

2017 FINANCIAL DISCLOSURE FILING REQUIREMENTS
(For 2016 Tax Year)

STATE REQUIREMENTS:

LOCAL OFFICERS & CANDIDATES FOR LOCAL OFFICE (and designated employees)*

Please note: Those required to file State Forms 1 (1,1F, and 1X) may send the completed form by mail or email to the Department of Elections in the County in which the filers reside. Each Department of Elections will provide the email address to which the forms can be sent. For additional information regarding Florida State Financial Disclosure visit the Florida Commission on Ethics' website at: <http://www.ethics.state.fl.us/>

FORMS TO FILE	WHEN FILED	WHERE FILED
Statement of Financial Interests (STATE FORM 1) **	Officers & employees file within 30 days of appointment or employment and then annually by July 1 of each year Candidates for local elective office file at the same time qualifying papers are filed	File in the Department of Elections in the County in which you reside In Miami-Dade County: Miami-Dade Elections Department 2700 NW 87 th Ave. Miami, FL 33172 <i>or</i> P.O. Box 521550 Miami, FL 33152-1550 <i>or</i> Email to financial.disclosures@miamidade.gov Candidates for municipal office file with respective municipal clerks. Candidates for county office file with the Miami-Dade County Elections Department
Final Statement of Financial Interests (STATE FORM 1F)	Within 60 days after leaving office or employment, unless taking another position that requires filing either Form 1 or Form 6	File in the Department of Elections in the County in which you reside In Miami-Dade County: Miami-Dade Elections Department 2700 NW 87 th Ave. Miami, FL 33172 <i>or</i> P.O. Box 521550 Miami, FL 33152-1550 <i>or</i> Email to financial.disclosures@miamidade.gov
Amendment to Statement of Financial Interests (STATE FORM 1X)	When seeking to amend a previously filed STATE FORM 1	File in the Department of Elections in the County in which you reside In Miami-Dade County: Miami-Dade Elections Department 2700 NW 87 th Ave. Miami, FL 33172 <i>or</i> P.O. Box 521550 Miami, FL 33152-1550 <i>or</i> Email to financial.disclosures@miamidade.gov

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FORMS TO FILE	WHEN FILED	WHERE FILED
Quarterly Gift Disclosure (STATE FORM 9)	No later than the last day of the calendar quarter (<i>i.e.</i> , March 31, June 30, Sept. 30, Dec. 31), for any gift received from an individual or single entity during the previous calendar quarter and valued in excess of \$100 No reporting required if no gifts were received	Florida Commission on Ethics: P. O. Drawer 15709 Tallahassee, Florida 32317
Gifts from Governmental Entities, Direct-Support Organizations, Honorarium Event Related Expenses (STATE FORM 10)	July 1, annually, if a reportable gift, honorarium, or honorarium-related expenses were received during the preceding calendar year	Florida Commission on Ethics: P. O. Drawer 15709 Tallahassee, Florida 32317
Quarterly Client Disclosure , for an individual who (or whose professional firm) has represented a client for a fee before an agency at his or her level of government, with certain exceptions (STATE FORM 2)	No later than the last day of each calendar quarter (<i>i.e.</i> , March 31, June 30, Sept. 30, Dec. 31) for the previous calendar quarter in which a reportable representation occurred	File in the Department of Elections in the County in which you reside In Miami-Dade County: Miami-Dade Elections Department 2700 NW 87 th Ave. Miami, FL 33172 or P.O. Box 521550 Miami, FL 33152-1550

*** LOCAL OFFICERS & CANDIDATES FOR LOCAL OFFICE (and designated employees)** as defined by Fla. Stat. 112.3145(1)(a) (2016)

1. Every person who is elected to office in any political subdivision of the state, and every person who is appointed to fill a vacancy for an unexpired term in such an elective office.
2. Any appointed member of any of the following boards, councils, commissions, authorities, or other bodies of any county, municipality, school district, independent special district, or other political subdivision of the state:

- a. The governing body of the political subdivision, if appointed;
- b. A community college or junior college district board of trustees;
- c. A board having the power to enforce local code provisions;
- d. A planning or zoning board, board of adjustment, board of appeals, community redevelopment agency board, or other board having the power to recommend, create, or modify land planning or zoning within the political subdivision, except for citizen advisory committees, technical coordinating committees, and such other groups who only have the power to make recommendations to planning or zoning boards;
- e. A pension board or retirement board having the power to invest pension or retirement funds or the power to make a binding determination of one's entitlement to or amount of a pension or other retirement benefit; or
- f. Any other appointed member of a local government board who is required to file a statement of financial interests by the appointing authority or the enabling legislation, ordinance, or resolution creating the board.

