes. Village resources include, but are not limited to, Village personnel, compensated time, money, vehicles, equipment, letterhead, materials, supplies or other property.

(b) No Village officer or employee shall use or permit the use of Village resources for personal or private purposes, but this provision shall not be construed as prohibiting:

(1) Any use of Village resources authorized by law, Village policy or collective bargaining agreement to which the Village is a party;

(2) The use of Village resources for personal or private purposes when provided to a Village officer or employee as part of his or her compensation; or

(3) The occasional and incidental use of Village telephones and computers for necessary personal, non-business matters such as family care and changes in work schedule.

(c) No Village officer or employee shall cause the Village to spend more than is reasonably necessary for transportation, meals or lodging in connection with official

travel.

Section 41-14. Nepotism.

Except as otherwise required by law:

(a) No Village officer or employee, either individually or as a member of a Village board or commission, shall participate in or influence any decision to appoint, hire, promote, discipline or discharge a Relative or a member of his or her household.

(b) No Village officer or employee shall directly supervise a Relative or member of his or her household in the performance of such person's official duties.

Section 41-15. Political Solicitations.

(a) No Village officer or employee shall directly or indirectly use his or her authority or official influence to coerce or compel a subordinate Village officer or employee to make, or promise to make, any political contribution, whether by gift of money, service or other thing of value.

(b) No Village officer or employee shall act or decline to act in relation to appointing, hiring or promoting, discharging, disciplining, or in any manner changing the official rank, status or compensation of any Village officer or employee, or an applicant for a position as a Village officer or employee, on the basis of the giving or withholding or neglecting to make any contribution of money or service or any other valuable thing for any political purpose.

Section 41-16. Confidential Information.

(a) No current or former Village officer or employee shall disclose confidential information concerning the property, government or affairs of the Village or any other confidential information of an official character obtained as a result of Village employment except when disclosure is required by law or when such information is otherwise available to the public, nor shall he or she use such information to advance the financial or other private interest of himself or herself or others.

(b) For the purposes of this Section, the term "confidential information" means:

(1) information made confidential by state or federal law, and

(2) information that the Village has lawfully withheld from public disclosure pursuant to the authority granted by the Open Meetings Law or the Freedom of Information Law.

Section 41-17. Gifts, Tips and other Benefits.

(a) No Village officer or employee shall accept or receive any gift or other benefit, or multiple gifts or other benefits from the same donor in a twelve-month period, having an aggregate value of seventy-five dollars or more when:

(1) the gift or other benefit would reasonably appear to be intended to influence the officer or employee in the exercise or performance of his or her official duties;

(2) the gift or other benefit would reasonably be expected to influence the officer or employee in the exercise or performance of his or her official duties; or

(3) the gift or other benefit would reasonably appear to be intended as a reward for any official action on the part of the officer or employee.

(b) No Village officer or employee shall directly or indirectly solicit, or accept any gift or other benefit from a person who the Village officer or employee knows or has reason to know has received or sought a financial benefit from the Village within the past twelve months.

(c) No Village officer or employee shall solicit, accept or agree to accept any gift, tip or other benefit for having engaged in official conduct which he or she was required or authorized to perform, and for which he or she was not entitled to any special or additional compensation.

(d) For purposes of this Section, the terms "gift", "tip" and "other benefit" include anything of value, whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise, or in any other form. The value of a gift, tip or other benefit is its fair market value, determined by the retail cost of the item or a comparable item. The fair market value of a ticket entitling the holder to food, refreshments, entertainment, or any other benefit is the face value of the ticket, or the actual cost to the donor, whichever is greater.

(e) Notwithstanding the foregoing, this Section shall not prohibit:

(1) Gifts made to the Village and duly accepted on the Village's behalf;

(2) Gifts from a person with a family or personal relationship with the officer or employee when it is reasonable to conclude that the personal relationship, rather than the recipient's status as a Village officer or employee, is the primary motivating factor for the gift;

(3) Gifts given on non-recurring special occasions, such as marriage, illness, or retirement, which are reasonable and customary;

(4) Unsolicited advertising or promotional material of little intrinsic value, such as pens, pencils, note pads, and calendars;

(5) Awards and plaques having a value of less than seventy-five dollars which are publicly presented in recognition of service as a Village officer or employee, or other service to the community; or

