



Rizzetta & Company

# **Waters Edge Community Development District**

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**Board of Supervisors' Meeting  
October 25, 2018**

**District Office:  
5844 Old Pasco Road, Suite 100  
Pasco, Florida 33544  
813.994.1615**

**[www.watersedgecdd.org](http://www.watersedgecdd.org)**

# **WATERS EDGE COMMUNITY DEVELOPMENT DISTRICT AGENDA**

At the Waters Edge Clubhouse, located at 9019 Creedmoor Lane, New Port Richey, FL  
34654

<b>Board of Supervisors</b>	Edward Grillo Roger LeBlanc Michael McCarthy Michaela Ballou	Chairman Vice Chairman Assistant Secretary Assistant Secretary
<b>District Manager</b>	Christine Perkins	Rizzetta & Company, Inc.
<b>District Counsel</b>	John Vericker	Straley Robin & Vericker
<b>District Engineer</b>	Greg Woodcock	Cardno TBE

**All cellular phones must be placed on mute while in the meeting room.**

The Audience Comment portion of the agenda is where individuals may make comments on matters that concern the District. Individuals are limited to a total of three (3) minutes to make comments during this time.

Pursuant to provisions of the Americans with Disabilities Act, any person requiring special accommodations to participate in this meeting/hearing/workshop is asked to advise the District Office at least forty-eight (48) hours before the meeting / hearing / workshop by contacting the District Manager at (813)533-2950. If you are hearing or speech impaired, please contact the Florida Relay Service by dialing 7-1-1, or 1-800-955-8771 (TTY) 1-800-955-8770 (Voice), who can aid you in contacting the District Office.

A person who decides to appeal any decision made at the meeting/hearing/workshop with respect to any matter considered at the meeting/hearing/workshop is advised that person will need a record of the proceedings and that accordingly, the person may need to ensure that a verbatim record of the proceedings is made including the testimony and evidence upon which the appeal is to be based.

**WATERS EDGE COMMUNITY DEVELOPMENT DISTRICT**  
**DISTRICT OFFICE • 5844 OLD PASCO ROAD • SUITE 100**  
**WESLEY CHAPEL, FL 33544**  
**www.watersedgecdd.org**

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**Board of Supervisors**  
**Waters Edge Community**  
**Development District**

October 22, 2018

**REVISED AGENDA**

Dear Board Members:

The regular meeting of the Board of Supervisors of the Waters Edge Community Development District will be held on **Thursday, October 25, 2018 at 3:30 p.m.** at the Waters Edge Clubhouse, located at 9019 Creedmoor Lane, New Port Richey, FL 34654. The following is the agenda for this meeting.

- 1. CALL TO ORDER/ROLL CALL**
- 2. AUDIENCE COMMENTS ON AGENDA ITEMS**
- 3. STAFF REPORTS**
  - A. District Engineer
    1. Presentation of Erosion Report for Belle Haven Drive..... Tab 1
    2. Consideration of Proposal from Site Masters for Erosion Repair on Belle Haven Drive ..... Tab 2
  - B. Aquatics Manager
    1. Presentation of the October 2018 Waterway Inspection Report ..... Tab 3
  - C. Field Services Manager
    1. Presentation of the September 2018 Field Inspection Report ..... Tab 4
    2. Consideration of Proposal from Yellowstone Landscape for Landscape Enhancement..... Tab 5
  - D. District Counsel
  - E. District Manager
    1. Presentation of Action Items List ..... Tab 6
- 4. BUSINESS ADMINISTRATION**
  - A. Discussion of Board Supervisor Appointment for Vacant Seat #4 ..... Tab 7
    1. Administration of Oath of Office
    2. Review of Form 1 & Sunshine Laws..... Tab 8
  - B. Consideration of Minutes of the Board of Supervisors' Meeting held on September 27, 2018..... Tab 9
  - C. Consideration of Operation and Maintenance Expenditures for September 2018 ..... Tab 10
- 5. BUSINESS ITEMS**
  - A. Discussion of Reclaimed Water Connection Application ..... Tab 11
- 6. AUDIENCE COMMENTS AND SUPERVISOR REQUESTS**
- 7. ADJOURNMENT**

Waters Edge Community Development District  
October 22,2018 Revised Final Agenda

We look forward to seeing you at the meeting. In the meantime, if you have any questions, please do not hesitate to call us at (813) 533-2950.

With Warm Regards,

*Christine Perkins*

Christine Perkins  
District Manager



## **Tab 1**

## MEMORANDUM

To: Christine Perkins, District Manager

From: Greg Woodcock, Cardno, Inc.

Project: Water's Edge, 11152 Belle Haven Drive

Date: September 5, 2018

On September 5, 2018, Cardno staff visited Waters Edge Community Development District to review the side bank erosion located adjacent to resident at 11152 Belle Haven Drive. During the on-site review the following items were identified and needing repair;

1. The side bank of the pond is eroding due to lack of vegetation and possible rutting from maintenance vehicles over time. It is recommended to bring in clean fill dirt and re-grade and sod the area to match the permitted condition.



11152 Belle Haven Drive - Photo showing eroded area behind the residence at 11152 Belle Haven Drive. Fill eroded area and regarnde to orignal condition and sod all disturbed areas to match existing.



11150 Belle Haven - Photo showing plastic embedded under grass. Possibly from left over silt fence. This should be removed. The plastic is at the edge of the eroded area and over time rutting occurred. Fill to original condition and sod all disturbed areas to match existing.



11150 Belle Haven Drive - Photo showing lack of vegetation and additional erosion. If homeowner does not install grass the erosion will keep happening.



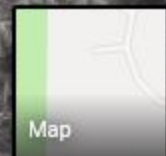
Belle Haven

Cobbs Ferry Ct

11152 Belle Haven Drive

Belle Haven Dr

Belle Haven Dr



Google





## **Tab 2**

**Site Masters of Florida, LLC**  
5551 Bloomfield Blvd.  
Lakeland, FL 33810  
Phone: (813) 917-9567  
Email: tim.sitemastersofflorida@yahoo.com

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**PROPOSAL**

**Waters Edge CDD**

**Erosion Repair - Belle Haven**

**10/16/2018**

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**Remediate erosion on slope behind 11150 and 11152 Belle Haven Drive**

**Scope includes:**

**filling and grading to restore original slope grades**  
**restoring area with bahia sod**  
**removing old silt fence debris**

**TOTAL     \$2,400**

## **Tab 3**



# Waters Edge CDD Waterway Inspection Report

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**Reason for Inspection:** Routine Scheduled

**Inspection Date:** 10/15/2018

**Prepared for:**

Ms. Christine Perkins, District Manager  
Rizzetta & Company  
9428 Camden Field Parkway  
Riverview, Florida 33578

**Prepared by:**

Morgan Melatti, Account Representative/Biologist

Aquatic Systems, Inc. - Wesley Chapel Field Office

Corporate Headquarters

2100 N.W. 33<sup>rd</sup> Street, Pompano Beach, FL 33069

1-800-432-4302



# Waters Edge CDD Waterway Inspection Report

10/15/2018

Site: TH3, TH1



**Comments:** Normal growth observed

Site TH3 (above) was seen in good condition following a treatment for planktonic algae and grasses on 10/2/18. Site TH1 (top and bottom right) was also treated during this maintenance visit and filamentous algae was seen decomposing during the site visit.

Site: TH2



**Comments:** Site looks good

Site TH2 is in good condition. Filamentous algae, Slender spikerush and shoreline grasses were targeted on 10/2/18 with excellent treatment results seen during the site visit. Monitoring and maintenance will continue as scheduled.



## Site: A2



### Comments: Treatment in progress

Slender Spikerush and shoreline grasses were targeted in site A2 during the maintenance visit on 10/2/18. Only a minor amount of Slender Spikerush remained during the site inspection (pictured top right) which will be managed as needed.

## Site: F1



### Comments: Treatment in progress

Decomposing Torpedogras, Southern Naiad and filamentous algae was seen in site F1 due to the maintenance visit on 10/2/18. A minor amount of planktonic algae was seen during the site visit (pictured bottom right) and will be targeted at an upcoming visit.



# Waters Edge CDD Waterway Inspection Report | 10/15/2018

**Site:** C1



**Comments:** Treatment in progress

Filamentous algae, Slender Spikerush and shoreline grasses were targeted during the monthly maintenance of site C1 on 10/2/18. A minor amount of filamentous algae was seen decomposing during the site visit.

**Site:** D1



**Comments:** Treatment in progress

Filamentous algae, Slender Spikerush and Torpedograss was targeted during the maintenance visit on 10/15/18. Torpedograss around the perimeter of the site will start to turn brown and filamentous algae will be reduced as a result of this treatment.



# Waters Edge CDD Waterway Inspection Report | 10/15/2018

Site: EA1



**Comments:** Normal growth observed

Normal growth of bottom filamentous algae and perimeter grasses was seen during the visit of site EA1. Perimeter vegetation such as Torpedograss and Pennywort received treatment on 10/15/18.

Site: A3



**Comments:** Treatment in progress

A reduction in surface filamentous algae and decomposing Alligator Weed and Torpedograss were seen during the visit of site A3 due to the maintenance visit on 10/2/18 for this growth. Monitoring and maintenance will continue as scheduled.



# Waters Edge CDD Waterway Inspection Report | 10/15/2018

**Site:** A1



**Comments:** Site looks good

Decomposing grasses and filamentous algae can be seen around the perimeter of site A1 due to the maintenance visit on 10/2/18. Monitoring and maintenance will continue as scheduled.

## Management Summary

The waterway inspection report for Waters Edge CDD was performed on October 15th, 2018 for ten sites in the community. The majority of sites inspected were targeted during the maintenance visit on October 10th, so treatment results were visible in browning vegetation and pale algae. Sites D1 and EA1 were the exception, having been targeted during the maintenance visit on October 15th. Treatment results were not yet visible during the site inspection but maintenance targets were seen in normal growth and will serve as a good marker for future treatment updates. It is normal for extra vegetation and algae to accumulate in the shallow coves of ponds, especially on windy days. This was seen and pictured in site D1 and treatment results can typically be seen 10-14 days after a treatment has been applied.

Site F1 was observed with quick growth of planktonic algae, despite algacide applications performed on the 10th. Planktonic algae blooms can occur quickly in the right conditions and monitoring and maintenance will manage these blooms as needed.

## Recommendations/Action Items

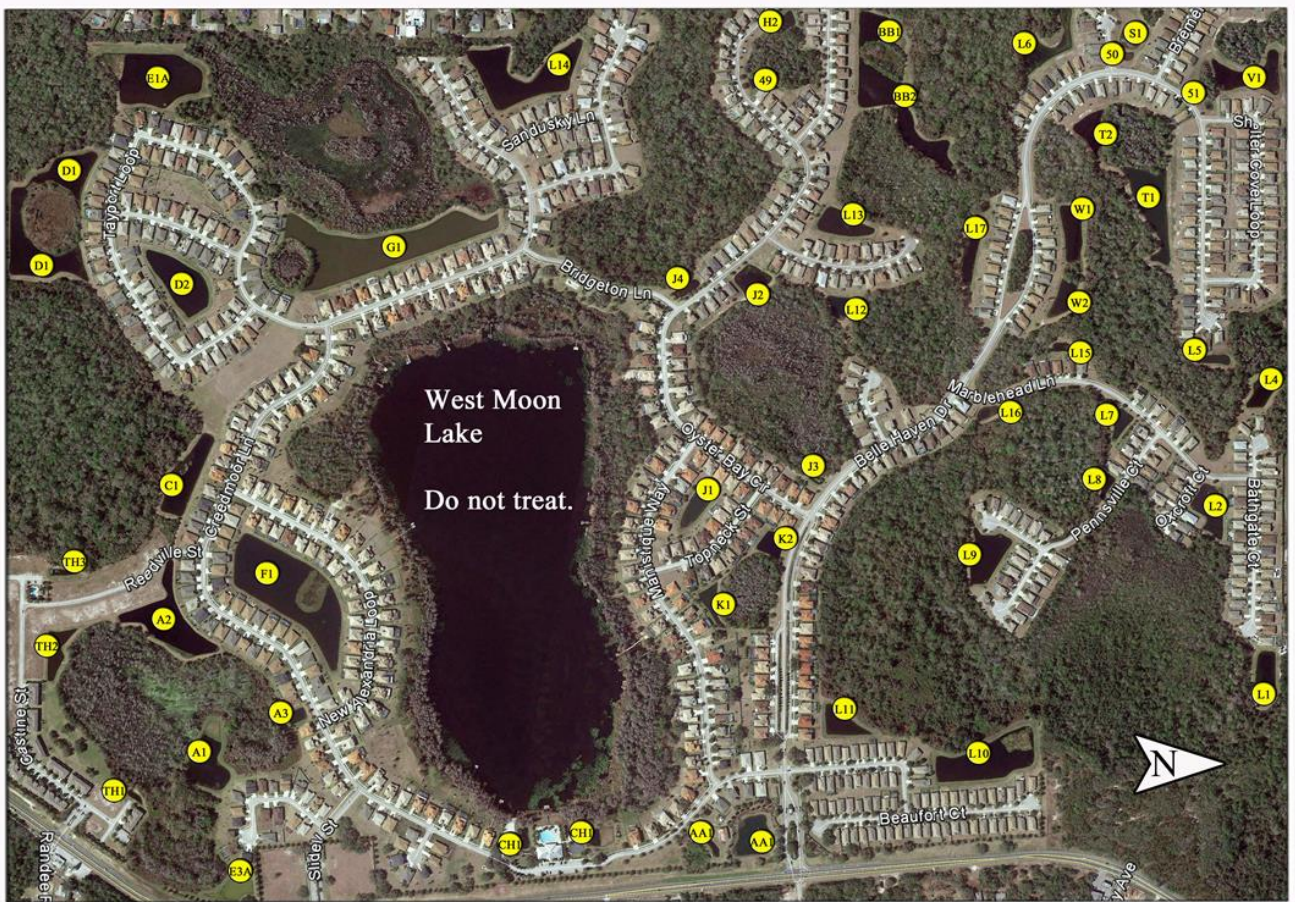
- Continue Routine Maintenance.
- Target Submersed Vegetation, such as Slender Spikerush.
- Target New Growth of Algae.

Thank You For Choosing Aquatic Systems, Inc.!



Water's Edge CDD  
New Port Richey, Florida

1-800-432-4302



JK

11/2015

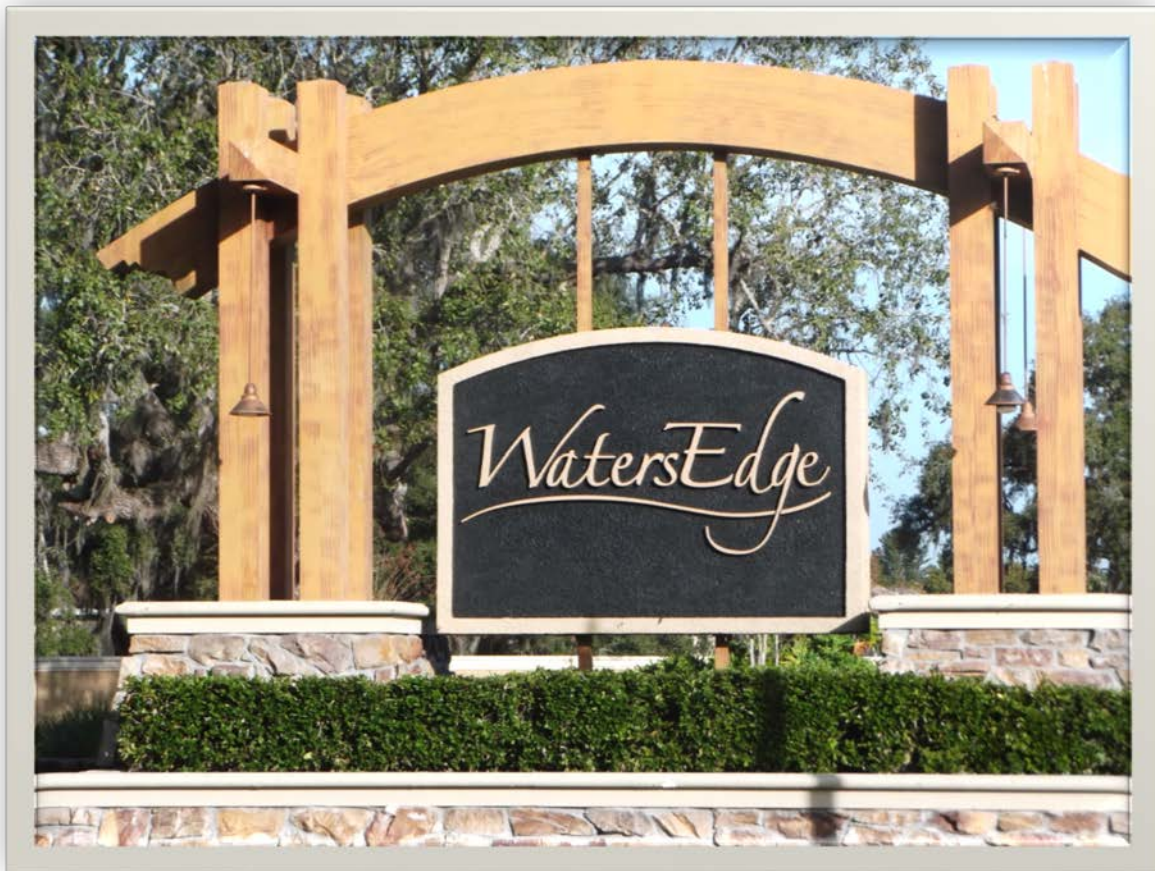
## **Tab 4**



# WATERS EDGE

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## FIELD INSPECTION REPORT



September 21, 2018  
Rizzetta & Company  
Tyree Brown- Field Services Manager



Rizzetta & Company  
Professionals in Community Management



# Summary & Waters Edge

## General Updates, Recent & Upcoming Maintenance Events

Staff needs to communicate with management and landscaper when ever adjustments are made to community irrigation controllers.

Give proposals from construction damage.

Make noted irrigation repairs.

Schedule new flowers for community.

