

The State Government Ethics Act

Overview for MPO & RPO

TAC Members

March, 2017

*Overview of MPOs, RPOs &
The State Government Ethics Act:*

Background

What is the State Government Ethics Act?

- * Chapter 138A of the NC General Statutes.
- * Establishes a code of conduct for certain elected and appointed public officials and employees.
- * Requires financial disclosures from most, including MPO and RPO TACS.
- * Requires ethics education of some, but NOT MPO or RPO TACS.
- * Prohibits certain conduct.
- * Interpreted & enforced by the State Ethics Commission.
 - * 8 members appointed by the Governor & General Assembly.
 - * Bi-partisan: 4 Republicans and 4 Democrats.

How does the Ethics Act Apply to MPOs & RPOs

- * **TAC members of the MPO and RPOs and their alternates or designees** are subject to certain ethics standards and certain provisions of the Ethics Act (S.B. 411; S.L. 2013-156) .
- * MPO TAC members are subject to the Ethics Act through G.S. 136-200.2.
- * RPO TAC members are subject to the Ethics Act through G.S. 136-211.
- * G.S. 136 is one of the statutes that addresses local government employees and their conduct. **The UNC School of Government interprets G.S. 136.**
- * The Ethics Commission does not interpret G.S. 136.

Enhanced Civil Fines and Criminal Penalties

- * In 2014, the General Assembly enacted legislation (Section 12 of S.L. 2014-58(H1025)) that amended G.S. 138A-25 by
 - * establishing civil fines and criminal penalties for TAC members of MPOs and RPOs and their alternates or designees who fail to timely file **both** a complete Statement of Economic Interest (SEI) **and** a complete Real Estate Disclosure Form (RED) with the State Ethics Commission.
- * This law went into effect on October 1, 2014 and applies to all SEI and RED filings required on or after October 1, 2014.

Enhanced SEI Civil Fines and Criminal Penalties For Late Filing, Incomplete or Non-Filing

Civil

- * **\$250 civil penalty shall be imposed** for late, incomplete, or non-filing of the SEI (except in extenuating circumstances as determined by the Ethics Commission).

Criminal

- * **Class 1 misdemeanor** for failure to file a complete SEI within 60 days of notice of failure and the **Commission shall report** such failure **to the Director of the State Bureau of Investigation for investigation and referral to the District Attorney for possible prosecution** (unless Commission determines extenuating circumstances exist).
- * **Criminal penalties** for knowingly concealing information or providing false information on the SEI.

Enhanced RED Civil Fines and Criminal Penalties For Late Filing, Incomplete, or Non-Filing

Civil

- * **\$250 civil penalty shall be imposed** for late, incomplete, or non-filing of the RED (except in extenuating circumstances as determined by the Ethics Commission).

Criminal

- * **Class 1 misdemeanor** for failure to file a complete RED within 60 days of notice of failure and the **Commission shall report** such failure to the Director of the State Bureau of Investigation **for investigation and referral** to the District Attorney **for possible prosecution** (unless Commission determines extenuating circumstances exist).
- * **Criminal penalties** for knowingly concealing information or providing false information on the RED.

What MPO and RPO Members Are Subject to the SEI and RED Filing Requirements of the Ethics Act?

- * Newly Appointed and Prospective TAC members of each MPO and RPO
- * Current TAC members of each MPO and RPO
- * TAC Members' Alternates or Designees

TCC Members are NOT subject to the SEI and RED filing requirements of the Ethics Act.

*Overview of MPOs, RPOs &
The State Government Ethics Act:*

Duties & Responsibilities Pursuant to the Ethics Act

Initial Appointment Filing and Evaluation Requirements

WHEN AND WHAT

Initial Filing –An individual appointed to an MPO or RPO TAC may not assume his or her position on the TAC (and thus may not participate in TAC meetings as a member, including voting on matters before the TAC) **until**:

- (1) **They have filed** a complete Statement of Economic Interest (SEI) with the State Ethics Commission (Commission); **and**
- (2) **They have filed** a complete Real Estate Disclosure Form (RED) with the Commission ****the 2017 RED is attached to the 2017 SEI****; **and**
- (3) **They have received** the Commission's written evaluation of their filed SEI.