(6) Incidental meals and refreshments provided when a Village officer or employee is a speaker or participant at a job-related professional, charitable, educational, or community conference, program or event;

(7) Gifts or benefits having a value of one hundred ($100.00) dollars or less that are received by a Village officer or employee serving in a capacity listed in Section 11 of the Domestic Relations Law for the solemnization of a marriage by the officer or employee at a place other than his or her normal public place of business or at a time other than his or her normal hours of business;

(8) Gifts or benefits having a value of seventy-five ($75.00) dollars or less that are received by a marriage officer appointed by the Village Board of Trustees pursuant to Section 11-c of the Domestic Relations Law and serving without salary or wage, for the solemnization of a marriage by the officer or employee.

(9) Contributions made in accordance with federal or state election law.

Section 41-18. Inducement of Others.

No Village officer, employee or independent contractor shall induce a Village officer, employee or independent contractor to violate, nor aid a Village officer, employee or independent contractor in violating, any of the provisions of this Chapter.

ARTICLE III. DISCLOSURE

Section 41-19. Particular Matter Disclosure.

Whenever a Village officer or employee is required to recuse himself or herself under this Chapter, he or she: (1) shall promptly inform his or her immediate supervisor, if any, and the Board of Ethics; and (2) shall promptly file with the Village Clerk a signed statement disclosing the reason for recusal or, if a member of a board or commission that maintains a public record of its proceedings, shall promptly state that information upon the public record of the board or commission.

Section 41-20. Disclosure of Interests in Village Contracts.

(a) Where a Village officer or employee, or his or her spouse, knows that he or she has or will have an Interest in any actual or proposed contract, purchase agreement, lease agreement, or other agreement, including oral agreements, with the Village, the officer or employee shall publicly disclose the nature and extent of that Interest in writing to his or her immediate supervisor and to the Board of Ethics as soon as he or she has knowledge

of the actual or prospective Interest.

(b) For purposes of this disclosure requirement:

(1) The term "contract" shall mean any claim, account or demand against or agreement with the Village, express or implied; and

(2) A Village officer or employee shall be deemed to have an Interest in the contract of his or her Relative or household member, and any private organization when he or she, or his or her Relative is an owner, partner, member, director, officer, employee or directly or indirectly owns or controls more than 5% of the organization's equity or debt, whether in the form of outstanding stock or otherwise.

Section 41-21. Applicant Disclosure in Land Use Applications.

(a) Every application, petition, or request submitted for a variance, amendment, change of zoning, approval of a plat, exemption from a plat or official map, license or permit, pursuant to the provisions of any local law, rule or regulation constituting the zoning and planning regulations of the Village shall state the name, residence, and the nature and extent of the interest of any officer of the state, or any officer or employee of the County of Suffolk, the Town of Brookhaven, or the Village in the person, partnership or association making the application, petition or request to the extent known.

(b) For the purpose of this disclosure requirement, an officer of the state, or an officer or employee the County of Suffolk, the Town of Brookhaven, or the Village shall be deemed to have an interest in the applicant when he or she, his or her spouse, domestic partner, or their brothers, sisters, parents, children, grandchildren, or the spouse of any of them:

(1) Is the applicant, or

(2) Is an officer, director, partner, or employee of the applicant, or

(3) Legally or beneficially owns or controls stock of a corporate applicant or is a member of a limited liability company, partnership, or association applicant (except that ownership of less than five percent of the stock of a publicly traded corporation shall not constitute an interest for the purposes of this disclosure requirement, or

(4) Is a party to an agreement with such an applicant, express or implied, whereby he or she will receive any payment or other benefit, whether or not for such services rendered, dependent or contingent upon the favorable approval of such application, petition or request.

Section 41-22. Annual Financial Disclosure.

(a) Persons required to file annual statements of financial disclosure. The following

Village Officers and Employees ("individually and collectively, "Reporting Person") shall file an annual statement of financial disclosure with the Board of Ethics:

(1) Elected Village officials,

(2) Department heads, deputy department heads, and division heads,

(3) Village inspectors,

(4) Village Officers or Employees holding policymaking positions.

