

COMMISSION ON GOVERNMENTAL ETHICS AND ELECTION PRACTICES

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MAR 25 2014

STATEMENT OF SOURCES OF INCOME FOR EXECUTIVE EMPLOYEES

For the 2013 Calendar Year: January 1, 2013 - December 31, 2013

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

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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 n	ot have income fror	n employment	by another.	al a comment	
Name of Employer	Address	Principal Type Business Activ	of Economic or vity of Employer		Job Title
Part 2. Income from Self-Employn					
None. Check this box if you did r	 A consistence of the constraint of the constraint 	Charles and Charles and the Charles of	A security for the second seco		
Name of Your Business/Trade Name	Add	Iress			ype of Economic iness Activity
Name of Client or Customer, if required (see instructions)	Ado	iress			ype of Economic s Activity of Client
Part 3. Business Entitles	varu in-madists f	ally did not over	or control mo	re then	5% of any husiness
None. Check this box if you and Name of Business		dress	and the second s	Principal 1	Type of Economic siness Activity
				Carlo Service	
Part 4. Income from the Practice	of Law				
☑ None. Check this box if you did r	not have income from	m the practice		Section Constitution (CA)	
Name of Practice or Firm Addres	s Your Ma	jor Areas of actice	Firm's Major Are Practice	eas of	Position: Partner, Associate, Sole Practitioner

□ None. Check this box if you did not have income from any other source.			
Name of Source	Address	Description of Income	
JS Office of Personnel Management	1900 E St, NW Washington DC 20414	Retirement Annuity	
JS Social Security Administration	Washington DC	Social Security Retirement Benefits	

None. Check this box if no members of employment or compensation.	of your immediate family received inco	ome of \$2,000 or more from
Name and Job Title (do not list name of dependent child)	Employer's Name and Address	Principal Type of Economic of Business Activity of Employer

☑ 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	
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Part 7. Loans		
☑ None. Check this box if you did not have rep	ortable liabilities.	
Lender's Name	Lender's Address	Principal Type of Economic or Business Activity of Lender
Part 8. Gifts, Including Travel and Accommo	odations	
☑ None. Check this box if you did not received		
Source of Gift		Source of Gift
1.	2.	
3.	4.	
Part 9. Honoraria ☑ None. Check this box if you did not received	honoraria.	
Source of Honoraria	The second secon	ource of Honoraria
1.	2.	
3.	4.	
Part 10. Positions in Political Action, Ballot	Question or Party Committee	is
None. Check this box if you and your immed or fundraiser of a PAC, BQC, or Party Committee	iate family were not a treasurer	
	Official or Family Member	Title
1.		

Part 11. Conducting Business with	n State Agencies			
✓ None. Check this box if neither you	ı nor your immediat	e family did busines	s with any State ag	ency.
Name of Agency	Name of Individual/Organization Selling Goods or Services		Description of Good or Services	
Part 12. Representing Others Befo	ore State Agencies			
☑ None. Check this box if neither yo			d another before a	State agency.
Name of Agency			vidual Receiving C	
Part 13. Positions in For-Profit an ☑ None. Check this box if you and no profit organizations. Organization/Business and Address			Relationship to executive branch employee	y for-profit or non- Compensated Yes/No
			☐ Dependent	
			☐ Self ☐ Spouse ☐ Dependent	
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			☐ Self ☐ Spouse ☐ Dependent	
	SIGN	ATURE	☐ Spouse	
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