Statement of Economic Interest (SEI)

WHAT

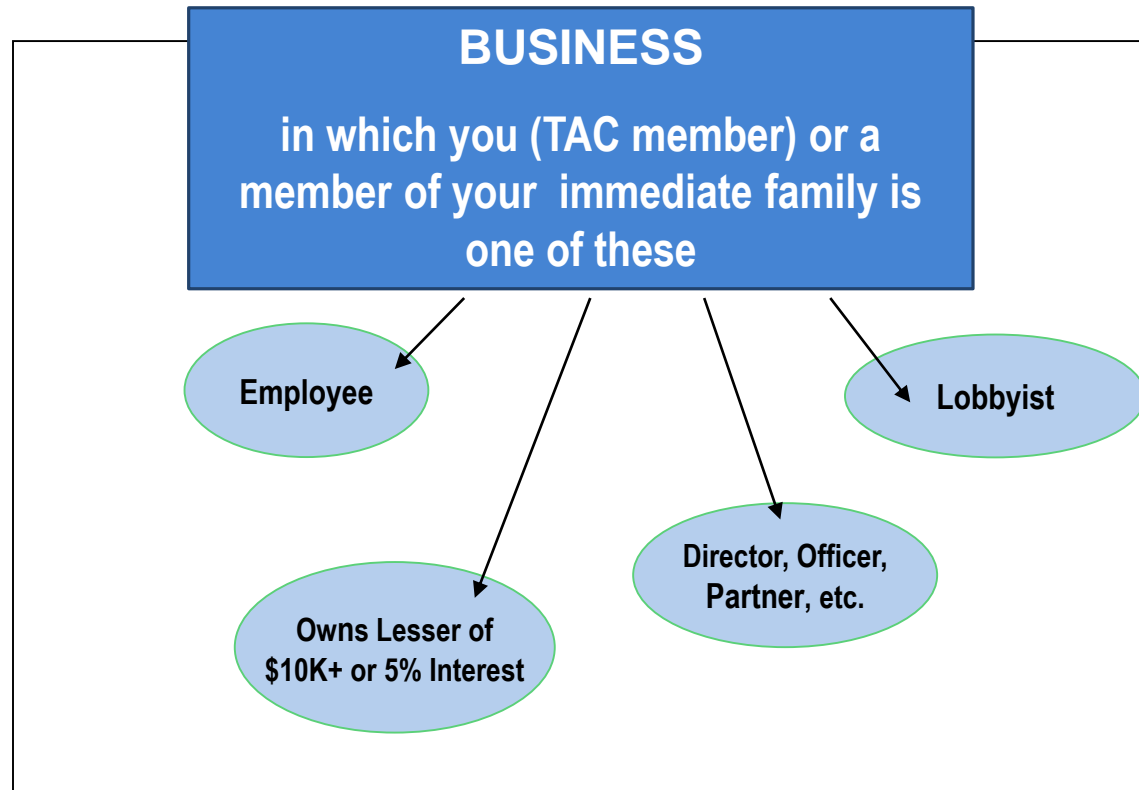
- * A written disclosure of certain financial, professional & personal information about you and your *immediate family*.
- * **Immediate family includes** you (TAC member), your spouse (unless legally separated), unemancipated children living in your household **and** members of your **extended family** who live with you.
- * **Extended family includes** you (TAC member), your spouse, lineal descendants (children, grandchildren, great-grandchildren, etc.), lineal ascendants (parents, grandparents, etc.), siblings, your spouse's linear descendants and linear ascendants, your spouse's siblings, and the spouse of any of these individuals.

