



KENTUCKY LEGISLATIVE ETHICS COMMISSION

STATEMENT OF FINANCIAL DISCLOSURE (KRS 6.787)

To be filed by: All members of the General Assembly, all candidates and nominees for election to the General Assembly, and major management personnel in the legislative branch of state government.

Check here and attach additional sheets if necessary. 1 Number of sheets attached.

Please include the following information for the preceding calendar year:

Name Carolyn Dupont
Business address 521 Lancaster Ave, Richmond, KY 40475
Business telephone 859.622.1374
Home address 302 Terra Bianca Dr, Nicholasville, KY 40356
Title of public position, or office sought State Representative
Other occupations of filer Associate Professor of History
Occupations of spouse Professor of Music

NOTE: The following sections do not require disclosure of specific dollar amounts.

1. Positions held by filer in any business, partnership, corporation for profit, or corporation not for profit from which the filer receives compensation, and the name of the business, partnership, or corporation none

2. Positions held by filer's spouse in any business, partnership, corporation for profit, or corporation not for profit from which the filer's spouse receives compensation, and the name of the business, partnership, or corporation none

3. Names and addresses of all businesses, investments, or securities in which the filer, filer's spouse, or filer's minor children had at any time during the reporting year an interest of \$10,000 at fair market value, or 5% ownership interest or more

see attached

4. Sources and form of gross income of the filer (list sources by name) _____

Eastern Kentucky University - salary
music performances
book royalties

5. Sources and form of gross income of the filer's spouse (list sources by name) _____

Transylvania University - salary
Independent piano teaching and performing
Beneficiary IRA

6. Positions of a fiduciary nature held by the filer in a business none

7. A designation as commercial, residential, or rural, and the location of all real property other than the filer's primary residence, in which there is an interest of \$10,000 or more held by the filer, filer's spouse, or filer's minor children none

8. Sources of gifts of money or property with a retail value of more than \$200 to the filer or the filer's immediate family, except those from a member of the filer's family. (Family means spouse, parent, sibling, child, mother-in-law, father-in-law, son-in-law, daughter-in-law, grandparent, or grandchild, or dependent member of the filer's household. Immediate family means unemancipated child residing in an individual's household, spouse, or a person claimed by the filer as a dependent for tax purposes.) none

9. The name of any creditor owed more than \$10,000 except debts arising from the purchase of consumer goods. (Goods used or bought for use primarily for personal, family, or household purposes)

~~NONE~~
Wells Fargo Home Mortgage

10. The name of any legislative agent who is:

- (a) A member of the filer's immediate family;
- (b) A partner of the filer, or a partner of a member of the filer's immediate family;
- (c) An officer or director of the filer's employer;
- (d) An employer of the filer or an employer of a member of the filer's immediate family;
- (e) A business associate of the filer or a business associate of a member of the filer's immediate family

NONE

11. The names of any of the filer's clients who are legislative agents or employers

NONE

12. If you have held a professional license during the filing period, has a properly licensed partner of yours engaged in the practice of cases or other matters which you are prohibited from practicing under KRS 6.744? Yes No Not Applicable

13. If yes, list the names of the clients represented and list the agencies before which the partner made an appearance. The filer need not identify which client was represented before a specific agency.

Clients

n/a

State Agency

n/a

NOTICES

1. Upon receipt by the Commission, a statement of financial disclosure shall be a public record available for copying.
2. Any person who fails to file a statement of financial disclosure or who fails to remedy a deficiency identified by the Commission in a timely manner may be fined an amount not to exceed \$100 per day up to a maximum total fine of \$1000.
3. Any person who files a statement of financial interests which they know to contain false information, or to omit required information, shall be guilty of a class A misdemeanor.

Jan. 30, 2020
Date

Carolyn Dupont
Filer

Send completed statements to: The Kentucky Legislative Ethics Commission
22 Mill Creek Park
Frankfort, Kentucky 40601
FAX (502) 573-2929

If you have questions please call us at (502) 573-2863.

#3 Names and addresses of all businesses, investments, or securities in which the filer, filer's spouse, or filer's minor children had at any time during the reporting year an interest of \$10,00 at fair market value, or 5% ownership interest or more.

TIAA-CREF, 730 Third Avenue, New York, NY 10017-3206 is the custodian of all of the following funds:

TIAA-CREF GROWTH AND INCOME FUND RETIREMENT CLASS

TIAA-CREF Large-Cap Value Retire

TIAA-CREF Quant Small-Cap Equity Ret

Vanguard Mid-Cap Index Admiral

Wells Fargo Special Mid-Cap Value Inst

TIAA Real Estate

American Funds Europacific Growth R4

AMERICAN FUNDS NEW WORLD FUND CLASS R-5

CREF Global Equities R2

Pimco Total Return Admin

TIAA-CREF High-Yield R

Schwab Small Cap Index

BlackRock Floating Rate Inc Trust

Lord Abbett Floating Rate A

TD Ameritrade, P.O. Box 2577, is the custodian of the following funds:

BlackRock Floating Rate Inc Trust

Lord Abbett Floating Rate A
