Statement of Financial Interests for 2009

PERSONAL INFORMATION

First Name and Middle initial:		Last Name:
Joan V		Hartley
Street Address 1:		**Street Address 2:**
206 Columbia Boulevard		
City:	**State:**	**Zip:**
Waterbury	CONNECTICUT	06710

☐ **If you are claiming an exemption from disclosure for this property under FOIA**

Phone Number:	Email Address:
(860) 240-8600	Hartley@senatedems.ct.gov

OCCUPATION

☐ **Current Dual Employment**

Current State Position:	Membership:
Connecticut General Assembly	Senator - Other

Name of District:

15

☐ **If you have held a different state position or left state service in 2009**

☐ **Previous Dual Employment**

Previous State Position:	Membership:

Name of Agency:

SPOUSE

☐ **If you do not have a Spouse**

Spouse First Name and Initial:	Spouse Last Name:
James E	Hartley, Jr.

FAMILY MEMBERS (CHILDREN)

☐ **If you do not have dependent children**

Child First Name and Initial:	Child Last Name:
Devin J	Hartley
Brooke L	Hartley

REAL PROPERTY

☐ **If you do not own a property**

☐ **If you are claiming an exemption from disclosure for this property under FOIA**

Street Address 1: 206 Columbia Boulevard

Street Address 2:

City: Waterbury

State: CONNECTICUT

Zip: 06710

Country:

Owner or Beneficiary: Joan V. Hartley

☑ **Held Directly?:**

Held By: Note: If the property is not held directly, please list the corporation, partnership, or trust that holds the property for the benefit of you, your spouse, or dependent children residing with you.

☐ **If you are claiming an exemption from disclosure for this property under FOIA**

Street Address 1: 444 Upper Whittemore Road

Street Address 2:

City: Middlebury

State: CONNECTICUT

Zip: 06762

Country:

Owner or Beneficiary: Joan V. Hartley

☑ **Held Directly?:**

Held By: Note: If the property is not held directly, please list the corporation, partnership, or trust that holds the property for the benefit of you, your spouse, or dependent children residing with you.

BUSINESSES

BUSINESS (WITH WHICH ASSOCIATED)

☐ **If you are not associated with any business**

Name of Business:

Drubner & Hartley, LLC

Street Address 1:

500 Chase Parkway

Street Address 2:

City:

Waterbury

State:

CONNECTICUT

Zip:

06708

Nature of Business:

Law Firm

Nature of Interest:

Partner (Member)

Interest Held By:

Spouse

Business Affiliation

Category of Affiliated Business/Individual:

No affiliation

Business Affiliation

Category of Affiliated Business/Individual:

No affiliation

Name of Business:

Verus Financial, LLC

Street Address 1:

500 Chase Parkway

Street Address 2:

City:

Waterbury

State:

CONNECTICUT

Zip:

06708

Nature of Business:

Financial Firm

Nature of Interest:

Partner (Member)

Interest Held By:

Spouse

Business Affiliation

Category of Affiliated Business/Individual:

No affiliation

Business Affiliation

Category of Affiliated Business/Individual:

No affiliation

BUSINESSES

TRUSTS

☑ **If you are not part of a trust**

INCOME SOURCES

☐ **If you do not have a Income Source(s)**

Description of Source:

Salary/Wages

Name of Employer or Other Source:

State of Connecticut

Recipient:

Self

Description of Source:

Partnership Distributions

Name of Employer or Other Source:

Drubner & Hartley, LLC

Recipient:

Spouse

Description of Source:

Partnership Distributions

Name of Employer or Other Source:

Verus Financial, LLC

Recipient:

Spouse

Description of Source:

Interest

Name of Employer or Other Source:

UBS Painewebber

Recipient:

Spouse

BLIND TRUST

☑ **If you do not have a Blind Trust(s)**

SECURITIES

☐ **If you had no interest in securities with a fair market value in excess of $5,000 at any time during the calendar year**

Security Name:

UBS Painewebber

Owner or beneficiary if held by another:

Self

☑ **Held Directly?:**

Held By:

Note: If the Security is not held directly, list the trustee, corporation, etc.

LEASES

☑ **If you do not have a State lease(s)**

CONTRACTS

☑ **If you do not have a State contract(s)**

CONFIDENTIAL ADDENDUM

☑ **I choose to retain confidentiality. Note: You must be ready to file all confidential information in this one session.**

CERTIFICATION

- 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.
- 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 upon request, unless exempt from disclosure by General Statues 1-83(c) or the Freedom of Information Act, Connecticut General Statutes 1-200 *et. seq* if I chose to retain confidentiality on my addendum.
- I UNDERSTAND that if, by reason of impossibility, I am unable to provide the information required by this form, I may petition the Citizen's Ethics Advisory Board for a waiver.
- I UNDERSTAND that I must file with the Office of State Ethics, a report of the payment or reimbursement of "necessary expenses" for lodging and/or out-of-state travel incurred by me, in my capacity as a public official or state employee, for an article, appearance, speech, or for my participation at an event, unless the payment or reimbursement is provided by the State of Connecticut, the federal government or another state government. I FURTHER UNDERSTAND that if, either intentionally or due to gross negligence, I fail to file such a report within thirty(30) days after receiving the payment or reimbursement, I will be required to return the payment or reimbursement and may be subject to a penalty for up to $10,000.
- I CERTIFY, UNDER PENALTY OF FALSE STATEMENT, that this Annual Statement of Financial Interests, including the Confidential Addendum, is a complete and accurate statement of financial interests, as defined by Connecticut General Statutes 1-83(b)(1), for myself, my spouse, and dependent residing in my household, during the calendar year 2009

☑ **I have read and agree to all above certifications.**

Name:	Joan V Hartley
Filed Date and Time:	04/26/2010 4:37 PM