Schedule fall fertilization.

The following are action items for Yellowstone to complete. Please refer to the item # in your response listing action already taken or anticipated time of completion. **Red text** indicates deficient from previous report. **Bold Red text** indicates deficient for more than a month. **Green text** indicates a proposal has been requested. **Blue** indicates irrigation.

1. Prune Live Oak on Creedmoor in common area north of clubhouse on west side.
2. Treat active fire ant mounts in the community.
3. Prune Bamboo from resident yard encroaching in common area at the corner of Creedmoor and Belle Haven.
4. **Give proposal to sod construction area at the corner of Creedmoor and Belle Haven.**
5. Weed and prune Jasmine Minima bed on Belle Haven south side at the community gate entrance.
6. Separate Jasmine Minima from ornamental grasses on the north side of Belle Haven at the community gate entrance.
7. **Provide proposal to change annuals in the community.**
8. Line trim along the wall in the common area at the north end of the community.
9. Pick up trash and debris in the plant beds along Moon Lake Rd.
10. **Repair broken irrigation drip line along the Moon Lake Rd plant bed frontage in several locations north of Belle Haven.**
11. **Repair broken irrigation drip line along the Moon Lake Rd plant bed frontage south of Belle Haven.**
12. **Give proposal to provide a shrub screen of the newly install backflow on Moon Lake at the**



# Waters Edge

Belle Haven entrance.

13. Weed Palmetto beds at the playground park on Bridgeton.

14. Weed large Juniper bed on the north side of the Belle Haven entrance at Moon Lake Rd.

15. Lift Wax Myrtle along the Moon Lake Rd frontage south of Belle Haven.

16. Treat Indian Hawthorne for fungus at the Slidell entrance near the gate entrance.

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17. Give proposal to repair turf from construction trenching back of sidewalk at the Belle Haven entrance south side.

18. Give proposal to sod common area where construction was completed just inside the Slidell gate north side. (photo 27)

19. Prune vines over the wall inside the community along Moon Lake Rd frontage.

20. Monitor Grand Live Oak in the common area on Creedmoor across from the boat ramp. Tree is under stress and in decline.

21. Prune Pygmy Date Palm in the common area across from the boat ramp on Creedmoor. (photo 31)

22. Repair vehicle damage to shrubs at the

boat ramp entrance on Creedmoor.

23. Develop plan to clean up dead limbs from Palmettos at the park on Bridgeton.

24. Replace irrigation valve box cover on the Moon Lake Rd frontage south of Belle Haven.

25. Give proposal to replace turf in the right of way at the boat ramp entrance on Creedmoor.

26. Prune Live Oak over the sidewalk on Creedmoor at the boat ramp entrance.

27. Prune the 2 Japanese Blueberries at the clubhouse entrance.

28. Weed Jasmine Minima tree rings on the pool deck of the clubhouse.

29. Prune Philodendron growing through the fence at the clubhouse deck at the clubhouse.

30. Continue to treat turf for fungus at the clubhouse parking lot.

31. Replace dead Maple in the passive park on Edistro.

32. Cut back over growth of vines along Belle Haven north side.

31



33. Replant pond bank on Belle Haven with ornamental grasses that were mowed.



# Waters Edge

- 34. Weed Grand Oak tree bed on Belle Haven west of Creedmoor.
- 35. Treat Ornamental grasses in the island beds of Belle Haven for spider mites. (photo 60)
- 36. Remove broken limb from Live Oak in the right of way of Faith Hope Ct.
- 37. Mow grass at the lift station at the end of Belle Haven.
- 38. Cut fallen Sand Pine encroaching over common area at the end of Bremerton.

60



- 39. Cut back encroaching conservation area on the backside of the stormwater pond on Biddeford.

- 40. Give proposal to maintain the plant install of the stormwater pond bank on Belle Haven requested by resident and reviewed by Engineer. (photo 58)

- 41. Give proposal to mulch community.

58



# Ventana

1. Treat active fire ant mounts in the community.
2. Cut back ornamental grasses over the sidewalk around the pool area.
3. Weed ornamental grass beds at the pool area.
4. Prune Magnolia over the sidewalk of the pool area.
5. Allow the Jasmine Minima to grow in in the pool parking lot plant beds.
6. Several plant beds in the community need the turf removed and plant beds enlarged to
12. Cut back Nandina at 11735 Castine.
13. Cut back shrubs over the driveway at 11717 Castine.
14. Resident at 11806 continues to run over irrigation head at the foot of the driveway. It has been replaced several times.
15. The Indian Hawthorne at 11836 Castine are in need of replacement.
16. Replace turf at the corner of Castine and Provincetown, south side from chinch bug damage under warranty.(photo 84)
17. Replace turf next to community mailbox on Castine east side under warranty.



Improve drainage and aesthetics. Live Oak shade not allow turf to grow.(photo 71)

7. Several turf areas next to driveways are being damaged by homeowner vehicles.
8. Remove vines in the Bottlebrush at the parking lot area on the end of Castine.
9. Weed plant bed at 11341Castine.
- 10.Prune Liriope over the sidewalk of the entrance to several of the homes in the community.
11. Remove sucker growth from several Magnolias in the community.



## **Tab 5**





## Enhancement Proposal

Job Name:	2018 CDD Annual Mulch	Proposal #	
Property Name:	Waters Edge CDD	Date:	September 24, 2018
Client:	Waters Edge		
Address:	c/o Rizzetta & Company 5844 Old Pasco Rd Suite 100		
City/State/Zip:	Wesley Chapel, FL 33544		
Phone:	813-994-1001		

### NOTES:

Yellowstone Landscape will complete the work described below:

### Description

Please see the price below to install new mulch throughout the community. Thanks!

Materials & Services	Quantity	Unit Price	Total
Price Includes Mulch, Labor and Installation	380	\$ 45.00	\$ 17,100.00
TOTAL PRICE			\$ 17,100.00

### ACCEPTANCE OF TERMS

Signature below authorizes Yellowstone Landscape to perform work as described above and verifies that the prices and specifications are hereby accepted.

Payment terms: Net 30 days. All overdue balances will be charged a 1.5% a month, 18% annual percentage rate.

Limited Warranty: All plant material is under a limited warranty for one year. Transplanted plant material and/or plant material that dies due to conditions out of Yellowstone Landscape's control (i.e. Acts of God, vandalism, inadequate irrigation due to water restrictions, etc.) shall not be included in the warranty.

Client:

Prepared by:

*Nelson de Sierra*

Date:

Date: September 24, 2018

Internal Use Only	
Project Number:	District: San Antonio
PO Reference:	Date Work Completed:

## **Tab 6**

## Waters Edge Action Item List

### Resident Correspondence Tracking

Timeframe	Number of Inquiries Received	Topics of Discussion
9/20/2018-10/17/2018	15	Received 6 calls in relation to the most recent letter that was disseminated pertaining to the increase for reclaimed water; 6 residents inquired about the Board Supervisor Vacancy and were given a deadline of 10/17 to submit materials; 1 e-mail was received expressing concern about pond algae that was subsequently treated by Aquatic Systems, and 2 residents inquired about their lot sizes.

### Current Open Items

Date	Topic	Updates
9/27/2018	Erosion Repairs	Erosion Repairs and Landscape Enhancements have been performed at 11638 Belle Haven Drive. Yellowstone to monitor progress with plantings. Greg Woodcock to coordinate with Site Masters on amending any grading issues.
9/27/2018	Field Services Inspection	Board Requested Mr. Brown move up his inspection by one week. This request is currently being discussed with Staff.
9/27/2018	Tree Removal Request	Mr. Hank Thiemann of 11502 Biddeford Place was advised of SWFMD requirements for tree removal. No action on behalf of the CDD is needed at this time.



## **Tab 7**



## Teri Geney

9517 Marblehead Lane | New Port Richey, FL 34654  
teri.geney@comcast.net | 802.777.5019

October 11, 2018

Christine Perkins, District Manager  
Rizzetta & Company  
9428 Camden Field Parkway  
Riverview, FL 33578

Dear Christine and Board of Supervisors for the WatersEdge Community Development District,

I'm writing to express interest in serving on the WaterEdge CDD Board of Supervisors. I believe my participation would serve the Board well, for the following reasons:

- Experience: My personality and reputation as a goal-driven, results-oriented person has enabled me to successfully serve on multiple Boards in the past, including the Grand Isle (VT) Town and District School Boards, the Improvement of Education in Vermont state-level Board, the Act 46 County Implementation Board, a radio station Board of Directors, and the Lake Champlain Islands Tourism and Marketing Board. Thanks to a strong work ethic and "get it done" mentality, my participation in all of these capacities has been 100 percent.
- Value the CDD Board: I support the role and actions of the CDD Board in WatersEdge and wish to help continue their good work. When we purchased our home here 2½ years ago, the conservation areas and solid infrastructure were significant factors in our decision-making process. We viewed these as critical to our enjoyment of living here and the ultimate resale value of our home in the future.
- Conservation: My love of the natural world creates an innate desire to preserve and maintain the community's conservation areas. As the daughter of a park ranger, I understand some of the complexities of preserving nature's balance, so I am neither a "tree-hugger" nor a "development at any cost" individual. This would like be a key area of interest should I serve on the CDD Board.
- Communications: As a professional with my own marketing communications business, I am passionate about the importance and value of effective communications. It takes skill and experience to communicate well, and to be effective, every Board needs someone who always has their eyes and ears tuned to how Board actions will be shared with their stakeholders.
- Relationships: Through my attendance and participation at nearly every HOA Board meeting, I have had the pleasure of interacting with CDD Board members who also attend these meetings. I believe we share a mutual respect for each other and would work well together on the CDD Board of Supervisors.

I look forward to attending the meeting on October 25 to answer any questions you may have.

Best regards,

Teri Geney

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# TERI GENEY

## MARKETING COPYWRITER & GRAPHIC ARTIST

Helping your business grow through effective Marketing Communications



**802-777-5019**

teri.geney@comcast.net  
wordcraftmarketing.com

9517 Marblehead Lane  
New Port Richey, FL 34654

### EDUCATION

B.A. English, 1988  
Gordon College  
Wenham, MA 01984

### SOFTWARE

Adobe Acrobat  
Adobe Illustrator  
Adobe InDesign  
Adobe PhotoShop  
Constant Contact  
CorelDraw  
MS Excel  
MS PowerPoint  
MS Publisher  
MS Word  
Weebly  
WordPress

### CORE COMPETENCIES

- ✦ Experienced marketing professional with 29 years of B2B and consumer experience
- ✦ Engaging writing style proven to motivate readers to action
- ✦ Creative strategic approach to communication opportunities
- ✦ Eager problem-solver to meet budgetary, scheduling, or other challenges
- ✦ Seasoned in print and digital media
- ✦ Skilled listener with high-level technical aptitude
- ✦ Highly organized and goal-driven
- ✦ Builder of strong client and co-worker relationships

### PORTFOLIO

- ✦ Advertisements, print & digital
- ✦ Blog Writing
- ✦ Booth Design
- ✦ Brochure Copywriting & Design
- ✦ Direct Mail & E-mail Campaigns
- ✦ Logo Design
- ✦ Marketing Strategy
- ✦ Press Releases
- ✦ Survey Creation
- ✦ Website Development

### WORK EXPERIENCE

#### WORDCRAFT MARKETING COMMUNICATIONS

Founder, 1998-present

- Consulted with a wide range of clients, providing marketing strategy, copywriting, design and project management services.
- Conducted "Marketing 101" and "Build Your Own Website" workshops.
- Provided pro bono services as School Board Director and PTA president.
- Operated a profitable business for 19 years, and counting.

#### BOMBARDIER CAPITAL, INC.

Marketing Communications Manager, 1995-1998

- Supported the VP of Marketing and VP of Strategic Planning with marketing strategy, copywriting, graphic design, presentations, press releases, market research, corporate branding and purchasing services for the Inventory Finance division (serving Sea-Doo, Ski-Doo, manufactured housing and marine retailers), as well as the Corporate Finance division (serving purchasers of LearJet and Challenger aircraft.)

#### BERTRAM & BNE ASSOCIATES

Director of Marketing, 1992-1995

- Provided a variety of marketing and advertising support services for a large New Jersey real estate developer, including award-winning sales programs for a staff of 20 realtors, press releases, market research and media management.

#### J. MALEK ADVERTISING

Account Executive, 1991

- Managed client accounts and wrote ad copy for a Manhattan ad agency.

October 5, 2018

Christine Perkins, District Manager  
Rizzetta & Company  
9428 Camden Field Parkway  
Riverview, FL 33578

Dear Ms. Perkins:

I would like to apply for the position of Board Member with the Waters Edge Community Development District. The skills I have gained in my thirty plus years of banking can assist our community projects in reaching its objectives. I have experience in holding leadership positions where I worked with teams toward a common goal. Most recently, I held the position of Chief Compliance Officer for a local community bank and regularly prepared and presented reports to the Board of Directors. I also have supervised the overall operations for sixteen corporate retail banking branches in the Tampa market. My enclosed resume will provide you with more details on my experience and qualifications.

On a personal note, my husband, Bill, and I have lived in Waters Edge since June 2010 and we are both newly retired. Bill was a Pasco County school teacher for twenty-one years. We have two daughters, a son and five grandchildren.

I would very much like to serve our community and I look forward to hearing from you.

Sincerely,

A handwritten signature in cursive script that reads "Carol Miller".

Carol Miller

# Carol A. Miller

11332 Biddeford Place • New Port Richey • FL • 34654 • (727) 207-9598 • [bclmiller@hotmail.com](mailto:bclmiller@hotmail.com)

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## SUMMARY

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Experienced consumer banking professional with over 30 years in compliance, operations, training, branch management and security. Leads all compliance and security initiatives for a community bank of 30 employees. Promotes a culture of continuous improvement by striving to enhance efficiency, effectiveness and quality. Skilled at driving individuals and teams to a common goal. Strong communicator with successful track record of preparing and presenting compliance-related updates to the Board of Directors. Experienced in writing and delivering a variety of compliance and financial services training courses.

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## PROFESSIONAL EXPERIENCE

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### **Patriot Bank, Senior Vice President, 2007 – 2017**

Chief Compliance and Bank Secrecy Act (BSA) Officer

Director of Human Resources

Security Officer

- Chairs bank's Compliance Committee. This includes ensuring compliance with federal regulations and bank policies, staying abreast of upcoming regulatory changes and keeping the Board of Directors informed.
- Prepares and presents BSA summaries and various compliance training to the Board of Directors.
- Authors bank policies and procedures around BSA/AML, OFAC, Suspicious Activity Reporting, Customer Due Diligence, Advertising and Compliance Management.
- Created and maintains bank's BSA and OFAC risk assessments.
- Determines risk rating for new accounts.
- Monitors high-risk accounts, high-risk transactions and reports to detect suspicious activity.
- Reviews and tracks Audit Exceptions and corresponding Corrective Action Plans to ensure timely resolution.
- Conducts ongoing BSA/AML training to all employees, officers, executive management and the Board of Directors.
- Administers online compliance training program and creates employee's course curriculum based on job function/responsibilities
- Oversees handling of subpoenas and other legal documents served upon the bank and is primary liaison with bank's external attorneys.
- Benefits administrator, interviews and hires employees, conducts new employee orientation and maintains HR files.

### **AmSouth Bank, Vice President, 1993 – 2006**

Area Branch Operations Manager, 2003 - 2006

- Supervised overall operations for sixteen branches in the Tampa market.
- Conducted graded branch audits to ensure compliance in the areas of wire transfer, general ledger, non-credit loss, security procedures and loan exceptions.
- Served as liaison between branch management and other bank departments to ensure timely resolution of key operational issues.
- Responsible for oversight of the opening of five new branches.
- Facilitated annual compliance training for senior management and branch employees.
- Delivered on-going teller excellence training to branch staff.

Direct Loan Underwriter, 1999 - 2003

- Reviewed and made decisions on credit applications for consumer loans.
- Identified red flags on loan applications, mitigating the potential for fraudulent accounts.
- Responsible for underwriting high dollar loans for private banking customers.
- Generated \$6.7MM in booked cross-sells.
- Consistently maintained delinquency rate of less than 3%.

- Developed course material and conducted monthly training sessions for branch loan officers.

#### Branch Manager, 1996 – 1999

- Initiated community business relationships that resulted in new deposit and loan accounts.
- Managed consumer and business loan activity in the branch and consistently exceeded sales goals.
- Developed and implemented branch sales strategy.
- Mentored five employees who were promoted into management positions.
- Maintained lowest staff turnover ratio in the Tampa market.
- Increased branch deposit base by 25% over three years.
- Exceeded home equity loan sales goal by 30%.
- Earned Chairman's Performance Award for exceeding sales and service goals.

#### Assistant Branch Manager, 1993 – 1996

- Selected to improve performance and employee morale in a branch with a history of high employee turnover and poor audits.
- Enforced policies and guidelines to reduce bank exposure to loss.
- Prepared monthly audit report.
- Conducted weekly branch sales meetings.
- Assigned individual sales goals and tracked staff performance.

#### New Accounts Representative and Teller, 1986 – 1993

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### **PROFESSIONAL DEVELOPMENT & TRAINING**

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- Bank Secrecy Act (BSA) School - includes Office of Foreign Asset (OFAC) training
- Annual BSA Compliance Management Seminar – includes Customer Due Diligence Training
- Regularly attend webinars on BSA emerging issues and Suspicious Activity Reporting Compliance
- Master's Lending Compliance course
- Consumer Compliance Seminar
- FDIC conference calls on hot topics
- Unfair, Deceptive or Abusive Acts or Practices (UDAAP) Seminars
- Consumer Financial Protection Bureau (CFPB) Seminars

***Statement to the Waters Edge CDD Board of Directors:***

I request consideration for the open position on the Waters Edge CDD Board of Directors. I have lived in Waters Edge for over two years and in Florida for the past twenty. I truly love our fabulous community and enjoy living here. As you can see in my resume, I have had a diverse career filled with a great deal of experience that I would bring to the Board. While serving in the United States Public Health Service Commissioned Corps, along with working as a clinical dentist, I worked in health care administration. This included the management of multimillion dollar cost centers for providing medical care to federal prison inmates. One of my duties involved putting out contracts for bid and then monitoring the contractors who were awarded the contracts. I developed yearly budgets and also supervised medical professionals. I served as an acting associate warden on numerous occasions. I have also previously served several terms on the Board of Directors of the Gracewood at River Ridge Homeowners Association.