Real Estate Disclosure Form (RED)

WHAT

- * A list of all real estate that is owned wholly **or** in part by
 - * You (the TAC member),
 - * a member of your **extended** family, **or**
 - * a **business with which you are associated; AND**
- * that is located **within the jurisdiction of the MPO or RPO on which you serve.**

WHAT QUALIFIES AS A BUSINESS WITH WHICH ASSOCIATED?



GS 136-200.2(i); GS 138A-3(3).

SEI and RED Filing Times and Ways

WHEN

- * Initially Appointed and Prior to Assuming TAC Position
- * Annually - Filing Period Opens: January 1st each year
- * **Deadline: April 17th this year (the 15th falls on a Saturday)**
- * **Must file each year no later than April 15th**
- * After the SEI and RED are properly completed & filed, no duty to amend or update a complete SEI and RED during the year.

How

- * **Two Ways to File in 2017**

Electronically via the Commission's website, obtain NCID account, complete form and submit it electronically to the Commission; or

Manually – print the form out, complete it, sign it, and file the **original** with the Commission.

Copies and forms submitted via email or fax CANNOT be accepted



2017 SEI CONTACT INFORMATION PAGE

NORTH CAROLINA STATE ETHICS COMMISSION
2017 STATEMENT OF ECONOMIC INTEREST

CONTACT INFORMATION

This contact information page will *not* be available on the Commission's website, but it is a public document.

919-814-3600 www.ethicscommission.nc.gov

COMPLETE THIS FORM AND SEND SIGNED ORIGINAL TO:
STATE ETHICS COMMISSION

BY MAIL:
1324 MAIL SERVICE CENTER
RALEIGH, NC 27699-1324

HAND DELIVERY:
CAPEHART CROCKER HOUSE
424 N. BLOUNT ST.
RALEIGH, NC 27601-1010

FOR ETHICS COMMISSION USE ONLY
Date Received:

____ Checked for Completion

THIS ENTIRE FORM MUST BE COMPLETED TO FULFILL YOUR SEI FILING OBLIGATION.

FILER'S NAME (FIRST, MIDDLE, LAST)				
Prefix	First Name	Middle Name	Last Name	Suffix
MAILING ADDRESS (REQUIRED)				
Address		City	State	Zip
DAYTIME PHONE NUMBER (REQUIRED)		ALTERNATE PHONE NUMBER		
E-MAIL ADDRESS (REQUIRED)				
HOME ADDRESS:				
PROVIDE YOUR HOME ADDRESS <u>ONLY</u> IF YOU ARE HOLDING OR SEEKING AN ELECTED OFFICE WITH A RESIDENCY REQUIREMENT. This requirement does not apply to Judicial Officers.				
Judicial officer means Justice or Judge of the General Court of Justice, District Attorney, or Clerk of Court, or any individual elected or appointed to any of these positions prior to taking office.				
<input type="checkbox"/> Same as Mailing Address				
Address		City	State	Zip

This contact information page is a public record.

SEIs and All Attachments Are–

- Public records
- 2017 SEIs – are accessible online

Contact Information Page

- First Page of the 2017 SEI
- Contains required personal contact information such as
 - Mailing address
 - Phone number
 - Email address
- Will not be accessible on Commission's website
- Info is a public record

ACCESSING & COMPLETING THE SEI and the RED FORM ELECTRONICALLY

This Presentation Addresses How To:

1. Access the Web Form
2. Complete the Web Form
 - a. Use the Web Form
 - b. Multi-Response Questions & Attachments
3. Save, Log Out, & Log Back In
 - a. Save & log out
 - b. Timing out
 - c. Log back in
4. Review Draft Responses
5. Upload Attachments: Electronic Filing Only
6. Check for Completeness & Correcting “Errors”
7. File Electronically

Obtaining an NCID Account

Must Obtain an NCID Account to
Electronically File Your SEI and RED

* Go to: <https://ncid.nc.gov> & follow the instructions



North Carolina Identity Management (NCID)

NCID is the standard identity management and access service provided to state, local, business, and individual users. NCID provides a high degree of security and access control to real-time resources.

