

# COMMISSION ON GOVERNMENTAL ETHICS AND ELECTION PRACTICES

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## STATEMENT OF SOURCES OF INCOME FOR EXECUTIVE EMPLOYEES

For the 2014 Calendar Year: January 1, 2014 - December 31, 2014

Check here if this statement is an update or amendment of a previously filed statement.

Name Neria R Douglass	Job Title State Treasurer
Department Treasury	Phone (work) 207-624-7477
Mailing Address (work) 39 State House Station Augusta ME 04333-0039	E-mail Address (work) neria.r.douglass@maine.gov

### GENERAL INSTRUCTIONS

- Complete all sections. If a section is not applicable, check the box marked "None."
- A glossary is located in the back of this form.
- If completing this form by hand, please write legibly.
- Report the sources of income for you, your spouse or domestic partner, and your dependent children.
- Report only specific sources of income. Dollar amounts need not be listed.

Please keep a copy of this statement for your records!

### REPORTING DEADLINES

#### Constitutional Officers and the State Auditor

Newly elected constitutional officers and the state auditor must file the financial disclosure statement within 30 days of election and by April 15 of each year they are in office, unless a report for that year has already been filed.

#### Appointed Executive Employees

Newly appointed executive employees who are appointed by the Governor and confirmed by the Legislature must file the financial disclosure statement prior to their confirmation and by April 15 of each year of their employment, unless a report for that year has already been filed.

#### Executive Employees in Major Policy-Influencing Positions

Executive employees in major policy-influencing positions must file the financial disclosure statement by April 15 of each year of their employment.

#### Leaving Office or Terminating Employment

Constitutional officers and the state auditor and all other executive employees must file a final financial disclosure statement within 45 days of leaving office or terminating employment that covers the calendar year of leaving office or terminating employment.

### REQUIREMENT TO FILE AN UPDATED STATEMENT

Executive branch employees are required to update their financial disclosure statement within 30 days of a substantial change in income, reportable liabilities or positions of the executive branch employee or an immediate family member (except dependent children) that occurs in the current calendar year. (5 M.R.S.A. § 19(3)(C)) Substantial changes include but are not limited to:

- A new employer or other source of income that has paid the executive branch employee or immediate family member \$2,000 or more in the current year;
- A new reportable liability of \$3,000 or more obtained during the current calendar year;
- A new contract or other arrangement between the executive branch employee, immediate family member or associated organization and a State agency, board or commission for the lease or sale of goods or services with a value of more than \$10,000 during the current calendar year; and
- A new position in a political action committee, ballot question committee, party committee, or non-profit or for profit organization.

**Part 1. Income from Employment by Another** None. Check this box if you did not have income from employment by another.

Name of Employer	Address	Principal Type of Economic or Business Activity of Employer	Job Title

**Part 2. Income from Self-Employment** None. Check this box if you did not have income from self-employment.

Name of Your Business/Trade Name	Address	Principal Type of Economic or Business Activity
Name of Client or Customer, if required (see instructions)	Address	Principal Type of Economic or Business Activity of Client

**Part 3. Business Entities** None. Check this box if you and your immediate family did not own or control more than 5% of any business.

Name of Business	Address	Principal Type of Economic or Business Activity

**Part 4. Income from the Practice of Law** None. Check this box if you did not have income from the practice of law.

Name of Practice or Firm	Address	Your Major Areas of Practice	Firm's Major Areas of Practice	Position: Partner, Associate, Sole Practitioner

Part 5. Income from Any Other Source		
<input type="checkbox"/> None. Check this box if you did not have income from any other source.		
Name of Source	Address	Description of Income
US BanCorp	800 Nicollet Mall Minneapolis, MN 55402	dividends
Ivy High Income fund	6300 Lamar Avenue Overland Park, KS 66202-4247	dividends
PIMCO Investment Grade Corporate Bond Fund P PBDPX	650 Newport Center Drive Newport Beach, CA 92660	sale mutual fund shares

Part 6-A. Compensation Income of Immediate Family Members		
<input type="checkbox"/> None. Check this box if no members of your immediate family received income of \$2,000 or more from employment or compensation.		
Name and Job Title (do not list name of dependent child)	Employer's Name and Address	Principal Type of Economic or Business Activity of Employer
Paul S Douglass, Partner/Owner	Paul S Douglass, PA 471 Main St PO Box 1346 Lewiston, ME 04243-1346	law practice

