



## Vermont Executive Officers and Ethics Commission Members Financial Disclosure Form

**Who must file:** Each Executive Officer (defined by 3 V.S.A. § 1201(3) as “a state officer; or under the Office of the Governor, an agency secretary or deputy or a department commissioner or deputy”) and each member of the Vermont State Ethics Commission and the Executive Director of the Vermont State Ethics Commission must file this financial disclosure form. 3 V.S.A §§ 1211(a) and 1212(a).

**When:** File on or before January 15 of odd-numbered years, or if appointed after January 15, then within 10 days after the appointment. 3 V.S.A. § 1211(a).

**Were you a candidate for statewide office or legislature last year?** If you filed a 17 V.S.A. § 2414 candidate disclosure form in the preceding year, and your information has not changed since, you must still submit this disclosure form. If no information has changed, you may indicate “no change.” 3 V.S.A. § 1211(c)(2).

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Please attach additional pages if necessary to complete this form.

Your name: William R. Carrigan

Email address: william.carrigan@vermont.gov

Office/agency: Department of Financial Regulation

Title: Deputy Commissioner, Securities Division

Date you assumed office or date of appointment: July, 2016

**Financial information provided below is for the calendar year preceding this report. 3 V.S.A. § 1211(c)(1).**

**1. Sources of personal income** – For you, your spouse or your domestic partner as defined in 3 V.S.A § 1211(d)(1), or both of you together, disclose each source of income that totals more than \$5,000.00. You do not need to provide the actual dollar amount. 3 V.S.A. § 1211(a)(1).

**A. Employment income** – List each employer and employer business address. If you are self-employed, describe the nature of your employment. 3 V.S.A. § 1211(a)(1)(A).

Neither I nor my spouse/domestic partner have sources of employment income required to be listed.

Employer Name	Employer Business Address or description of work if self-employed	You/Spouse or Domestic Partner/Joint
State of Vermont	89 Main St, Montpelier, VT	Me
Champlain College	163 S. Willard St., Burlington, VT	Me
NEBS	Hinesburg Rd, S. Burlington, VT	Spouse

**B. Investment income** – For you, your spouse or your domestic partner as defined in 3 V.S.A § 1211(d)(1), or both of you together, disclose each source of investment income that totals more than \$5,000.00. 3 V.S.A. § 1211(a)(3). You do not need to provide the actual dollar amount. 3 V.S.A § 1211(a)(1)(B). Sources of investment income may include, but are not limited to, stocks, bonds, mutual funds, income-producing property, joint ventures and business interests not included in Part 3 below. Brokerage firms may be listed; individual stock holdings need not be disclosed unless stock ownership represents 10% or more, in which case the ownership should be listed in Part 3 below. Retirement holdings need not be listed.

Neither I nor my spouse/domestic partner have sources of investment income required to be listed.

Source	Nature of Investment	You/Spouse or Domestic Partner/Joint

**C. Other Sources of Income** – For you, your spouse or your domestic partner as defined in 3 V.S.A § 1211(d)(1), or both of you together, disclose each additional source of income not mentioned above, that totals more than \$5,000.00. You do not need to provide the actual dollar amount. 3 V.S.A § 1211(a)(1).

Neither I nor my spouse/domestic partner have any other sources of income required to be listed.

Source of Income	You/Spouse or Domestic Partner/Joint

**2. Service** – List each board, commission, or other entity that is regulated by law or that receives funding from the State of Vermont on which you serve and your position on it. 3 V.S.A § 1211(a)(2).

I have no service to list.

Board, Commission, other Entity	Position held

**3. Company Ownership** – List any company which you or your spouse or domestic partner, or both together owned more than 10 percent. 3 V.S.A § 1211(a)(3).

Neither I nor my spouse/domestic partner have businesses required to be listed.

Business Name	Business Address	You/Spouse or Domestic Partner/Joint



4. **Lease or Contract with the State** – List any lease or contract with the State held or entered into by (a) you or your spouse or domestic partner; or (b) a company of which you or your spouse or domestic partner, or both together owned more than 10 percent. 3 V.S.A § 1211(a)(4).

Neither I nor my spouse/domestic partner have leases or contracts required to be listed.

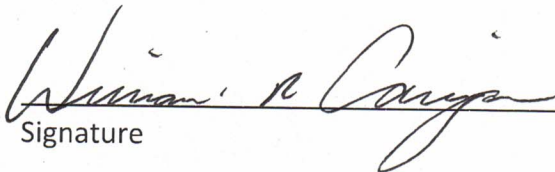
Type of lease or contract	You/Spouse or Domestic Partner/Joint

5. **Lobbying Activities** – If your spouse or domestic partner is a lobbyist 3 V.S.A. § 1211(d)(2), enter his or her name below and, if applicable, the name of his or her lobbying firm. 3 V.S.A § 1211(b).

My spouse/domestic partner has no lobbying activities required to be listed.

Name of spouse/domestic partner	Name of lobbying firm, if applicable

I hereby certify that the information provided above is true and accurate to the best of my knowledge, information, and belief.

  
Signature

Date: January 14, 2021

Send this completed disclosure form with "Disclosure" in the subject line to:  
[Stateethicscommission@vermont.gov](mailto:Stateethicscommission@vermont.gov)

Or mail via USPS to:

Vermont State Ethics Commission, 6 Baldwin St., Montpelier, VT 05633-7950