



## STATE MARSHALS 2011 ANNUAL STATEMENT OF INCOME

### INSTRUCTIONS

**WHY REPORT:** Under Connecticut General Statutes § 1-83 (b) (2), all state marshals must file with the Office of State Ethics an annual statement of the amounts and sources of income earned in their capacity as State Marshals.

**WHEN TO REPORT:** The Office of State Ethics must receive your statement of income for the calendar year 2011 on or before May 1, 2012. **IF YOU DO NOT FILE an accurate statement by the due date you may be subject to a penalty of up to \$10,000.**

Please note that a person who assumed the office of State Marshal during 2012 is required to file a statement of income for the calendar year 2011. Such filer must disclose in the statement the date when the office was assumed and certify to the fact that the filer did not receive any reportable income during 2011, if he or she did not hold or assume the office of State Marshal in 2011.

A State Marshal who assumed office between January 1 and March 31, 2012, is required to file a statement of income for the calendar year 2011 on or before May 1, 2012. A person assuming the office of State Marshal after March 31, 2012, must file a statement of income for calendar year 2011 thirty days after assuming office.

A State Marshal who leaves office during 2012 must file a statement of income earned up to the time he or she left office. You must file within 60 days of receiving notification from the Office of State Ethics. Regs., Conn. State Agencies § 1-81-12.

### **WHAT TO REPORT:**

**INCOME:** When reporting income, include all statutory fees (service, endorsements, copies and travel allowance). DO NOT include reimbursements of advancements, or funds held but not yours to keep. For example, do not include: bail or bond money received or held; reimbursement of motor vehicle or town clerk fees; filing or entry fees; witness, moving, or keeper fees; certified/registered mailing fees. Regs., Conn. State Agencies § 1-81-13.

**EXPENSES:** Report all expenses directly attributable to the performance of official duties as a State Marshal including **\*\*proportionate** amounts of employee expenses (salaries, social security tax, unemployment compensation tax, medical insurance, other benefits, etc.), office expenses (rent, insurance, utilities, actual copying costs, etc.) and transportation expenses. To report transportation expenses, report EITHER the proportionate cost of actual expenses for gasoline, car insurance, repairs, etc., OR the number of miles traveled on marshal business multiplied by the statutory mileage fee.

\*\*To report proportionate amounts: for example, if you use your car for marshal duties 50% of the time, report 50% of total gasoline, insurance, etc.

**DO NOT REPORT:** Please provide only the information requested on this form. Do not include copies of your W-2, 1040, 1099, or other personal information. Do not include your social security number. Remember that this filing is public information.

**NOTE: If you have any questions regarding the information requested by this form, please contact the Office of State Ethics – Legal Division at 860-263-2400 or [sfi.ose@ct.gov](mailto:sfi.ose@ct.gov) .**



**OFFICE OF STATE ETHICS**  
**18-20 Trinity Street**  
**Hartford, CT 06106-1660**

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State Marshal's Name (Please Print): \_\_\_\_\_

State Marshal's County: \_\_\_\_\_

IF YOU ASSUMED OFFICE OF STATE MARSHAL IN 2011 or 2012 indicate date: \_\_\_\_\_

IF YOU LEFT OFFICE OF STATE MARSHAL IN 2011 or 2012 indicate date: \_\_\_\_\_

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**SALARY** a. \$ \_\_\_\_\_

**SERVICE OF PROCESS** b. \$ \_\_\_\_\_  
(On line "b" list all service of process income, regardless of the amount)

On page 3, list name(s) of, address(es) of, and amount(s) received from any person(s) or firm(s) who, in 2011, paid you \$1,000 or more for service of process.

**EXECUTIONS** (wages, bank, property, etc.) c. \$ \_\_\_\_\_  
(On line "c" list all executions income, regardless of the amount)

On page 3, list name(s) of, address(es) of, and amount(s) received from any person(s) or firm(s) who, in 2011, paid you \$1,000 or more for execution services.

**COLLECTION OF DELINQUENT TAXES** d. \$ \_\_\_\_\_  
(On line "d" list all collection of delinquent taxes income, regardless of the amount)

On page 3, list name(s) of, address(es) of, and amount(s) received from any person(s) or firm(s) who, in 2011, paid you \$1,000 or more for collection services.

