



## City of Chicago Board of Ethics 2023 Statement of Financial Interests Instructions and Definitions

**A. Who Must File?** Article III of Chicago's Governmental Ethics Ordinance ("Ordinance") requires "reporting individuals" to file a Statement of Financial Interests with the Board of Ethics by 11:59:59 pm on Monday, May 1, 2023. "Reporting individuals" are:

- (i) Each elected City official;
- (ii) Each appointed City official, except a member of an agency that is solely advisory in nature and has no authority to make binding decisions, to enter into contracts or to make expenditures, other than expenditures necessarily incurred for research in connection with its advisory functions;
- (iii) Each Mayor's office employee who is not solely clerical (the term "clerical" is defined in §2-156-010 (e-2) of the Ordinance);
- (iv) Each "City Council employee" and "City Council contractor" who is not solely clerical (the term "clerical" is defined in §2-156-010 (e-2); the term "City Council employee" is defined in §2-156-010(d-1); and the term "City Council contractor" is defined in §2-156-010(d-2));
- (v) Each person who qualifies as candidate for City elected office; and
- (vi) The following City employees:
  - \* Department or agency heads;
  - \* Deputy and assistant commissioners or directors;
  - \* Chief financial and accounting directors;
  - \* Chief grant coordinators or program managers;
  - \* Police personnel with the rank of Lieutenant and above, and Shakman-exempt civilians;
  - \* Fire Department personnel with the rank of Battalion Chief and above, and Shakman-exempt civilians;
  - \* Employees with policy-making authority, or decision-making responsibilities for negotiating, authorizing or approving the performance of City contracts, leases or land use applications;
  - \* Employees who are responsible for inspecting or licensing any person or entity;
  - \* Employees whose primary duty is to invest public funds;
  - \* Employees who direct, supervise or manage 20 or more other City employees

**B. When Must They File?** Reporting individuals must file within 30 days of when they first become a reporting individual, and then before the close of business of May 1 of each year thereafter in which they are reporting individuals. **Failure to file by the deadline constitutes a violation of law (§2-156-190(a)), which subjects the reporting individual to disciplinary action, including discharge, fines of \$250 per day until the date of filing, removal from office, and public disclosure of the violator's name and violation. The deadline is 11:59:59 pm on Monday, May 1, 2023.**

**C. Definitions.** The following terms are marked with an asterisk because they have specially defined meanings:

**1. City contractor\*** means any person (including his agents or employees acting within the scope of their employment) who is paid from the City treasury or pursuant to City ordinance, for services to any City agency, regardless of the nature of the relationship of such individual to the City for purposes other than the Ordinance. A "city contractor" shall not include officials and employees.

**2. City Council employee\*** means an individual employed by an alderman or a City Council committee, bureau or other service agency of the City Council (whether full- or part-time).

**3. City Council contractor\*** means an individual retained as an independent contractor by any City Council member, City Council committee, or bureau or other service agency of the City Council to provide services to any of the foregoing, provided that such services are related to City governmental functions and duties, and excluding services related to the physical maintenance of City or aldermanic offices, such as, without limitation, custodial services, painting, landscaping, or plumbing.

**4. Doing Business\*** means any one or any combination of sales, purchases, leases, or contracts to, from, or with the City or any City agency (or sister agency) in an amount in excess of \$10,000 in any twelve consecutive months.

**5. Domestic Partner\*** means a "qualified domestic partner" as defined in section 2-152-072 of the Municipal Code.

**6. Financial Interest\*** means an interest held by an official or employee that is valued or capable of valuation in monetary terms with a current value of more than \$1,000.00, provided that such interest shall not include: (1) the authorized compensation paid to an official or employee for any office or employment; or (2) a time or demand deposit in a financial institution; or (3) an endowment or insurance policy or annuity contract purchased from an insurance company; or (4) any ownership through purchase at fair market value or inheritance of the shares of a mutual fund corporation, regardless of the value of or dividends on such shares, if such shares are registered on a securities exchange pursuant to the Securities Exchange Act of 1934, as amended; or (5) any ownership through purchase at fair market value or inheritance of not more than one-half of one percent of the outstanding common stock of the shares of a corporation, or any corporate subsidiary, parent or affiliate thereof, regardless of the dividends on such shares, if such shares are registered on a securities exchange pursuant to the Securities Exchange Act of 1934, as amended.