It would be my distinct honor and privilege to serve on the Waters Edge CDD Board.

Dr. Stephen Scutari

## Contact

11058 Bremerton Ct  
New Port Richey, FL 34656-4697  
727-992-0702 (Mobile)  
sscutari@yahoo.com

[www.linkedin.com/in/dr-stephen-steve-scutari-048b253b](http://www.linkedin.com/in/dr-stephen-steve-scutari-048b253b) (LinkedIn)

## Top Skills

Teaching  
Community Outreach  
Public Speaking

## Languages

Basic Spanish

# Dr. Stephen (Steve) Scutari

Retired Dentist & Hospital Administrator. Now a Father & Professional Volunteer!  
New Port Richey, Florida

## Summary

I am a self made man. I worked hard through my schooling years and funded all of my education through a full college scholarship and successfully repaid school loans. I served in the US Navy Dental Corps and the US Public Health Service Commissioned Corps, from which I have retired. I have also worked in private dental practice. I am currently a single father raising 2 adopted daughters, and donating many volunteer hours (3000+) in local schools attended by my children.

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## Experience

District School Board of Pasco County  
Volunteer  
January 2004 - Present

As a school volunteer I do everything that I can to make a teacher's life easier. I tutor students, mentor students, make copies, perform administrative duties, teach on occasion, assist with major class projects, to name a few.

Federal Bureau of Prisons  
Chief Dental Officer, Health Services Administrator, Asst. Hospital Administrator  
April 1988 - January 1998 (9 years 10 months)  
FCI Sandstone; MN, FPC Boron, CA; FCI Bastrop, TX; FMC Rochester, MN; and USP Te

I was a commissioned officer in the US Public Health Services assigned to the Federal Bureau of Prisons.

US Army  
General Dentist  
July 1987 - April 1988 (10 months)  
Fort Hood, TX  
General Dentist.



## Self Employed General Dentist

Dentist/Owner

October 1985 - June 1987 (1 year 9 months)

Norwich, CT

## US Navy

Dental Officer

July 1982 - September 1985 (3 years 3 months)

Naval Submarine Base, New London Connecticut

Active duty military general dentist.

## Cardinal Hayes High School

Science Teacher

January 1978 - June 1978 (6 months)

Bronx, New York

General Science and Biology teacher.

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## Education

### New York University - College of Dentistry

Doctorate, Dentistry · (1978 - 1982)

### Manhattan College

Bachelor of Science, Biology · (1974 - 1978)

### Chaminade High School

High School Diploma, High School/Secondary Diplomas and  
Certificates · (1970 - 1974)

## **Tab 8**

**FORM 1****STATEMENT OF  
FINANCIAL INTERESTS****2017**Please print or type your name, mailing  
address, agency name, and position below:**FOR OFFICE USE ONLY:**

LAST NAME -- FIRST NAME -- MIDDLE NAME :

MAILING ADDRESS :

CITY : ZIP : COUNTY :

NAME OF AGENCY :

NAME OF OFFICE OR POSITION HELD OR SOUGHT :

You are not limited to the space on the lines on this form. Attach additional sheets, if necessary.

**CHECK ONLY IF** ☐ CANDIDATE OR ☐ NEW EMPLOYEE OR APPOINTEE**\*\*\*\* BOTH PARTS OF THIS SECTION MUST BE COMPLETED \*\*\*\*****DISCLOSURE PERIOD:**

THIS STATEMENT REFLECTS YOUR FINANCIAL INTERESTS FOR THE PRECEDING TAX YEAR, WHETHER BASED ON A CALENDAR YEAR OR ON A FISCAL YEAR. PLEASE STATE BELOW WHETHER THIS STATEMENT IS FOR THE PRECEDING TAX YEAR ENDING EITHER (must check one):

☐ DECEMBER 31, 2017 OR ☐ SPECIFY TAX YEAR IF OTHER THAN THE CALENDAR YEAR: \_\_\_\_\_**MANNER OF CALCULATING REPORTABLE INTERESTS:**FILERS HAVE THE OPTION OF USING REPORTING THRESHOLDS THAT ARE ABSOLUTE DOLLAR VALUES, WHICH REQUIRES FEWER CALCULATIONS, OR USING COMPARATIVE THRESHOLDS, WHICH ARE USUALLY BASED ON PERCENTAGE VALUES (see instructions for further details). CHECK THE ONE YOU ARE USING (**must check one**):☐ **COMPARATIVE (PERCENTAGE) THRESHOLDS** OR ☐ **DOLLAR VALUE THRESHOLDS****PART A -- PRIMARY SOURCES OF INCOME** [Major sources of income to the reporting person - See instructions]

(If you have nothing to report, write "none" or "n/a")

NAME OF SOURCE OF INCOME	SOURCE'S ADDRESS	DESCRIPTION OF THE SOURCE'S PRINCIPAL BUSINESS ACTIVITY

**PART B -- SECONDARY SOURCES OF INCOME**

[Major customers, clients, and other sources of income to businesses owned by the reporting person - See instructions]

(If you have nothing to report, write "none" or "n/a")

NAME OF BUSINESS ENTITY	NAME OF MAJOR SOURCES OF BUSINESS' INCOME	ADDRESS OF SOURCE	PRINCIPAL BUSINESS ACTIVITY OF SOURCE

**PART C -- REAL PROPERTY** [Land, buildings owned by the reporting person - See instructions]

(If you have nothing to report, write "none" or "n/a")


**FILING INSTRUCTIONS** for when  
and where to file this form are  
located at the bottom of page 2.**INSTRUCTIONS** on who must file  
this form and how to fill it out  
begin on page 3.

**PART D — INTANGIBLE PERSONAL PROPERTY** [Stocks, bonds, certificates of deposit, etc. - See instructions]  
(If you have nothing to report, write "none" or "n/a")

TYPE OF INTANGIBLE	BUSINESS ENTITY TO WHICH THE PROPERTY RELATES

**PART E — LIABILITIES** [Major debts - See instructions]  
(If you have nothing to report, write "none" or "n/a")

NAME OF CREDITOR	ADDRESS OF CREDITOR

**PART F — INTERESTS IN SPECIFIED BUSINESSES** [Ownership or positions in certain types of businesses - See instructions]  
(If you have nothing to report, write "none" or "n/a")

	BUSINESS ENTITY # 1	BUSINESS ENTITY # 2
NAME OF BUSINESS ENTITY		
ADDRESS OF BUSINESS ENTITY		
PRINCIPAL BUSINESS ACTIVITY		
POSITION HELD WITH ENTITY		
I OWN MORE THAN A 5% INTEREST IN THE BUSINESS		
NATURE OF MY OWNERSHIP INTEREST		

**PART G — TRAINING**

For **elected municipal officers** required to complete annual ethics training pursuant to section 112.3142, F.S.



**I CERTIFY THAT I HAVE COMPLETED THE REQUIRED TRAINING.**

**IF ANY OF PARTS A THROUGH G ARE CONTINUED ON A SEPARATE SHEET, PLEASE CHECK HERE** ☐

**SIGNATURE OF FILER:**

**Signature:**

\_\_\_\_\_

**Date Signed:**

\_\_\_\_\_

**CPA or ATTORNEY SIGNATURE ONLY**

If a certified public accountant licensed under Chapter 473, or attorney in good standing with the Florida Bar prepared this form for you, he or she must complete the following statement:

I, \_\_\_\_\_, prepared the CE Form 1 in accordance with Section 112.3145, Florida Statutes, and the instructions to the form. Upon my reasonable knowledge and belief, the disclosure herein is true and correct.

CPA/Attorney Signature: \_\_\_\_\_

Date Signed: \_\_\_\_\_

**FILING INSTRUCTIONS:**

If you were mailed the form by the Commission on Ethics or a County Supervisor of Elections for your annual disclosure filing, return the form to that location. To determine what category your position falls under, see page 3 of instructions.

**Local officers/employees** file with the Supervisor of Elections of the county in which they permanently reside. (If you do not permanently reside in Florida, file with the Supervisor of the county where your agency has its headquarters.) Form 1 filers who file with the Supervisor of Elections may file by mail or email. Contact your Supervisor of Elections for the mailing address or email address to use. Do not email your form to the Commission on Ethics, it will be returned.

**State officers or specified state employees** who file with the Commission on Ethics may file by mail or email. To file by mail, send the completed form to P.O. Drawer 15709, Tallahassee, FL 32317-5709; physical address: 325 John Knox Rd, Bldg E, Ste 200, Tallahassee, FL 32303. To file with the Commission by email, scan your completed form and any attachments as a pdf (do not use any other format) and send it to CEForm1@leg.state.fl.us. Do not file by both mail and email. Choose only one filing method. Form 6s will not be accepted via email.

**Candidates** file this form together with their filing papers.

**MULTIPLE FILING UNNECESSARY:** A candidate who files a Form 1 with a qualifying officer is not required to file with the Commission or Supervisor of Elections.

**WHEN TO FILE: Initially,** each local officer/employee, state officer, and specified state employee must file **within 30 days** of the date of his or her appointment or of the beginning of employment. Appointees who must be confirmed by the Senate must file prior to confirmation, even if that is less than 30 days from the date of their appointment.

**Candidates** must file at the same time they file their qualifying papers.

**Thereafter,** file by July 1 following each calendar year in which they hold their positions.

**Finally,** file a final disclosure form (Form 1F) within 60 days of leaving office or employment. Filing a CE Form 1F (Final Statement of Financial Interests) does not relieve the filer of filing a CE Form 1 if the filer was in his or her position on December 31, 2017.

## NOTICE

**Annual Statements of Financial Interests are due July 1. If the annual form is not filed or postmarked by September 1, an automatic fine of \$25 for each day late will be imposed, up to a maximum penalty of \$1,500. Failure to file also can result in removal from public office or employment. [s. 112.3145, F.S.]**

**In addition, failure to make any required disclosure constitutes grounds for and may be punished by one or more of the following: disqualification from being on the ballot, impeachment, removal or suspension from office or employment, demotion, reduction in salary, reprimand, or a civil penalty not exceeding \$10,000. [s. 112.317, F.S.]**

## **WHO MUST FILE FORM 1:**

1) Elected public officials not serving in a political subdivision of the state and any person appointed to fill a vacancy in such office, unless required to file full disclosure on Form 6.

2) Appointed members of each board, commission, authority, or council having statewide jurisdiction, excluding members of solely advisory bodies, but including judicial nominating commission members; Directors of Enterprise Florida, Scripps Florida Funding Corporation, and Career Source Florida; and members of the Council on the Social Status of Black Men and Boys; the Executive Director, Governors, and senior managers of Citizens Property Insurance Corporation; Governors and senior managers of Florida Workers' Compensation Joint Underwriting Association; board members of the Northeast Fla. Regional Transportation Commission; board members of Triumph Gulf Coast, Inc; board members of Florida Is For Veterans, Inc.; and members of the Technology Advisory Council within the Agency for State Technology.

3) The Commissioner of Education, members of the State Board of Education, the Board of Governors, the local Boards of Trustees and Presidents of state universities, and the Florida Prepaid College Board.

4) Persons elected to office in any political subdivision (such as municipalities, counties, and special districts) and any person appointed to fill a vacancy in such office, unless required to file Form 6.

5) Appointed members of the following boards, councils, commissions, authorities, or other bodies of county, municipality, school district, independent special district, or other political subdivision: the governing body of the subdivision; community college or junior college district boards of trustees; boards having the power to enforce local code provisions; boards of adjustment; community redevelopment agencies; planning or zoning boards having the power to recommend, create, or modify land planning or zoning within a political subdivision, except for citizen advisory committees, technical coordinating committees, and similar groups who only have the power to make recommendations to planning or zoning boards, and except for representatives of a military installation acting on behalf of all military installations within that jurisdiction; pension or retirement boards empowered to invest pension or retirement funds or determine entitlement to or amount of pensions or other retirement benefits.

6) Any appointed member of a local government board who is required to file a statement of financial interests by the appointing authority or the enabling legislation, ordinance, or resolution creating the board.

7) Persons holding any of these positions in local government: mayor; county or city manager; chief administrative employee or finance

director of a county, municipality, or other political subdivision; county or municipal attorney; chief county or municipal building inspector; county or municipal water resources coordinator; county or municipal pollution control director; county or municipal environmental control director; county or municipal administrator with power to grant or deny a land development permit; chief of police; fire chief; municipal clerk; appointed district school superintendent; community college president; district medical examiner; purchasing agent (regardless of title) having the authority to make any purchase exceeding \$20,000 for the local governmental unit.

8) Officers and employees of entities serving as chief administrative officer of a political subdivision.

9) Members of governing boards of charter schools operated by a city or other public entity.

10) Employees in the office of the Governor or of a Cabinet member who are exempt from the Career Service System, excluding secretarial, clerical, and similar positions.

11) The following positions in each state department, commission, board, or council: Secretary, Assistant or Deputy Secretary, Executive Director, Assistant or Deputy Executive Director, and anyone having the power normally conferred upon such persons, regardless of title.

12) The following positions in each state department or division: Director, Assistant or Deputy Director, Bureau Chief, Assistant Bureau Chief, and any person having the power normally conferred upon such persons, regardless of title.

13) Assistant State Attorneys, Assistant Public Defenders, criminal conflict and civil regional counsel, and assistant criminal conflict and civil regional counsel, Public Counsel, full-time state employees serving as counsel or assistant counsel to a state agency, administrative law judges, and hearing officers.

14) The Superintendent or Director of a state mental health institute established for training and research in the mental health field, or any major state institution or facility established for corrections, training, treatment, or rehabilitation.

15) State agency Business Managers, Finance and Accounting Directors, Personnel Officers, Grant Coordinators, and purchasing agents (regardless of title) with power to make a purchase exceeding \$20,000.

16) The following positions in legislative branch agencies: each employee (other than those employed in maintenance, clerical, secretarial, or similar positions and legislative assistants exempted by the presiding officer of their house); and each employee of the Commission on Ethics.

## **INSTRUCTIONS FOR COMPLETING FORM 1:**

**INTRODUCTORY INFORMATION** (Top of Form): If your name, mailing address, public agency, and position are already printed on the form, you do not need to provide this information unless it should be changed. To change any of this information, write the correct information on the form, and contact your agency's financial disclosure coordinator. You can find your coordinator on the Commission on Ethics website: [www.ethics.state.fl.us](http://www.ethics.state.fl.us).

**NAME OF AGENCY:** The name of the governmental unit which you serve or served, by which you are or were employed, or for which you are a candidate.

**OFFICE OR POSITION HELD OR SOUGHT:** The title of the office or position you hold, are seeking, or held during the disclosure period even if you have since left that position. If you are a candidate for office or are a new employee or appointee, check the appropriate box.

**PUBLIC RECORD:** The disclosure form and everything attached to it is a public record. Your Social Security Number is not required and you should redact it from any documents you file. If you are an active or former officer or employee listed in Section 119.071, F.S., whose home address is exempt from disclosure, the Commission will maintain that confidentiality if you submit a written request.

**DISCLOSURE PERIOD:** The tax year for most individuals is the calendar year (January 1 through December 31). If that is the case for you, then your financial interests should be reported for the calendar year 2017; check that box. If you file your IRS tax return based on a tax year that is not the calendar year, you should specify the dates of your tax year in this portion of the form and check the appropriate box. This is the "disclosure period" for your report.

## **MANNER OF CALCULATING REPORTABLE INTEREST**

Filers have the option of reporting based on either thresholds that are comparative (usually, based on percentage values) or thresholds that are based on absolute dollar values. The instructions on the following pages specifically describe the different thresholds. Check the box that reflects the choice you have made. You must use the type of threshold you have chosen for each part of the form. In other words, if you choose to report based on absolute dollar value thresholds, you cannot use a percentage threshold on any part of the form.

### **IF YOU HAVE CHOSEN DOLLAR VALUE THRESHOLDS THE FOLLOWING INSTRUCTIONS APPLY**

#### **PART A — PRIMARY SOURCES OF INCOME**

[Required by s. 112.3145(3)(b)1, F.S.]

Part A is intended to require the disclosure of your principal sources of income during the disclosure period. You do not have to disclose the amount of income received, and you need not list your public salary from serving in the position(s) which requires you to file this form. The income of your spouse need not be disclosed; however, if there is joint income to you and your spouse from property you own jointly (such as interest or dividends from a bank account or stocks), you should disclose the source of that income if it exceeded the threshold.

Please list in this part of the form the name, address, and principal business activity of each source of your income which exceeded \$2,500 of gross income received by you in your own name or by any other person for your use or benefit.

"Gross income" means the same as it does for income tax purposes, even if the income is not actually taxable, such as interest on tax-free bonds. Examples include: compensation for services, income from business, gains from property dealings, interest, rents, dividends, pensions, IRA distributions, social security, distributive share of partnership gross income, and alimony, but not child support.

Examples:

— If you were employed by a company that manufactures computers and received more than \$2,500, list the name of the company, its address, and its principal business activity (computer manufacturing).

— If you were a partner in a law firm and your distributive share of partnership gross income exceeded \$2,500, list the name of the firm, its address, and its principal business activity (practice of law).

— If you were the sole proprietor of a retail gift business and your gross income from the business exceeded \$2,500, list the name of the business, its address, and its principal business activity (retail gift sales).

— If you received income from investments in stocks and bonds, list each individual company from which you derived more than \$2,500. Do not aggregate all of your investment income.

— If more than \$2,500 of your gross income was gain from the sale of property (not just the selling price), list as a source of income the purchaser's name, address and principal business activity. If the purchaser's identity is unknown, such as where securities listed on an exchange are sold through a brokerage firm, the source of income should be listed as "sale of (name of company) stock," for example.

— If more than \$2,500 of your gross income was in the form of interest from one particular financial institution (aggregating interest from all CD's, accounts, etc., at that institution), list the name of the institution, its address, and its principal business activity.

