

Saranac Lake LDC Management Control and Financial Disclosure Questionnaire

As used below: "Saranac Lake Local Development Corporation", abbreviated as SLLDC, includes all committees and affiliates of the Saranac Lake Local Development Corporation; and "Payment" includes any contribution, gift, or other transfer of value (such as meals, entertainment or travel). This form is to be filled out and signed by each SLLDC Board member, Directors, and Staff member at end of each Fiscal Year and submitted to SLLDC Governance Committee.

For Items 2-4 to 2-8 below: For the current fiscal year _____, did you, or to your knowledge, did any member of your immediate family (your spouse, children, or any other relative of yours or of your spouse who resides in your household), or SLLDC employee for whom you have had supervisory responsibility do any of these actions: (Circle one) YES.....NO

(1) MANAGEMENT CONTROL	(2) FINANCIAL DISCLOSURE
<p><u>MISSION</u> (1-1) Am not knowledgeable about the mission, purpose, functions, responsibilities, and statutory duties of the SLLDC and, do not know when it is necessary, to make reasonable inquiry of management and others with knowledge and expertise so as to inform my decisions? YES NO</p> <p><u>DELIBERATION</u> (1-2) Have not deliberated with the best interests of the SLLDC and the People of the State of New York and, more specifically, the Village of Saranac Lake whom the LDC serves? YES NO</p> <p><u>POLITICAL CONTRIBUTIONS</u> (1-3) On behalf of the SLLDC, authorize or provide any Political Contribution Payment to any Political office holder or their staff? YES NO</p> <p><u>OTHER PAYMENTS</u> (1-4) On behalf of SLLDC, authorize or provide any Payment (including routine gifts of more than \$0): (a) to any government agent, representative or employee, the object of which was to obtain business or a favorable decision, or to expedite or modify a decision; or (b) to representatives of actual or potential customers in their individual or personal capacity, the object of which was to secure or retain specific business from the customer ? YES NO (1-5) On behalf of SLLDC, engage in, authorize or approve payment to any consultant, agent, attorney or similar person, which, to your knowledge, they then used under circumstances described in (a) or (b) above? YES NO</p> <p><u>PROCUREMENT</u> (1-6) Intentionally failed to follow SLLDC procurement policy, by awarding contracts to vendors that are not the lowest qualified vendor or to vendors that do not meet the specifications, without a reasonable exception. YES NO</p>	<p><u>CONFIDENTIALITY</u> (2-1) Have divulged confidential discussions and confidential matters that come before the board for consideration or action? YES NO</p> <p><u>CONFLICTS OF INTEREST</u> (2-2) Have an interest, financial or otherwise, direct or indirect, or have engaged in a business or transaction or professional activity or have incurred an obligation of any nature with, a SLLDC supplier, competitor, or customer? YES NO (2-3) Have not disclosed to the board conflicts, or the appearance of a conflict, of a personal, financial, ethical, or professional nature that could inhibit me from performing my duties in good faith and with due diligence and care? YES NO.</p> <p><u>INDEPENDENCE</u> As a Director (2-4) in the past two years, have been paid money for my vote or to influence the SLLDC voting; or (2-5) in the past two years have received payments or other financial benefits for my vote, such as waving of debts; or (2-6) am an executive officer or employee in an executive position of the Corporation or an affiliate; or (2-7) am a relative of an executive officer or employee in an executive position of the Corporation or an affiliate; or (2-8) in the past two years have been a lobbyist registered under a state or local law and by a client to influence the management decisions, contract awards, rate determinations or any other similar actions of the Corporation or an affiliate.? YES NO If yes, circle which description applies : (2-4) (2-5) (2-6) (2-7) (2-8)</p> <p><u>RECORDING OF TRANSACTIONS AND ACCOUNTS</u> (2-9) Engage in, authorize or approve descriptions of transactions in SLLDCs accounts or financial statements which do not accurately reflect the nature or timing of the transactions? YES NO</p>
<p><u>CODE OF CONDUCT TRAINING</u> (A) I confirm that I have read, understood and complied with the LDC's Management Conduct and Financial Disclosure form. YES NO</p> <p>(B) Since January 1, 2011, I have participated in at least one training session (conducted in person or on-line) related to state approved training regarding the legal, fiduciary, financial and ethical responsibilities as directors of an authority within one year of appointment to a board. YES NO</p>	<p>NAME _____</p> <p>SIGNATURE _____</p> <p>POSITION _____</p> <p>DATE _____</p> <p>NAME _____</p> <p>SIGNATURE _____</p> <p>POSITION _____</p> <p>DATE _____</p>

To be filled in by SLLDC Governance Committee: Resolution for YES answers- Item _____ Date _____

Resolution: _____