7. **Gift\*** means anything of value given without fair-market consideration.

8. **Person\*** refers to any individual, entity, corporation, partnership, firm, association, union, trust, estate, as well as any parent or subsidiary of any of the foregoing, whether or not operated for profit.

9. **Professional Services\*** means services in any occupation requiring advanced or specialized education and training, including without limitation law, accounting, insurance, real estate, engineering, medicine, architecture, dentistry, banking, finance, public relations, education or consulting.

10. **Relative\*** means a person who is related to an official, candidate for city office, or employee as spouse or as any of the following, whether by blood or by adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister, half-brother or half-sister.

**D. Answering Question 2.** Question 2 asks whether, in the previous year, you served as an employee, officer, director, associate, partner, proprietor or in any advisory capacity for **any** business or organization **other than the City of Chicago** from which you derived more than \$1,000 in income. **This means you must list any position you had in 2022 from which you derived more than \$1,000 in income or compensation, even if you had no paid position with the City in 2022. For many appointed officials, this will mean their primary job.** Therefore, answer “no” *only* if you were *not* employed by or had no position with *any* person other than the City of Chicago in the previous year, or did not derive more than \$1,000 in income or compensation from any such employer, etc. in the previous calendar year. *Example:* John Smith was employed full-time by ABC, Inc. in 2022, and received \$70,000 in compensation from it in 2022. He did not become a City employee or official until February 2023. On Question 2 on his 2023 form, he must still disclose ABC, Inc. and categorize his 2022 income from it.

**E. Questions 3-5.** These questions ask whether, in the previous year, you, your spouse or domestic partner, or any business in which either of you have a financial interest\* (i.e. an ownership interest worth more than \$1,000) received more than \$5,000 compensation for services rendered to any other person or business which, in that calendar year, did business with\* the City or its named sister agencies. If yes, you must disclose the name of that person or business, which government entity it did business with, and categorize the income received by you, your spouse/domestic partner, or business in which either of you have a financial interest.

**F. Questions 13 and 14.** Note that question 13 does *not* ask you to disclose *every* loan you have—it requires you to disclose only loans of more than \$5,000 that you have outstanding on the date you file the form if the creditor, debtor or guarantor of the loans did business with or work for the City in the previous calendar year, excluding standard market rate loans from banks or other financial institutions (even if those banks or institutions did business with the City in the previous calendar year). Question 14 asks whether, at the time of filing, you serve on any boards or commissions, located anywhere. So, for example, if you serve on a condo board in Lake Geneva WI, you must disclose that.

**G. Questions 15 and 17.** Note that question 15 has a new scope: it asks whether you have any relatives who are registered as lobbyists to lobby any other unit of government within the State of Illinois, meaning that they are registered with the Illinois Secretary of State, not just with the City of Chicago. Question 17 is new for 2023. City Council members may answer “no,” but City Council employees and contractors must identify the name of each City Council member or committee on which or for whom they work.

**H. Other Information.**

1. The information you provide in the Statement is subject to verification by you. If you knowingly provide false or misleading information, you can be disciplined or discharged from your job or office.

2. By law, filed Statements of Financial Interests are available for examination and duplication by anyone upon request. Your home address and social security and/or City payroll number (if on the form) will be deleted if your Statement is viewed. **Please note, however, that you will not receive notice either of the request or information about the requestor.** Forms filed in 2016 and after are posted on the Board’s website, with appropriate deletions to protect privacy.

3. Please call (312) 744-9660 with any questions. If you choose to file on paper, send the printed, completed, signed form to: **City of Chicago Board of Ethics, 740 North Sedgwick, Suite 500, Chicago, IL 60654.**

4. A receipt is sent to each person who has filed a Statement of Financial Interests with our office.

**5. PLEASE DO NOT CONFUSE THIS FORM WITH THE STATEMENT OF ECONOMIC INTERESTS THAT MANY CITY EMPLOYEES AND OFFICIALS MUST FILE ANNUALLY BY MAY 1 WITH THE COOK COUNTY CLERK’S OFFICE. THEY ARE TWO SEPARATE FILING REQUIREMENTS, PURSUANT TO TWO SEPARATE LAWS.**

**BOARD OF ETHICS  
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