#### **PART B — SECONDARY SOURCES OF INCOME**

[Required by s. 112.3145(3)(b)2, F.S.]

This part is intended to require the disclosure of major customers, clients, and other sources of income to businesses in which you own an interest. It is not for reporting income from second jobs. That kind of income should be reported in Part A "Primary Sources of Income," if it meets the reporting threshold. You will not have anything to report unless, during the disclosure period:

(1) You owned (either directly or indirectly in the form of an equitable or beneficial interest) more than 5% of the total assets or capital stock of

a business entity (a corporation, partnership, LLC, limited partnership, proprietorship, joint venture, trust, firm, etc., doing business in Florida); **and,**

(2) You received more than \$5,000 of your gross income during the disclosure period from that business entity.

If your interests and gross income exceeded these thresholds, then for that business entity you must list every source of income to the business entity which exceeded 10% of the business entity's gross income (computed on the basis of the business entity's most recently completed fiscal year), the source's address, and the source's principal business activity.

Examples:

— You are the sole proprietor of a dry cleaning business, from which you received more than \$5,000. If only one customer, a uniform rental company, provided more than 10% of your dry cleaning business, you must list the name of the uniform rental company, its address, and its principal business activity (uniform rentals).

— You are a 20% partner in a partnership that owns a shopping mall and your partnership income exceeded the above thresholds. List each tenant of the mall that provided more than 10% of the partnership's gross income and the tenant's address and principal business activity.

#### **PART C — REAL PROPERTY**

[Required by s. 112.3145(3)(b)3, F.S.]

In this part, list the location or description of all real property in Florida in which you owned directly or indirectly at any time during the disclosure period in excess of 5% of the property's value. You are not required to list your residences. You should list any vacation homes if you derive income from them.

Indirect ownership includes situations where you are a beneficiary of a trust that owns the property, as well as situations where you own more than 5% of a partnership or corporation that owns the property. The value of the property may be determined by the most recently assessed value for tax purposes, in the absence of a more current appraisal.

The location or description of the property should be sufficient to enable anyone who looks at the form to identify the property. A street address should be used, if one exists.

#### **PART D — INTANGIBLE PERSONAL PROPERTY**

[Required by s. 112.3145(3)(b)3, F.S.]

Describe any intangible personal property that, at any time during the disclosure period, was worth more than \$10,000 and state the business entity to which the property related. Intangible personal property includes things such as cash on hand, stocks, bonds, certificates of deposit, vehicle leases, interests in businesses, beneficial interests in trusts, money owed you, Deferred Retirement Option Program (DRO) accounts, the Florida Prepaid College Plan, and bank accounts. Intangible personal property also includes investment products held in IRAs, brokerage accounts, and the Florida College Investment Plan. Note that the product contained in a brokerage account, IRA, or the Florida College Investment Plan is your asset—not the account or plan itself. Things like automobiles and houses you own, jewelry, and paintings are not intangible property. Intangibles relating to the same business entity may be aggregated; for example, CDs and savings accounts with the same bank. Property owned as tenants by the entirety or as joint tenants with right of survivorship should be valued at 100%. The value of a leased vehicle is the vehicle's present value minus the lease residual (a number found on the lease document).



## PART E — LIABILITIES

[Required by s. 112.3145(3)(b)4, F.S.]

List the name and address of each creditor to whom you owed more than \$10,000 at any time during the disclosure period. The amount of the liability of a vehicle lease is the sum of any past-due payments and all unpaid prospective lease payments. You are not required to list the amount of any debt. You do not have to disclose credit card and retail installment accounts, taxes owed (unless reduced to a judgment), indebtedness on a life insurance policy owed to the company of issuance, or contingent liabilities. A "contingent liability" is one that will become an actual liability only when one or more future events occur or fail to occur, such as where you are liable only as a guarantor, surety, or endorser on a promissory note. If you are a "co-maker" and are jointly liable or jointly and severally liable, then it is not a contingent liability.

## PART F — INTERESTS IN SPECIFIED BUSINESSES

[Required by s. 112.3145(5), F.S.]

The types of businesses covered in this disclosure include: state and federally chartered banks; state and federal savings and loan associations; cemetery companies; insurance companies; mortgage companies; credit unions; small loan companies; alcoholic beverage licensees; pari-mutuel wagering companies; utility companies, entities controlled by the Public Service Commission; and entities granted a franchise to operate by either a city or a county government.

Disclose in this part the fact that you owned during the disclosure period an interest in, or held any of certain positions with the types of businesses listed above. You must make this disclosure if you own or owned (either directly or indirectly in the form of an equitable or beneficial interest) at any time during the disclosure period more than 5% of the total assets or capital stock of one of the types of business entities listed above. You also must complete this part of the form for each of these types of businesses for which you are, or were at any time during the disclosure period, an officer, director, partner, proprietor, or agent (other than a resident agent solely for service of process).

If you have or held such a position or ownership interest in one of these types of businesses, list the name of the business, its address and principal business activity, and the position held with the business (if any). If you own(ed) more than a 5% interest in the business, indicate that fact and describe the nature of your interest.

## PART G — TRAINING CERTIFICATION

[Required by s. 112.3142, F.S.]

If you are a Constitutional or elected municipal officer whose service began before March 31 of the year for which you are filing, you are required to complete four hours of ethics training which addresses Article II, Section 8 of the Florida Constitution, the Code of Ethics for Public Officers and Employees, and the public records and open meetings laws of the state. You are required to certify on this form that you have taken such training.

(End of Dollar Value Thresholds Instructions.)

# IF YOU HAVE CHOSEN COMPARATIVE (PERCENTAGE) THRESHOLDS THE FOLLOWING INSTRUCTIONS APPLY

## PART A — PRIMARY SOURCES OF INCOME

[Required by s. 112.3145(3)(a)1, F.S.]

Part A is intended to require the disclosure of your principal sources of income during the disclosure period. You do not have to disclose the amount of income received, and you need not list your public salary received from serving in the position(s) which requires you to file this form, but this amount should be included when calculating your gross income for the disclosure period. The income of your spouse need not be disclosed; however, if there is joint income to you and your spouse from property you own jointly (such as interest or dividends from a bank account or stocks), you should include all of that income when calculating your gross income and disclose the source of that income if it exceeded the threshold.

Please list in this part of the form the name, address, and principal business activity of each source of your income which exceeded 5% of the gross income received by you in your own name or by any other person for your benefit or use during the disclosure period.

"Gross income" means the same as it does for income tax purposes, even if the income is not actually taxable, such as interest on tax-free bonds. Examples include: compensation for services, income from business, gains from property dealings, interest, rents, dividends, pensions, IRA distributions, social security, distributive share of partnership gross income, and alimony, but not child support.

Examples:

— If you were employed by a company that manufactures computers and received more than 5% of your gross income from the company, list the name of the company, its address, and its principal business activity (computer manufacturing).

— If you were a partner in a law firm and your distributive share of partnership gross income exceeded 5% of your gross income, then list the name of the firm, its address, and its principal business activity (practice of law).

— If you were the sole proprietor of a retail gift business and your gross income from the business exceeded 5% of your total gross income, list the name of the business, its address, and its principal business activity (retail gift sales).

— If you received income from investments in stocks and bonds, list each individual company from which you derived

more than 5% of your gross income. Do not aggregate all of your investment income.

— If more than 5% of your gross income was gain from the sale of property (not just the selling price), list as a source of income the purchaser's name, address, and principal business activity. If the purchaser's identity is unknown, such as where securities listed on an exchange are sold through a brokerage firm, the source of income should be listed as "sale of (name of company) stock," for example.

— If more than 5% of your gross income was in the form of interest from one particular financial institution (aggregating interest from all CD's, accounts, etc., at that institution), list the name of the institution, its address, and its principal business activity.

## PART B — SECONDARY SOURCES OF INCOME

[Required by s. 112.3145(3)(a)2, F.S.]

This part is intended to require the disclosure of major customers, clients, and other sources of income to businesses in which you own an interest. It is not for reporting income from second jobs. That kind of income should be reported in Part A, "Primary Sources of Income," if it meets the reporting threshold. You will **not** have anything to report **unless** during the disclosure period:

(1) You owned (either directly or indirectly in the form of an equitable or beneficial interest) more than 5% of the total assets or capital stock of a business entity (a corporation, partnership, LLC, limited partnership, proprietorship, joint venture, trust, firm, etc., doing business in Florida); **and**,

(2) You received more than 10% of your gross income from that business entity; **and**,

(3) You received more than \$1,500 in gross income from that business entity.

If your interests and gross income exceeded these thresholds, then for that business entity you must list every source of income to the business entity which exceeded 10% of the business entity's gross income (computed on the basis of the business entity's most recently completed fiscal year), the source's address, and the source's principal business activity.

Examples:

— You are the sole proprietor of a dry cleaning business, from which you received more than 10% of your gross income—an amount that was more than \$1,500. If only one customer, a uniform rental company, provided more than 10% of your dry cleaning business, you must list the name of the uniform rental company, its address, and its principal business activity (uniform rentals).

— You are a 20% partner in a partnership that owns a shopping mall and your partnership income exceeded the thresholds listed above. You should list each tenant of the mall that provided more than 10% of the partnership's gross income, and the tenant's address and principal business activity.

## PART C — REAL PROPERTY

[Required by s. 112.3145(3)(a)3, F.S.]

In this part, list the location or description of all real property in Florida in which you owned directly or indirectly at any time during the disclosure period in excess of 5% of the property's value. You are not required to list your residences. You should list any vacation homes, if you derive income from them.

Indirect ownership includes situations where you are a beneficiary of a trust that owns the property, as well as situations where you own more than 5% of a partnership or corporation that owns the property. The value of the property may be determined by the most recently assessed value for tax purposes, in the absence of a more current appraisal.

The location or description of the property should be sufficient to enable anyone who looks at the form to identify the property. A street address should be used, if one exists.

## PART D — INTANGIBLE PERSONAL PROPERTY

[Required by s. 112.3145(3)(a)3, F.S.]

Describe any intangible personal property that, at any time during the disclosure period, was worth more than 10% of your total assets, and state the business entity to which the property related. Intangible personal property includes things such as cash on hand, stocks, bonds, certificates of deposit, vehicle leases, interests in businesses, beneficial interests in trusts, money owed you, Deferred Retirement Option Program (DROP) accounts, the Florida Prepaid College Plan, and bank accounts. Intangible personal property also includes investment products held in IRAs, brokerage accounts, and the Florida College Investment Plan. Note that the product contained in a brokerage account, IRA, or the Florida College Investment Plan is your asset—not the account or plan itself. Things like automobiles and houses you own, jewelry, and paintings are not intangible property. Intangibles relating to the same business entity may be aggregated; for example, CD's and savings accounts with the same bank.

Calculations: To determine whether the intangible property exceeds 10% of your total assets, total the fair market value of all of your assets (including real property, intangible property, and tangible personal property such as jewelry, furniture, etc.). When making this calculation, do not subtract any liabilities (debts) that may relate to the property. Multiply the total figure by 10% to arrive at the disclosure threshold. List only the intangibles that exceed this threshold amount. The value of a leased vehicle is the vehicle's present value minus the lease residual (a number which can be found on the lease document). Property that is only jointly owned property should be valued according to the percentage of your joint ownership. Property owned as tenants by the entirety or as joint tenants with right of survivorship should be valued at 100%. None of your calculations or the value of the property have to be disclosed on the form.

Example: You own 50% of the stock of a small corporation that is worth \$100,000, the estimated fair market value of your home and other property (bank accounts, automobile, furniture, etc.) is \$200,000. As your total assets are worth \$250,000, you must disclose intangibles worth over \$25,000. Since the value of the stock exceeds this threshold, you should list "stock" and the name of the corporation. If your accounts with a particular bank exceed \$25,000, you should list "bank accounts" and bank's name.

## PART E — LIABILITIES

[Required by s. 112.3145(3)(b)4, F.S.]

List the name and address of each creditor to whom you owed any amount that, at any time during the disclosure period, exceeded your net worth. You are not required to list the amount of any debt or your net worth. You do not have to disclose: credit card and retail installment accounts, taxes owed (unless reduced to a judgment), indebtedness on a life insurance policy owed to the company of issuance, or contingent liabilities. A "contingent liability" is one that will become an actual liability only when one or more future events occur or fail to occur, such as where you are liable only as a guarantor, surety, or endorser on a promissory note. If you are a "co-maker" and are jointly liable or jointly and severally liable, it is not a contingent liability.

Calculations: To determine whether the debt exceeds your net worth, total all of your liabilities (including promissory notes, mortgages, credit card debts, judgments against you, etc.). The amount of the liability of a vehicle lease is the sum of any past-due payments and all unpaid prospective lease payments. Subtract the sum total of your liabilities from the value of all your assets as calculated above for Part D. This is your "net worth." List each creditor to whom your debt exceeded this amount unless it is one of the types of indebtedness listed in the paragraph above (credit card and retail installment accounts, etc.). Joint liabilities with others for which you are "jointly and severally liable," meaning that you may be liable for either your part or the whole of the obligation, should be included in your calculations at 100% of the amount owed.

Example: You owe \$15,000 to a bank for student loans, \$5,000 for credit card debts, and \$60,000 (with spouse) to a savings and loan for a home mortgage. Your home (owned by you and your spouse) is worth \$80,000 and your other property is worth \$20,000. Since your net worth is \$20,000 (\$100,000 minus \$80,000), you must report only the name and address of the savings and loan.

## PART F — INTERESTS IN SPECIFIED BUSINESSES

[Required by s. 112.3145, F.S.]

The types of businesses covered in this disclosure include: state and federally chartered banks; state and federal savings and loan associations; cemetery companies; insurance companies; mortgage companies; credit unions; small loan companies; alcoholic beverage licensees; pari-mutuel wagering companies; utility companies, entities controlled by the Public Service Commission; and entities granted a franchise to operate by either a city or a county government.

Disclose in this part the fact that you owned during the disclosure period an interest in, or held any of certain positions with, the types of businesses listed above. You are required to make this disclosure if you own or owned (either directly or indirectly in the form of an equitable or beneficial interest) at any time during the disclosure period more than 5% of the total assets or capital stock of one of the types of business entities listed above. You also must complete this part of the form for each of these types of businesses for which you are, or were at any time during the disclosure period, an officer, director, partner, proprietor, or agent (other than a resident agent solely for service of process).

If you have or held such a position or ownership interest in one of these types of businesses, list the name of the business, its address and principal business activity, and the position held with the business (if any). If you own(ed) more than a 5% interest in the business, indicate that fact and describe the nature of your interest.

## PART G — TRAINING CERTIFICATION

[Required by s. 112.3142, F.S.]

If you are a Constitutional or elected municipal officer whose service began before March 31 of the year for which you are filing, you are required to complete four hours of ethics training which addresses Article II, Section 8 of the Florida Constitution, the Code of Ethics for Public Officers and Employees, and the public records and open meetings laws of the state. You are required to certify on this form that you have taken such training.

**(End of Percentage Thresholds Instructions.)**

# FLORIDA COMMISSION ON ETHICS



## GUIDE to the SUNSHINE AMENDMENT and CODE of ETHICS for Public Officers and Employees

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**2018**

State of Florida  
COMMISSION ON ETHICS

**Michelle Anchors, *Chair***  
Ft. Walton Beach

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Trinity

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## **I. HISTORY OF FLORIDA'S ETHICS LAWS**

Florida has been a leader among the states in establishing ethics standards for public officials and recognizing the right of citizens to protect the public trust against abuse. Our state Constitution was revised in 1968 to require a code of ethics, prescribed by law, for all state employees and non-judicial officers prohibiting conflict between public duty and private interests.

Florida's first successful constitutional initiative resulted in the adoption of the Sunshine Amendment in 1976, providing additional constitutional guarantees concerning ethics in government. In the area of enforcement, the Sunshine Amendment requires that there be an independent commission (the Commission on Ethics) to investigate complaints concerning breaches of public trust by public officers and employees other than judges.

The Code of Ethics for Public Officers and Employees is found in Chapter 112 (Part III) of the Florida Statutes. Foremost among the goals of the Code is to promote the public interest and maintain the respect of the people for their government. The Code is also intended to ensure that public officials conduct themselves independently and impartially, not using their offices for private gain other than compensation provided by law. While seeking to protect the integrity of government, the Code also seeks to avoid the creation of unnecessary barriers to public service.

Criminal penalties, which initially applied to violations of the Code, were eliminated in 1974 in favor of administrative enforcement. The Legislature created the Commission on Ethics that year "to serve as guardian of the standards of conduct" for public officials, state and local. Five of the Commission's nine members are appointed by the Governor, and two each are appointed by the President of the Senate and Speaker of the House of Representatives. No more than five Commission members may be members of the same political party, and none may be lobbyists, or hold any public employment during their two-year terms of office. A chair is selected from among the members to serve a one-year term and may not succeed himself or herself.

## **II. ROLE OF THE COMMISSION ON ETHICS**

In addition to its constitutional duties regarding the investigation of complaints, the Commission:

- Renders advisory opinions to public officials;
- Prescribes forms for public disclosure;
- Prepares mailing lists of public officials subject to financial disclosure for use by Supervisors of Elections and the Commission in distributing forms and notifying delinquent filers;
- Makes recommendations to disciplinary officials when appropriate for violations of ethics and disclosure laws, since it does not impose penalties;

- Administers the Executive Branch Lobbyist Registration and Reporting Law;
- Maintains financial disclosure filings of constitutional officers and state officers and employees; and,
- Administers automatic fines for public officers and employees who fail to timely file required annual financial disclosure.

### III. THE ETHICS LAWS

The ethics laws generally consist of two types of provisions, those prohibiting certain actions or conduct and those requiring that certain disclosures be made to the public. The following descriptions of these laws have been simplified in an effort to provide notice of their requirements. Therefore, we suggest that you also review the wording of the actual law. Citations to the appropriate laws are in brackets.

The laws summarized below apply generally to all public officers and employees, state and local, including members of advisory bodies. The principal exception to this broad coverage is the exclusion of judges, as they fall within the jurisdiction of the Judicial Qualifications Commission.

