



Commonwealth of Massachusetts  
**DEPARTMENT OF HOUSING &  
COMMUNITY DEVELOPMENT**

Deval L. Patrick, Governor ♦ Aaron Gornstein, Undersecretary

RECEIVED  
STATE ETHICS COMMISSION  
JAN 10 2014  
AM 10:40

**TRANSMITTAL MEMORANDUM**

**To:** State Ethics Commission

**From:** Aaron Gornstein, Undersecretary

**Date:** December 5, 2013

**Re:** §6 Disclosure of Financial Interest and Determination by Appointing Authority

Enclosed are two §6 Disclosure of Financial Interest and Determination by Appointing Authority forms filed on behalf of Deborah J. Goddard. I determined, with respect to each matter that may raise a conflict of interest, that the financial interest is not so substantial as to be deemed likely to affect the integrity of the services that the Commonwealth may expect from the employee.

		RECEIVED STATE ETHICS COMMISSION 2013 DEC 10 AM 10:40
Employee signature:	<i>Deborah J. Goddard</i>	
Date:	10/11/13	

### DETERMINATION BY APPOINTING OFFICIAL

	<b>APPOINTING AUTHORITY INFORMATION</b>
Name of Appointing Authority:	Aaron Gornstein
Title or Position:	Undersecretary
Agency/Department:	Dept. of Housing and Community Development
Agency Address:	100 Cambridge Street, Ste. 300 Boston, MA 02114
Office Phone:	617-573-1101
Office E-mail	Aaron.gornstein@state.ma.us
	<b>DETERMINATION</b>
Determination by appointing authority:  Write an X by your selection.	<p>As appointing official, as required by G.L. c. 268A, § 6, I have reviewed the particular matter and the financial interest identified above by a state employee.</p> <p><input type="checkbox"/> I am assigning the particular matter to another employee, or</p> <p><input type="checkbox"/> I am assuming responsibility for the particular matter, or</p> <p><input checked="" type="checkbox"/> I have determined that the financial interest is not so substantial as to be deemed likely to affect the integrity of the services which the Commonwealth may expect from the employee.</p>
Appointing Authority signature:	<i>Aaron Gornstein</i>
Date:	October 11, 2013
Comment:	

Attach additional pages if necessary.

File copy with:

State Ethics Commission, One Ashburton Place, Room 619, Boston, MA 02108

**DISCLOSURE BY NON-ELECTED STATE EMPLOYEE OF FINANCIAL INTEREST  
AND DETERMINATION BY APPOINTING AUTHORITY**

**AS REQUIRED BY G. L. c. 268A, § 6**

**RECEIVED  
STATE ETHICS COMMISSION**

2013 DEC 10 AM 10:41

<b>STATE EMPLOYEE INFORMATION</b>	
Name:	Deborah J. Goddard
Title or Position:	Chief Counsel
State Agency:	Dept. of Housing and Community Development
Agency Address:	100 Cambridge Street, Ste 300 Boston, MA 02114
Office Phone:	617-573-1505
Office E-mail:	Deborah.goddard@state.ma.us
	My duties require me to participate in a particular matter, and I may not participate because of a financial interest that I am disclosing here. I request a determination from my appointing authority about how I should proceed.
<b>PARTICULAR MATTER</b>	
Particular matter  E.g., a judicial or other proceeding, application, submission, request for a ruling or other determination, contract, claim, controversy, charge, accusation, arrest, decision, determination, or finding.	As you know, on behalf of DHCD I have been involved in the discussions related to the issue of the jurisdiction of housing authorities organized under ch.121B, which relates to the status of the award of the HUD PBCA contract to other than MassHousing. I also review and make recommendations to you on the terms of the SHARP refinancing initiative, a program of importance to both DHCD and MassHousing.
Your required participation in the particular matter:  E.g., approval, disapproval, decision, recommendation, rendering advice, investigation, other.	With respect to the ch.121B matter, engage with the AGO regarding its consideration of an opinion confirming the conclusions of a legal opinion that I authored in June 2012; the conclusions of my earlier legal opinion are supported by DHCD, regardless of the matter with MassHousing.  With respect to the SHARP matters, review transaction terms and documents to ensure that they meet with the parameters finalized in December of 2011 and forward a recommendation to you regarding the execution of such documents.
<b>FINANCIAL INTEREST IN THE PARTICULAR MATTER</b>	
Write an X by all that apply.	<input type="checkbox"/> I have a financial interest in the matter. <input type="checkbox"/> My immediate family member has a financial interest in the matter. <input type="checkbox"/> My business partner has a financial interest in the matter. <input type="checkbox"/> I am an officer, director, trustee, partner or employee of a business organization, and the business organization has a financial interest in the matter. <input checked="" type="checkbox"/> I am negotiating or have made an arrangement concerning future employment with a person or organization, and the person or organization has a financial interest in the matter.
Financial interest in the matter	Please explain the financial interest and include a dollar amount if you know it.  The ch. 121B matter relates to a possible contract between HUD and MassHousing with a value to MassHousing of approximately \$5 million. MassHousing has an indirect financial interest in closing the SHARP transactions related to clearing its accounts of poor debt.

