

**APPLICATION REQUESTING AN EXEMPTION FROM  
FILING A FINANCIAL DISCLOSURE STATEMENT**

The Joint Commission on Public Ethics  
540 Broadway  
Albany, New York 12207  
(518) 474-4522

PLEASE PRINT OR TYPE ALL ANSWERS

INDIVIDUAL EXEMPTION APPLICATION			
NAME			
HOME ADDRESS			
TELEPHONE NUMBER			
E-MAIL ADDRESS			
AGENCY			
FACILITY			
OFFICIAL TITLE			
SALARY			
REPRESENTATION	<input type="checkbox"/>	UNION (Please specify: _____)	
	<input type="checkbox"/>	NO REPRESENTATION	
	<input type="checkbox"/>	MANAGEMENT/CONFIDENTIAL	
Have you previously applied for an exemption for your current title?		<input type="checkbox"/> No	<input type="checkbox"/> Yes (Year _____)
If yes, was exemption granted?		<input type="checkbox"/> No*	<input type="checkbox"/> Yes
* You need not apply if you have been denied an exemption while serving in your current job title/agency, unless you are submitting new supporting documentation of changed circumstances.			
Please check "Yes" or "No" for each of the following questions			YES    NO
Do your duties involve the negotiation, authorization of contracts, leases, franchises, revocable consents, concessions, variances, special permits, licenses, permits or other forms of permission to engage in a profession, trade, or occupation, or to engage in any business activity regulated by a regulatory agency, which in the absence of such license, permit or other form of permission would be prohibited?			<input type="checkbox"/> <input type="checkbox"/>
Do your duties involve the purchase, sale, rental or lease of real property, goods or services, or a contract therefor; the obtaining of grants of money or loans; or the adoption or repeal of any rule or regulation having the force and effect of law?			<input type="checkbox"/> <input type="checkbox"/>
A copy of your job description must be attached. Check "yes" to confirm your job description is attached.			<input type="checkbox"/> <input type="checkbox"/>
A copy of this form with attachments must be filed with your agency. Check "yes" to confirm that you filed this with your agency.			<input type="checkbox"/> <input type="checkbox"/>
STATE ANY ADDITIONAL FACTS WHICH SUPPORT THE CONCLUSION THAT YOUR JOB DOES NOT INVOLVE ANY OF THE DUTIES SET FORTH ABOVE.			
SIGNATURE:			DATED:

# INSTRUCTIONS

## **General Instructions for State Employees (excludes Academic employees of SUNY and CUNY - please see p. 2 of instructions)**

- Make sure your official job specification is attached. If unavailable, attach your most recent performance evaluation.
- Forward a copy of this form to your appointing authority.
- Note that effective April 1, 2010, the filing rate is \$88,256.
- An exemption request must be post-marked no later than May 15, 2012 for the May 15, 2012 filing. Individuals who commence State service, receive a job title change or a salary increase which exceeds the filing rate, may apply for an exemption within 30 days of such event.
- You are not eligible to apply for an exemption if you have been designated a policy-maker by your appointing authority

### **You need not apply if:**

- You previously received an exemption and are in the same title/agency;
- You are currently serving in an exempt title; or
- You have been denied an exemption while serving in your current job title/agency, unless you are submitting new supporting documentation of changed circumstances.

**\*\*You may also apply electronically on-line by logging in to your account at [www.jcope.ny.gov](http://www.jcope.ny.gov) and select “Ethics Online Financial Disclosure System.” Please be sure to make sure you upload your official agency job description or most recent performance evaluation.\*\***

## **General Instructions for Academic Employees of SUNY and CUNY**

- An academic employee must submit either a recent annual report or a self-prepared written description of duties which must include whether or not the individual is involved in:
  1. Purchasing or contracting activities
  2. Administrative duties such as chair or director of a department or program; and,
  3. Whether he/she receives externally funded grants.
- Academic employees of SUNY and CUNY are not required to file a copy of the exemption form with their campus.
- For academic filers, requests must be post-marked no later than November 1, 2012 for the November 15, 2012 filing deadline.

### **You need not apply if:**

- You previously received an exemption and you have the same academic title and duties, and you are not engaged in externally funded grant activities.

### **You must re-apply if:**

- You received an exemption and have since been engaged in grant activities or have been serving as a department chair.

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