Public Service Commission (PSC) members and employees, as well as members of the PSC Nominating Council, are subject to additional ethics standards that are enforced by the Commission on Ethics under Chapter 350, Florida Statutes. Further, members of the governing boards of charter schools are subject to some of the provisions of the Code of Ethics [Sec. 1002.33(26), Fla. Stat.], as are the officers, directors, chief executive officers and some employees of business entities that serve as the chief administrative or executive officer or employee of a political subdivision. [Sec. 112.3136, Fla. Stat.].

#### A. PROHIBITED ACTIONS OR CONDUCT

##### 1. *Solicitation and Acceptance of Gifts*

Public officers, employees, local government attorneys, and candidates are prohibited from soliciting or accepting anything of value, such as a gift, loan, reward, promise of future employment, favor, or service that is based on an understanding that their vote, official action, or judgment would be influenced by such gift. [Sec. 112.313(2), Fla. Stat.]

Persons required to file financial disclosure FORM 1 or FORM 6 (see Part III F of this brochure), and state procurement employees, are prohibited from **soliciting** any gift from a political committee, lobbyist who has lobbied the official or his or her agency within the past 12 months, or the partner, firm, employer, or principal of such a lobbyist or from a vendor doing business with the official's agency. [Sec. 112.3148, Fla. Stat.]

Persons required to file FORM 1 or FORM 6, and state procurement employees are prohibited from directly or indirectly **accepting** a gift worth more than \$100 from such a lobbyist, from a partner, firm, employer, or principal of the lobbyist, or from a political committee or vendor doing business with their agency. [Sec.112.3148, Fla. Stat.]

**However**, effective in 2006 and notwithstanding Sec. 112.3148, Fla. Stat., no Executive Branch lobbyist or principal shall make, directly or indirectly, and no Executive Branch agency official who files FORM 1 or FORM 6 shall knowingly accept, directly or indirectly, **any expenditure** made for the purpose of lobbying. [Sec. 112.3215, Fla. Stat.] Typically, this would include gifts valued at less than \$100 that formerly were permitted under Section 112.3148, Fla. Stat. Similar rules apply to members and employees of the Legislature. However, these laws are not administered by the Commission on Ethics. [Sec. 11.045, Fla. Stat.]

Also, effective May 1, 2013, persons required to file Form 1 or Form 6, and state procurement employees and members of their immediate families, are prohibited from accepting any gift from a political committee. [Sec. 112.31485, Fla. Stat.]

## *2. Unauthorized Compensation*

Public officers or employees, local government attorneys, and their spouses and minor children are prohibited from accepting any compensation, payment, or thing of value when they know, or with the exercise of reasonable care should know, that it is given to influence a vote or other official action. [Sec. 112.313(4), Fla. Stat.]

## *3. Misuse of Public Position*

Public officers and employees, and local government attorneys are prohibited from corruptly using or attempting to use their official positions or the resources thereof to obtain a special privilege or benefit for themselves or others. [Sec. 112.313(6), Fla. Stat.]

## *4. Disclosure or Use of Certain Information*

Public officers and employees and local government attorneys are prohibited from disclosing or using information not available to the public and obtained by reason of their public position, for the personal benefit of themselves or others. [Sec. 112.313(8), Fla. Stat.]

## 5. *Solicitation or Acceptance of Honoraria*

Persons required to file financial disclosure FORM 1 or FORM 6 (see Part III F of this brochure), and state procurement employees, are prohibited from **soliciting** honoraria related to their public offices or duties. [Sec. 112.3149, Fla. Stat.]

Persons required to file FORM 1 or FORM 6, and state procurement employees, are prohibited from knowingly **accepting** an honorarium from a political committee, lobbyist who has lobbied the person's agency within the past 12 months, or the partner, firm, employer, or principal of such a lobbyist, or from a vendor doing business with the official's agency. However, they may accept the payment of expenses related to an honorarium event from such individuals or entities, provided that the expenses are disclosed. See Part III F of this brochure. [Sec. 112.3149, Fla. Stat.]

Lobbyists and their partners, firms, employers, and principals, as well as political committees and vendors, are prohibited from **giving** an honorarium to persons required to file FORM 1 or FORM 6 and to state procurement employees. Violations of this law may result in fines of up to \$5,000 and prohibitions against lobbying for up to two years. [Sec. 112.3149, Fla. Stat.]

However, notwithstanding Sec. 112.3149, Fla. Stat., no Executive Branch or legislative lobbyist or principal shall make, directly or indirectly, and no Executive Branch agency official who files FORM 1 or FORM 6 shall knowingly accept, directly or indirectly, **any expenditure** made for the purpose of lobbying. [Sec. 112.3215, Fla. Stat.] This may include honorarium event related expenses that formerly were permitted under Sec. 112.3149, Fla. Stat. Similar rules apply to members and employees of the Legislature. However, these laws are not administered by the Commission on Ethics. [Sec. 11.045, Fla. Stat.]

## **B. PROHIBITED EMPLOYMENT AND BUSINESS RELATIONSHIPS**

### 1. *Doing Business With One's Agency*

(a) A public employee acting as a purchasing agent, or public officer acting in an official capacity, is prohibited from purchasing, renting, or leasing any realty, goods, or services for his or her agency from a business entity in which the officer or employee or his or her spouse or child owns more than a 5% interest. [Sec. 112.313(3), Fla. Stat.]

(b) A public officer or employee, acting in a private capacity, also is prohibited from renting, leasing, or selling any realty, goods, or services to his or her own agency if the officer or employee is a state officer or employee, or, if he or she is an officer or employee of a political subdivision, to that subdivision or any of its agencies. [Sec. 112.313(3), Fla. Stat.]

## 2. *Conflicting Employment or Contractual Relationship*

(a) A public officer or employee is prohibited from holding any employment or contract with any business entity or agency regulated by or doing business with his or her public agency. [Sec. 112.313(7), Fla. Stat.]

(b) A public officer or employee also is prohibited from holding any employment or having a contractual relationship which will pose a frequently recurring conflict between the official's private interests and public duties or which will impede the full and faithful discharge of the official's public duties. [Sec. 112.313(7), Fla. Stat.]

(c) Limited exceptions to this prohibition have been created in the law for legislative bodies, certain special tax districts, drainage districts, and persons whose professions or occupations qualify them to hold their public positions. [Sec. 112.313(7)(a) and (b), Fla. Stat.]

3. *Exemptions—Pursuant to Sec. 112.313(12), Fla. Stat., the prohibitions against doing business with one's agency and having conflicting employment may not apply:*

(a) When the business is rotated among all qualified suppliers in a city or county.

(b) When the business is awarded by sealed, competitive bidding and neither the official nor his or her spouse or child have attempted to persuade agency personnel to enter the contract. NOTE: Disclosure of the interest of the official, spouse, or child and the nature of the business must be filed prior to or at the time of submission of the bid on Commission FORM 3A with the Commission on Ethics or Supervisor of Elections, depending on whether the official serves at the state or local level.

(c) When the purchase or sale is for legal advertising, utilities service, or for passage on a common carrier.

(d) When an emergency purchase must be made to protect the public health, safety, or welfare.

(e) When the business entity is the only source of supply within the political subdivision and there is full disclosure of the official's interest to the governing body on Commission FORM 4A.

(f) When the aggregate of any such transactions does not exceed \$500 in a calendar year.

(g) When the business transacted is the deposit of agency funds in a bank of which a county, city, or district official is an officer, director, or stockholder, so long as agency records show that the governing body has determined that the member did not favor his or her bank over other qualified banks.

(h) When the prohibitions are waived in the case of ADVISORY BOARD MEMBERS by the appointing person or by a two-thirds vote of the appointing body (after disclosure on Commission FORM 4A).

(i) When the public officer or employee purchases in a private capacity goods or services, at a price and upon terms available to similarly situated members of the general public, from a business entity which is doing business with his or her agency.

(j) When the public officer or employee in a private capacity purchases goods or services from a business entity which is subject to the regulation of his or her agency where the price and terms of the transaction are available to similarly situated members of the general public and the officer or employee makes full disclosure of the relationship to the agency head or governing body prior to the transaction.

#### *4. Additional Exemptions*

No elected public officer is in violation of the conflicting employment prohibition when employed by a tax exempt organization contracting with his or her agency so long as the officer is not directly or indirectly compensated as a result of the contract, does not participate in any way in the decision to enter into the contract, abstains from voting on any matter involving the employer, and makes certain disclosures. [Sec. 112.313(15), Fla. Stat.] A qualified blind trust established pursuant to Sec. 112.31425, Fla. Stat., may afford an official protection from conflicts of interest arising from assets placed in the trust.

#### *5. Legislators Lobbying State Agencies*

A member of the Legislature is prohibited from representing another person or entity for compensation during his or her term of office before any state agency other than judicial tribunals. [Art. II, Sec. 8(e), Fla. Const., and Sec. 112.313(9), Fla. Stat.]

#### *6. Employees Holding Office*

A public employee is prohibited from being a member of the governing body which serves as his or her employer. [Sec. 112.313(10), Fla. Stat.]

#### *7. Professional and Occupational Licensing Board Members*

An officer, director, or administrator of a state, county, or regional professional or occupational organization or association, while holding such position, may not serve as a member of a state examining or licensing board for the profession or occupation. [Sec. 112.313(11), Fla. Stat.]



#### *8. Contractual Services: Prohibited Employment*

A state employee of the executive or judicial branch who participates in the decision-making process involving a purchase request, who influences the content of any specification or procurement standard, or who renders advice, investigation, or auditing, regarding his or her agency's contract for services, is prohibited from being employed with a person holding such a contract with his or her agency. [Sec. 112.3185(2), Fla. Stat.]

#### *9. Local Government Attorneys*

Local government attorneys, such as the city attorney or county attorney, and their law firms are prohibited from representing private individuals and entities before the unit of local government which they serve. A local government attorney cannot recommend or otherwise refer to his or her firm legal work involving the local government unit unless the attorney's contract authorizes or mandates the use of that firm. [Sec. 112.313(16), Fla. Stat.]

#### *10. Dual Public Employment*

Candidates and elected officers are prohibited from accepting public employment if they know or should know it is being offered for the purpose of influence. Further, public employment may not be accepted unless the position was already in existence or was created without the anticipation of the official's interest, was publicly advertised, and the officer had to meet the same qualifications and go through the same hiring process as other applicants. For elected public officers already holding public employment, no promotion given for the purpose of influence may be accepted, nor may promotions that are inconsistent with those given other similarly situated employees. [Sec. 112.3125, Fla. Stat.]

### **C. RESTRICTIONS ON APPOINTING, EMPLOYING, AND CONTRACTING WITH RELATIVES**

#### *1. Anti-Nepotism Law*

A public official is prohibited from seeking for a relative any appointment, employment, promotion, or advancement in the agency in which he or she is serving or over which the official exercises jurisdiction or control. No person may be appointed, employed, promoted, or advanced in or to a position in an agency if such action has been advocated by a related public official who is serving in or exercising jurisdiction or control over the agency; this includes relatives of members of collegial government bodies. NOTE: This prohibition does not apply to school districts (except as provided in Sec. 1012.23, Fla. Stat.), community colleges and state universities, or to appointments of boards, other than those with land-planning or zoning responsibilities, in municipalities of fewer than 35,000 residents. Also, the approval of budgets does not constitute "jurisdiction or control" for the purposes

of this prohibition. This provision does not apply to volunteer emergency medical, firefighting, or police service providers. [Sec. 112.3135, Fla. Stat.]

## *2. Additional Restrictions*

A state employee of the executive or judicial branch or the PSC is prohibited from directly or indirectly procuring contractual services for his or her agency from a business entity of which a relative is an officer, partner, director, or proprietor, or in which the employee, or his or her spouse, or children own more than a 5% interest. [Sec. 112.3185(6), Fla. Stat.]

## **D. POST OFFICE HOLDING AND EMPLOYMENT (REVOLVING DOOR) RESTRICTIONS**

### *1. Lobbying by Former Legislators, Statewide Elected Officers, and Appointed State Officers*

A member of the Legislature or a statewide elected or appointed state official is prohibited for two years following vacation of office from representing another person or entity for compensation before the government body or agency of which the individual was an officer or member. Former members of the Legislature are also prohibited for two years from lobbying the executive branch. [Art. II, Sec. 8(e), Fla. Const. and Sec. 112.313(9), Fla. Stat.]

### *2. Lobbying by Former State Employees*

Certain employees of the executive and legislative branches of state government are prohibited from personally representing another person or entity for compensation before the agency with which they were employed for a period of two years after leaving their positions, unless employed by another agency of state government. [Sec. 112.313(9), Fla. Stat.] These employees include the following:

- (a) Executive and legislative branch employees serving in the Senior Management Service and Selected Exempt Service, as well as any person employed by the Department of the Lottery having authority over policy or procurement.

- (b) Persons serving in the following position classifications: the Auditor General; the director of the Office of Program Policy Analysis and Government Accountability (OPPAGA); the Sergeant at Arms and Secretary of the Senate; the Sergeant at Arms and Clerk of the House of Representatives; the executive director and deputy executive director of the Commission on Ethics; an executive director, staff director, or deputy staff director of each joint committee, standing committee, or select committee of the Legislature; an executive director, staff director, executive assistant, legislative analyst, or attorney serving in the Office of the President of the Senate, the Office of the Speaker of the House of Representatives, the Senate Majority Party Office, the Senate Minority Party Office, the

House Majority Party Office, or the House Minority Party Office; the Chancellor and Vice-Chancellors of the State University System; the general counsel to the Board of Regents; the president, vice presidents, and deans of each state university; any person hired on a contractual basis and having the power normally conferred upon such persons, by whatever title; and any person having the power normally conferred upon the above positions.

This prohibition does not apply to a person who was employed by the Legislature or other agency prior to July 1, 1989; who was a defined employee of the State University System or the Public Service Commission who held such employment on December 31, 1994; or who reached normal retirement age and retired by July 1, 1991. It does apply to OPS employees.

PENALTIES: Persons found in violation of this section are subject to the penalties contained in the Code (see PENALTIES, Part V) as well as a civil penalty in an amount equal to the compensation which the person received for the prohibited conduct. [Sec. 112.313(9)(a)5, Fla. Stat.]

### *3. Additional Restrictions on Former State Employees*

A former executive or judicial branch employee or PSC employee is prohibited from having employment or a contractual relationship, at any time after retirement or termination of employment, with any business entity (other than a public agency) in connection with a contract in which the employee participated personally and substantially by recommendation or decision while a public employee. [Sec. 112.3185(3), Fla. Stat.]

A former executive or judicial branch employee or PSC employee who has retired or terminated employment is prohibited from having any employment or contractual relationship for two years with any business entity (other than a public agency) in connection with a contract for services which was within his or her responsibility while serving as a state employee. [Sec.112.3185(4), Fla. Stat.]

Unless waived by the agency head, a former executive or judicial branch employee or PSC employee may not be paid more for contractual services provided by him or her to the former agency during the first year after leaving the agency than his or her annual salary before leaving. [Sec. 112.3185(5), Fla. Stat.]

These prohibitions do not apply to PSC employees who were so employed on or before Dec. 31, 1994.

### *4. Lobbying by Former Local Government Officers and Employees*

A person elected to county, municipal, school district, or special district office is prohibited from representing another person or entity for compensation before the government body or agency of

which he or she was an officer for two years after leaving office. Appointed officers and employees of counties, municipalities, school districts, and special districts may be subject to a similar restriction by local ordinance or resolution. [Sec. 112.313(13) and (14), Fla. Stat.]

#### **E. VOTING CONFLICTS OF INTEREST**

State public officers are prohibited from voting in an official capacity on any measure which they know would inure to their own special private gain or loss. A state public officer who abstains, or who votes on a measure which the officer knows would inure to the special private gain or loss of any principal by whom he or she is retained, of the parent organization or subsidiary or sibling of a corporate principal by which he or she is retained, of a relative, or of a business associate, must make every reasonable effort to file a memorandum of voting conflict with the recording secretary in advance of the vote. If that is not possible, it must be filed within 15 days after the vote occurs. The memorandum must disclose the nature of the officer's interest in the matter.

No county, municipal, or other local public officer shall vote in an official capacity upon any measure which would inure to his or her special private gain or loss, or which the officer knows would inure to the special private gain or loss of any principal by whom he or she is retained, of the parent organization or subsidiary or sibling of a corporate principal by which he or she is retained, of a relative, or of a business associate. The officer must publicly announce the nature of his or her interest before the vote and must file a memorandum of voting conflict on Commission Form 8B with the meeting's recording officer within 15 days after the vote occurs disclosing the nature of his or her interest in the matter. However, members of community redevelopment agencies and district officers elected on a one-acre, one-vote basis are not required to abstain when voting in that capacity.

No appointed state or local officer shall participate in any matter which would inure to the officer's special private gain or loss, the special private gain or loss of any principal by whom he or she is retained, of the parent organization or subsidiary or sibling of a corporate principal by which he or she is retained, of a relative, or of a business associate, without first disclosing the nature of his or her interest in the matter. The memorandum of voting conflict (Commission Form 8A or 8B) must be filed with the meeting's recording officer, be provided to the other members of the agency, and be read publicly at the next meeting.

If the conflict is unknown or not disclosed prior to the meeting, the appointed official must orally disclose the conflict at the meeting when the conflict becomes known. Also, a written memorandum of voting conflict must be filed with the meeting's recording officer within 15 days of the disclosure being made and must be provided to the other members of the agency, with the disclosure being read publicly at the next scheduled meeting. [Sec. 112.3143, Fla. Stat.]

A qualified blind trust established pursuant to Sec. 112.31425, Fla. Stat., may afford an official protection from voting conflicts of interest arising from assets placed in the trust.

## **F. DISCLOSURES**

Conflicts of interest may occur when public officials are in a position to make decisions that affect their personal financial interests. This is why public officers and employees, as well as candidates who run for public office, are required to publicly disclose their financial interests. The disclosure process serves to remind officials of their obligation to put the public interest above personal considerations. It also helps citizens to monitor the considerations of those who spend their tax dollars and participate in public policy decisions or administration.

All public officials and candidates do not file the same degree of disclosure; nor do they all file at the same time or place. Thus, care must be taken to determine which disclosure forms a particular official or candidate is required to file.

