



## FINANCIAL DISCLOSURE AND CONFLICT OF INTEREST DISCLOSURE FORM

**Who needs to file a financial disclosure?**

This form is to be filled out by all Legislative Commissioners, Governors' Appointees, and their proxies.

**What is the purpose of a financial disclosure?**

The intent of this form is to provide a disclosure of direct and indirect financial interests that may impede the ability of a Legislative Commissioner, Governor Appointee, or and proxy to execute his/her duties in a fair and impartial manner. Completed forms will be published on the Commission website (on the Commissioner page) and made available at meetings.

**What must I disclose on this form?**

The form collects basic information on the broad category of financial interest. It will not collect specific dollar amounts of investments or holdings.

**When do I need to complete my financial disclosure?**

A completed disclosure form must be submitted to the Commission prior to participating in a Commissioner meeting. If this form is for a proxy, the appointing Legislative Commissioner or Governor Appointee and the proxy must sign the form and return it to the Commission by **February 1<sup>st</sup> of each year**. For appointments made after February 1<sup>st</sup>, a completed disclosure form must be submitted to the Commission prior to Commissioner/proxy participation at the next schedule Commission meeting.

Disclosure Forms must be updated annually. If there are no changes, the previous year's form can be resubmitted.

**What else is required if I appoint a proxy?**

In addition to submitting a [Proxy Form](#) and ensuring your proxy submits a Disclosure Form, you are required to notify your home state's appointing authority when such a proxy appointment occurs. The notification must include a copy of the proxy's Disclosure Form. A copy of this notification must be supplied to the Commission's Executive Director.

**Questions?**

If you have any questions about how to complete this form, please contact Bob Beal, ASMFC Executive Director. A copy of the full Financial Disclosure and Conflict of Interest Policy can be found [here](#).

## Section 1. For All Legislative Commissioners, Governors' Appointees and LGA Proxies

Name of Commissioner/Proxy: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

Phone (day): \_\_\_\_\_ Email: \_\_\_\_\_

Phone (mobile): \_\_\_\_\_

Type of Commissioner:

- Governor's Appointee  
 Legislative Commissioner

Type of Proxy:

- Proxy for Governor Appointee  
 Proxy for Legislative Commissioner

Name of Commissioner appointing proxy: \_\_\_\_\_

### Question 1.1

Have you been found in violation of criminal or civil state or federal fishery law or regulation or convicted of any felony over the last three years?

- No  Yes

### Question 1.2

Are you a member of any fishermen's clubs?

- No  Yes

If yes, please identify them:

### Question 1.3

Since what year have you lived in the state you are representing?

### Question 1.4

Do you, your spouse, partner, or dependent child for which you are a guardian have any **stock, equity, or interest** (whole or partial ownership) in the commercial or for-hire fishing industry?

- No  Yes

If yes, please select all that apply

- Vessel Owner (full or partial)
- Vessel Captain
- Seafood Processor or Dealer

- Vessel Crew
- Gear Supplier/Manufacturer
- Other (Please Specify)

Please list and describe each applicable interest, as indicated above. Include company or business name, date the interest began, and fishery or fisheries of interest.

## Section 2. For Commercial Fishermen

### Question 2.1

Since what year have you, your spouse, partner, or dependent child for which you are a guardian been employed in the commercial fishing business?

### Question 2.2

Are you, your spouse, partner, or dependent child for which you are a guardian employed only in commercial fishing?

- No    Yes

If no, please list other type(s) of business(es) and/or occupation:

### Question 2.3

What is the predominant gear type used?

### Question 2.4

What are the predominant species targeted?

### Question 2.5

Do you, your spouse, partner, or dependent child for which you are a guardian harvest greater than 10 percent of the total annual harvest of any species under consideration or management by the Commission?

- No    Yes

If yes, please complete the following:

Vessel/entity name:

Description/Relationship of Financial Interest:

Fishery (Species) of Interest/Gear Type:

### Question 2.6

Do you, your spouse, partner, or dependent child for which you are a guardian have full or partial ownership of more than 10 percent of the vessels using the same gear type within the fishery under consideration or management by the Commission?

No  Yes

If yes, please complete the following:

Vessel/entity name:

Description/Relationship of Financial Interest:

Fishery (Species) of Interest/Gear Type:

## Section 3. For Seafood Processors & Dealers

### Question 3.1

Since what year have you, your spouse, partner, or dependent child for which you are a guardian been employed in the business of seafood processing/dealing?

### Question 3.2

Are you, your spouse, partner, or dependent child for which you are a guardian employed only in the business of seafood processing/dealing?

No  Yes

If no, please list other type(s) of business(es) and/occupation(s):

### Question 3.3

Do you, your spouse, partner, or dependent child for which you are a guardian process and/or market greater than 10 percent of the total annual harvest of any species under consideration or management by the Commission?

No  Yes

## Section 4. For Charter/Headboat Captains & Mates

### Question 4.1

Since what year have you, your spouse, partner, or dependent child for which you are a guardian been employed in the charter/headboat business?

**Question 4.2**

Are you, your spouse, partner, or dependent child for which you are a guardian employed only in the charter/headboat industry?

No    Yes

If no, please list other type(s) of business(es):

**Section 5. For Recreational Fishermen**

**Question 5.1**

Since what year have you engaged in recreational fishing?

**Question 5.2**

Are you, your spouse, or partner, or dependent child for which you are a guardian, or have you your spouse, partner, or dependent child for which you are a guardian ever worked in any area related to the recreational fishing industry (for-hire fishery, recreational advocacy, tackle shop owner/employee, etc.)?

No    Yes

If yes, please explain:

**Section 6. For Commercial or Recreational Fishery Organization Representatives**

**Question 6.1**

Since what year have you, your spouse, partner, or dependent child for which you are a guardian been employed by a commercial or recreational fishery organization?

List all commercial or recreational fishery organizations you have been employed by during the past three years:

**Question 6.2**

Are you, your spouse, partner, or dependent child for which you are a guardian employed only by a commercial or recreational fishery organization?

No     Yes

If no, please list other type(s) of business(es) and/or occupation:

**Section 7. For Non-governmental Organization Employees or Environmental Advocates**

**Question 7.1**

Since what year have you, your spouse, partner, or dependent child for which you are a guardian been employed by a NGO or environmental advocacy organization?

List all NGO and/or environmental advocacy organizations you have been employed by during the past three years:

**Question 7.2**

Are you, your spouse, partner, or dependent child for which you are a guardian employed only by a NGO or environmental advocacy organization?

No     Yes

If no, please list other type(s) of business(es) and/or occupation:

## Section 8. For Other Interested Parties

In the space provided below, please provide the Commission with any additional information which you feel would allow other Commission members and the public to fully understand your financial interest in fishing, fishery management, or the fishing industry.

**All the information in this disclosure form is accurate and complete. If any information changes, I will notify the Commission and submit a new disclosure form prior to participating in a meeting of the Commission.**

Commissioner Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Proxy Signature: \_\_\_\_\_ Date: \_\_\_\_\_