

BALTIMORE COUNTY ETHICS COMMISSION
400 Washington Avenue, Room 219
Towson, Maryland 21204
(410) 887-5904

RECEIVED
APR 27 2012
LAW OFFICE

FINANCIAL DISCLOSURE STATEMENT - FORM #1

Instructions:

1. Fill in the preliminary information requested in the box below. Be sure to correctly identify the reporting period.
2. Upon completion of your financial disclosure statement, sign and date the lower portion of the page.

Regular Reporting Period: January 1 through December 31, **2011**

or

Termination Report: January 1 through _____, 2012

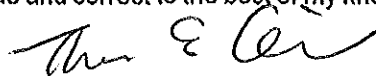
PLEASE PRINT OR TYPE

FIRST NAME	INITIAL	LAST NAME
Thomas	E.	Quirk
AGENCY AFFILIATION (INCLUDE DEPARTMENT AND UNIT WHERE APPLICABLE)		
Baltimore County Council		
CURRENT AGENCY ADDRESS (WHERE YOU CAN BE SENT CORRESPONDENCE)		
400 Washington Ave, Towson MD 21204		
CURRENT POSITION OR OFFICE HELD WITH COUNTY, IF ANY (OR OFFICE FOR CANDIDACY)		
Baltimore County Councilman		
E-MAIL ADDRESS		
council4@baltimorecountymd.gov		

This financial disclosure statement describes all interests and related transactions and matters required to be disclosed by the Baltimore County Public Ethics Law, Baltimore County Code (2003), Article 7, Title 1, Subtitle 4, with respect to the period indicated and pertaining to the person filing the statement. The statement consists of this cover sheet, the checklist, and Schedules A through I.

I hereby make oath or affirm under the penalties of perjury that the contents of this financial disclosure statement, including the Schedules attached hereto, are complete, true and correct to the best of my knowledge, information and belief.

Signature of Person Filing:



(SEAL)

DATE:

4/25/2012

Privacy Notice

The County Ethics Law requires the collection of this information, which will be used primarily for public disclosure and to determine compliance with the Law. The information may be disclosed to any requesting person, including officials of State, local or federal government, who records their name and address, and this record will be provided to the filer upon request. Financial information provided by ELECTED OFFICIALS ONLY will be posted on the County's website. The subject has the right to review, correct and amend the record as set forth in the County Ethics Law §7-1-405. Failure to file or to report information required by County Ethics Law can subject you to civil and administrative penalties including termination or other disciplinary action, suspension of pay, a late filing fee up to \$250, and a civil fine of up to \$1,000 per day. Willful and false filing is subject to criminal penalty for perjury pursuant to Criminal Law Article §9-101, Annotated Code of Maryland.

Instructions:

Check the proper block to Questions A through I. Do not leave any questions unanswered. If you check "Yes" to any question by sure to complete the corresponding Schedule.

Caution: Please read all instructions on accompanying instruction sheet including all definitions, before completing this form.

	YES	NO
A. I held interests during the reporting period in real property located in or outside Baltimore County. (If "Yes," complete Schedule A)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
B. I held interests during the reporting period in corporations, partnerships, and similar entities. (If "Yes," complete Schedule B)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
C. I held interests in a non-corporate business entity which did business with the County, other than a partnership. (If "Yes," complete Schedule C)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
D. I received gifts during the reporting period from persons doing business with the County, or required to register as Lobbyists. (If "Yes," complete Schedule D)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
E. I or a member of my immediate family was a partner or held an office, directorship, or salaried employment during reporting period in or with a business entity doing business with the County. (If "Yes," complete Schedule E)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
F. I or a member of my immediate family owed debts (excluding retail credit accounts) during reporting period to person doing business with the County. (If "Yes," complete Schedule F)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
G. A member of my immediate family was employed by Baltimore County during reporting period. (If "Yes," complete Schedule G)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
H. I, or a member of my immediate family received a salary or was sole or partial owner of a business entity from which earned income was received, during the reporting period. (If "Yes," complete Schedule H)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
I. Is additional information set forth on Schedule I? (If "Yes," complete Schedule I)	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Schedule A - Real Property Interests

Do you have any interest (as an owner or a tenant, including interests in time shares) in real property in Baltimore County or in any other state or country?

Yes No - (If no, go to Schedule B)

If Yes; (Answer each question below. A separate Schedule A will be required for each property you need to disclose.)