User ID:
[forgot your User ID?](#)

Password:
[forgot your Password?](#)

[Need Help?](#)

Click "Register" &
follow the instructions

To register for a new NCID account click here: [Register!](#)

This system is the property of the State of North Carolina and is for authorized use only. Unauthorized access is a violation of federal and state law. All software, data transactions, and electronic communications are subject to monitoring.

North Carolina
www.nc.gov

[Privacy and Other Policies](#)

[Contact Us](#)

ACCESSING THE WEB FORM

Go to the Commission's website at www.ethicscommission.nc.gov

The screenshot shows the homepage of the North Carolina State Ethics Commission. The header features the logo and the text "NORTH CAROLINA STATE ETHICS COMMISSION" on the left and the state seal on the right. A navigation bar contains links for Home, Advisory Opinions, Complaints, Education, Laws & Rules, News, Statements of Economic Interest, About Us, and Coverage. The "Statements of Economic Interest" link is highlighted, and a red dropdown menu is open, listing: Overview, Candidate Filers, MPO/RPO Filers, Post-Office Filers, Regular Filers, Most Common Errors, FAQ, and Search Filed SEIs. The "MPO/RPO Filers" option is highlighted in blue. The main content area includes a "Highlights" section with links to "Comments Requested" and "Commission's Meeting Schedule", and a large banner for the "STATE ETHICS COMMISSION of North Carolina". The footer contains a "Contact us" link, a welcome message, and a "I am a..." dropdown menu with "Covered Person" as an option.

- Choose the “Statements of Economic Interest” drop down menu.
- Click on “MPO/RPO Filers”

CHOOSE ELECTRONIC FILING

Electronic Filing

Type your responses and file your SEI electronically. We HIGHLY RECOMMEND ELECTRONIC FILING. It's fast, easy, ensures immediate confirmation of your filing, and saves your information for future filings.

[Create NCID Account](#)

[Login](#)

[2017 Long Form](#) or
[2017 No Change Form](#)

Manual Filing

Print PDF document and handwrite your responses and mail or hand deliver your SEI.

You must complete the form or you will be penalized. Do not leave a

[2017 Long Form](#)
[2017 No Change Form](#)

[Real Estate Disclosure Form](#)

- Choose **Electronic Filing** &
- Click **“Login”**


ENTER YOUR NCID

Manual

Print PDF of your response deliver you

2012 SEI

2012 SEI



North Carolina Identity Management (NCID)

NCID is the standard identity management and access service provided to state, local, business, and individual users. NCID provides a high degree of security and access control to real-time resources.

User ID: [Forgot your User ID?](#)

Password: [Forgot Your Password?](#)

Please enter your Login User ID and Password. If you are a new user to the State of North Carolina, please select [First Time NCID User](#)

This system is the property of the State of North Carolina and is for authorized use only. Unauthorized access is a violation of federal and state law. All software, data transactions, and electronic communications are subject to monitoring

Electron

Type your SEI electro

- Enter your NCID User ID & Password
- If First Time NCID User - Select Such
- Click "Submit"

You must have an NCID to access the SEI web form.
For questions about NCID, contact NC DIT at 919-754-6000 or toll free at 800-722-3946.
NCID is not administered by the State Ethics Commission.

CHOOSE THE CORRECT FORM

THE LONG FORM OR THE NO CHANGE FORM

Under Electronic Filing

- First time filing an SEI
 - choose the SEI/RED “2017 Long Form”
- Did not file an SEI in 2016
 - choose the SEI/RED “2017 Long Form”
- Have ANY Changes to the SEI information since filing your 2016 SEI
 - choose the SEI/RED 2017 Long Form”
- Filed an SEI Long Form or an SEI Short Form in 2016 and there are no changes to your SEI information since you filed your 2016 SEI Form
 - Choose the SEI/RED “2017 No Change Form”

Electronic Filing

Type your responses and file your SEI electronically. We HIGHLY RECOMMEND ELECTRONIC FILING. It's fast, easy, ensures immediate confirmation of your filing, and saves your information for future filings.

