



COMMISSION ON GOVERNMENTAL ETHICS AND ELECTION PRACTICES

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Maine Ethics Commission

Richard Rosen, Director of the Office of Policy and Management
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Mr. Rosen filed this 2012 statement of sources of income in January 2013 at end of his term of service as a Maine State Senator. The information in this form covers calendar year 2012.

AMENDED JUNE 21, 2013
Part 5, Income from other source

STATEMENT OF SOURCES OF INCOME FOR LEGISLATORS
2012 Calendar Year: January 1, 2012 - December 31, 2012

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

Name: Richard Rosen; Office: Senate; Mailing Address: PO Box 877; District Number: 31; City/Town, State, Zip: Bucksport 04416-0877; E-mail Address: rrosen113@aol.com

FILING DEADLINES

CURRENT LEGISLATORS: Please file this statement with the Clerk of the House or Secretary of the Senate by 5:00 p.m. on February 15, 2013.

LEGISLATORS LEAVING OFFICE: Please file this statement with the Maine Ethics Commission by 5:00 p.m. on January 22, 2013. Please mail it to Maine Ethics Commission, 135 State House Station, Augusta, Maine, 04333-0135 or hand-deliver to the Commission's office at 45 Memorial Circle, Augusta, Maine.

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.
Campaign contributions and Maine Clean Election Act payments duly recorded as required by law need not be reported in this statement.
State law (1 M.R.S.A. § 1018) requires Legislators to file an updated statement with the Commission within 30 days of any change to the information in this report.
The completed statements are posted on the Commission's website and copies are made available to the public upon request.
Please keep a copy of this statement for your records.

Please call the Commission staff 207-287-4179 if you have any questions.

Thank you for your cooperation.

Part 1. Income from Employment by Another			
<input type="checkbox"/> 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
State of Maine	State House Augusta	elected office	Senator

Part 2. Income from Self-Employment		
<input type="checkbox"/> 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
Rosens Retail	72 Main St Bucksport	Retail
Name of Client or Customer, if required (see instructions)	Address	Principal Type of Economic or Business Activity of Client

Part 3. Revenue of Business Entities		
<input type="checkbox"/> None. Check this box if you and your immediate family did not have a majority share in a business.		
Name of Business	Address	Principal Type of Economic or Business Activity
same as Part 2		

Part 4. Income from the Practice of Law				
<input checked="" type="checkbox"/> 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

None. Check this box if you did not have income from any other source.

Name of Source	Address	Type of Income
IBM	Armonk, NY	Investment

Part 6-A. Compensation Income of Immediate Family Members

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
Kimberley Rosen Representative	State House Augusta	elected OFFICE
Rachael Rosen Beautician	Sheer Delight Newport News VA	Beautician
Danna Rosen Sales	Sherwin Williams Ellsworth	Sales

Part 6-B. Other Sources of Income of Immediate Family Members

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

Part 7. Loans		
<input checked="" type="checkbox"/> 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	
<input type="checkbox"/> None. Check this box if you did not received any gifts.	
Source of Gift	Source of Gift
1. NCSL	2.
3. ALEC	4.

Part 9. Honoraria	
<input checked="" type="checkbox"/> None. Check this box if you did not received honoraria.	
Source of Honoraria	Source of Honoraria
1.	2.
3.	4.

Part 10. Positions in Political Action or Ballot Question Committees	
<input type="checkbox"/> None. Check this box if you were not a treasurer, officer, decision-maker, or fundraiser of a PAC or BQC.	
Name of Committee	Title
1. Maine PAC	decision-maker
2.	

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 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 Legislator	Compensated Yes/No
Northeast Historic Film Bucksport	Board President	Richard Rosen	<input checked="" type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent	no
Retail Assoc of Maine Augusta	Board Member		<input checked="" type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent	no
Bucksport Regional Health Center Bucksport	Board Member		<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

1-5-2013
Date

Richard Rosen

Update information: 2012 Statement of Sources of Income

All information on my 2012 remains the same.

Please add this additional information:

Part 5: Income From Any Other Source

Merrill Lynch	Portland, Me	Mandatory distribution of inherited IRA
Estate Philip Rosen	Bucksport, Me	Executive Fees
TD Ameritrade	Omaha, NB	managed account
RBC Dain Rauscher	Portland, Me	managed account
Exxon Mobile Corp	Irving, TX	investment
ATT	Dallas, TX	investment
Verizon	New York, NY	investment
Camden National Corp	Camden, Me	investment
Wisconsin Energy Corp	Milwaukee, WI	investment