The following forms are described below to set forth the requirements of the various disclosures and the steps for correctly providing the information in a timely manner.

### **1. FORM 1 - Limited Financial Disclosure**

#### **Who Must File:**

Persons required to file FORM 1 include all state officers, local officers, candidates for local elective office, and specified state employees as defined below (other than those officers who are required by law to file FORM 6).

#### **STATE OFFICERS include:**

- 1) Elected public officials not serving in a political subdivision of the state and any person appointed to fill a vacancy in such office, unless required to file full disclosure on Form 6.
- 2) Appointed members of each board, commission, authority, or council having statewide jurisdiction, excluding members of solely advisory bodies; but including judicial nominating commission members; directors of Enterprise Florida, Scripps Florida Funding Corporation, and CareerSource Florida, and members of the Council on the Social Status of Black Men and Boys; the Executive Director, governors, and senior managers of Citizens Property Insurance Corporation; governors and senior managers of Florida Workers' Compensation Joint Underwriting Association, board members of the Northeast Florida Regional Transportation Commission, and members of the board of Triumph Gulf Coast, Inc.;

members of the board of Florida is for Veterans, Inc.; and members of the Technology Advisory Council within the Agency for State Technology.

3) The Commissioner of Education, members of the State Board of Education, the Board of Governors, local boards of trustees and presidents of state universities, and members of the Florida Prepaid College Board.

LOCAL OFFICERS include:

1) Persons elected to office in any political subdivision (such as municipalities, counties, and special districts) and any person appointed to fill a vacancy in such office, unless required to file full disclosure on Form 6.

2) Appointed members of the following boards, councils, commissions, authorities, or other bodies of any county, municipality, school district, independent special district, or other political subdivision: the governing body of the subdivision; a community college or junior college district board of trustees; a board having the power to enforce local code provisions; a planning or zoning board, board of adjustments or appeals, community redevelopment agency board, or other board having the power to recommend, create, or modify land planning or zoning within the political subdivision, except for citizen advisory committees, technical coordinating committees, and similar groups who only have the power to make recommendations to planning or zoning boards, except for representatives of a military installation acting on behalf of all military installations within that jurisdiction; a pension board or retirement board empowered to invest pension or retirement funds or to determine entitlement to or amount of a pension or other retirement benefit.

3) Any other appointed member of a local government board who is required to file a statement of financial interests by the appointing authority or the enabling legislation, ordinance, or resolution creating the board.

4) Persons holding any of these positions in local government: mayor; county or city manager; chief administrative employee or finance director of a county, municipality, or other political subdivision; county or municipal attorney; chief county or municipal building inspector; county or municipal water resources coordinator; county or municipal pollution control director; county or municipal environmental control director; county or municipal administrator with power to grant or deny a land development permit; chief of police; fire chief; municipal clerk; appointed district school superintendent; community college president; district medical examiner; purchasing agent (regardless of title) having the authority to make any purchase exceeding \$20,000 for the local governmental unit.

5) Members of governing boards of charter schools operated by a city or other public entity.



6) The officers, directors, and chief executive officer of a corporation, partnership, or other business entity that is serving as the chief administrative or executive officer or employee of a political subdivision, and any business entity employee who is acting as the chief administrative or executive officer or employee of the political subdivision. [Sec. 112.3136, Fla. Stat.]

SPECIFIED STATE EMPLOYEE includes:

1) Employees in the Office of the Governor or of a Cabinet member who are exempt from the Career Service System, excluding secretarial, clerical, and similar positions.

2) The following positions in each state department, commission, board, or council: secretary or state surgeon general, assistant or deputy secretary, executive director, assistant or deputy executive director, and anyone having the power normally conferred upon such persons, regardless of title.

3) The following positions in each state department or division: director, assistant or deputy director, bureau chief, assistant bureau chief, and any person having the power normally conferred upon such persons, regardless of title.

4) Assistant state attorneys, assistant public defenders, criminal conflict and civil regional counsel, assistant criminal conflict and civil regional counsel, public counsel, full-time state employees serving as counsel or assistant counsel to a state agency, judges of compensation claims, administrative law judges, and hearing officers.

5) The superintendent or director of a state mental health institute established for training and research in the mental health field, or any major state institution or facility established for corrections, training, treatment, or rehabilitation.

6) State agency business managers, finance and accounting directors, personnel officers, grant coordinators, and purchasing agents (regardless of title) with power to make a purchase exceeding \$20,000.

7) The following positions in legislative branch agencies: each employee (other than those employed in maintenance, clerical, secretarial, or similar positions and legislative assistants exempted by the presiding officer of their house); and each employee of the Commission on Ethics.

What Must Be Disclosed:

FORM 1 requirements are set forth fully on the form. In general, this includes the reporting person's sources and types of financial interests, such as the names of employers and addresses of real property holdings. NO DOLLAR VALUES ARE REQUIRED TO BE LISTED. In addition, the form requires the

disclosure of certain relationships with, and ownership interests in, specified types of businesses such as banks, savings and loans, insurance companies, and utility companies.

When to File:

CANDIDATES for elected local office must file FORM 1 together with and at the same time they file their qualifying papers.

STATE and LOCAL OFFICERS and SPECIFIED STATE EMPLOYEES are required to file disclosure by July 1 of each year. They also must file within thirty days from the date of appointment or the beginning of employment. Those appointees requiring Senate confirmation must file prior to confirmation.

Where to File:

Each LOCAL OFFICER files FORM 1 with the Supervisor of Elections in the county in which he or she permanently resides.

A STATE OFFICER or SPECIFIED STATE EMPLOYEE files with the Commission on Ethics. [Sec. 112.3145, Fla. Stat.]

## **2. FORM 1F - Final Form 1 Limited Financial Disclosure**

FORM 1F is the disclosure form required to be filed within 60 days after a public officer or employee required to file FORM 1 leaves his or her public position. The form covers the disclosure period between January 1 and the last day of office or employment within that year.

## **3. FORM 2 - Quarterly Client Disclosure**

The state officers, local officers, and specified state employees listed above, as well as elected constitutional officers, must file a FORM 2 if they or a partner or associate of their professional firm represent a client for compensation before an agency at their level of government.

A FORM 2 disclosure includes the names of clients represented by the reporting person or by any partner or associate of his or her professional firm for a fee or commission before agencies at the reporting person's level of government. Such representations do not include appearances in ministerial matters, appearances before judges of compensation claims, or representations on behalf of one's agency in one's official capacity. Nor does the term include the preparation and filing of forms and applications merely for the purpose of obtaining or transferring a license, so long as the issuance of the license does not require a variance, special consideration, or a certificate of public convenience and necessity.

#### When to File:

This disclosure should be filed quarterly, by the end of the calendar quarter following the calendar quarter during which a reportable representation was made. FORM 2 need not be filed merely to indicate that no reportable representations occurred during the preceding quarter; it should be filed ONLY when reportable representations were made during the quarter.

#### Where To File:

LOCAL OFFICERS file with the Supervisor of Elections of the county in which they permanently reside.

STATE OFFICERS and SPECIFIED STATE EMPLOYEES file with the Commission on Ethics. [Sec. 112.3145(4), Fla. Stat.]

#### 4. FORM 6 - Full and Public Disclosure

#### Who Must File:

Persons required by law to file FORM 6 include all elected constitutional officers and candidates for such office; the mayor and members of the city council and candidates for these offices in Jacksonville; the Duval County Superintendent of Schools; judges of compensation claims (pursuant to Sec. 440.442, Fla. Stat.); members of the Florida Housing Finance Corporation Board and members of expressway authorities, transportation authorities (except the Jacksonville Transportation Authority), bridge authority, or toll authorities created pursuant to Ch. 348 or 343, or 349, or other general law.

#### What Must be Disclosed:

FORM 6 is a detailed disclosure of assets, liabilities, and sources of income over \$1,000 and their values, as well as net worth. Officials may opt to file their most recent income tax return in lieu of listing sources of income but still must disclose their assets, liabilities, and net worth. In addition, the form requires the disclosure of certain relationships with, and ownership interests in, specified types of businesses such as banks, savings and loans, insurance companies, and utility companies.

#### When and Where To File:

Incumbent officials must file FORM 6 annually by July 1 with the Commission on Ethics. CANDIDATES must file with the officer before whom they qualify at the time of qualifying. [Art. II, Sec. 8(a) and (i), Fla. Const., and Sec. 112.3144, Fla. Stat.]

5. *FORM 6F - Final Form 6 Full and Public Disclosure*

This is the disclosure form required to be filed within 60 days after a public officer or employee required to file FORM 6 leaves his or her public position. The form covers the disclosure period between January 1 and the last day of office or employment within that year.

6. *FORM 9 - Quarterly Gift Disclosure*

Each person required to file FORM 1 or FORM 6, and each state procurement employee, must file a FORM 9, Quarterly Gift Disclosure, with the Commission on Ethics on the last day of any calendar quarter following the calendar quarter in which he or she received a gift worth more than \$100, other than gifts from relatives, gifts prohibited from being accepted, gifts primarily associated with his or her business or employment, and gifts otherwise required to be disclosed. FORM 9 NEED NOT BE FILED if no such gift was received during the calendar quarter.

Information to be disclosed includes a description of the gift and its value, the name and address of the donor, the date of the gift, and a copy of any receipt for the gift provided by the donor. [Sec. 112.3148, Fla. Stat.]

7. *FORM 10 - Annual Disclosure of Gifts from Government Agencies and Direct-Support Organizations and Honorarium Event Related Expenses*

State government entities, airport authorities, counties, municipalities, school boards, water management districts, and the South Florida Regional Transportation Authority, may give a gift worth more than \$100 to a person required to file FORM 1 or FORM 6, and to state procurement employees, if a public purpose can be shown for the gift. Also, a direct-support organization for a governmental entity may give such a gift to a person who is an officer or employee of that entity. These gifts are to be reported on FORM 10, to be filed by July 1.

The governmental entity or direct-support organization giving the gift must provide the officer or employee with a statement about the gift no later than March 1 of the following year. The officer or employee then must disclose this information by filing a statement by July 1 with his or her annual financial disclosure that describes the gift and lists the donor, the date of the gift, and the value of the total gifts provided during the calendar year. State procurement employees file their statements with the Commission on Ethics. [Sec. 112.3148, Fla. Stat.]

In addition, a person required to file FORM 1 or FORM 6, or a state procurement employee, who receives expenses or payment of expenses related to an honorarium event from someone who is prohibited from giving him or her an honorarium, must disclose annually the name, address, and affiliation of the donor, the amount of the expenses, the date of the event, a description of the

expenses paid or provided, and the total value of the expenses on FORM 10. The donor paying the expenses must provide the officer or employee with a statement about the expenses within 60 days of the honorarium event.

The disclosure must be filed by July 1, for expenses received during the previous calendar year, with the officer's or employee's FORM 1 or FORM 6. State procurement employees file their statements with the Commission on Ethics. [Sec. 112.3149, Fla. Stat.]

However, notwithstanding Sec. 112.3149, Fla. Stat., no executive branch or legislative lobbyist or principal shall make, directly or indirectly, and no executive branch agency official or employee who files FORM 1 or FORM 6 shall knowingly accept, directly or indirectly, **any expenditure** made for the purpose of lobbying. This may include gifts or honorarium event related expenses that formerly were permitted under Sections 112.3148 and 112.3149. [Sec. 112.3215, Fla. Stat.] Similar prohibitions apply to legislative officials and employees. However, these laws are not administered by the Commission on Ethics. [Sec. 11.045, Fla. Stat.] In addition, gifts, which include anything not primarily related to political activities authorized under ch. 106, are prohibited from political committees. [Sec. 112.31485 Fla. Stat.]

#### **8. FORM 30 - Donor's Quarterly Gift Disclosure**

As mentioned above, the following persons and entities generally are prohibited from giving a gift worth more than \$100 to a reporting individual (a person required to file FORM 1 or FORM 6) or to a state procurement employee: a political committee; a lobbyist who lobbies the reporting individual's or procurement employee's agency, and the partner, firm, employer, or principal of such a lobbyist; and vendors. If such person or entity makes a gift worth between \$25 and \$100 to a reporting individual or state procurement employee (that is not accepted in behalf of a governmental entity or charitable organization), the gift should be reported on FORM 30. The donor also must notify the recipient at the time the gift is made that it will be reported.

The FORM 30 should be filed by the last day of the calendar quarter following the calendar quarter in which the gift was made. If the gift was made to an individual in the legislative branch, FORM 30 should be filed with the Lobbyist Registrar. [See page 35 for address.] If the gift was to any other reporting individual or state procurement employee, FORM 30 should be filed with the Commission on Ethics.

However, notwithstanding Section 112.3148, Fla. Stat., no executive branch lobbyist or principal shall make, directly or indirectly, and no executive branch agency official or employee who files FORM 1 or FORM 6 shall knowingly accept, directly or indirectly, **any expenditure** made for the purpose of lobbying. This may include gifts that formerly were permitted under Section 112.3148. [Sec. 112.3215, Fla. Stat.] Similar prohibitions apply to legislative officials and employees. However, these laws are not administered

by the Commission on Ethics. [Sec. 11.045, Fla. Stat.] In addition, gifts from political committees are prohibited. [Sec. 112.31485, Fla. Stat.]

9. *FORM 1X AND FORM 6X - Amendments to Form 1 and Form 6*

These forms are provided for officers or employees to amend their previously filed Form 1 or Form 6.

## **IV. AVAILABILITY OF FORMS**

LOCAL OFFICERS and EMPLOYEES who must file FORM 1 annually will be sent the form by mail from the Supervisor of Elections in the county in which they permanently reside not later than JUNE 1 of each year. Newly elected and appointed officials or employees should contact the heads of their agencies for copies of the form or download it from [www.ethics.state.fl.us](http://www.ethics.state.fl.us), as should those persons who are required to file their final disclosure statements within 60 days of leaving office or employment.

ELECTED CONSTITUTIONAL OFFICERS, OTHER STATE OFFICERS, and SPECIFIED STATE EMPLOYEES who must file annually FORM 1 or 6 will be sent these forms by mail from the Commission on Ethics by JUNE 1 of each year. Newly elected and appointed officers and employees should contact the heads of their agencies or the Commission on Ethics for copies of the form or download it from [www.ethics.state.fl.us](http://www.ethics.state.fl.us), as should those persons who are required to file their final disclosure statements within 60 days of leaving office or employment.

Any person needing one or more of the other forms described here may also obtain them from a Supervisor of Elections or from the Commission on Ethics, P.O. Drawer 15709, Tallahassee, Florida 32317-5709. They are also available on the Commission's website: [www.ethics.state.fl.us](http://www.ethics.state.fl.us).

## **V. PENALTIES**

### *A. Non-criminal Penalties for Violation of the Sunshine Amendment and the Code of Ethics*

There are no criminal penalties for violation of the Sunshine Amendment and the Code of Ethics. Penalties for violation of these laws may include: impeachment, removal from office or employment, suspension, public censure, reprimand, demotion, reduction in salary level, forfeiture of no more than one-third salary per month for no more than twelve months, a civil penalty not to exceed \$10,000, and restitution of any pecuniary benefits received, and triple the value of a gift from a political committee.

### *B. Penalties for Candidates*

CANDIDATES for public office who are found in violation of the Sunshine Amendment or the Code of Ethics may be subject to one or more of the following penalties: disqualification from being on the



ballot, public censure, reprimand, or a civil penalty not to exceed \$10,000, and triple the value of a gift received from a political committee.

*C. Penalties for Former Officers and Employees*

FORMER PUBLIC OFFICERS or EMPLOYEES who are found in violation of a provision applicable to former officers or employees or whose violation occurred prior to such officer's or employee's leaving public office or employment may be subject to one or more of the following penalties: public censure and reprimand, a civil penalty not to exceed \$10,000, and restitution of any pecuniary benefits received, and triple the value of a gift received from a political committee.

*D. Penalties for Lobbyists and Others*

An executive branch lobbyist who has failed to comply with the Executive Branch Lobbying Registration law (see Part VIII) may be fined up to \$5,000, reprimanded, censured, or prohibited from lobbying executive branch agencies for up to two years. Lobbyists, their employers, principals, partners, and firms, and political committees and committees of continuous existence who give a prohibited gift or honorarium or fail to comply with the gift reporting requirements for gifts worth between \$25 and \$100, may be penalized by a fine of not more than \$5,000 and a prohibition on lobbying, or employing a lobbyist to lobby, before the agency of the public officer or employee to whom the gift was given for up to two years. Any agent or person acting on behalf of a political committee giving a prohibited gift is personally liable for a civil penalty of up to triple the value of the gift.

Executive Branch lobbying firms that fail to timely file their quarterly compensation reports may be fined \$50 per day per principal for each day the report is late, up to a maximum fine of \$5,000 per report.

*E. Felony Convictions: Forfeiture of Retirement Benefits*

Public officers and employees are subject to forfeiture of all rights and benefits under the retirement system to which they belong if convicted of certain offenses. The offenses include embezzlement or theft of public funds; bribery; felonies specified in Chapter 838, Florida Statutes; impeachable offenses; and felonies committed with intent to defraud the public or their public agency. [Sec. 112.3173, Fla. Stat.]

#### *F. Automatic Penalties for Failure to File Annual Disclosure*

Public officers and employees required to file either Form 1 or Form 6 annual financial disclosure are subject to automatic fines of \$25 for each day late the form is filed after September 1, up to a maximum penalty of \$1,500. [Sec. 112.3144 and 112.3145, Fla. Stat.]

## **VI. ADVISORY OPINIONS**

Conflicts of interest may be avoided by greater awareness of the ethics laws on the part of public officials and employees through advisory assistance from the Commission on Ethics.

#### *A. Who Can Request an Opinion*

Any public officer, candidate for public office, or public employee in Florida who is in doubt about the applicability of the standards of conduct or disclosure laws to himself or herself, or anyone who has the power to hire or terminate another public employee, may seek an advisory opinion from the Commission about himself or herself or that employee.