**OTHER INCOME FROM MARSHAL SERVICES** e. \$ \_\_\_\_\_  
(On line "e" list all other income, regardless of the amount)

On page 3, list name(s) of, address(es) of, and amount(s) received from any person(s) or firm(s) who, in 2011, paid you \$1,000 or more for other marshal services.

**GROSS INCOME** (add lines a, b, c, d and e) f. \$ \_\_\_\_\_



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**EMPLOYEE EXPENSES**

**g. \$ \_\_\_\_\_**

Include proportionate amounts of employee compensation and benefits attributable to supporting the marshal in the performance of official duties (e.g. wages, social security tax, unemployment compensation tax, medical insurance, etc.)

**OFFICE EXPENSES**

**h. \$ \_\_\_\_\_**

Include proportionate amounts of office expenses attributable to supporting the marshal in the performance of official duties (e.g. rent, insurance, utilities, actual copying costs, etc.)

**TRANSPORTATION EXPENSES**

**i. \$ \_\_\_\_\_**

Report EITHER the proportionate cost of actual expenses for gasoline, car insurance, repairs, etc., OR the number of miles traveled on marshal business multiplied by the statutory mileage fee.

**TOTAL EXPENSES** (add lines g, h and i)

**j. \$ \_\_\_\_\_**

**NET INCOME** (page 1, line f minus page 2, line j)

**k. \$ \_\_\_\_\_**



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State Marshal's Name (Please Print): \_\_\_\_\_

List name(s) of, address(es) of, and amount(s) received from any person(s) or firm(s) who, in 2011, paid you \$1,000 or more for **service of process**.

_____	_____	_____
Name	Address	Amount Received

_____	_____	_____
Name	Address	Amount Received

List name(s) of, address(es) of, and amount(s) received from any person(s) or firm(s) who, in 2011, paid you \$1,000 or more for **execution services**.

_____	_____	_____
Name	Address	Amount Received

_____	_____	_____
Name	Address	Amount Received

List name(s) of, address(es) of, and amount(s) received from any person(s) or firm(s) who, in 2011, paid you \$1,000 or more for **collection services**.

_____	_____	_____
Name	Address	Amount Received

_____	_____	_____
Name	Address	Amount Received

List name(s) of, address(es) of, and amount(s) received from any person(s) or firm(s) who, in 2011, paid you \$1,000 or more for **other marshal services**.

_____	_____	_____
Name	Address	Amount Received

_____	_____	_____
Name	Address	Amount Received

**If you need additional space, please make as many additional copies of this page as necessary.**



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**CERTIFICATION**

1. I UNDERSTAND that if I fail to file this statement timely and accurately, I may be subject to a penalty of up to \$10,000.
2. I UNDERSTAND that all information I provide on this form shall be a matter of public record, and may be disclosed by the Office of State Ethics, unless exempt from disclosure by the Freedom of Information Act, Connecticut General Statutes § 1-200 *et. seq.*
3. I UNDERSTAND that if I leave office, upon receipt of notification from the Office of State Ethics, I must file an Annual Statement of Income within sixty (60) days for the income earned through the last date I served as a State Marshal.
4. I CERTIFY that, if I assumed the office of State Marshal in 2012 (i.e., I did not hold or assume such office in 2011), I did not receive any reportable income during calendar year 2011.
5. I CERTIFY, UNDER PENALTY OF FALSE STATEMENT, that this Annual Statement of Income is a complete and accurate statement of income earned and expenses made in my capacity as a state marshal during the calendar year 2011.

I have read and agree to the above certification.

\_\_\_\_\_  
**Signature**

\_\_\_\_\_  
**Date**

**NOTE: If you have any questions regarding the information requested by this form, please contact the Office of State Ethics – Legal Division at 860-263-2400 or [sfi.ose@ct.gov](mailto:sfi.ose@ct.gov) .**

**ETH-3B**

(Revised 12/2011)

Conn. Gen. Stat. §1-83;

Regs. Conn. State Agencies § 1-81-2 *et. seq.*