3. Any person holding one or more of the following positions: mayor; county or city manager; chief administrative employee of a county, municipality, or other political subdivision; county or municipal attorney; finance director of a county, municipality, or other political subdivision; chief county or municipal building code inspector; county or municipal water resources coordinator; county or municipal pollution control director; county or municipal environmental control director; county or municipal administrator, with power to grant or deny a land development permit; chief of police; fire chief; municipal clerk; district school superintendent; community college president; district medical examiner; or purchasing agent having the authority to make any purchase exceeding the threshold amount provided for in s. [287.017](#) for CATEGORY ONE (\$20,000), on behalf of any political subdivision of the state or any entity thereof.

****ETHICS TRAINING REQUIREMENT AND REPORTING ON STATE Forms 1 and 6.**

State

Part G, State Form 1; and **Part F, State Form 6,** - Training Certification pursuant to Fla. Stat. 112.3142 (2016) instructs as follows:

"If you are a Constitutional or elected municipal officer whose term began before March 31 of the year for which you are filing, you are required to complete four hours of ethics training which address Article II, Section 8 of the Florida Constitution, the Code of Ethics for Public Officers and Employees and the public records and open meetings laws of the state. You are required to certify on this form that you have taken such training." (This course may be provided by any qualified individual, organization, or agency.)

County

Separate Ethics training requirement under the County Ethics Code at s. 2-11.1(bb):

The County Ethics Code at Section 2-11.1(bb) requires elected officials to also complete a course offered by the Miami-Dade Ethics Commission within 90 days of election or re-election. The course will cover the Sunshine Law, Public Records Law, County Ethics Code and Citizens' Bill of Rights, as well as some selected portions of the State Ethics Code. This course offered by the COE, may be applied in partial satisfaction of the State requirement.

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STATE REQUIREMENTS:

EACH EXPRESSWAY AUTHORITY, TRANSPORTATION AUTHORITY, CIRCUIT COURT JUDGES, COUNTY JUDGES, CLERKS OF CIRCUIT COURTS, SHERIFFS, ELECTED PROPERTY APPRAISERS, ELECTED SUPERVISORS OF ELECTIONS, AND COUNTY COMMISSIONERS (also referred to as Elected Constitutional Officers). **Please note:** Those required to file State Forms 6 (6, 6F, 6X) must submit an original signed document (photo copies, faxes, and electronic copies not accepted). For additional information regarding Florida State Financial Disclosure visit the Florida Commission on Ethics' website at: <http://www.ethics.state.fl.us/>