#### *B. How to Request an Opinion*

Opinions may be requested by letter presenting a question based on a real situation and including a detailed description of the situation. Opinions are issued by the Commission and are binding on the conduct of the person who is the subject of the opinion, unless material facts were omitted or misstated in the request for the opinion. Published opinions will not bear the name of the persons involved unless they consent to the use of their names; however, the request and all information pertaining to it is a public record, made available to the Commission and to members of the public in advance of the Commission's consideration of the question.

#### *C. How to Obtain Published Opinions*

All of the Commission's opinions are available for viewing or download at its website: [www.ethics.state.fl.us](http://www.ethics.state.fl.us).

## **VII. COMPLAINTS**

#### *A. Citizen Involvement*

The Commission on Ethics cannot conduct investigations of alleged violations of the Sunshine Amendment or the Code of Ethics unless a person files a sworn complaint with the Commission alleging such violation has occurred, or a referral is received, as discussed below.

If you have knowledge that a person in government has violated the standards of conduct or disclosure laws described above, you may report these violations to the Commission by filing a sworn complaint on the form prescribed by the Commission and available for download at [www.ethics.state.fl.us](http://www.ethics.state.fl.us). The Commission is unable to take action based on learning of such misdeeds through newspaper reports, telephone calls, or letters.

You can obtain a complaint form (FORM 50), by contacting the Commission office at the address or phone number shown on the inside front cover of this booklet, or you can download it from the Commission's website:  
[www.ethics.state.fl.us](http://www.ethics.state.fl.us).

### *B. Referrals*

The Commission may accept referrals from: the Governor, the Florida Department of Law Enforcement, a State Attorney, or a U.S. Attorney. A vote of six of the Commission's nine members is required to proceed on such a referral.

### *C. Confidentiality*

The complaint or referral, as well as all proceedings and records relating thereto, is confidential until the accused requests that such records be made public or until the matter reaches a stage in the Commission's proceedings where it becomes public. This means that unless the Commission receives a written waiver of confidentiality from the accused, the Commission is not free to release any documents or to comment on a complaint or referral to members of the public or press, so long as the complaint or referral remains in a confidential stage.

A COMPLAINT OR REFERRAL MAY NOT BE FILED WITH RESPECT TO A CANDIDATE ON THE DAY OF THE ELECTION, OR WITHIN THE 30 CALENDAR DAYS PRECEDING THE ELECTION DATE, UNLESS IT IS BASED ON PERSONAL INFORMATION OR INFORMATION OTHER THAN HEARSAY.

### *D. How the Complaint Process Works*

Complaints which allege a matter within the Commission's jurisdiction are assigned a tracking number and Commission staff forwards a copy of the original sworn complaint to the accused within five working days of its receipt. Any subsequent sworn amendments to the complaint also are transmitted within five working days of their receipt.

Once a complaint is filed, it goes through three procedural stages under the Commission's rules. The first stage is a determination of whether the allegations of the complaint are legally sufficient: that is, whether they indicate a possible violation of any law over which the Commission has jurisdiction. If the

complaint is found not to be legally sufficient, the Commission will order that the complaint be dismissed without investigation, and all records relating to the complaint will become public at that time.

In cases of very minor financial disclosure violations, the official will be allowed an opportunity to correct or amend his or her disclosure form. Otherwise, if the complaint is found to be legally sufficient, a preliminary investigation will be undertaken by the investigative staff of the Commission. The second stage of the Commission's proceedings involves this preliminary investigation and a decision by the Commission as to whether there is probable cause to believe that there has been a violation of any of the ethics laws. If the Commission finds no probable cause to believe there has been a violation of the ethics laws, the complaint will be dismissed and will become a matter of public record. If the Commission finds probable cause to believe there has been a violation of the ethics laws, the complaint becomes public and usually enters the third stage of proceedings. This stage requires the Commission to decide whether the law was actually violated and, if so, whether a penalty should be recommended. At this stage, the accused has the right to request a public hearing (trial) at which evidence is presented, or the Commission may order that such a hearing be held. Public hearings usually are held in or near the area where the alleged violation occurred.

When the Commission concludes that a violation has been committed, it issues a public report of its findings and may recommend one or more penalties to the appropriate disciplinary body or official.

When the Commission determines that a person has filed a complaint with knowledge that the complaint contains one or more false allegations or with reckless disregard for whether the complaint contains false allegations, the complainant will be liable for costs plus reasonable attorney's fees incurred by the person complained against. The Department of Legal Affairs may bring a civil action to recover such fees and costs, if they are not paid voluntarily within 30 days.

#### *E. Dismissal of Complaints At Any Stage of Disposition*

The Commission may, at its discretion, dismiss any complaint at any stage of disposition should it determine that the public interest would not be served by proceeding further, in which case the Commission will issue a public report stating with particularity its reasons for the dismissal. [Sec. 112.324(12), Fla. Stat.]

#### *F. Statute of Limitations*

All sworn complaints alleging a violation of the Sunshine Amendment or the Code of Ethics must be filed with the Commission within five years of the alleged violation or other breach of the public trust. Time starts to run on the day AFTER the violation or breach of public trust is committed. The statute of limitations

is tolled on the day a sworn complaint is filed with the Commission. If a complaint is filed and the statute of limitations has run, the complaint will be dismissed. [Sec. 112.3231, Fla. Stat.]

## **VIII. EXECUTIVE BRANCH LOBBYING**

Any person who, for compensation and on behalf of another, lobbies an agency of the executive branch of state government with respect to a decision in the area of policy or procurement may be required to register as an executive branch lobbyist. Registration is required before lobbying an agency and is renewable annually. In addition, each lobbying firm must file a compensation report with the Commission for each calendar quarter during any portion of which one or more of the firm's lobbyists were registered to represent a principal. As noted above, no executive branch lobbyist or principal can make, directly or indirectly, and no executive branch agency official or employee who files FORM 1 or FORM 6 can knowingly accept, directly or indirectly, **any expenditure** made for the purpose of lobbying. [Sec. 112.3215, Fla. Stat.]

Paying an executive branch lobbyist a contingency fee based upon the outcome of any specific executive branch action, and receiving such a fee, is prohibited. A violation of this prohibition is a first degree misdemeanor, and the amount received is subject to forfeiture. This does not prohibit sales people from receiving a commission. [Sec. 112.3217, Fla. Stat.]

Executive branch departments, state universities, community colleges, and water management districts are prohibited from using public funds to retain an executive branch (or legislative branch) lobbyist, although these agencies may use full-time employees as lobbyists. [Sec. 11.062, Fla. Stat.]

Online registration and filing is available at [www.floridalobbyist.gov](http://www.floridalobbyist.gov). Additional information about the executive branch lobbyist registration system may be obtained by contacting the Lobbyist Registrar at the following address:

Executive Branch Lobbyist Registration  
Room G-68, Claude Pepper Building  
111 W. Madison Street  
Tallahassee, FL 32399-1425  
Phone: 850/922-4987

## **IX. WHISTLE-BLOWER'S ACT**

In 1986, the Legislature enacted a "Whistle-blower's Act" to protect employees of agencies and government contractors from adverse personnel actions in retaliation for disclosing information in a sworn complaint alleging certain types of improper activities. Since then, the Legislature has revised this law to afford greater protection to these employees.

While this language is contained within the Code of Ethics, the Commission has no jurisdiction or authority to proceed against persons who violate this Act. Therefore, a person who has disclosed information alleging improper conduct governed by this law and who may suffer adverse consequences as a result should contact one or more of the following: the Office of the Chief Inspector General in the Executive Office of the Governor; the Department of Legal Affairs; the Florida Commission on Human Relations; or a private attorney. [Sec. 112.3187 - 112.31895, Fla. Stat.]

## **X. ADDITIONAL INFORMATION**

As mentioned above, we suggest that you review the language used in each law for a more detailed understanding of Florida's ethics laws. The "Sunshine Amendment" is Article II, Section 8, of the Florida Constitution. The Code of Ethics for Public Officers and Employees is contained in Part III of Chapter 112, Florida Statutes.

Additional information about the Commission's functions and interpretations of these laws may be found in Chapter 34 of the Florida Administrative Code, where the Commission's rules are published, and in The Florida Administrative Law Reports, which until 2005 published many of the Commission's final orders. The Commission's rules, orders, and opinions also are available at [www.ethics.state.fl.us](http://www.ethics.state.fl.us).

If you are a public officer or employee concerned about your obligations under these laws, the staff of the Commission will be happy to respond to oral and written inquiries by providing information about the law, the Commission's interpretations of the law, and the Commission's procedures.

## **XI. TRAINING**

Constitutional officers and elected municipal officers are required to receive a total of four hours training, per calendar year, in the area of ethics, public records, and open meetings. The Commission on Ethics does not track compliance or certify providers.

Visit the training page on the Commission's website for up-to-date rules, opinions, audio/video training, and opportunities for live training conducted by Commission staff. A comprehensive online training course addressing Florida's Code of Ethics, as well as Sunshine Law, and Public Records Act is available via a link on the Commission's homepage.



## Tab 9

**MINUTES OF MEETING**

*Each person who decides to appeal any decision made by the Board with respect to any matter considered at the meeting is advised that the person may need to ensure that a verbatim record of the proceedings is made, including the testimony and evidence upon which such appeal is to be based.*

**WATERS EDGE  
COMMUNITY DEVELOPMENT DISTRICT**

The regular meeting of the Board of Supervisors of Waters Edge Community Development District was held on **September 27, 2018, at 3:30 p.m.** at the Waters Edge Clubhouse, located at 9019 Creedmoor Lane, New Port Richey, Florida 34654.

Present and constituting a quorum:

Edward Grillo	<b>Board Supervisor, Chairman</b>
Roger LeBlanc	<b>Board Supervisor, Vice Chairman</b>
Michaela Ballou	<b>Board Supervisor, Assistant Secretary</b>
Michael McCarthy	<b>Board Supervisor, Assistant Secretary</b>

Also present were:

Christine Perkins	<b>District Manager, Rizzetta &amp; Company</b>
Greg Woodcock	<b>District Engineer, Cardno TBE (via phone)</b>
John Vericker	<b>District Counsel, Straley Robin &amp; Vericker</b>
	<i>(via phone)</i>
Brett Perez	<b>Yellowstone Landscape</b>
Richard Whitcomb	<b>Yellowstone Landscape</b>
Nelson De Sierra	<b>Yellowstone Landscape</b>

Audience

**FIRST ORDER OF BUSINESS**

**Call to Order**

Ms. Perkins called the meeting to order and performed the roll call.

**SECOND ORDER OF BUSINESS**

**Audience Comments on Agenda Items**

There were no audience comments.

**THIRD ORDER OF BUSINESS**

**Staff Reports**

A. District Engineer

Discussion ensued pertaining to the erosion repairs adjacent to 11638 Belle Haven Drive. Mr. Perez communicated that he had met with Mr. Woodcock and Mr. Brown onsite to discuss ongoing maintenance, and

Yellowstone will monitor the recovery as well as perform grass replacements. Mr. Woodcock remarked that Site Masters would be completing their work within the week. Mr. Grillo instructed Yellowstone and staff to work with the homeowner as well to ensure that the homeowner was setting their irrigation timers as appropriate. Mr. Grillo additionally requested that this subject be added to the action-item list to ensure that ongoing follow-through is being performed.

**B. Aquatics Manager**

**1. Presentation of September 2018 Waterway Inspection Report**

Ms. Ballou commented about the mention of aeration within the report.

**C. Field Services Manager**

**1. Presentation of August 2018 Field Inspection Report, along  
With Yellowstone Landscape Response**

Discussion ensued pertaining to the request of Mr. Brown conducting his field inspection earlier by one week, in order for the Board to have the most updated report within each month's agenda. Ms. Perkins communicated that she would speak with Mr. Brown about this topic. Ms. Ballou inquired about connecting two wells to the central irrigation system.

**2. Consideration of Proposal from Yellowstone Landscape for  
Reclaimed Water Zone Remediation at Entrance**

Mr. Grillo provided a historical background about the District's irrigation maintenance at the entrances and the current layout. Discussion ensued regarding the placement of rotor heads, aesthetic differences in the grass, irrigation coverage, trenching, and the proposal from Yellowstone Landscape. The consensus of the Board was to ensure that the project would be done correctly. Mr. Grillo instructed Mr. Perez to review final pricing, and provide a revised proposal based on the discussion.

On a Motion by Ms. Ballou, seconded by Mr. LeBlanc, with all in favor, the Board of Supervisors approved the Proposal from Yellowstone Landscape for Reclaimed Water Zone Remediation at Entrance subject to Yellowstone Landscape's revision, as well as final review and authorization by the Chairman for the Waters Edge Community Development District.

Ms. Ballou inquired about the landscape plan for around the pipes, as the reclaimed water piping will be indicated by the color purple. Discussion ensued that the County will replace the landscape, and a final walkthrough would be performed with the District.

**D. District Counsel**

1. Discussion of Irrigation and Maintenance Cost Sharing Agreement between the CDD and HOA

Mr. McCarthy commented that the HOA has reviewed the agreement, and that the Attorney has provided modifications that would be distributed and reviewed by Mr. Grillo and Mr. Vericker. Mr. Vericker commented that there didn't seem to be any material changes.

**E. District Manager**

Ms. Perkins presented the Action Item List to the Board, and announced that the next regularly scheduled meeting was scheduled for October 25, 2018 at 3:30 PM at the Waters Edge Clubhouse.

Ms. Perkins communicated that a letter was being distributed to all residents to let them know that the increase for reclaimed water that was approved for fiscal year 2018/2019 did not make it onto the Pasco County Trim Notices, due to an error from Rizzetta's finance team while submitting the tax roll. The increase would be included as planned on residents' property taxes in November. Discussion ensued pertaining to the expectations of the Board, past mistakes from Rizzetta pertaining to various issues, and the rate of turnover of District Management. The Board communicated their desire to have upper Rizzetta management present at the next meeting, including representation from both District Management and Amenities Management.

Ms. Perkins inquired to the Board about their preferred method for reviewing candidates for the current Board Supervisor vacancy, as well as methods of informing residents about the vacancy. Mr. Grillo requested to have communication be distributed via e-blast to begin informing residents to submit their qualification materials for review.

**FOURTH ORDER OF BUSINESS**

**Consideration of Minutes of the  
Board of Supervisors' Regular  
Meeting held on August 23, 2018**

Mr. Grillo requested changes to the minutes pertaining to the discussion on aeration, which Ms. Perkins would amend.

On a Motion by Mr. McCarthy, seconded by Ms. Ballou, with all in favor, the Board of Supervisors approved the minutes of the Board of Supervisors' Regular meeting held on August 23, 2018, as amended, for the Waters Edge Community Development District.

**FIFTH ORDER OF BUSINESS**

**Consideration of Operation and  
Maintenance Expenditures for  
August 2018**

Discussion ensued on the subject of hog-trapping, and the timing of the HOA terminating the contract. Ms. Perkins commented that it would be prudent also to include a motion defining that the District would like to terminate the agreement.

On a Motion by Mr. McCarthy, seconded by Mr. LeBlanc, with all in favor, the Board of Supervisors approved to Terminate the Agreement with Jerry Richardson State Wildlife Trapper for the Waters Edge Community Development District.

On a Motion by Mr. McCarthy, seconded by Mr. LeBlanc, with all in favor, the Board of Supervisors approved the Operation and Maintenance Expenditures for August 2018 (\$23,259.16) for the Waters Edge Community Development District.

**SIXTH ORDER OF BUSINESS**

**Discussion of Irrigation and  
Maintenance Cost Sharing  
Agreement between the CDD and  
HOA**

This item was covered under the District Counsel Report.

**SEVENTH ORDER OF BUSINESS**

**Presentation of First Addendum to  
the Contract with Professional  
District Services**

Ms. Perkins entertained questions pertaining to the contract pricing delineated in the contract addendum, and communicated that no fees would increase without initial Board approval.

On a Motion by Ms. Ballou, seconded by Mr. McCarthy, with all in favor, the Board of Supervisors Approved the First Addendum to the Contract with Professional District Services for the Waters Edge Community Development District.

**EIGHTH ORDER OF BUSINESS**

**Consideration of Insurance Renewal  
Proposal for Fiscal Year 2018-2019**

Mr. McCarthy inquired about the POL insurance, and discussion ensued about modifying the term "Guardhouse" on the property schedule.

On a Motion by Mr. LeBlanc, seconded by Mr. McCarthy, with all in favor, the Board of Supervisors Approved the Egis Insurance Renewal Proposal for the Fiscal Year 2018-2019 for the Waters Edge Community Development District.



**NINTH ORDER OF BUSINESS**

**Audience Comments and Supervisor  
Requests**

Mr. Grillo inquired about the status of Mr. Thiemann's tree removal request, and requested that this item be added to the action-item list to continually ensure that he has everything he needs, to which the District thus far has provided him with all pertinent information.

Mr. Grillo discussed the plans for the front-entrance landscaping that had been previously put on hold. Discussion ensued regarding the timing of the project, its impact on the FY 2017/2018 budget vs. FY 2018/2019. Mr. Grillo requested that Ms. Perkins follow-up with the Board via e-mail regarding the timing of the project's expense and the end-of-year financials and audit.

**TENTH ORDER OF BUSINESS**

**Adjournment**

On a Motion by Mr. LeBlanc, seconded by Ms. Ballou, with all in favor, the Board of Supervisors adjourned the meeting at 4:52 p.m. for Waters Edge Community Development District.
--

\_\_\_\_\_  
Secretary/Assistant Secretary

\_\_\_\_\_  
Chairman/Vice Chairman

## **Tab 10**

# **Waters Edge Community Development District**

---

**DISTRICT OFFICE · 5844 OLD PASCO ROAD · SUITE 100 · WESLEY CHAPEL, FLORIDA 33544**

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## **Operations and Maintenance Expenditures September 2018 For Board Approval**

Attached please find the check register listing the Operation and Maintenance expenditures paid from September 1, 2018 through September 30, 2018. This does not include expenditures previously approved by the Board.