1. What is the address or legal description of the property? (Give Street Address, if you know it. **If the property is your primary residence, you may enter the lot and block legal description instead, if you wish**)

Street Address: 1402 Edmondson Avenue
City/State/Zip: Catonville, MD 21228

2. What kind of property is it?

Improved
(Indicate whether property is residential or commercial)

Unimproved (vacant lot)

3. Is the interest held directly by you or is it attributable to you? (See Paragraph E of Instructions for definition of "Attributable.")

Direct Attributable

4. Are you the owner or tenant?

Owner Tenant

5. Do you hold the interest solely or is it jointly held with another?

Solely Jointly Tenants by the Entirety

If held jointly, or by tenants by the entirety, the name(s) of the other joint owner(s): Siri Sueren

6. Are there any legal conditions or encumbrances on the property? (Example: mortgages, liens, contracts, options, etc.)

Yes No

If Yes, what is/are the name(s) of the lender(s), creditor(s), lien holder(s), etc? Wells Fargo Home Mortgage

Citibank Home Equity Line of Credit

7. What date was the property acquired? 02/14/2002

8. How was the property acquired? (Example: purchase, gift, inheritance, etc.)
purchase

9. From whom was the property acquired? (Name of individual or entity from whom you purchased or inherited the property or who gifted the property to you.)
Richard Davies

10. What consideration was given when the property was acquired? (Dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)
\$224,900

11. Have you transferred any interest in this property during the reporting period?
Yes No

If Yes;

- 11.A. What percentage of interest did you transfer: _____%
- 11.B. What consideration did you receive for the interest: _____
- 11.C. To whom did you transfer the interest: _____

If you have any additional interests in real property in Baltimore County, any other county, any other state, or any other country, please use additional sheet(s), if necessary, and respond to each above question for each such entry.
N/A

Schedule B – Interests in Corporations and Partnerships

see attachment

Did you have any interest in any corporations, partnerships, limited liability partnerships (LLP) or limited liability companies (LLC) during the reporting period whether or not the entity did business with the County?

Yes No - (If no, go to Schedule C)

If Yes; (Answer each question below. A separate Schedule B will be required for each interest you need to disclose.)

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol: _____

2. Does the stock of the corporation trade on a stock exchange?

Yes No

If "No," the legal address of the entity's principal office.

3. Is the interest held directly by you or is it attributable to you? (See Paragraph E of Instructions for definition of "Attributable.")

Directly: Attributable:

4. Do you hold the interest in your name alone, or is it held jointly?

In your name alone: Jointly:

If jointly, the percentage of your interest: _____ %

5. What is the nature of your interest and its dollar value or the number of shares? (Example: stock, notes, bonds, puts, calls, straddles, purchase options, etc.) If in a non-publicly traded entity or LLP or LLC, report the percentage of ownership.

Type: _____

Dollar Value of Shares: _____ or Number of Shares: _____
percentage of ownership: _____ %

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (Example: mortgages, liens, contracts, options, etc.)

Yes No

If Yes, name of entity holding the encumbrance:

see attachment

7. Did you acquire an interest in the entity during the reporting period?

Yes No

If Yes:

7A. In what month was the interest acquired?

7B. How was the interest in the entity acquired? (Example: purchase, gift, will, etc.):

7C. From whom did you acquire the interest in the entity? (If you purchased it from a brokerage, the name of the brokerage):

7D. What consideration was given when the interest was acquired? (Dollar amount paid, or if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property):

8. Have you transferred any interest in this entity during the reporting period?

Yes No

If Yes:

8A. What portion of the interest was transferred?

8B. What consideration did you receive for the interest in the entity? (Dollar amount paid, or if you received the property as a gift or inherited it, the fair market value and terms at the time you transferred your interest in the property):

8C. To whom did you transfer your interest in the entity?

If you have additional interests in corporations or partnerships, please use additional sheet(s) if necessary, and answer each of the above questions for each additional entry.

RAYMOND JAMES®

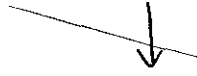
FINANCIAL SERVICES, INC.

