

General Instructions

This form consists of three Schedules. If possible, use a black ink pen or typewriter to fill out your report. If you have no information to report in any Part of a Schedule, you should indicate "None." Schedule A combines a report of income items with the disclosure of certain property interests. Schedules B and C relate to liabilities and employment relationships.

SCHEDULE A

Part I. Assets and Income

A. Items to Report

Report the identity and valuation of any interest in property (real or personal) held by you, your spouse or dependent child in a trade or business, or for investment or the production of income which has a fair market value which exceeds \$5,000 as of the close of the reporting period. These interests include, but are not limited to, stocks, bonds, futures contracts, mutual funds, beneficial interests in trusts, real estate, commercial property, accounts or other funds receivable, and items held for resale or investment. Exceptions: Exclude your personal residence (unless rented out) and any personal liability owed to you, your spouse or dependent child by a spouse or dependent child, or by a parent, brother, sister or child of you, your spouse, or dependent child. Exclude any retirement benefits and any pension benefits.

With respect to assets of a spouse or a dependent child, do not report items:

- (1) which represent your spouse's or dependent child's sole financial interest or responsibility and of which you have no knowledge;
- (2) which are not in any way, past or present, derived from your income, assets, or activities; and
- (3) from which you neither derive, nor expect to derive, any financial or economic benefit.

A personal residence held for investment or production of income, such as a summer home rented during parts of the year, must be reported.

B. What to Show on the Form

Enter the identity of the asset and then show the value.

If you hold different types of securities of the same corporation (e.g., bonds and stocks of "X" Corporation), these holdings should be considered as being from the same source for purposes of determining whether the aggregate value of the interest is below or above the \$5,000 threshold value. Report personal savings accounts only if they aggregate more than \$10,000 in a single financial institution.

If you have an interest in an investment fund or pool which is an “excepted investment fund”,¹ you need only identify the interest by giving the complete name of the fund, rather than identifying the underlying assets as well.

With respect to trusts in which a vested beneficial interest in principal or income is held, or as to which you serve as trustee, report trust interests and trust assets that had a value in excess of \$5,000.

You need not report the identity of assets of a trust of which you, your spouse or dependent children are the beneficiaries if the interest is:

1. a “blind trust” or “diversified trust,” or
2. an “excepted trust,” that is, one which:
 - A. was not created by you or your spouse or dependent children, and
 - B. has holdings or sources of income of which you, your spouse and dependent children have no knowledge.

Part II. Earned and Other Non-Investment Income

A. Items to Report

For yourself, report the identity of the source and the type and actual amount of non-investment income exceeding \$1000 from any one source, amount and date of honoraria exceeding \$200 from any one source. Such income includes fees, salaries, commissions, and compensation for personal services.

For your spouse, report the source, but not the amount, of non-investment income exceeding \$1,000 and the source, amount and date of honoraria exceeding \$200 from any one source.

Exclude for yourself and spouse income from employment by Government entities and from any retirement system or Government retirement benefits.

B. What to Show on the Form

1. **HONORARIA** – For you or your spouse, show honoraria aggregating more than \$200 from any one source. Report the identity of the source and the date of the services performed and actual amount. List each honorarium separately.
2. **EARNED AND OTHER NON-INVESTMENT INCOME** – Include all income, exclusive of honoraria, from non-investment sources including fees, commissions, salaries, and income from personal services or retirement. Report the identity of the source and give the actual amount of such income exceeding \$200 from any one source.

¹ Any fund which is widely held, such as a mutual fund, common trust fund of a bank, pension or deferred compensation plan, publicly traded, or widely diversified.

If your spouse has earned income in excess of \$1,000 (other than honoraria) from any source, identify the source but show nothing under amount.

Part III. Investment Income

A. Items to Report

Report the identity and the type and value of any investment income over \$5000 from any one source received by or accrued to the benefit of you, your spouse or dependent child during the reporting period. For purposes of determining whether you meet the over \$5000 threshold from any one source, you must aggregate all types of investment income from that same source.

Investment income includes, but is not limited to: income derived from dealings in property, interest, rents, royalties, dividends; your distributive share of partnership or joint venture income, gross business income, and income from an interest in an estate or trust.

SCHEDULE B

I. Part I – Liabilities

A. Items to Report

Identify and give the category of the amount of the liabilities which you, your spouse or dependent child owed to any creditor which exceeded \$10,000 at any time during the reporting period, except:

1. a personal liability owed to a spouse or dependent child, or to a parent, brother, sister, or child of you, your spouse or dependent child;
2. a mortgage or other loan secured by real property which is the personal residence (or a second residence not used for producing income) of you or your spouse;
3. a loan secured by a personal motor vehicle, household furniture, or appliances, where the loan does not exceed the purchase price of the item;
4. a revolving charge account where the outstanding liability did not exceed \$20,000 as of the close of the reporting period; and
5. any liability of your spouse or dependent child which represents the sole financial interest or responsibility of the spouse or child, and about which you have no knowledge, and which is not derived from your income, assets, or activities, and concerning which you neither derive nor expect to derive any financial or economic benefit.

B. What to Show on the Form

Under CREDITORS (NAME AND ADDRESS), show the name and address of the actual creditor. Under TYPE OF LIABILITY, briefly indicate the nature of the liability. Check the category of value for the highest amount owed during the reporting period.

Part II – Agreements or Arrangements

A. General Instructions and Items to Report

Provide information regarding any agreements or arrangements you have concerning (1) future employment; (2) continuation of payments by a former employer other than your Government;
(3) continuing participation in an employee welfare or benefit plan maintained by a former employer other than Government retirement benefits. This includes any agreement or arrangements with a future employer.

B. What to Show on the Form

Under STATUS AND TERMS, describe the agreement or arrangement. Under PARTIES, show the name of the organization, or entity, and (if applicable) the name and title of the official, corporate officer, or principal person responsible for carrying out the terms of the agreement or arrangement. Under DATE, show the date of any such arrangement.

SCHEDULE C

Part I – Outside Positions

A. Items to Report

Report all outside positions held at any time during the reporting period, as well as those positions you currently hold as an officer, director, trustee, general partner, proprietor, representative, employee or consultant of (1) any corporation, company, firm, partnership, trust, or other business enterprise; (2) any non-profit organization; (3) any labor organization; (4) any educational institution; or (5) any organization other than your current employer or the Global Fund. Exclude positions held in any religious, social, fraternal, or political entity, and any positions solely of an honorary nature.

B. What to Show on the Form

Give the name, address and brief description (type) of the organization, the title or other brief functional description of the position, and the dates you held the position. If you currently hold the position, in the entry block under TO, note "Present."