(b) Policymaking positions. For the purposes of this Section, a person shall be considered to hold a policymaking position if he or she exercises responsibilities of a broad scope in the formulation of plans for the implementation of goals or policy for a local agency or acts as an advisor to an individual in such a position. In determining whether a person holds a policymaking position, the following factors shall be considered, applied to the powers and duties of the position as set forth in the job description or any applicable law or regulation as well as the actual duties performed by the person:

(1) Whether the position permits meaningful input into the governmental decision-making process on issues where there is room for principled disagreement on goals or their implementation;

(2) Whether the powers and duties of the position are broadly defined and require more than the exercise of simple ministerial competence;

(3) Whether the position permits the person to exercise control over other officers or employees;

(4) Whether the position involves the establishment of priorities or the development of programs;

(5) Whether the position requires or authorizes the conducting of studies or entails a significant degree of involvement in the preparation of budgets or budget requests for a local agency or municipality;

(6) Whether the position authorizes the person to speak on behalf of local elected officials or other policymakers;

(7) Whether the position entails frequent contact with local elected officials or their principal deputies.

(c) Form of statement.

(1) All Reporting Persons shall file a disclosure statement in the form annexed hereto

as Appendix A, as such form may be modified from time to time by resolution of the Village Board of Trustees.

(2) The Board of Ethics shall recommend any amendments to the forms of financial disclosure statement that it deems warranted or that may be required by law, and shall submit such recommended amendments, in the form of a resolution, to the Village Board of Trustees for consideration.

(d) Time for filing. Reporting Persons shall file financial disclosure statements with the Board of Ethics on or before May 15 of each year.

(e) Designation of officers and employees required to file annual disclosure statements.

(1) Within ninety days after the effective date of this Chapter, and no later than April 15 of each year thereafter, the Office of the Mayor shall: (i) cause to be filed with the Board of Ethics a list of the names and offices or positions of all officers and employees of the Village required to file annual disclosure statements pursuant to this Chapter; and (ii) notify all such officers and employees of their obligation to file an annual disclosure statement.

(2) Any person designated as a person required to file an annual disclosure statement solely by reason of holding of a policymaking position as that term is used in this Chapter, may apply to the Board of Ethics for reconsideration of his or her filing status and the Board of Ethics may, upon reconsideration, grant an exemption from filing based upon the criteria set forth herein.

(f) Maintenance and public inspection of disclosure statements.

(1) The Village Clerk shall transmit promptly to the Board of Ethics each disclosure statement filed with the Clerk pursuant to this Chapter.

(2) All statements filed with the Board of Ethics shall be available for public inspection and copying; except that:

(i) The Board of Ethics may, on its own initiative, to the extent permitted by the Freedom of Information Law (Article 6 of the New York Public Officers Law) withhold from public disclosure particular information, the disclosure of which would constitute an unwarranted invasion of personal privacy; or

(ii) A Reporting Person may request that such information be withheld from public disclosure, and the Board of Ethics, in its discretion, may grant such request to the extent permitted by the Freedom of Information Law (Article 6 of the New York Public Officers Law).

(g) Review of lists and disclosure statements.

(1) The Board of Ethics shall review:

(i) The lists of officers and employees required to file annual disclosure statements pursuant to this Chapter, to determine whether the lists are complete and accurate. The Board of Ethics shall add the name of any other officer or employee which the Board of Ethics determines should appear on the list and shall remove the name of any officer or employee which the Board of Ethics determines should not appear on the list.

(ii) All annual disclosure statements to determine whether any person required to file such a statement has failed to file it, has filed a deficient statement, or has filed a statement that reveals a possible or potential violation of this Chapter.

(iii) All transactional disclosure statements.

(iv) All applicant disclosure statements.

(2) If the Board of Ethics determines that an annual disclosure statement, a transactional disclosure statement, or an applicant disclosure statement is deficient or reveals a possible or potential violation of this Chapter, the Board of Ethics shall notify the person in writing of the deficiency, or possible or potential violation and of the penalties for failure to comply with this Chapter.

ARTICLE IV. BOARD OF ETHICS

Section 41-23. Board of Ethics.

(a) There is hereby established a Board of Ethics for the Village. The Board of Ethics shall consist of five members appointed by the Village Board of Trustees. The members of the Board of Ethics shall receive no salary or compensation for their services as members of the Board of Ethics.

(b) The Village hereby exercises its authority under the New York Municipal Home Rule Law to supersede Section 808(2) of the New York General Municipal Law as follows. The members of the Board of Ethics shall serve for fixed, staggered terms of five years; with the first members so appointed serving for terms of five years, four years, three years, two years, and one year, respectively. No member of the Board of Ethics shall otherwise be an officer or employee of the Village.