[Create NCID Account](#)

[Login](#)

[2017 Long Form](#) or

[2017 No Change Form](#)

Manual Filing

Print PDF document and handwrite your responses and mail or hand deliver to the SEI.

You Must use the Long Form or you will be penalized!! Do not leave any blanks!!

[2017 Long Form](#) or

[2017 SEI No Change Form](#)

[Real Estate Disclosure Form](#)

COMPLETING THE WEB FORM

NORTH CAROLINA STATE
ETHICS
COMMISSION

[Save and Logout](#)

Contact Information

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- [Other Disclosures \(9-22\)](#)
- [Review SEI](#)
- [Affirmation](#)

Mailing Address

Address:

City/State/Zip: NC

[Back](#) [Next](#)

Type in the required information for each question.

Click on "Back" to Return to the previous question.

Click on "Next" to Advance to the next question.

MULTI-RESPONSE QUESTIONS

NORTH CAROLINA STATE
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COMMISSION



[Save and Logout](#)

\$10,000 Plus Disclosures

If you, your spouse or members of your immediate family have assets or liabilities with a market value of at least \$10,000 in the following categories, please provide the requested information as of December 31st of the preceeding year unless another time period is specified in the question.

- Do not list the value of those assets or liabilities.
- Do not list assets or liabilities held in a blind trust established by or for the benefit of you or an immediate family member.

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- [Review SEI Affirmation](#)

1. Do you, your spouse or members of your immediate family have an ownership interest in North Carolina real estate with a market value of \$10,000 or more?

Yes No

See Attached

	Owner of Real Estate	% Ownership Interest	City	County
Edit Delete	Joan Filer	100	Raleigh	Wake

Owner of Real Estate:

% Ownership Interest:

City:

County:


You can also edit or delete information you have entered.

- After entering the information, click “Add” & the information will appear on the screen.
- Repeat as needed for additional responses

[Next](#)

USING ATTACHMENTS

NORTH CAROLINA STATE
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COMMISSION



[Save and Logout](#)

\$10,000 Plus Disclosures

If you, your spouse or members of your immediate family have assets or liabilities with a market value of at least \$10,000 in the following categories, please provide the requested information as of December 31st of the preceeding year unless another time period is specified in the question.

- Do not list the value of those assets or liabilities.
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1. Do you, your spouse or members of your immediate family have an ownership interest in North Carolina real estate with a market value of \$10,000 or more?

Yes No

See Attached

Question 1 of 22

Instead of typing in your responses, you may include attachments by checking the “See Attached” box. (Attachments must be in pdf format.)

If you check this box make sure you remember to attach your attachments to your SEI.

SAVE, LOGOUT & LOG BACK IN

NORTH CAROLINA STATE
ETHICS
COMMISSION



[Save and Logout](#)

You can save your information & logout at any time.

\$10,000 Plus Disclosures

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6(a). Do you, your spouse, or members of your immediate family have financial interests valued at \$10,000 or more in a non-publicly owned company or business entity (including interests in sole proprietorships, partnerships, limited partnerships, joint ventures, limited liability companies, limited liability partnerships, and closely held corporations)?

Yes No

6(b). For each of those non-publicly owned companies or business entities identified in question 6 (a) (the "primary company"), please list the names of *any other companies* in which the primary company owns securities or equity interests valued at over \$10,000, *if known*.

None or Not Known

6(c). If you know that any company or business entity listed in 6(a) or (b) above has any material business dealings or business contracts *with the State*, or is *regulated by the State*, provide a brief description of that business activity.

None or Not Known

[Back](#)

Question 6 of 22

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TIMING OUT



After 30 minutes of inactivity, your session will time out.

