

LFN 2013-16

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Local Finance Notice

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Local Government Ethics Law 2013 Financial Disclosure Statements Filing Instructions: Local Government Officer Rosters

Rosters

Municipal clerks, county clerks, and other local government designees are responsible for completing, certifying and submitting the roster via e-mail to the Local Finance Board (LFB) no later than June 28, 2013. The certification confirms that you made a good faith effort to identify the individuals who are considered local government officers for purposes of filing a financial disclosure statement and, also, that you distributed LFN 2013-14R and/or the web site link for the financial disclosure statement to each of those local government officers.

For your convenience, the Division of Local Government Services (DLGS) has created roster forms to simplify data entry for you. The roster forms are available online as Excel and Word files at the following web page:

<http://www.nj.gov/dca/divisions/dlgs/resources/fds.html>

We will accept an updated version of your prior year's roster form provided that you add a column entitled "Filing Receipt Number" and modify the certification language to match the new certification language contained in the DLGS roster forms. Your roster must contain the following information:

Name of each person deemed to be a local government officer
Title/agency served
Filing status
Filing receipt number
Your certification (type your name and date)

The DLGS roster forms include sections for each category of local government officer that may be required to file. It is imperative that the roster be completed in every category in accordance with your specific local government agency's information. The roster is not to be considered as a transmittal cover sheet; rather, it is a complete list of local government

officers required to file the financial disclosure statement. *Please note that in the Excel spreadsheets, each category is shown as a separate worksheet, with the tabs at the bottom of the workbook.*

Once your roster is completed please e-mail the roster to lfb_fds@dca.state.nj.us as an attachment. We will accept rosters as Word, Excel, or PDF files. When e-mailing us your roster, please use the local government agency e-mail account that you provided to your local government officers.

Before e-mailing the LFB your roster it is important that you please re-name the file as follows: <Muni Code #>_FDR_2013. Your “Muni Code #” can be found in the “Muni Code” list available on our [FDS resources web page](#) or by [clicking here](#). For example, Sparta’s Muni Code # is 1918. Thus, Sparta’s roster file should be named 1918_FDR_2013.

Lastly, the subject line of your e-mail must contain the file name of your roster.

Other Important Information

1. Filing receipts.

Many local government officers inadvertently submitted multiple copies of their financial disclosure statements through the online filing process. However, you should accept and maintain only one filing receipt from each of your local government officers. The filing receipt number that you include in the roster will establish the “official” financial disclosure statement for each local government officer and must match a financial disclosure statement that was successfully submitted online. Do not transmit to the LFB copies of the filing receipts. Additional information concerning the importance of the “filing receipt” and “filing receipt number” (referred to in prior guidance as an “authentication code”) is available in LFN 2013-13 and LFN 2013-14R.

2. Errors contained in financial disclosure statements.

We are aware that some local government officers inadvertently failed to select a local government agency or selected the wrong local government agency when submitting the financial disclosure statement. In such cases, local government officers should strongly consider submitting a new financial disclosure statement. For other types of errors, local government officers should weigh whether the error is material to the particular disclosure required in the form and be guided accordingly.

Division staff is developing a process whereby, after the roster filing deadline passes, local government officers will be able to request that the Division delete any “extra” financial disclosure statements that appear in the online reports. This process should alleviate concerns involving “extra” financial disclosure statements that are noted in the scenarios described above. More information about this process will be provided in July.

3. Reports.

The LFB received thousands of financial disclosure statements during the week preceding the May 31st filing deadline and throughout the subsequent weekend. We anticipate that we will continue to receive financial disclosure statements for another week or two weeks. This has a significant impact on the amount of time required to generate and upload the “by name” and “by local government agency” reports we have been posting on our web page. Therefore, you will continue to experience an approximate 7-day gap between when a local government officer

submits a financial disclosure statement and when the statement appears in the online reports.

This means, also, that it is in the interest of your local government officers for you to wait until June 28th (or close to that date) before submitting your roster to the LFB.

Questions regarding the filing of rosters may be directed to the LFB via e-mail to dlgs@dca.state.nj.us or via telephone to 609.292.0479.

Approved: Thomas H. Neff, Director