FORMS TO FILE	WHEN FILED	WHERE FILED
Full and Public Disclosure of Financial Interests (STATE FORM 6) <i>See page 2 of this chart for ethics training requirements</i>	Incumbent officials must file annually by July 1 Candidates must file at the time of qualifying	Florida Commission on Ethics: P. O. Drawer 15709 Tallahassee, Florida 32317 Candidates file with the officer before whom they qualify
Final Full and Public Disclosure of Financial Interests (STATE FORM 6F)	Within 60 days after leaving public office, unless taking another position that requires full and public financial disclosure using STATE FORM 6	Florida Commission on Ethics: P. O. Drawer 15709 Tallahassee, Florida 32317
Amendment to Full and Public Disclosure of Financial Interests (STATE FORM 6X)	When seeking to amend a previously filed STATE FORM 6	Florida Commission on Ethics: P. O. Drawer 15709 Tallahassee, Florida 32317
Quarterly Gift Disclosure , (not required of judges) (STATE FORM 9)	No later than the last day of the calendar quarter (<i>i.e.</i> , March 31, June 30, Sept. 30, Dec. 31) for any gift received from an individual or single entity during the previous calendar quarter and valued in excess of \$100. No reporting required if no gifts were received	Florida Commission on Ethics: P. O. Drawer 15709 Tallahassee, Florida 32317
Gifts from Governmental Entities, Direct-Support Organizations, Honorarium Event Related Expenses , but not required of judges (STATE FORM 10)	July 1, annually, if a reportable gift, honorarium, or honorarium-related expenses were received during the preceding calendar year	Florida Commission on Ethics: P. O. Drawer 15709 Tallahassee, Florida 32317
Quarterly Client Disclosure , for an individual who (or whose professional firm) has represented a client for a fee before an agency at his or her level of government, with certain exceptions (STATE FORM 2)	No later than the last day of the calendar quarter (<i>i.e.</i> , March 31, June 30, Sept. 30, Dec. 31) for the previous calendar quarter in which a reportable representation occurred	Elected constitutional officers file with: Florida Commission on Ethics: P. O. Drawer 15709 Tallahassee, Florida 32317 Local officer files with: Miami-Dade Elections Department 2700 NW 87 th Ave. Miami, FL 33172 <i>or</i> P.O. Box 521550 Miami, FL 33152-1550

2017 FINANCIAL DISCLOSURE FILING REQUIREMENTS

(For 2016 Tax Year)

COUNTY REQUIREMENTS:

† **CERTAIN COUNTY & MUNICIPAL PERSONNEL & NON-EXEMPT ADVISORY BOARD MEMBERS**, as defined by the Miami-Dade County Code at Sec. 2-11.1(i)(2) & (4), who are not required to file under State Law.

FORMS TO FILE	WHEN FILED	WHERE FILED
<p>Financial Disclosure is satisfied by filing any of the following:</p> <p>-Source of Income Statement (SOI - MIAMI-DADE CO. Form) To report Sources of Income for the preceding calendar year.</p> <p>-FINAL Source of Income Statement (SOI-F MIAMI-DADE CO. Form) SOI filers use to report a final financial statement upon leaving public office or employment</p> <p>-2016 Federal Income Tax Return For individuals or most recent federal income tax return for corporations</p> <p>-Statement of Financial Interests (STATE FORM 1) For “local officers” required to comply with Fla. Stat. 112.3145 ††</p>	<p>-July 1, 2017, by 12:00 Noon</p> <p>NOTE ALSO</p> <ul style="list-style-type: none"> • Candidates file at the same time qualifying papers are filed • Consultants file within 30 days of execution of their county contracts, and by July 1st every year thereafter <p>-Immediately upon leaving public office or employment or any time thereafter, but no later than 12:00 noon of the July 1st following the last year of public service or employment</p>	<p>Those required to file financial disclosure due to a County position, file with:</p> <p>Miami-Dade Elections Dept. 2700 NW 87th Ave. Miami, FL 33172</p> <p style="text-align: center;">or</p> <p>P.O. Box 521550 Miami, FL 33152-1550</p> <p style="text-align: center;">or</p> <p>Email to financial.disclosures@miamidade.gov</p> <p>Those required to file financial disclosure due to a Municipal position, (SOI or SOI-F, file with their respective municipal clerk.</p>
<p>Gift Disclosure is satisfied by filing the following</p> <ul style="list-style-type: none"> • Quarterly Gift Disclosure (MIAMI-DADE CO. Form) 	<p>No later than the last day of the calendar quarter (<i>i.e.</i>, March 31, June 30, Sept. 30, Dec. 31) for any gift received from an individual or single entity during the previous calendar quarter and valued in excess of \$100.</p> <p>No reporting required if no gifts were received.</p>	<p>County personnel file with the Miami-Dade Clerk of the Board of Co. Commissioners 111 NW 1st St., #17-202 Miami, FL 33128</p> <p>Municipal personnel file with respective municipal clerk</p>

