

**NEW YORK STATE REPORTABLE BUSINESS RELATIONSHIP
SAMPLE QUESTIONNAIRE**

This is a sample questionnaire that a Client Filer may use, or appropriately modify, to help determine if the Client Filer's proprietor, partner, director, or member of its executive management has a business relationship that must be reported under the RBR Guidelines.

The purpose of this sample form is not to elicit all the information that is required under the RBR Guidelines. Instead, it is to aid a Client Filer in determining whether it must conduct further efforts to determine if a Reportable Business Relationship exists.

A questionnaire like this one is not submitted to JCOPE. It is for the benefit of the Client Filer.

Name: _____

Title: _____

Address of Primary Work Location(s): _____

(1) Do you currently have any business relationships *in which you purchased or will purchase goods or services valued at more than \$1,000 annually* from a person or entity located within the State of New York? Yes: _____ No: _____

Note: Business relationships include formal and informal relationships that may or may not be based on written contracts.

Note: The value of any outstanding compensation owed as well the value of goods or services to be performed must be considered when determining if the \$1,000 threshold is met.

If "No," sign and date the form. If "Yes," go to Question #2.

(2) Do the services you are purchasing fall into one or more of the following categories:
Treatments for medical, dental, and mental health services;

Legal services with respect to: investigation or prosecution by law enforcement;
bankruptcy; domestic relations.

Yes: _____ No: _____

If "Yes," sign and date the form. If "No," go to Question #3.

(3)(a) If the business relationship is with a person, is that individual a New York State employee or a New York State elected official?

Yes: _____ No: _____ Not that I am aware of: _____

Note: The answer “Not that I am aware of” is only appropriate when, based on the totality of the circumstances,” the person signing this form does not have a reason to know that the business relationship is with a New York State employee or a New York State elected official.

(3)(b) If the business relationship is with an entity, is a New York State employee or a New York State elected official a proprietor, partner, director, officer, or manager of the entity?

Yes: _____ No: _____ Not that I am aware of: _____

Note: The answer “Not that I am aware of” is only appropriate when, based on the totality of the circumstances,” the person signing this form does not have a reason to know that the business relationship is with an entity in which a New York State employee or a New York State elected official is the proprietor, partner, director, officer, or manager.

(3)(c) If the business relationship is with an entity, does a New York State employee or a New York State elected official own or control 10% or more of the stock of the entity (or 1% in the case of a corporation whose stock is regularly traded on an established securities exchange)?

Yes: _____ No: _____ Not that I am aware of: _____

Note: The answer “Not that I am aware of” is only appropriate when, based on the totality of the circumstances,” the person signing this form does not have a reason to know that the business relationship is with an entity in which a New York State employee or a New York State elected official owns or controls 10% or more of the stock of the entity (or 1% in the case of a corporation whose stock is regularly traded on an established securities exchange).

I attest and affirm that the foregoing information is, to the best of my knowledge, true and accurate.

Name

Date