Employee signature:	<i>Deborah J. Goddard</i>	<b>RECEIVED</b> <b>STATE ETHICS COMMISSION</b> <b>2013 DEC 10 AM 10:41</b>
Date:	December 2, 2013	

### DETERMINATION BY APPOINTING OFFICIAL

	<b>APPOINTING AUTHORITY INFORMATION</b>
Name of Appointing Authority:	Aaron Gornstein
Title or Position:	Undersecretary
Agency/Department:	Dept. of Housing and Community Development
Agency Address:	100 Cambridge Street, Ste. 300 Boston, MA 02114
Office Phone:	617-573-1101
Office E-mail	Aaron.gornstein@state.ma.us
	<b>DETERMINATION</b>
Determination by appointing authority:  <b>Write an X by your selection.</b>	As appointing official, as required by G.L. c. 268A, § 6, I have reviewed the particular matter and the financial interest identified above by a state employee.  <input type="checkbox"/> I am assigning the particular matter to another employee, or <input type="checkbox"/> I am assuming responsibility for the particular matter, or <input checked="" type="checkbox"/> I have determined that the financial interest is not so substantial as to be deemed likely to affect the integrity of the services which the Commonwealth may expect from the employee.
Appointing Authority signature:	<i>Aaron Gornstein</i>
Date:	December 2, 2013
Comment:	

Attach additional pages if necessary.

File copy with:

**State Ethics Commission, One Ashburton Place, Room 619, Boston, MA 02108**



**DISCLOSURE BY NON-ELECTED STATE EMPLOYEE OF FINANCIAL INTEREST  
AND DETERMINATION BY APPOINTING AUTHORITY  
AS REQUIRED BY G. L. c. 268A, § 6**

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<b>STATE EMPLOYEE INFORMATION</b>	
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Office Phone:	617-573-1505
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<p>My duties require me to participate in a particular matter, and I may not participate because of a financial interest that I am disclosing here. I request a determination from my appointing authority about how I should proceed.</p>	
<b>PARTICULAR MATTER</b>	
Particular matter  <small>E.g., a judicial or other proceeding, application, submission, request for a ruling or other determination, contract, claim, controversy, charge, accusation, arrest, decision, determination, or finding.</small>	In connection with the FY15 budget process, I am looking into the issues related to re-allocating funds from the lead paint program administered by MassHousing into other housing programs.
Your required participation in the particular matter:  <small>E.g., approval, disapproval, decision, recommendation, rendering advice, investigation, other.</small>	Conversations with MassHousing to confirm original source of the program funds and drafting of necessary legislation.
<b>FINANCIAL INTEREST IN THE PARTICULAR MATTER</b>	
Write an X by all that apply.	<input type="checkbox"/> I have a financial interest in the matter.  <input type="checkbox"/> My immediate family member has a financial interest in the matter.  <input type="checkbox"/> My business partner has a financial interest in the matter.  <input type="checkbox"/> I am an officer, director, trustee, partner or employee of a business organization, and the business organization has a financial interest in the matter.  <input checked="" type="checkbox"/> I am negotiating or have made an arrangement concerning future employment with a person or organization, and the person or organization has a financial interest in the matter.
Financial interest in the matter	Please explain the financial interest and include a dollar amount if you know it.  Current information is that the program has assets worth approximately \$8 million, some of which will be removed from the MassHousing program for investment in other housing programs.