Electronic Filing

Type your responses and file your SEI electronically. We HIGHLY RECOMMEND ELECTRONIC FILING. It's fast, easy, ensures immediate confirmation of your filing, and saves your information for future filings.

[Create NCID Account](#)

[Login](#)

[2017 Long Form](#) or

[2017 No Change Form](#)

Manual Filing

Print PDF document and handwrite your responses and mail or hand deliver your SEI.

You **MUST** complete the **ENTIRE** form or you will be asked to re-file!! Do not leave answers blank!

[2017 SEI Long Form](#) or

[2017 SEI No Change Form](#)

[Real Estate Disclosure Form](#)

Click "Login" & use your NCID to return to the form.

LOG BACK IN

Electronic Filing

Type your responses and file your SEI electronically. We HIGHLY RECOMMEND ELECTRONIC FILING. It's fast, easy, ensures immediate confirmation of your filing, and saves your information for future filings.

[Create NCID Account](#)

[Login](#)

[2017 Long Form](#) or

[2017 No Change Form](#)

Manual Filing

Print PDF document and handwrite your responses and mail or hand deliver your SEI.

You must complete the form or you will be penalized. Do not leave any blank spaces.

[2017 Long Form](#)

[2017 SEI No Change Form](#)

[Real Estate Disclosure Form](#)

To log back in & access your form, click Login & use your NCID.

Choose your form "In Progress."



Do NOT click "Remove Form in Progress" UNLESS you want to delete all of your information & start a new form.

REVIEW DRAFT RESPONSES

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Review

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[Add Attachments](#)

[Review SEI](#)

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Click the link below to review a **draft** of your SEI.

[Review SEI Responses](#)

DO NOT submit this draft copy to the State Ethics Commission.

You must click the "Next" button at the bottom of the page to affirm and complete your SEI.

Click here to
open your draft
responses in a
pdf document.

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UPLOADING ATTACHMENTS – ELECTRONIC FILING



Attachments

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If you answered "See Attached" on any questions, you may upload your attachments here.

- To upload, click "Select File," choose the file you want to upload, and click "Upload File".
 - You may upload multiple files.
 - Please include the SEI question number to which you are responding on the attachment.
 - Only PDF files can be uploaded.
 - Maximum file size is 10MB.
- Please disclose only information required by each question on the SEI form.
 - Please redact from any attachment(s) all identifying information, including but not limited to Social Security numbers, account numbers, and any other numbers or information that can be used to access a person's financial resources.

Attachments:

C:\fakepath\Test SEI Upla

The file is ready to be uploaded. Click the Upload File button below.

Click "Select File" & choose the attachment you want to upload.

Attachment must be a pdf file.

Then click "Upload File".

UPLOADING ATTACHMENTS – ELECTRONIC FILING

[Save and Logout](#)

Attachments

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[Add Attachments](#)

[Review SEI](#)

[Affirmation](#)

If you answered "See Attached" on any questions, you may upload your attachments here.

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- Only PDF files can be uploaded.
- Maximum file size is 10MB.
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Attachments:

	File Name
View Delete	Test SEI Upload pdf.pdf

After uploading an attachment, the file name will appear on the screen.

You may also view or delete attachments.

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Hint: If you select the wrong attachment, upload the file then delete it.

CHECKING FOR SEI COMPLETENESS: ELECTRONIC FILING

COMMISSION

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Affirmation

I affirm that the information provided in this Statement of Economic Interest and any attachments hereto are true, complete, and accurate to the best of my knowledge and belief.

I also certify that I have not transferred, and will not transfer, any asset, interest, or property for the purpose of concealing it from disclosure while retaining an equitable interest.

I understand that my Statement of Economic Interest and any attachments or supplements thereto are public record.