† **CERTAIN COUNTY & MUNICIPAL PERSONNEL & NON-EXEMPT ADVISORY BOARD MEMBERS** include Assistant Manager(s), Assistant County Attorneys, Deputy Mayors; Heads or Directors of County Departments and their Assistant or Deputy Department Heads; Employees of the Miami-Dade County Police Dept. with the Rank of Captain, Major; Building and Zoning Inspectors; Any Architect, Professional Engineer, Landscape Architect, or Registered Land Surveyor performing services for Miami-Dade County pursuant to a contract; Local Autonomous and Semi-Autonomous Personnel, Boards, and Agencies who were not required to file under State law; Local Personnel who perform quasi-judicial functions who were not required to file under State law; Local Advisory Personnel, whose sole or primary responsibility is to recommend legislation or give advice to the Board of County Commissioners, including Members of any County Board, who were not required to file under State law (except those exempted by ordinance or resolution); Candidates for certain County and Municipal Elective Office. References to County positions are applicable to comparable municipal positions.

†† Certain local officers who are required to comply with State financial disclosure requirements and file as per Fla. Stat. 112.3145 (2016) automatically satisfy Miami-Dade County disclosure requirements. However, compliance with Miami-Dade County disclosure requirements does not satisfy State requirements.

Penalties

A finding by the Ethics Commission that a covered person has violated Section 2-11.1(i) of the County Ethics Code will subject said person to the penalties set out in Section 2-11.1(cc) of the County Ethics Code. These penalties include but are not limited to:

- An admonition or public reprimand and/or a fine of \$500.00 for the first violation
- A fine of \$1,000.00 for each subsequent violation.
- Finding by the Ethics Commission of an intentional violation is subject to a fine of one thousand dollars (\$1,000.00) for the first such violation and two thousand dollars (\$2,000.00) for each subsequent violation.

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COUNTY REQUIREMENTS:

FULL-TIME COUNTY & MUNICIPAL EMPLOYEES ENGAGED IN OUTSIDE EMPLOYMENT

FORMS TO FILE	WHEN FILED	WHERE FILED
<ul style="list-style-type: none"> Request for Outside Employment (MIAMI-DADE CO. Form) 	<p>County full time and part time employees: before accepting outside employment, and every year thereafter while engaged in outside employment, submit Request for Outside Employment in order to obtain permission.</p> <p>Municipal employees: follow municipal ordinances and procedures regarding permission to engage in outside employment.</p>	<p>County Employees submit Request for Outside Employment to DPR and a copy forwarded to Human Resources Dept.:</p> <p>111 NW 1st St., #2020 Miami, FL 33128</p> <p>Municipal employees file according to municipal ordinances and procedures regarding permission to engage in outside employment.</p>
<ul style="list-style-type: none"> Outside Employment Statement¹ (MIAMI-DADE CO. Form) 	<p>Full time Miami-Dade County and municipal employees with outside employment must file an Outside Employment Statement by July 1, 2017, and each year thereafter while engaged in outside employment.</p>	<p>Outside Employment Statement is filed with: Miami-Dade Elections Dept. 2700 NW 87th Ave. Miami, FL 33172</p> <p style="text-align: center;"><i>or</i></p> <p>P.O. Box 521550 Miami, FL 33152-1550</p> <p style="text-align: center;"><i>or</i></p> <p>Email to financial.disclosures@miamidade.gov</p> <p>Municipal personnel file with respective municipal clerk</p>

ANY COUNTY EMPLOYEE AUTHORIZED TO APPROVE AN EXPENDITURE EXCEEDING \$20,000,² including electronic signature approvals in ADPICS and FAMIS.

FORMS TO FILE	WHEN FILED	WHERE FILED
<p>Statement of Financial Interests (STATE FORM 1)</p>	<p>July 1, 2017, by 12:00 Noon</p>	<p>Miami-Dade Elections Dept. 2700 NW 87th Ave. Miami, FL 33172</p> <p style="text-align: center;"><i>or</i></p> <p>P.O. Box 521550 Miami, FL 33152-15500</p>

¹ Miami-Dade Code at Sec. 2-11.1(k)(2)

² Fla. Stats. 112.3145 (1) (2016) and 287.017 (2016).