(c) No more than two members of the Board of Ethics shall be enrolled members of the same political party.

(d) The Board of Ethics shall meet at least once each quarter.

(e) The Board of Ethics shall elect a Chairperson from among its members at the first meeting of each year.

(f) The Board of Ethics shall have the confidential advice of legal counsel employed by the Village Board of Trustees or, if none, the Village Attorney, and the services of a confidential secretary employed by the Village.

Section 41-24. Powers and Duties of the Board of Ethics.

(a) The Board of Ethics shall have the following powers and duties:

(1) To prescribe and promulgate rules of procedure for the discharge of its duties;

(2) To review, index, and maintain on file, and make available for public inspection and copying, lists of officers and employees required to file annual disclosure statements, particular matter disclosure statements, applicant disclosure statements, and annual disclosure statements filed with the Board of Ethics pursuant to this Chapter;

(3) To grant exemptions from filing annual statements of financial disclosure from persons designated as policymakers based on the criteria set forth in the Chapter;

(4) To grant exemptions from disclosure of identifying client or customer information to the extent permitted by the Freedom of Information Law (Article 6 of the New York Public Officers Law). In determining a request for such an exemption, the Board of Ethics may consider, among other things, such advisory opinion as the reporting individual may obtain from the applicable professional ethics authority. In addition, the Board of Ethics may consider the nature and size of the client or customer; the significance of the application, request, claim or interest in any proposal or matter before the Village; whether the disclosure may reveal trade secrets; whether disclosure may reasonably be expected to create a risk of retaliation against the client or customer; whether disclosure may cause undue harm to the professional relationship between the reporting person and the client or customer; and whether disclosure may result in an undue invasion of the privacy of the client or customer.

(5) To review, index, maintain on file, and dispose of complaints and to make notifications and conduct investigations pursuant to this Chapter;

(6) To conduct hearings, recommend disciplinary action, assess penalties, make referrals, and initiate appropriate actions and proceedings pursuant to this Chapter;

(7) To grant waivers pursuant to this Chapter;

(8) To render, index, and maintain on file advisory opinions pursuant to this Chapter;

(9) To provide ethics training and education to Village officers and employees;

(10) To prepare an annual report and recommend changes to this Chapter; and

(11) To provide for public inspection and copying of its records, subject to the terms and conditions set forth in this Chapter and in the Freedom of Information Law (Article 6 of the New York Public Officers Law).

(b) Investigations.

(1) Upon receipt of a complaint by any person alleging a violation of this Chapter, any applicable State or local law relating to conflicts of interest and municipal ethics including, but not limited to, article 18 of the General Municipal Law, or any related rule, regulation, policy or procedure of the Village of Port Jefferson, or upon determining on its own initiative that any such violation may exist, the Board of Ethics shall have the power and duty to conduct such investigation as it deems necessary or appropriate to carry out the provisions of this Chapter.

(2) The Board of Ethics shall acknowledge receipt of all complaints that it receives, and shall proceed with reasonable promptness to conduct such investigations thereof as it deems necessary or appropriate.

(3) In conducting investigation, the Board of Ethics may administer oaths or affirmations, subpoena witnesses, compel their attendance, and require the production of books or records that it deems relevant and material.

(4) Complainants shall be afforded such whistleblower protections as may be provided by law, including but not limited to the protections set forth in New York Civil Service Law §75-b and New York Labor Law §740, to the extent applicable.

(5) The Board of Ethics shall state in writing the disposition of every complaint that it receives and of every investigation that it conducts and shall set forth the reasons for the disposition. All such statements and all complaints shall be indexed and maintained on file by the Board of Ethics.

(6) Any person filing a complaint with the Board of Ethics shall be notified in writing of the disposition of the complaint, to the extent permitted by law.

(7) All documents and hearings relating to the investigation and hearing of any alleged violation of this Chapter, any applicable State and local laws relating to conflicts of interest and municipal ethics including, but not limited to, article 18 of the General Municipal Law, and all related rules, regulations, policies and procedures of the Village of Port Jefferson, shall be confidential and not available for public inspection or open to the public, except as otherwise required by this Chapter or by the Freedom of Information Law (Article 6 of the New York Public Officers Law). All dispositions, including

negotiated dispositions, in which the Board of Ethics finds a violation of this Chapter shall be available for public inspection and copying.

