



740 N. Sedgwick, Ste. 500
Chicago, IL 60654-8488
(312) 744-9660

CITY OF CHICAGO 2014 STATEMENT OF FINANCIAL INTERESTS

To avoid a legal violation and sanction, including a \$250 fine and having your name and violation being made public, you must return this form no later than **June 2, 2014**.
Board of Ethics 740 N. Sedgwick, Ste. 500 Chicago, IL 60654-8488



- Please print out this form on legal-sized paper, complete it, sign it and then mail / deliver it to the Board of Ethics. We cannot accept Statements via e-mail, fax or PDF formats. Please answer all 16 questions and sign your form before returning it.
- If you need more room, please attach and label extra sheets.
- Terms with an asterisk(*) are defined on the instruction sheet.

+ In questions 2-5 & 8, indicate the appropriate income, compensation or capital gain by writing in the appropriate category letter:
A= \$25,000 or more B= \$5,000 - \$24,999 C= less than \$5,000

NOTE: for public safety reasons, filers in the Chicago Fire and Police Departments, Independent Police Review Authority and Office of Emergency Communications or who are building inspectors need not disclose the address of business(es), organization(s) or property in questions 2 or 9; for question 9, however, they must list the number and types of properties owned, e.g.: 1 single-family house, 2 6-flats, etc.

Last Name: Cappleman First Name: James Middle Initial: J
Address: [Redacted] City: Chicago State: IL Zip: 60608
City Department/Agency: Candidate City of Chicago Title: Alderman 46th Ward

1. In 2013, were you employed by any governmental unit other than the City of Chicago? Yes No

If YES, list the name of each governmental unit

[Redacted]

2. In 2013, were you an employee, officer, director, associate, partner, or proprietor of, or did you serve in any advisory capacity for, any professional, business or organization **other than the City** from which you received or derived income of more than \$1,000.00? Yes No

If YES, for each organization provide the following information: (see note above)

Name & Address	Type of Organization	Your Position	+ Amount of Income, By Category
[Redacted]	[Redacted]	[Redacted]	[Redacted]

3. In 2013, did you receive compensation in excess of \$5,000.00 for professional*, business or other services rendered to a person* or entity doing business* with the City of Chicago, the Chicago Transit Authority, Board of Education (including the Chicago School Reform Board of Trustees), Chicago Park District, Chicago City Colleges, or Metropolitan Pier and Exposition Authority? Yes No

If YES, provide the following for each person to which you provided services:

Name	Nature of Service	Government Unit With Which Person Did Business	+ Amount of Income, By Category
[Redacted]	[Redacted]	[Redacted]	[Redacted]

4. In 2013, **did your spouse or domestic partner*** receive compensation in excess of \$5,000.00 for professional*, business or other services rendered to a person* or entity doing business* with the City of Chicago, the Chicago Transit Authority, Board of Education (including the Chicago School Reform Board of Trustees), Chicago Park District, Chicago City Colleges, or Metropolitan Pier and Exposition Authority? I had no spouse or domestic partner in 2013. Yes No

If YES, provide the following for each person to which Spouse/ Domestic Partner provided services:

Name	Nature of Services	Government Unit With Which Person Did Business	+ Amount of Income, By Category
[Redacted]	[Redacted]	[Redacted]	[Redacted]

5. In 2013, did any entity in which **you OR your spouse or domestic partner*** have a financial interest* receive compensation in excess of \$5,000.00 for professional*, business or other services rendered to any person* or entity doing business* with the City of Chicago, the Chicago Transit Authority, Board of Education (including the Chicago School Reform Board of Trustees), Chicago Park District, Chicago City Colleges, or Metropolitan Pier and Exposition Authority? Yes No

If YES, provide the following information about the entity in which you/spouse/domestic partner have a financial interest:

Name	Name of Person to which Services were provided	Nature of Services	Government Unit With Which Person Did Business	+ Amount of Income, By Category
[Redacted]	[Redacted]	[Redacted]	[Redacted]	[Redacted]

