

ACT 48 - 2023

TO: HONORABLE BOARD OF LEGISLATORS
COUNTY OF WESTCHESTER

Your Committee has reviewed "AN ACT relating to financial disclosures."

In 2021, this Honorable Board enacted Chapter 883 of the Laws of Westchester County, replacing the prior County Code of Ethics with a new, more robust Code of Ethics. As part of that enactment, a new financial disclosure form was created. Further, the County Board of Ethics was granted the power to recommend changes to that form, which have to be enacted by your Honorable Board.

Your Committee is informed that, after using the new form in 2022, certain changes have been proposed by the Board of Ethics to clarify items on the form. Having reviewed those changes, Your Committee agrees that those changes should be made to the financial disclosure form.

Further Your Committee has reviewed proposed amendments to Appendix A, the list of titles that are required to file financial disclosure forms, and is in agreement with those changes. The Independent Office of Assigned Counsel, which was created by this Honorable Board after the passage of the revised Code of Ethics, is a policy-making entity, and it is appropriate to add certain titles from that office to those required to file financial disclosure forms.

Your Committee is informed that the proposed legislation does not meet the definition of an action under New York State Environmental Quality Review Act and its implementing regulations 6 NYCRR Part 617. Please refer to the memorandum from the Department of Planning dated January 12, 2023, which is on file with the Clerk of the Board of Legislators. Your Committee concurs in this

conclusion.

Your Committee, after careful consideration, recommends the adoption of this Act.

Dated: March 6, 2023

White Plains, New York

Paul M. ...
Colin ...
Margaret A. Cijco
Debat ...
Benjamin ...

COMMITTEE ON
Legislation

Dated: March 6, 2023
White Plains, New York

The following members attended the meeting remotely and approved this item out of Committee with an affirmative vote. Their electronic signature was authorized and is below.

Legislation

A handwritten signature in black ink, appearing to read "Catherine Boy". The signature is written in a cursive style with a prominent flourish at the end.

ACT NO. 48 -2023

AN ACT relating to financial disclosures.

BE IT ENACTED by the County Board of the County of Westchester as follows:

Section 1. Annexed hereto as Appendix A and made a part hereof is revised a Schedule of Titles the holders of which are required to file financial disclosure forms pursuant to Section 883.304(a)(3) of the Code of Ethics. The Schedule of Titles annexed hereto shall replace Schedule A of the County Code of Ethics.

Section 2. Annexed hereto as Appendix B and made a part hereof is a revised Annual Statement of Financial Disclosure form to be used by persons required to file financial disclosure pursuant to Section 883.304 of the Code of Ethics. The Annual Statement of Financial Disclosure form annexed hereto shall replace Schedule B of the County Code of Ethics.

Section 3. This Act shall take effect immediately.

APPENDIX A

Schedule of Titles

Pursuant to Section 883.304(a)(3) of the Code of Ethics, County officers or employees holding the following titles shall file annual statements of financial disclosure with the Board of Ethics:

Board of Elections:

Commissioner of Elections

Deputy Commissioner of Elections

Board of Ethics:

All Members

Board of Health:

All Members

Board of Legislators:

Assistant to the Chairman and Legislative Officer-County Board

Chief Advisor to the Chair of the Board of Legislators

Clerk of the County Board of Legislators and Chief of Staff

Communications Officer-Board of Legislators

County Legislator

Deputy Clerk to the County Board of Legislators and Deputy Chief of Staff

Director of Fiscal Affairs-BOL

Legislative Counsel

Budget Department:

Assistant Budget Director

Associate Budget Director

Budget Director

First Deputy Budget Director

Department of Community Mental Health:

Commissioner of Community Mental Health

Deputy Commissioner of Community Mental Health
Director of Administrative Services (Management Operations)
Director of Alcohol and Substance Abuse Services
Director of Developmental Disabilities Services
Director-Employee Assistance Program

Department of Correction:

Associate Warden
Commissioner of Correction
Deputy Commissioner of Correction
Director of Administrative Services (Management Operations)
Second Deputy Commissioner of Correction
Special Assistant to the Commissioner of Correction
Warden

Office of the County Clerk:

Assistant to the County Clerk
Chief Deputy County Clerk (Legal and Land Records)
County Clerk
Deputy County Clerk (General)
Director of Program Development II (Trades Licensing)
Executive Deputy County Clerk

Office of the County Executive:

Assistant to the County Executive I
Assistant to the County Executive II
Assistant to the County Executive III
Assistant to the County Executive IV
Chief Advisor to the County Executive
Chief of Staff-County Executive
Coordinator of Veterans Affairs

Counsel to the County Executive
County Executive
County Fire Coordinator
Deputy County Executive
Deputy Director of Economic Development
Director of Communications
Director of Economic Development
Director of Intergovernmental Relations — County Executive
Director of Real Estate
Director of Research and Economic Development
Director of Tourism
Director-Office for the Disabled
Director-Office for Women
Director-Office of Criminal Justice Planning
Director-Youth Bureau
Executive Assistant for Office Management-County Executive
LGBT Community Liaison
Program Administrator (Minority Affairs-Spanish Speaking)
Research Assistant-County Executive
Senior Assistant to the County Executive I
Senior Assistant to the County Executive II

Deferred Compensation Board:

All Members

Assigned Counsel Board of Directors

All Members

Independent Office of Assigned Counsel

Administrator (Office of Assigned Counsel)

Deputy Administrator (Office of Assigned Counsel)

Office of the District Attorney:

Chief Administrator-District Attorney

Chief of Bureau-District Attorney

Deputy District Attorney

Director of Public Affairs

District Attorney

First Deputy District Attorney

Second Deputy District Attorney

Electrical Licensing Board:

All Members

Department of Emergency Services:

Commissioner of Emergency Services

Deputy Commissioner of Emergency Services

Department of Environmental Facilities:

Assistant Commissioner of Solid Waste

Associate Director of Fiscal Services (Environmental Facilities)

Commissioner of Environmental Facilities

Deputy Commissioner of Environmental Facilities

Deputy Commissioner of Solid Waste

Deputy Director-Wastewater Treatment

Director of Administrative Services (Management Operations)

Director of Program Development II (Personnel)

Director-Wastewater Treatment

Director-Water Agency

Second Deputy Commissioner of Environmental Facilities

Fair Housing Board:

All Members

Department of Finance:

Commissioner of Finance
Deputy Commissioner of Finance
Deputy Purchasing Agent
Director-Fiscal Operations
First Deputy Commissioner of Finance
Manager of Accounting Services
Manager of Payroll and Benefits
Purchasing Agent

Department of Health:

Assistant Commissioner of Health (Environmental Quality)
Assistant Commissioner of Health (Nursing Services and Community Health)
Assistant Commissioner of Health (Planning and Evaluation)
Assistant Commissioner of Health (Public Health Protection)
Assistant Commissioner of Health (Services for Children with Disabilities)
Associate Director of Division (Community Health Services)
Chief of Section (Clinical Services)
Chief of Section (Communicable Diseases)
Chief of Section (Dental)
Commissioner of Health
Deputy Commissioner of Health
Deputy Commissioner of Health for Disease Control
Director of Administrative Services (Management Operations)
Director of Division (Health Services)
Director-Fiscal Operations
First Deputy Commissioner of Health
Second Deputy Commissioner of Health

Department of Human Resources:

Commissioner of Human Resources

Deputy Commissioner of Human Resources
Deputy Director-Human Rights Commission.
Director of Labor Relations
EEO Coordinator
Executive Director-Human Rights Commission

Human Rights Commission:

All Members

Department of Information Technology:

Assistant Chief Information Officer
Assistant Chief Information Officer-Geographic Information Systems
Assistant Director of Telecommunications
Chief Information Officer
Deputy Chief Information Officer
Director of Application Support
Director of Knowledge Management and Archives
Director of Program Development II (Information Technology Management Operations)
Director of Systems Development and Application
Director of Telecommunications
Manager of Data Communications
Manager of Geographic Information Systems
Manager of Network Engineering
Manager of Software Architecture
Manager of Web Design
Manager of Web Development
Manager of Workstation Engineering
Second Deputy Chief Information Officer

Department of Laboratories and Research:

Chief of Environmental Laboratory Services

Chief of Microbiology Services

Director of Administrative Services (Management Operations)

Director of Forensic Science Services

Director of Toxicology

Pathologist — Deputy Medical Examiner

Pathologist — Medical Examiner

Lab and Research Board of Managers:

All Members

Department of Law — Office of the County Attorney:

Assistant Chief Deputy County Attorney

Associate County Attorney

Chief Deputy County Attorney

County Attorney

Deputy County Attorney

Director of Risk Management

Senior Assistant County Attorney

Special Assistant to the County Attorney

Department of Parks, Recreation & Conservation:

Assistant Director of Division (PRC)

Assistant Director-Playland

Assistant Manager-County Center Operations

Assistant Manager-County Center Sales and Marketing

Commissioner of Parks, Recreation and Conservation

Controller-Playland

Deputy Commissioner of Parks, Recreation and Conservation

Director of Administrative Services (Management Operations)

Director of Maintenance-PRC

Director of Operations (Maintenance-PRC)
Director of Operations (Marketing-PRC)
Director of Operations (PRC)
Director of Park Facilities-PRC
Director of Program Development II (Capital Projects-Playland)
Director of Program Development II (Community Relations)
Director of Program Development II (Concessions)
Director of Program Development II (Golf)
Director of Program Development II (Historic and Interpretive Sites)
Director of Program Development II (Naturalist)
Director of Program Development II (Parks)
Director of Program Development II (Personnel)
Director-Playland
Director-Programs and Services — PRC
District Park Director
First Deputy Commissioner of Parks, Recreation and Conservation
Golf Course Superintendent
Program Administrator (Conservation)
Program Administrator (Contract Management)
Program Administrator (Event Coordinator-County Center)
Program Administrator (Park Management)
Program Administrator (Sales and Marketing)
Program Administrator (Special Services)
Program Coordinator (Golf)
Program Coordinator (Natural Resource Management)

Parks, Recreation and Conservation Board:

All Members

Department of Planning:

Assistant Commissioner of Planning
Chief Planner
Commissioner of Planning
Deputy Commissioner of Planning
Deputy Commissioner of Planning for Housing and Community
Development
Director of Management Operations
Director of Natural Resource Planning
Director of Operations (Urban Design)
Director of Program Development II (Housing and Planning)
Director of Program Development II (Research and Planning)
Program Administrator (Building Rehabilitation Services)
Program Administrator (Contract Management)
Program Administrator (Housing and Community Development)
Senior Management Analyst

Planning Board:

All Members

Plumbing Examiners Board:

All Members

Police Advisory Board:

All Members

Department of Probation:

Assistant Commissioner-Probation
Assistant Director-Probation
Chief of Planning, Research, Training and Staff Development-Probation
Commissioner of Probation
Deputy Commissioner-Probation
Director of Program Development II (Probation)

Program Administrator (Probation Staff Development)

Professional Prequalification Board:

All Members

Professional Selection Board:

All Members

Public Administrator:

Public Administrator

Department of Public Safety:

Chairman-Westchester County Taxi and Limousine Commission

Commissioner/Sheriff

Deputy Commissioner of Public Safety

Director of Administrative Services (Management Operations)

Director of Intelligence, Security and Counterterrorism

Director-Office of Criminal Justice Services

Department of Public Works and Transportation:

Commissioner of Public Works and Transportation

Deputy Commissioner of Public Works and Transportation

Director of Administrative Services (Management Operations)

Director of Design Coordination

Director of Operations (Public Works and Transportation)

First Deputy Commissioner of Public Works and Transportation

Principal Engineer (Field)

Department of Senior Programs and Services:

Commissioner of Senior Programs and Services

Deputy Commissioner of Senior Programs and Services

Director of Operations (Senior Programs and Services)

Department of Social Services:

Assistant Commissioner of Social Services.

Assistant Director of Division (Case Management Development)
Associate Commissioner of Social Services
Child Welfare Manager III
Commissioner of Social Services
Coordinator of Veterans Affairs
Deputy Commissioner of Social Services (General)
Director of Child Welfare
Director of Operations (Commissioner's Office-Social Services)
Director of Program Development II (Child Support Enforcement)
Director of Program Development II (Staff Development)
Director of Temporary Assistance
Director-Fiscal Operations
Director-Office of Employment and Training
First Deputy Commissioner of Social Services
Manager III
Manager-Fiscal Operations
Personnel Director-Social Services
Temporary Assistance Manager III

Soil and Water Conservation Board:

All Members

Solid Waste Licensing Commission:

Deputy Director of Solid Waste Licensing

Executive Director of Solid Waste Licensing

All Members

Stream Control Board of Appeals:

All Members

Tax Commission:

All Members

Executive Director of Tax Commission

Program Administrator (Real Property Tax Services)

Taxi and Limousine Commission:

All Members

Transportation Board:

All Members

Department of Weights and Measures:

Deputy County Sealer of Weights and Measures

Deputy Director of Consumer Protection and Sealer of Weights and Measures

Director of Consumer Protection

Westchester Community College:

Assistant Dean (WCC)

Associate Dean (Business Administration and Public Services)

Associate Dean (Community Services and Corporate Education)

Associate Dean (Distance Learning, Learning Resources and Instructional Technology)

Associate Dean (Educational Opportunity Center)

Associate Dean (Institutional Research)

Associate Dean (Instructional and Learning Resources)

Associate Dean (Math, Physical and Engineering Sciences and Medical Technology)

Associate Dean (Natural and Health Sciences)

Associate Dean (Student Personnel Services)

Board of Trustees (All members)

Director of Program Development I (Institutional Advancement)

Director-Fiscal Operations

President-Community College

Vice President and Dean of Academic Affairs-WCC

Vice President and Dean of Administrative Services-WCC

Vice President and Dean of Community Services and Corporate Education

Vice President and Dean of Educational Opportunity Center/Community Services

Vice President and Dean of External Relations

Vice President and Dean of Student Personnel Services-WCC

APPENDIX B

COUNTY OF WESTCHESTER
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

none.

Child/Age

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: \$5,00[1]0 TO UNDER \$10,000
- CATEGORY C: \$10,00[1]0 TO UNDER \$25,000
- CATEGORY D: \$25,00[1]0 TO UNDER \$50,000
- CATEGORY E: \$50,00[1]0 TO UNDER \$100,000
- CATEGORY F: [OVER]\$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 county department, agency, board or commission, or any litigation, negotiations or matter requiring the exercise of discretion to which the County is a party. If none, place a check mark in the following box.

none

Name of Family Member	Position	Organization	County 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 and your spouse and dependent children, if any, and indicate whether such activities are 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. *Clients and Customers Doing Business with the County.* Identify any client or customer: (i) from which 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) that you know, during the reporting period, had any application, request, claim or interest in any proposal before a County department, agency, board or commission, or any litigation, negotiations or matter requiring the exercise of discretion to which the County is 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 other exemptions 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	County Application Claim, Request or Proposal	Amount of Income by Category
_____	_____	_____
_____	_____	_____
_____	_____	_____

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

none

e. *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
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>

f. *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] may 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 County of Westchester or within five hundred feet of a boundary of the County, other than your primary residence, in which you, your spouse, or your dependent children, if any, have an interest, regardless of its value. If none, place a check mark in the following box.

none

Name of Family Member	Name and Address of Business or Real Estate of Investment	Description of Investment	Category of Amount
<hr/>	<hr/>	<hr/>	<hr/>

g. *Trusts.* Identify each interest of you, your spouse, and your dependent children in a trust or estate or similar beneficial interest in any assets in excess of \$2,000. Do not list IRS eligible retirement plans or interests in an estate or trust of a spouse, child, stepchild, dependent, parent, stepparent, sibling or stepsibling. Do not report an interest in a trust or estate established by you or your spouse for the benefit of yourself or your spouse, child, stepchild, dependent, parent, stepparent, sibling, or stepsibling. If none, place a check mark in the following box.

none

Name of Family Member	Trustee/Executor	Description Trust/Estate	Category of Amount
<hr/>	<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>	<hr/>

b. *Other Income.* Identify the source and 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 County of Westchester, or within five hundred feet of a boundary of the County 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
<hr/>	<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>	<hr/>

4. GIFTS AND HONORARIA[UMS].

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.

Identify 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 County of Westchester 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.

Describe 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. Do not list credit card debt. 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 County of Westchester or any municipality located within the County. 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

[8]9. 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. Do not report services provided as an employee of the County.

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. Do not report services provided as an employee of the County.

none

I have received and read a copy of the County of Westchester 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 County's web site:

SECRETARY TO BOARD OF ETHICS
148 Martine Avenue
White Plains, New York 10601
(914) 995-XXXX
XXXX@westchestergov.com

STATE OF NEW YORK)
) ss.
WESTCHESTER COUNTY)

I HEREBY CERTIFY that I have compared the foregoing Act, Act No. 48 - 2023, with the original on file in my office, and that the same is a correct transcript therefrom, and of the whole, of the said original Act, which was duly adopted by the County Board of Legislators, of the County of Westchester on March 6, 2023, and approved by the County Executive on March 9, 2023.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the Corporate Seal of said County Board of Legislators on this 10th day of March, 2023.



Malika Vanderberg

The Clerk of the Westchester County
Board of Legislators

County of Westchester, New York