(8) Nothing in this Section shall be construed to permit the Board of Ethics to conduct an investigation of itself or of any of its members or staff. If the Board of Ethics receives a complaint alleging that the Board of Ethics or any of its members or staff has violated any provision of this Chapter, or of any other law, the Board of Ethics shall promptly transmit to the Village Board of Trustees a copy of the complaint.

(c) Assessment of penalties; referral for prosecution.

(1) Civil fine. In its discretion after a hearing providing for due process procedural mechanisms, the Board of Ethics may assess a civil fine, not to exceed ten thousand ($10,000) dollars for each violation, upon any current or former Village officer, employee or independent contractor found by the Board of Ethics to have violated this Chapter, any applicable State and local laws relating to conflicts of interest and municipal ethics including, but not limited to, article 18 of the General Municipal Law, and all related rules, regulations, policies and procedures of the Village of Port Jefferson. The civil fine shall be payable to the Village.

(2) Referral to Prosecutor. The Board of Ethics may refer to the appropriate prosecutor any matter that, in the judgment of the Board of Ethics, might involve criminal misconduct. Nothing contained in this Chapter shall be construed to restrict the authority of any prosecutor or the attorney general to prosecute a violation of this Chapter or of any other law. If such a referral is made, the Board of Ethics shall defer taking any further action in the matter pending a determination by the prosecutor that the matter will or will not result in a prosecution.

(d) Recommendation of other sanctions. In its discretion, after a hearing providing for due process procedural mechanisms and subject to any applicable provisions of law and collective bargaining agreements, the Board of Ethics may recommend that the Village Board of Trustees impose one or more of the following sanctions:

(1) Disciplinary action. The Board of Ethics may recommend that the Village impose appropriate disciplinary action.

(2) Damages. The Board of Ethics may recommend that the Village initiate an action in the Supreme Court of the State of New York to obtain monetary damages.

(3) Civil forfeiture. The Board of Ethics may recommend that the Village initiate an action or special proceeding, as appropriate, in the Supreme Court of the State of New York to obtain civil forfeiture.

(4) Debarment. The Board of Ethics may recommend that the Village initiate an action or special proceeding, as appropriate, in the Supreme Court of the State of New York for an order of debarment.

(5) Injunctive relief. The Board of Ethics may recommend that the Village initiate an action or special proceeding, as appropriate, in the Supreme Court of the State of New York for injunctive relief to enjoin a violation of this Chapter, any applicable State and local laws relating to conflicts of interest and municipal ethics including, but not limited to, article 18 of the General Municipal Law, and all related rules, regulations, policies and procedures of the Village of Port Jefferson or to compel compliance therewith.

(e) Nothing in this Section shall be construed to permit the Board of Ethics to take any action with respect to any alleged violation of this Chapter, or of any other law, by the Board of Ethics or by any member or staff member thereof.

(f) Nothing in this Section shall be construed to permit the Board of Ethics to take any action which would violate the terms of any collective bargaining agreement to which the Village is a party.

(g) Waivers.

(1) Upon written application by a current or former Village officer, employee or independent contractor, and upon written approval by his or her agency head, the Board of Ethics may grant the applicant, or his or her private employer or business, a waiver of any of the provisions of Sections 41-4 (Use of Village position for personal or private gain), 41-6 (Recusal), 41-8 (Investments in conflict with official duties), 41-9 (Private employment in conflict with official duties), 41-10 (Future employment), 41-14 (Nepotism), and 41-17(b) and (d) (Gifts) of this Chapter, where the Board of Ethics finds that waiving such provision would not be in conflict with the purposes and interest of the Village, provided, however, that no such waiver shall permit any conduct or interest otherwise prohibited by Article 18 of the General Municipal Law.

(2) Waivers shall be in writing, shall state the grounds upon which they are granted, and shall be available for public inspection and copying. All applications, decisions, and other records and proceedings relating to waivers shall be indexed and maintained on file by the Board of Ethics.

(h) Advisory opinions.