Member FINRA/SIPC

THOMAS E QUIRK RIRA
RAYMOND JAMES & ASSOC INC CSDN
1402 EDMONDSON AVE
CATONSVILLE MD 21228-4908022

A of shown

Condensed Holdings



Security Desc	Sym/Cusip	Suit	Rtg	Typ/Loc	TD	Quantity
1 Money	Money					
2 ALASKA COMMUNICATIONS SYSTEMS GRP	ALSK	H/GRW	1 / 00S			400L
3 APPLIED MATLS INCORPORATED	AMAT	M/GRW	1 / 00S			200L
4 BANK OF AMERICA CORPORATION	BAC	H/GRW	1 / 00S			500L
5 BLACKROCK GLOBAL ALLOCATION FUND CLASS A M/F	MDLOX	M/GRW	1 / 86X			758.466L
6 FRANKLIN INCOME FUND CLASS C M/F	FCISX	M/INC	1 / 86X			4248.905L
7 INCOME FUND OF AMERICA CLASS A - AMERICAN FUNDS M/F	AMECX	M/INC	1 / 86X			311.833L
8 INDIA FD INCORPORATED	IFN	H/GRW	1 / 00S			500L
9 AMERICAN INTERNATIONAL GROWTH & INCOME FUND CLASS A M/F	IGAAX	M/GRW	1 / 86X			118.434L
10 JPMORGAN INCOME BUILDER FUND CLASS A M/F	JNBAX	M/INC	1 / 86X			1469.915L
11 PFIZER INCORPORATED	PFE	M/GRW	1 / 00S			100L
12 TEMPLETON GLOBAL BOND FUND CLASS A M/F	TPINX	M/INC	1 / 86X			75.129L
TOTAL						

RAYMOND JAMES®

FINANCIAL SERVICES, INC.
Member FINRA/SIPC

THOMAS QUIRK SEP IRA
RAYMOND JAMES & ASSOC INC CSDN
1402 EDMONDSON AVE
CATONSVILLE MD 21228-4908022

A of 5 items
↓

Condensed Holdings

Security Desc	Sym/Cusip	Suit	Rtg	Typ/Loc	TD	Quantity
1 Money	Money					
2 BANK OF AMERICA CORPORATION	BAC	H/GRW	1 / 00S			1000L
3 BLACKROCK GLOBAL ALLOCATION FUND CLASS A M/F	MDLOX	M/GRW	1 / 86X			653.315L
4 CITIGROUP INCORPORATED COM NEW	C	H/GRW	1 / 00S			20L
5 FRANKLIN INCOME FUND CLASS A M/F	FKINX	M/INC	1 / 86X			18968.159L
6 GOLDMAN SACHS GROUP INCORPORATED	GS	M/GRW	1 / 00S			100L
7 INCOME FUND OF AMERICA CLASS A - AMERICAN FUNDS M/F	AMECX	M/INC	1 / 86X			1605.714L
8 JPMORGAN CHASE & COMPANY	JPM	M/GRW	1 / 00S			350L
9 JPMORGAN INCOME BUILDER FUND CLASS A M/F	JNBAX	M/INC	1 / 86X			4006.24L
10 ROYCE PENNSYLVANIA MUTUAL FUND CLASS C M/F	RYPCX	M/GRW	1 / 86X			1840.76L
11 WELLS FARGO & COMPANY NEW	WFC	M/GRW	1 / 00S			229L
TOTAL						

RAYMOND JAMES®

FINANCIAL SERVICES, INC.

Member FINRA/SIPC

THOMAS E QUIRK
FBO THEODORE S QUIRK
1402 EDMONDSON AVE
CATONSVILLE MD 21228-4908022

of shares

Condensed Holdings

Security Desc	Sym/Cusip	Suit	Rtg	Typ/Loc	TD	Quantity
1 Money	Money					
2 AMERICAN VIRGINIA COLLEGE CAP- ITAL INCOME BUILDER CLS A M/F	CIRAX	M/INC	1 / 86N			75.475L
3 AMERICAN VIRGINIA COLLEGE CAP- ITAL WLD GRW & INC CL A M/F	CWIX	M/GRW	1 / 86N			106.864L
4 AMERICAN VIRGINIA COLLEGE EUROPACIFIC GROWTH CLS A M/F	CEUX	M/GRW	1 / 86N			62.264L
5 AMERICAN VIRGINIA COLLEGE GROWTH FD OF AMERICA CLS A M/F	CGFX	M/GRW	1 / 86N			76.859L
6 AMERICAN VIRGINIA COLLEGE INCOME FD OF AMERICA CLS A M/F	CIMX	M/INC	1 / 86N			589.586L
TOTAL						