6. In 2013, did you have a financial interest* in any person* doing business* with the City? (Note: stock interests in publicly held corporations that were owned prior to November 1, 2012, time or demand deposits in financial institutions, or endowments, policies or annuities purchased from insurance companies need not be disclosed, but stock worth \$15,000 or more of a publicly held corporation which stock you acquired on or after November 1, 2012, must be disclosed if the corporation is doing business with the City.) Yes No

If YES, provide the following for each person:

Name	Title or Description of Position You Held in This Person
[Redacted]	[Redacted]

7. In 2013, did you have a financial interest* in any person* conducting business* in Chicago? (Note: stock interests in publicly held corporations that you owned prior to November 1, 2012, or time or demand deposits in financial institutions, or endowments, policies or annuities purchased from insurance companies need not be disclosed, but stock worth \$15,000 or more of a publicly held corporation which stock you acquired on or after November 1, 2012, must be disclosed if the corporation is conducting business in the City.) Yes No

If YES, provide the following for each person:

Name Type / Instrument of Ownership

8. In 2013, did you realize a capital gain of \$5,000.00 or more from the sale of any capital asset other than your principal place of residence? Yes No

If YES, identify the asset(s) sold (including the address or legal description of the real estate) and the appropriate Category of the amount of gain realized for each identified asset (see note at top of form).

+ Amount of gain, By Category

9. Do you have a financial interest* in real estate located in the City of Chicago, other than your principal place of residence? Include all forms of direct or indirect ownership, such as partnerships or trusts whose corpus consists primarily of real estate. (If your principal place of residence is in a multiple-unit or mixed-use building in which you have a financial interest*, answer "yes" to this question.) Yes No

If YES, identify the real estate by address (see note at top of form for filers from certain departments), including zip code, or, if there is no address, by legal description:

10. In 2013, did you receive from any person* (other than relatives* or a domestic partner*) one or more gifts having an aggregate value in excess of \$250.00? Yes No

If YES, identify the person or persons from whom you received such gifts:

11. In 2013, did you receive an improper gift* that you disposed of in accordance with Section 2-156-144 of the Governmental Ethics Ordinance? Yes No

If YES, identify the improper gift(s), the donor(s) if known, and method of disposal as specified in the ordinance:

12. Do you have a financial interest* in any person* who in 2013 applied to the City of Chicago for a license or franchise, or any permit for annexation, zoning or rezoning of real estate? Yes No

If YES, list the name of the person(s) in which you have financial interest and describe the City action requested (including the nature of the application sought or the action requested):

Name Action Requested

13. If you owe or anyone owes you more than \$5,000.00, did the debtor, creditor or guarantor of the debt do business* with or do work for the City of Chicago in 2013? (Do not include: (1) debt instruments issued by financial institutions whose normal business includes the making of loans of the kind received by you in accordance with other terms and conditions standard for such loans at the time the debt was contracted, if the loans are made at the prevailing rate of interest; or (2) debt instruments issued by publicly held corporations and purchased by you on the open market at the price available to the public.) I neither owe or am owed more than \$5,000.00 Yes No

If YES, provide the following information:

Name of Debtor, Creditor or Guarantor Is the Person a Debtor, Creditor or Guarantor Type of Debt Instrument

14. Do you serve on any board or commission (even if not a City board or commission, or not for compensation)? Yes No

If YES, provide the Name(s) of board(s) and your position(s) on the board(s):

Annie's Legacy (program provides mentoring to women who've experienced domestic violence)

15. Do you have a relative* or domestic partner* who is registered as a lobbyist with the City of Chicago's Board of Ethics? Yes No

If YES, name the lobbyist(s) and the lobbyist's relationship to you:

Name(s) Relationship

16. Do you have a relative* or domestic partner* who is an employee or full- or part-owner of a City contractor*? Yes No

If YES, name the relative(s) or domestic partner(s), his/her/their relationship to you, the city contractor(s), and his/her /their position with the contractor(s):

Name(s)/ relationship(s) Contractor(s) Position(s)

VERIFICATION: I declare that I have examined this Statement of Financial Interests, including any accompanying statements, and to the best of my knowledge and belief it is true and complete. I understand that filing a Statement containing false or misleading information with the intent to mislead can result in removal from office or in employment sanctions, including discharge, in accordance with applicable rules, regulations and ordinances of the City of Chicago.

James Cepplman

10-28-2014

Signature and Date