(1) Upon the written request of any current or former Village officer, employee or independent contractor inquiring about himself or herself, or upon the request of the head of a Village department, agency, board or commission inquiring about a person subject to his or her supervision, the Board of Ethics shall render a written advisory opinion with respect to the interpretation or application of this Chapter, any applicable State and local laws relating to conflicts of interest and municipal ethics including, but not limited to, article 18 of the General Municipal Law, and all related rules, regulations, policies and procedures of the Village of Port Jefferson, to the future, continuing or recurring conduct or interests of such Village officer, employee, independent contractor or his or her outside employer or business.

(2) Advisory opinions and requests for advisory opinions shall be indexed and maintained on file by the Board of Ethics. The Board of Ethics shall publish such of its advisory opinions as it believes will provide guidance to other Village officers or employees, provided, however, that the publicly available copy of such opinions shall contain such deletions as may be necessary to prevent disclosure of the identity of the involved officer, employee, independent contractor or his or her outside employer or business. Advisory opinions and requests for advisory opinions shall otherwise be confidential and not available for public inspection or open to the public, except as required by this Chapter or by the Freedom of Information Law (Article 6 of the New York Public Officers Law).

(i) Training and education.

The Board of Ethics:

(1) Shall make information concerning this Chapter available to the officers, employees and independent contractors of the Village, to the public, and to persons interested in doing business with the Village;

(2) Shall develop educational materials and an educational program on the provisions of this Chapter for the officers, employees and independent contractors of the Village, for the public, and for persons interested in doing business with the Village.

(3) The Mayor shall assist the Board of Ethics in the publication, posting, and distribution of a plain language guide and other ethics information and educational materials, including but not limited to posting such ethics information and educational material on the Village website, and in the development and presentation of ethics educational programs.

(4) Each Village officer and employee shall receive ethics training, in such form as determined by the Board of Ethics, within six months of the effective date of this Chapter. Thereafter, all persons required to file annual statements of financial disclosure pursuant to this Chapter shall receive ethics training biennially, and all other Village officers and employees shall receive ethics training at least every four years.

(j) Annual reports; review of ethics laws.

(1) The Board of Ethics shall prepare and submit an annual report to the Village Board of Trustees summarizing the activities of the Board of Ethics. The report may also recommend changes to the text or administration of this Chapter.

(2) The Board of Ethics shall periodically review this Chapter and the administrative procedures promulgated by the Board of Ethics, to determine whether they promote integrity, public confidence, and participation in Village government and whether they set forth clear, reasonable and enforceable standards of conduct.

ARTICLE V. MISCELLANEOUS

Section 41-25. Existing Rights and Remedies.

No existing right or remedy shall be lost, impaired, or affected by reason of this Chapter.

Section 41-26. Posting and Distribution.

(a) The Mayor shall promptly cause a copy of this Chapter, and a copy of any amendment to this Chapter, to be posted publicly and conspicuously in each building under the Village's control. The code shall be posted within ten days following the date on which the code takes effect. Any amendment to this Chapter shall be posted within ten days following the date on which the amendment takes effect.

(b) The Mayor shall promptly cause a copy of this Chapter, including any amendments to the code, to be distributed to every person who is or becomes an officer, employee or independent contractor of the Village.

(c) The failure to post this Chapter or any amendment to the code shall not affect either the applicability or enforceability of the code or the amendment. The failure of a Village officer or employee to receive a copy of this Chapter or an amendment to this Chapter, shall not affect either the applicability or enforceability of the code of ethics or amendment to the code.

Section 2. Severability.

If any clause, sentence, paragraph, subdivision, Section or other part of this local law shall for any reason be adjudged by any court of competent jurisdiction to be unconstitutional or otherwise invalid, such judgment shall not affect, impair or invalidate the remainder of this local law, and it shall be construed to have been the legislative intent to enact this local law without such unconstitutional or invalid parts therein.

Section 3. Effective Date.

This Chapter shall take effect immediately upon filing in the Office of the Secretary of State of New York.

APPENDIX A

VILLAGE OF PORT JEFFERSON
ANNUAL STATEMENT OF FINANCIAL DISCLOSURE

REPORTING PERIOD: CALENDAR YEAR 20____

ALL QUESTIONS MUST BE COMPLETED.

1. NAME AND ADDRESS.

_____
Last Name Middle Initial First Name

_____
Title

_____
Department or Agency

_____
Department or Agency Address Telephone No.

_____
Residence Address Telephone No.

2. SPOUSE AND CHILDREN.

Provide the name of your spouse (if married) and the names of any dependent children: If none, place a check mark in the following box.