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RAYMOND JAMES®

FINANCIAL SERVICES, INC.
Member FINRA/SIPC

THOMAS E QUIRK
FBO SOFIE SVAEREN QUIRK
1402 EDMONDSON AVE
CATONSVILLE MD 21228-4908022

of shares

Condensed Holdings

Security Desc	Sym/Cusip	Suit	Rtg	Typ/Loc	TD	Quantity
1 Money	Money					
2 AMERICAN VIRGINIA COLLEGE CAP- ITAL INCOME BUILDER CLS A M/F	CIRAX	M/INC	1 / 86N			63.597L
3 AMERICAN VIRGINIA COLLEGE CAPITAL WORLD BOND CLS A M/F	CCWAX	M/INC	1 / 86N			4.116L
4 AMERICAN VIRGINIA COLLEGE CAP- ITAL WLD GRW & INC CL A M/F	CWIAX	M/GRW	1 / 86N			73.67L
5 AMERICAN VIRGINIA COLLEGE GROWTH FD OF AMERICA CLS A M/F	CGFAX	M/GRW	1 / 86N			33.588L
6 AMERICAN VIRGINIA COLLEGE INCOME FD OF AMERICA CLS A M/F	CIMAX	M/INC	1 / 86N			365.292L
TOTAL						



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RAYMOND JAMES®

FINANCIAL SERVICES, INC.
Member FINRA/SIPC

SIRI SVAEREN RIRA
RAYMOND JAMES & ASSOC INC CSDN
1402 EDMONDSON AVE
CATONSVILLE MD 21228-4908022

of shares

Condensed Holdings

Security Desc	Sym/Cusip	Suit	Rtg	Typ/Loc	TD	Quantity
1 Money	Money					
2 CAPITAL INCOME BUILDER FUND CLASS C - AMERICAN FUNDS M/F	CIBCX	M/INC	1 / 86X			76.713L
3 CAPITAL WORLD GROWTH & INCOME FUND CLASS A - AMERICAN FD M/F	CWGIX	M/GRW	1 / 86X			90.465L
4 INCOME FUND OF AMERICA CLASS A - AMERICAN FUNDS M/F	AMECX	M/INC	1 / 86X			156.971L
5 JPMORGAN INCOME BUILDER FUND CLASS A M/F	JNBAX	M/INC	1 / 86X			552.06L
6 TEMPLETON GLOBAL BOND FUND CLASS A M/F	TPINX	M/INC	1 / 86X			76.023L
TOTAL						

RAYMOND JAMES®

FINANCIAL SERVICES, INC.

Member FINRA/SIPC

SIRI SVAEREN SEP IRA
RAYMOND JAMES & ASSOC INC CSDN
1402 EDMONDSON AVE
CATONSVILLE MD 21228-4908022

B6 of 6

50 shares

Condensed Holdings

Security Desc	Sym/Cusip	Suit	Rtg	Typ/Loc	TD	Quantity
1 Money	Money					
2 FRANKLIN INCOME FUND CLASS A M/F	FKINX	M/INC	1 / 86X			4094.346L
3 AMERICAN INTERNATIONAL GROWTH & INCOME FUND CLASS A M/F	IGAAX	M/GRW	1 / 86X			192.44L
4 JPMORGAN INCOME BUILDER FUND CLASS A M/F	JNBAX	M/INC	1 / 86X			673.129L
TOTAL						

Tan Qian - individual name:
also own in individual stock:

less than 100 shares TRV
less than 1000 shares RJF

Schedule C – Interests in Non-Corporate Business
Entities Doing Business with the County

Do you have an interest in any non-corporate business entity (a sole proprietorship) that did business with the County during the reporting period?

Yes No - (If no, go to Schedule D)

If Yes: (Answer each question below. A separate Schedule C will be required for each business entity to be disclosed.)

1. Name and Address of the Principal office of the business entity?

Name: _____
Address: _____
City/State/Zip: _____

2. Is the interest held directly by you or is it attributable to you? (See Paragraph E of Instructions for definition of "Attributable.")