The total items being presented: **\$15,108.13**

Approval of Expenditures:

---

\_\_\_\_\_ Chairperson

\_\_\_\_\_ Vice Chairperson

\_\_\_\_\_ Assistant Secretary

# Waters Edge Community Development District

## Paid Operation & Maintenance Expenditures

September 1, 2018 Through September 30, 2018

Vendor Name	Check Number	Invoice Number	Invoice Description	Invoice Amount
Aquatic Systems, Inc.	001754	0000419823	Monthly Lake & Wetland Services Chem 09/18	\$ 99.00
Aquatic Systems, Inc.	001754	0000420811	Monthly Lake & Wetland Services 09/18	\$ 1,855.00
Edward Grillo	001749	EG082318	Board of Supervisors Meeting 08/23/18	\$ 200.00
Fountain Design Group, Inc.	001755	16361A	Quarterly Fountain Cleaning Service 09/18	\$ 335.00
Jerry Richardson	001756	1150	Wildlife Trapping 09/18	\$ 1,111.11
Michael T. McCarthy	001750	MM082318	Board of Supervisors Meeting 08/23/18	\$ 200.00
Michaela A. Ballou	001748	MB082318	Board of Supervisors Meeting 08/23/18	\$ 200.00
Rizzetta & Company, Inc.	001751	INV0000034717	District Management Fees 09/18	\$ 3,783.08
Rizzetta Technology Services	001752	INV0000003661	Email/Website Services 09/18	\$ 175.00
Roger LeBlanc	001753	RL082318	Board of Supervisors Meeting 08/23/18	\$ 200.00
Waters Edge Master HOA, Inc.	001757	227102	Shared Cost Landscape Services 09/18	\$ 6,433.00
Yellowstone Landscape	001758	INV-0000228913	Cut Sand Pine Down 11045 Bremerton Ct. 08/18	<u>\$ 516.94</u>
<b>Report Total</b>				<b><u>\$ 15,108.13</u></b>



# Aquatic Systems, Inc.

LAKE & WETLAND MANAGEMENT SERVICES

2100 NW 33rd Street Pompano Beach, FL 33069

1-800-432-4302 - Fax (954) 977-7877

## Invoice

INVOICE DATE: 9/1/2018

INVOICE NUMBER: 0000419823

CUSTOMER NUMBER: 0071191

PO NUMBER:

PAYMENT TERMS: Net 30

Water's Edge CDD-CHEM  
C/O Rizzetta & Company  
5844 Old Pasco Rd #100  
Wesley Chapel, FL 33544

RECEIVED  
SEP - 4 2018

BY: .....

QTY ORD	ITEM DESCRIPTION	U/M	UNIT PRICE	EXT PRICE
1	Monthly Lake and Wetland Services - September-Chem		99.00	99.00

Date Rec'd Rizzetta & Co., Inc. ....

D/M approval CP Date 9/10/18

Date entered SEP 04 2018

Fund 601 GL 5380 OC 46.05

Check # .....

SALES TAX: (0.0%) \$0.00

LESS PAYMENT: \$0.00

TOTAL DUE: \$99.00

**A 1.5% FINANCE CHARGE IS ADDED TO BALANCES 31 OR MORE DAYS PAST DUE**

PLEASE RETURN THIS PORTION WITH PAYMENT.  
MAKE CHECKS PAYABLE TO: **Aquatic Systems, Inc.**

☐ Address Changes (Note on Back of this Slip)  
\*Please include contact name and phone number\*

DATE: 9/1/2018

INVOICE NUMBER: 0000419823

CUSTOMER NUMBER: 0071191

TOTAL AMOUNT DUE: \$99.00

Aquatic Systems, Inc.  
2100 NW 33rd Street  
Pompano Beach, FL 33069

AMOUNT PAID:

\$99.00

THANK YOU FOR YOUR BUSINESS!





# Aquatic Systems, Inc.

LAKE & WETLAND MANAGEMENT SERVICES

2100 NW 33rd Street Pompano Beach, FL 33069

1-800-432-4302 - Fax (954) 977-7877

## Invoice

INVOICE DATE: 9/1/2018

INVOICE NUMBER: 0000420811

CUSTOMER NUMBER: 0062091

PO NUMBER:

PAYMENT TERMS: Net 30

Water's Edge CDD  
C/O Rizzetta & Company  
5844 Old Pasco Rd #100  
Wesley Chapel, FL 33544

QTY ORD	ITEM DESCRIPTION	U/M	UNIT PRICE	EXT PRICE
1	Monthly Lake and Wetland Services - September		1,855.00	1,855.00

RECEIVED  
SEP - 4 2018

BY: .....

Date Rec'd Rizzetta & Co., Inc. ....

DMA approval CP Date 9/10/18

Date entered SEP 04 2018

Fund 07 GL 53800 OC 4605

Check # .....

SALES TAX: (0.0%) \$0.00

LESS PAYMENT: \$0.00

TOTAL DUE: \$1,855.00

**A 1.5% FINANCE CHARGE IS ADDED TO BALANCES 31 OR MORE DAYS PAST DUE**

PLEASE RETURN THIS PORTION WITH PAYMENT.  
MAKE CHECKS PAYABLE TO: **Aquatic Systems, Inc.**

- ☐ Address Changes (Note on Back of this Slip)  
\*Please include contact name and phone number\*

DATE: 9/1/2018

INVOICE NUMBER: 0000420811

CUSTOMER NUMBER: 0062091

TOTAL AMOUNT DUE: \$1,855.00

Aquatic Systems, Inc.  
2100 NW 33rd Street  
Pompano Beach, FL 33069

AMOUNT PAID:

1,855.00

THANK YOU FOR YOUR BUSINESS!

**Waters Edge CDD**  
Meeting Date: August 23, 2018

**SUPERVISOR PAY REQUEST**

Name of Board Supervisor	Check if present	Check if paid
✓ Michaela Ballou	X	
✓ Michael McCarthy	X	
✓ Ed Grillo	X	
Roger LeBlanc	X	

**EXTENDED MEETING TIMECARD**

Meeting Start Time:	3:30 pm
Meeting End Time:	4:17 pm
Total Meeting Time:	47 mins

Time Over <u>0</u> Hours:	<u>0</u>
---------------------------	----------

Total at \$175 per Hour:	<u>0</u>
--------------------------	----------

DM Signature: \_\_\_\_\_

*M. Huber*

Date Rec'd Rizzetta & Co., Inc. \_\_\_\_\_

D/M approval CP Date 8/30/18

Date entered AUG 27 2018

Fund 001 GL 51100 OC 1101

Check # \_\_\_\_\_

FOUNTAIN DESIGN GROUP, INC.  
CASCADE FOUNTAINS  
7628 N.W. 6th AVENUE  
BOCA RATON, FL. 33487  
Phone # 561-994-3939

# Invoice

Date	Invoice #
9/6/2018	16361A

Bill To
WATERS EDGE CDD RIZZETTA & CO 3434 COLWELL AVENUE, STE 200 TAMPA, FL 33614

Ship To

P.O. Number	Terms	Rep	Ship	Via	F.O.B.	Project
	Due on receipt	SC	9/6/2018		TW	

Quantity	Item Code	Description	Price Each	Amount
	SERVICE CONT.	QUARTERLY FOUNTAIN CLEANING SERVICE	335.00	335.00
		SALES TAX	7.00%	0.00
<div>RECEIVED SEP 11 2018 BY: .....</div> <div>Date Rec'd Rizzetta &amp; Co., Inc. _____ D/M approval <u>CP</u> Date <u>9/14/18</u> Date entered <u>SEP 12 2018</u> Fund <u>01</u> GL <u>5380</u> OC <u>460</u> Check # _____</div>				

			<b>Total</b>	\$335.00
--	--	--	--------------	----------

State Wildlife Trapper  
2103 W Rio Vista Avenue  
Tampa, FL 33603 US  
trapperjerry@gmail.com

# INVOICE

**BILL TO**  
Waters Edge

**INVOICE #** 1150  
**DATE** 09/17/2018  
**DUE DATE** 10/01/2018  
**TERMS** Net 15

ACTIVITY	QTY	RATE	AMOUNT
<b>State Wildlife Trapping</b> Service for September 2018 traps/ cameras currently in use	1	1,111.11	1,111.11

LTD: 24 hogs removed  
YTD: 24 hogs removed  
MTD: 1 hog removed

Note:  
Conditions are very wet due to the heavy rains  
we have has this month.  
We are using every means possible in order to  
eliminate the hog population in your area.

Thank you for doing business with us.

**BALANCE DUE**

**\$1,111.11**

Make all checks payable to: Jerry Richardson

A late fee of 15% late fee will be applied if not paid within 10 days from  
date.

If you have any questions concerning this invoice, please contact:  
Jerry Richardson, Phone 813-390-9578; email -  
trapperjerry@gmail.com

A 30 day notice is required to terminate trapping service in writing.  
Termination fees may apply.

Date Rec'd Rizzetta & Co. SEP 17 2018  
D/M approval CP Date 9/21/18  
Date entered SEP 17 2018  
Fund 001 GL 57900 OC 6400  
Check # \_\_\_\_\_



**Rizzetta & Company, Inc.**  
 3434 Colwell Avenue  
 Suite 200  
 Tampa FL 33614

# Invoice

Date	Invoice #
9/1/2018	INV0000034717

**Bill To:**

WATERS EDGE CDD  
 3434 Colwell Avenue, Suite 200  
 Tampa FL 33614

AUG 28 2018

Services for the month of	Terms	Client Number
September	Upon Receipt	00345

Description	Qty	Rate	Amount
District Management Services 3101	1.00	\$1,901.83	\$1,901.83
Administrative Services 3100	1.00	\$393.75	\$393.75
Accounting Services 3201	1.00	\$1,050.00	\$1,050.00
Financial & Revenue Collections 3111	1.00	\$437.50	\$437.50
<p>Date Rec'd Rizzetta &amp; Co., Inc. _____</p> <p>D/M approval <u>CP</u> Date 8/30/18</p> <p>Date entered <u>AUG 28 2018</u></p> <p>Fund <u>01</u> GL <u>51300</u> OC <u>See above</u></p> <p>Check # _____</p>			
Subtotal			\$3,783.08
Total			\$3,783.08



**Rizzetta Technology Services**

3434 Colwell Avenue

Suite 200

Tampa FL 33614

**Invoice**

Date	Invoice #
9/1/2018	INV0000003661

**Bill To:**

WATERS EDGE CDD  
3434 Colwell Avenue, Suite 200  
Tampa FL 33614

AUG 24 2018

Services for the month of		Terms	Client Number
September			00345
Description	Qty	Rate	Amount
EMail Hosting	5	\$15.00	\$75.00
Website Hosting Services	1	\$100.00	\$100.00
<p>Date Rec'd Rizzetta &amp; Co., Inc. _____</p> <p>D/M approval <u>CP</u> Date <u>8/27/18</u></p> <p>Date entered <u>AUG 24 2018</u></p> <p>Fund <u>001</u> GL <u>51300</u> OC <u>5103</u></p> <p>Check # _____</p>			
Subtotal			\$175.00
Total			\$175.00

09/01/18

c/o Rizzetta & Company, Inc.

Phone: (813) 994-1001

SEP 11 2018

SEP 11 2018

Waters Edge CDD  
5844 Old Pasco Road, Suite 100  
Wesley Chapel, FL 33544

Page 1 of 1

Date Rec'd Rizzetta & Co., Inc. \_\_\_\_\_  
D/M approval CP Date 9/14/18  
SEP 12 2018  
Date entered \_\_\_\_\_  
Fund 001 GL 5390 OC 4601  
Check # \_\_\_\_\_

**6,433.00**



**YELLOWSTONE**  
LANDSCAPE

**Landscape Professionals**  
Post Office Box 849 || Bunnell, FL 32110  
Tel 386.437.6211 || Fax 386.586.1285

## Invoice

**Invoice:** INV-0000227102  
**Invoice Date:** September 1, 2018

**Account:** 25382  
**PO Number:**

**Bill To:**

Waters Edge Master HOA  
c/o Rizzetta  
5844 Old Pasco Rd.  
Suite 100  
Wesley Chapel, FL 33544

**Remit To:**

Yellowstone Landscape  
PO Box 101017  
Atlanta, GA 30392-1017

**Project Number:** 10141195.101  
**Property Name:** Waters Edge  
**Terms:** NET 30

**Invoice Due Date:** October 1, 2018  
**Invoice Amount:** \$16,082.50  
**Month of Service:** September 2018

Description	Amount
Monthly Landscape Maintenance (Per Specs in Part 2)	14,012.50
St Augustine Fertilization	2,070.00

Date Rec'd Rizzetta & Co Inc 8/31  
Mgr Approval PD Date 8/31  
G/L 9610 Date Entered \_\_\_\_\_  
Check \_\_\_\_\_ Date Paid \_\_\_\_\_

**Invoice Total 16,082.50**

**RECEIVED**  
AUG 31 2018

**BY: .....**

Should you have any questions or inquiries please call (386) 437-6211.




**Landscape Professionals**  
Post Office Box 849 || Bunnell, FL 32110  
Tel 386.437.6211 || Fax 386.586.1285

### Invoice

Invoice: INV-0000228913  
Invoice Date: August 31, 2018

Account: 25382  
PO Number:

Bill To:   
Waters Edge Master HOA  
c/o Rizzetta  
5844 Old Pasco Rd.  
Suite 100  
Wesley Chapel, FL 33544

Remit To:  
Yellowstone Landscape  
PO Box 101017  
Atlanta, GA 30392-1017

Terms: NET 30  
Project Number: 10141195.201.00028  
Project Name: Down Tree 11045 Bremerton

Invoice Due Date: September 30, 2018  
Invoice Amount: \$516.94

Description	Quantity	Price	Total Price
Cut Sand Pine Down 11045 Bremerton Ct	1.00	516.94	\$516.94

SEP 17 2018

Invoice Total \$516.94

RECEIVED  
SEP 12 2018

Date Rec'd Rizzetta & Co Inc \_\_\_\_\_  
Mgr Approval  Date 9/21/18  
G/L  Date Entered \_\_\_\_\_  
Check 53900 Date Paid 4604





## Enhancement Proposal

Job Name:	Down Tree Behind 11045 Bremerton Ct.	Proposal #	
Property Name:	Waters Edge Master HOA	Date:	August 10, 2018
Client:	Client Name		
Address:	Address		
City/State/Zip:	City, State & Zip		
Phone:	Phone		

### NOTES:

Yellowstone Landscape will complete the work described below:

### Description

Cut fallen Sand Pine and discard debris back into nature area.

Materials & Services	Quantity	Unit Price	Total
	12	\$ 43.08	\$ 516.94
TOTAL PRICE			\$ 516.94

### ACCEPTANCE OF TERMS

Signature below authorizes Yellowstone Landscape to perform work as described above and verifies that the prices and specifications are hereby accepted. Prices above are valid for 90 days from date of proposal.

Payment terms: Net 30 days. All overdue balances will be charged a 1.5% a month, 18% annual percentage rate.

Limited Warranty: All plant material is under a limited warranty for one year. Transplanted plant material and/or plant material that dies due to conditions out of Yellowstone Landscape's control (i.e. Acts of God, vandalism, inadequate irrigation due to water restrictions, etc.) shall not be included in the warranty.

Client:

Christine Perkins

Prepared by:

Nelson de Sierra

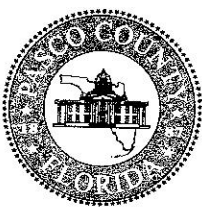
Date: 8/20/18

Date: August 10, 2018

Internal Use Only	
Project Number: 10141195.201.00028	District: San Antonio
PO Reference:	Date Work Completed:

## **Tab 11**





Utilities Department  
Pub. Wks. / Utilities Bldg., S-205  
7530 Little Road  
New Port Richey, FL 34654

PASCO COUNTY UTILITIES  
SERVICE CONNECTION APPLICATION

New Port Richey (727) 847-8145 - Dade City (352) 521-4274 - Land O' Lakes (813) 235-6012  
Fax: (727) 815-7063

Owners Name: Waters Edge Community Development District Phone (813) 533-2950

Billing Address: 5844 Old Pasco Road, Suite 100

City: Tampa State: FL Zip: 33544

Email Address: cperkins@rizzetta.com

Fed. I.D. No: 830422422

Name of Project : Waters Edge

Service Address: 9019 Creedmoor Lane, New Port Richey FL 34654

Parcel I.D. No.: 20-25-17-0030-00D00-0000

Type of Development (existing or proposed): Existing

For Office Use:  
Date Utilities Dept Received:

Billing Start Date:

Work Order #:

Project Charge #

PCU Project #

Atlas Map

Service Requirements: ☐ Water ☐ Sewer ☐ Irrigation ☒ Reuse ☐ Fire Lines ☐ Taps ☐ Pump Station Meters

AWWA Fixture Units (If more than one building provide a list for each structure) NA (Sewer service provider) Pasco NA Septic Other

Anticipated Water Consumption (GPD) NA Maximum Flow (GPM) 1,440 gpm Irrigation / Reuse (GPD) 497, 200

Fire flow required (GPM) 0 gpm Fire line size N/A Number of on site hydrants if applicable N/A

Date service is required by: October 8, 2018

If you are an agent for the owner, please fill out the following information:

Name: Christine Perkins Address: 5844 Old Pasco Road, Suite 100

City: Tampa State: FL Zip: 33544 Telephone No. (813) 533-2950

Email Address: cperkins@rizzetta.com

Applicant agrees that all necessary connection fees and installation charges for County Utility services and all system improvement costs required will be at the Owners expense in accordance with Pasco County Ordinances. In addition, the Applicant / Owner agrees that all Utility system improvements will be installed according to County Utility standards and specifications All system improvements shall become the property of the Pasco County Utilities Services Branch and shall constitute part of the Utility system of the County and subject to all the rules and regulations pertaining thereto. Utility System includes only pipe lines and other improvements installed on public right of ways or within utility easements. All application fees and charges must be paid prior to the activation of utility services by the County.

Signature of the Owner: Waters Edge Community Development District, Chairman Date 9/28/18

DO NOT WRITE IN THE SPACE BELOW --- FOR OFFICE USE ONLY

ACCEPTABLE FOR REVIEW. FDEP PERMITS MAY BE REQUIRED.

Michael J. Carballa, P.E., Interim Assistant County Administrator (Public Infrastructure)

Date