□ **none.**

_____ _____
Spouse Child/Age

_____ _____
Child/Age Child/Age

NOTE: FOR QUESTIONS 3 TO 6. DO NOT REPORT EXACT DOLLAR AMOUNTS. INSTEAD, REPORT CATEGORIES OF AMOUNTS, USING THE FOLLOWING:

CATEGORY A: UNDER $5,000
CATEGORY B: $5,000 TO UNDER $10,000
CATEGORY C: $10,000 TO UNDER $25,000
CATEGORY D: $25,000 TO UNDER $50,000
CATEGORY E: $50,000 TO UNDER $100,000
CATEGORY F: $100,000 OR MORE

3. FINANCIAL INTERESTS.

a. *Business Positions.* List any office, trusteeship, directorship, partnership, or other position in any business, association, proprietary, or not-for-profit organization held by you and your spouse or your dependent children, if any, and indicate whether, to your knowledge, during the reporting period, these entities had any application, request, claim or interest in any proposal before a Village department, agency, board or commission, or any litigation, negotiations or matter requiring the exercise of discretion to which the Village was then a party. If none, place a check mark in the following box.

☐ **none**

Name of Family Member	Position	Organization	Village Department Agency and Nature or Involvement

b. *Outside Employment.* Describe any outside occupation, employment, trade, business, or profession providing more than $1,000 per year for you, your spouse and your dependent children, if any, and indicate whether such activities were regulated by any state or local agency. If none, place a check mark in the following box.

□ **none**

Name of Family Member	Position	Name, Address, and Description of Organization	State or Local Agency	Category of Amount

c. *Future Employment.* Describe any contract, promise, or other agreement between you and anyone else with respect to your employment after leaving your Village office or position. If none, place a check mark in the following box.

□ **none**

_____

_____

_____

d. *Past Employment.* Identify the source and nature of any income in excess of $1,000 per year from any prior employer, including deferred income, contributions to a pension or retirement fund, profit sharing plan, severance pay, or payments under a buy-out agreement. If none, place a check mark in the following box.

□ **none**

Name and Address of Income Source	Description of Income (i.e., pension, deferred, etc.)	Category of Amount

e. *Investments*. Itemize and describe all investments of you, your spouse, and your dependent children, if any, which have a value in excess of $5,000, or that constitute five percent or more of the debt or equity of any business, limited liability company, partnership, association, or corporation. Include stocks, bonds, loans, pledged collateral, and other investments. Investments in publicly traded stocks and bonds amounting to less than five percent of the debt or equity of the issuer entity may be listed in the aggregate (*e.g.*, in lieu of listing each stock individually, you can provide the name of the Bank/Brokerage Account and category of value for the total amount invested). List the location of all real estate within the Village of Port Jefferson or within five hundred feet of a boundary of the Village, in which you, your spouse, or your dependent children, if any, have an interest, regardless of its value. Do not list your residence. If none, place a check mark in the following box.

☐ **none**

Name of Family Member	Name and Address of Business or Real Estate	Description of Investment	Category of Amount

f. *Trusts and Other Beneficial Interests*. Identify each interest in a trust or estate or similar beneficial interest in any assets in excess of $2,000. Do not list 403(b) plans, Roth Individual Retirement Accounts or other IRS eligible retirement plans, or interests in an estate or trust created by or for a spouse, child, stepchild, dependent, parent, stepparent, sibling or stepsibling. If none, place a check mark in the following box.

☐ **none**

Trustee/Executor	Description Trust/Estate	Category of Amount

g. *Other Income*. List the source and describe the nature of any other income in excess of $1,000 per year from any source not described above, including fiduciary positions, teaching income, lecture fees, consultant fees, contractual income, rents or other income of any nature, or you, your spouse and your dependent children, if any. Income from real estate rents derived from real property located in the Village of Port Jefferson, or within five hundred feet of a boundary of the Village should be identified by the property address. Do not list maintenance, alimony or child support. If none, place a check mark in the following box.

□ **none**

Name of Family Member	Name and Address of Income Source	Nature of Income	Category of Amount

4. GIFTS AND HONORARIA.

List the source of all gifts aggregating in excess of $250 received during the last year by you, your spouse or dependent child, excluding gifts from a Relative. The term "gifts" includes gifts of cash, property, personal items, payments to third parties on your behalf, forgiveness of debt, honorariums, and any other payments that are not reportable as income. If none, place a check mark in the following box.