Direct: Attributable:

3. Do you hold the interest solely or is it jointly held with another?

Solely: Jointly:

3A. If jointly, the percentage of your joint interest:
_____ %

3B. Dollar value of your interest in the entity: \$ _____; or
percentage of your interest in the entity: _____ %

4. Are there any legal conditions or encumbrances that apply to your interest in the entity? (Example: mortgages, liens, contracts, options, etc.)

Yes No

If Yes; give name of creditor: _____

5. Was any interest acquired during the reporting year?

Yes No

If Yes;

5A. What month was the interest acquired?

5B. How was the interest in the entity acquired? (Example: purchase, gift, will, etc.)

5C. From whom did you acquire the interest?

5D. What consideration was given when the interest was acquired? (Dollar amount paid or if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

6. Did you transfer any of your interest during the reporting period?

Yes No

If Yes:

6A. What percentage of interest, if less than all, was transferred?
_____ %

6B. What consideration did you receive for the interest in the entity? (Dollar amount paid or if you received the property as a gift or inherited it, the fair market value and terms at the time you transferred your interest in the property):

6C. To whom did you transfer your interest in the entity?

If you have additional interests in sole proprietorship(s) that did business with the County during the reporting year, please use additional sheet(s) if necessary, and answer each of the above questions for each additional entry.

Schedule D - Gifts

During the reporting period, did you receive any gift(s), directly or indirectly, in excess of a value of \$20 or a series of gifts from the same donor with a cumulative value of \$100 or more from a person or entity who: 1) did business with the County; 2) engaged in an activity that was regulated or controlled by the County; or 3) was a regulated lobbyist? Gifts received from a member of the official's or employee's immediate family, another child, or a parent of the individual, do not need to be disclosed.

Yes No - (If no, go to Schedule E)

If Yes; (Answer each question below. A separate Schedule D will be required for each gift.)

1. Who gave you the gift? Arthur Adler - Carson Valley Panthers
2. What was the nature of the gift? (Example: book, restaurant meal, theater tickets, book, etc.) 2 tickets Rams game
3. What was the value of the gift? approx \$220
4. If the gift was given to someone else at your direction, list the identity of the recipient of the gift. N/A

Please use additional sheet(s), if necessary, for any additional entries.

1. St. John Prostitution
2. fishing trip
3. approx \$100
4. N/A

**Schedule E – Officers, Directorships, Salaried
Employment and Similar Interests**

During the reporting period, did you or any member of your immediate family (spouse or dependent child) have any salaried employment or hold any office or directorship with an entity that did business with the County?

Yes No --(If no, go to Schedule F)

If Yes; (Answer each question below. A separate Schedule E will be required for each disclosure.)

1. What is the name and address of the principal office of the business entity?

Name: _____

Address: _____

City/State/Zip: _____

2. Who was the individual who held the position or interest listed above?
(Example: yourself, spouse, dependent child)

Self: Spouse: Dependent child:

2A. Name of spouse or dependent child:

3. What is the title of the office you, your spouse or dependent child held?
(Example: limited partner, director, treasurer, chair of the board of trustees, etc.) _____

4. What year did the position begin? _____

5. With what County Agency(ies), Board(s) or Commission(s) did the business entity do business?

6. What was the nature of the business? (Example: regulated by your agency, registered under the lobbying law, or involved with sales and contracts with the County) _____

If necessary, please use additional sheet(s) for any additional entries.

Schedule F – Debts You Owe

During the reporting period, did you owe a debt (excluding a retail credit account) to a financial entity that did business with the County? **[NOTE: If, on Schedule A, B or C you listed a financial entity that did business with the County as the holder of your mortgage or other encumbrance, you must complete Schedule F with regard to that indebtedness.]**

Yes No - (If no, go to Schedule G)

If Yes; (Answer each question below. A separate Schedule F will be required for each debt to be disclosed.)

1. To whom did you owe the debt? (Do not include consumer credit debts)

2. When was the debt incurred? _____

3. What are the interest rate and terms of payment of the debt?

Interest Rate _____

Terms (monthly, bi-monthly, annually, etc): _____

4. What was the amount of the debt as of the end of the reporting period. If debt existed during the reporting period but was paid in full at the end of the period, put \$0. \$ _____

5. Did the principal of the debt increase _____ or decrease _____ during the reporting period, and by how much? \$ _____

6. Was any security given for the debt?

Yes No

If Yes; Please state what type of security was given (home, car, boat, etc):

7. If this is a transaction in which you were involved, but which resulted in a debt being owed by your spouse or dependent child, identify your spouse or child and describe the transaction. _____

If necessary, please use additional sheet(s) for any additional entries.