Part 6-B. Other Sources of Income of Immediate Family Members		
<input type="checkbox"/> None. Check this box if no members of your immediate family received income of \$2,000 or more from any other source.		
Name of Spouse or Partner (do not list name of dependent child)	Source of Income Name and Address	Type of Income
Paul S Douglass	American Growth Fund GFFFX 5300 Robin Hood Rd Norfolk VA	sale shares, short and long-term capital gains, dividends
Paul S Douglass	Janus Triton Fund 151 Detroit St Denver MA	long-term capital gains, dividends
Paul S Douglass	AmericanWashingtonMutual WMFFX 5300 Robin Hood Rd Norfolk VA	long-term capital gains, dividends

**Part 7. Loans** None. Check this box if you did not have reportable liabilities.

Lender's Name	Lender's Address	Principal Type of Economic or Business Activity of Lender

**Part 8. Gifts, Including Travel and Accommodations** None. Check this box if you did not received any gifts.

Source of Gift	Source of Gift
1. Council of State Governments	2. National Association of State Treasurers
3. National Association of State Auditors, Controllers and Treasurers	4. GMI Ratings, MSCI ESG Research

**Part 9. Honoraria** None. Check this box if you did not receive honoraria.

Source of Honoraria	Source of Honoraria
1.	2.
3.	4.

**Part 10. Positions in Political Action, Ballot Question or Party Committees** None. Check this box if you and your immediate family were not a treasurer, or principal officer, decision-maker or fundraiser of a PAC, BQC, or Party Committee.

Name of Committee	Name of Official or Family Member	Title
1.		
2.		

ADDITIONAL INFORMATION

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Part	
5	PIMCO Total Return Fund PTPPX 650 Newport Center Drive Newport Beach CA Sale shares
5	Franklin High Yield Fund FHYVX 100 Fountain Parkway St Petersburg FL Sale shares
5	Franklin FlexCapGrowth Fund 100 Fountain Parkway St Petersburg FL Long-term Capital Gain
5	Prudential Total Return Fund PDBZX 4400 Computer Drive Westborough MA Long-term Capital Gains
5	Janus Balanced Fd JBALX 151 Detroit Street Denver CO Long-term Capital Gain
5	Pacific Life Portfolio Optimization Conservative Fund POAAX 700 Newport Center Drive Newport Beach CA Sale shares
5	Apple AAPL 1 Infinite Loop Cupertino CA 95014 Sale shares
5	Rio Tinto RIO 8051 East Maplewood Avenue Greenwood Village Colorado Sale shares
6-B	Franklin High Yield Fund FHYVX 100 Fountain Parkway St Petersburg FL Sale shares
8	Opal Financial Group

**Part 11. Conducting Business with State Agencies** None. Check this box if neither you nor your immediate family did business with any State agency.

Name of Agency	Name of Individual/Organization Selling Goods or Services	Description of Good or Services

**Part 12. Representing Others Before State Agencies** None. Check this box if neither you nor your immediate family represented another before a State agency.

Name of Agency	Name of Individual Receiving Compensation


**Part 13. Positions in For-Profit and Non-Profit Organizations** None. Check this box if you and members your immediate family did not hold positions in any for-profit or non-profit organizations.

Organization/Business and Address	Title	Name of Position Holder	Relationship to executive branch employee	Compensated Yes/No
Paul S Douglass PA	President	Paul S Douglass	<input type="checkbox"/> Self <input checked="" type="checkbox"/> Spouse <input type="checkbox"/> Dependent	No
Paul S Douglass PA	Vice-President	Neria R Douglass	<input checked="" type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent	No
All Boards with State Treasurer as member	Board member	Neria R Douglass	<input checked="" type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent	No

**SIGNATURE**

I CERTIFY THAT I HAVE EXAMINED THIS REPORT AND TO THE BEST OF MY KNOWLEDGE IT IS TRUE, CORRECT, AND COMPLETE.

  
 \_\_\_\_\_  
 Signature

  
 \_\_\_\_\_  
 Date

THE INTENTIONAL FILING OF A FALSE STATEMENT IS A CLASS E CRIME (5 M.R.S.A. § 19(4)(B))