□ **none**

Name of Family Member	Name and Address of Donor	Category of Amount

5. THIRD-PARTY REIMBURSEMENTS.

List and describe the source of any third-party reimbursement for travel-related expenditures in excess of $250 for any matter that relates to your official duties. The term "reimbursement" includes any travel-related expenses provided by anyone other than the Village of Port Jefferson for speaking engagements, conferences, or fact-finding events that relate to your official duties. If none, place a check mark in the following box.

☐ **none**

Source	Description	Category of Amount

6. DEBTS.

List all debts of you, your spouse, and your dependent children in excess of $5,000. Do not list any obligation to pay maintenance, alimony or child support. Do not list any loan issued in the ordinary course of business by a financial institution to finance educational costs, the cost of home purchase or improvements for a primary or secondary residence, or purchase of a personally owned motor vehicle, household furniture or appliances, or clothing. If none, place a check mark in the following box.

☐ **none**

Name of Family Member	Name and Address of Creditor	Category of Amount

7. INTEREST IN CONTRACTS.

Describe any interest of you, your spouse, or your dependent children in any contract involving the Village of Port Jefferson or any municipality located within the Village. If none, place a check mark in the following box.

☐ **none**

Name of Family Member	Contract Description
_____	_____
_____	_____
_____	_____

8. POLITICAL PARTIES.

List any position you held within the last five years as an officer of any political party, political committee, or political organization. The term "political organization" includes any independent body or any organization that is affiliated with or a subsidiary of a political party. If none, place a check mark in the following box.

☐ **none**

_____

_____

_____

9. CLIENTS AND CUSTOMERS DOING BUSINESS WITH THE VILLAGE.

Identify any client or customer that both: (i) you know that you, your outside employer, firm, limited liability company, partnership, association, or corporation in which you are the owner of more than five percent of the outstanding shares of corporate stock, derived income in excess of five thousand dollars ($5,000), and (ii) you know that during the reporting period, had any application, request, claim or interest in any proposal before a Village department, agency, board or commission, or any litigation, negotiations or matter requiring the exercise of discretion to which the Village was then a party.

Do not identify any client or customer that received medical, pharmaceutical or dental services, or mental health services.

Do not identify any client or customer that received residential real estate services, other than services rendered in connection with a land use application.

Do not identify any client or customer represented in connection with an investigation or prosecution by law enforcement authorities, bankruptcy, family court, estate planning, or domestic relations matters.

Do not identify any client or customer represented pursuant to an insurance policy, but identify the source of compensation paid to you or the firm.

Do not disclose information prohibited from disclosure by federal or state law, such as information governed by the Family Court Act or the identity of any minor client or customer.

You may seek an exemption from the Board of Ethics in connection with the disclosure of identifying client or customer information.

If none, place a check mark in the following box.

☐ **none**

Client or Customer	Village Application Claim, Request or Proposal	Amount of Income by Category

10. DISCLOSURE BY LICENSED PROFESSIONALS AND LOBBYISTS.

a. If you were licensed to practice law, worked as a licensed real estate broker or agent, practiced a profession licensed by the New York State Education Department, or worked as a member or employee of a firm required by law to register as a lobbyist, give a general description of the principal subject areas of matters that you handled during the reporting period, the compensated services that you performed, and whether you personally provided services directly to clients. If none, place a check mark in the following box.

□ **none**

_____

_____

_____

_____

b. If you were licensed to practice law, worked as a licensed real estate broker or agent, practiced a profession licensed by the New York State Education Department, or worked as a member or employee of a firm required by law to register as a lobbyist, and are a partner or shareholder in the firm or corporation that engaged in such activities, give a general description of the principal subject areas of matters that the firm or corporation handled during the reporting period. If none, place a check mark in the following box.

□ **none**

_____

_____

_____

_____

I have received and read a copy of the Village of Port Jefferson Code of Ethics.

_____ _____

Signature Date

DO YOU HAVE QUESTIONS ABOUT THE CODE OF ETHICS? For a confidential advisory opinion, contact the Board of Ethics at the following address, or as provided on the Village's web site:

SECRETARY TO BOARD OF ETHICS
VILLAGE HALL
121 West Broadway
Port Jefferson, NY 11963
(631) 473-4724
spirillo@portjeff.com