Schedule G – Family Members Employed by the County

During the reporting period, were any members of your immediate family (spouse or dependent children) employed by the County in any capacity?

Yes No - (If no, go to Schedule H)

If Yes; (Answer each question below. A separate Schedule G will be required for each member of the immediate family who is employed by the County.)

1. What is the relation and name of the immediate family member employed by the County? _____

2. What is the name of the agency that employed the member of your immediate family? _____

3. What was the title of your immediate family member's position in the County agency during the reporting period? _____

If necessary, please use additional sheet(s) for any additional entries.

Schedule H - Employment/Business Ownership

During the reporting period, did you or any member of your Immediate family, receive any earned income from an entity other than Baltimore County? Please note that your dependent child's employment or business ownership does not need to be disclosed unless the place of employment or the business entity is subject to regulation or the authority of the County or has contracts in excess of \$10,000 with the County.

Yes No - (If no, go to Schedule I)

If Yes; (Answer each question below. A separate Schedule H will be required for each member of the immediate family who had employment or ownership of a business entity.)

1. If, during the reporting period, you or a member of your Immediate family had employment from which you or they earned income, list the relation, name, and address of the employment.

① Name: TOM QUIRK
Relationship: SELF
Name of Employer: RAYMOND JAMES FINANCIAL SERVICES
Address: 880 CARLTON PARKWAY
City/State/Zip: ST. PETERSBURG, FL 33716

2. If, during the reporting period, you or a member of your Immediate family wholly or partially owned any business entity from which income was earned, list the relation, name and address of the business entity.

② Name: TOM QUIRK
Relationship: SELF
Name of Business Entity: AMERICAN FAMILY LIFE ASSURANCE COMPANY OF COLUMBUS
Address: 1932 WYNTON ROAD
City/State/Zip: COLUMBUS, GA 31999

If necessary, please use additional sheet(s) for any additional entries.

FOR ELECTED OFFICIALS ONLY

If an elected official has a change to salaried employment as listed above, the elected official shall file a supplement to this schedule within 30 days after the change. This requirement applies only to the elected official himself or herself.

③ NAME: SUE SUTHER
RELATIONSHIP: WIFE
RETIREMENT & INVESTMENT GROUP, LLC
806 FREDERICK ROAD
CATONSVILLE, MD 21228

Schedule I - Other

Is there any additional information or interest you would like to disclose?

TOM WORKS AS A CERTIFIED FINANCIAL PLANNER AND OWNS

HIS OWN INDEPENDENT COMPANY - RETIREMENT & INVESTMENT GROUP, LLC -

WHICH AFFILIATES WITH RAYMOND JAMES FINANCIAL SERVICES,

RAYMOND JAMES FINANCIAL SERVICES, OR RAYMOND JAMES, MAY

SEEK TO DO BUSINESS WITH BALTIMORE COUNTY GOVT MUNICIPAL

FINANCE ALTHOUGH NOT AWARE OF ANY RECENT OR PENDING

ENGAGEMENT, RJFS COMPLIANCE CONTACT: HOWARD BRAUN -

FIXED INCOME COMPLIANCE 1-727-567-1000 x 71288

RJFS REGIONAL SUPERVISOR: JOHN THORSEN 1-727-567-1000 x 71988

TOM HAS A BUSINESS SUCCESSION AGREEMENT ON FILE AND

IF HIS COMPANY IS SOLD, APPROX VALUE 1.5M. TOM HAS

OVER 800 CLIENT ACCOUNTS WHICH INCLUDE SEVERAL ACTIVE

AND RETIRED BALTIMORE COUNTY EMPLOYEES.

STANDARDS OF CONDUCT

The Baltimore County Public Ethics Law includes standards of conduct applicable to financial disclosure filers and other County employees. The standards address disqualification from participation, prohibited secondary employment, prohibited ownership interests, misuse of position, prohibited solicitation and acceptance of gifts, misuse of confidential information, post-employment limitations, prohibited dealings with the County, and procurement specifications assistance restrictions. The Law provides for exceptions and exemptions under certain circumstances.

Filers wanting more detailed information about these requirements should contact the offices of the Baltimore County Ethics Commission.