I acknowledge that I have read and understand N.C.G.S. 138A-26 regarding concealing or failing to disclose material information and N.C.G.S. 138A-27 regarding providing false information:

138A-26. Concealing or failing to disclose material information.
A filing person who knowingly conceals or knowingly fails to disclose information that is required to be disclosed on a statement of economic interest under this Article shall be guilty of a Class 1 misdemeanor and shall be subject to disciplinary action under G.S. 138A-45. (2006-201, s. 1.)

138A-27. Penalty for false information
A filing person who provides false information on a statement of economic interest as required under this Article knowing that the information is false is guilty of a Class H felony and shall be subject to disciplinary action under G.S. 138A-45. (2006-201, s. 1.)

I Agree . It is my intention that this check box constitutes my electronic signature. By checking this box I certify that the information provided in this Statement of Economic Interest and any attachments hereto are true, complete, and accurate to the best of my knowledge and belief.

Please carefully read the Affirmation information & then check the "I Agree" box.

Then click here.

File Electronically and Print

CORRECTING “ERRORS”

[Save and Logout](#)

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Affirmation

I affirm that the information provided in this Statement of Economic Interest and any attachments hereto are true, complete, and accurate to the best of my knowledge and belief.

I also certify that I have not transferred, and will not transfer, any asset, interest, or property for the purpose of concealing it from disclosure while retaining an equitable interest.

I understand that my Statement of Economic Interest and any attachments or supplements thereto are public record.

I acknowledge that I have read and understand N.C.G.S. 138A-26 regarding concealing or failing to disclose material information and N.C.G.S. 138A-27 regarding providing false information:

138A-26. Concealing or failing to disclose material information.
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I Agree

[Print and File Manually](#)

The following errors must be corrected before continuing:

- Additional data is required for the following questions: 7, 8, 10

[Go to first error](#)

[Back](#)

If you did not fully answer all questions, including subparts, you will receive an error message indicating which questions you did not answer.

Click here to go to the first error.

CORRECTING “ERRORS”

NORTH CAROLINA STATE
ETHICS
COMMISSION



[Save and Logout](#)

\$10,000 Plus Disclosures

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7. Are you, your spouse, or members of your immediate family the beneficiaries of a vested trust with a value of \$10,000 or more that is created, established, or controlled by you? **Do not list blind trusts.**

Yes No

[Go to next error](#)

[Back](#) Question 7 of 22 [Next](#)

- After responding, click here to go to the next *unanswered* question.
- **DO NOT CLICK “BACK” OR “NEXT”**

AFFIRMING YOUR SEI IS CORRECT



[Save and Logout](#)

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Affirmation

I affirm that the information provided in this Statement of Economic Interest and any attachments hereto are true, complete, and accurate to the best of my knowledge and belief.

I also certify that I have not transferred, and will not transfer, any asset, interest, or property for the purpose of concealing it from disclosure while retaining an equitable interest.

I understand that my Statement of Economic Interest and any attachments or supplements thereto are public record.

I acknowledge that I have read and understand N.C.G.S. 138A-26 regarding concealing or failing to disclose material information and N.C.G.S. 138A-27 regarding providing false information:

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I Agree

**After
correcting
all errors,
you must
check
“I Agree”.**

Completing the Confidential Form Unemancipated Children

Confidential Form Unemancipated Children 2017 Statement of Economic Interest

Confidential: Not subject to public disclosure pursuant to N.C.G.S. § 138A-24(a)(1)

Name of Person Filing SEI _____

Agency or Board _____

Please list the full names of those children who were identified by initials on your Statement of Economic Interest.

Initials	Child's Name

Signature of Person Filing Supplement _____

Date: _____

The Confidential Unemancipated Children Form follows the SEI Affirmation Page.

2017 SEI –

- Include the initials only of unemancipated children on your SEI.

- You must complete the Confidential Form to provide the full name of children identified by initials on your SEI.

This page is not a public record.

Completing the RED Form Electronically

The RED follows the SEI Affirmation Page

All TAC Members are required to file a complete RED, even if they do not own any real property or the real property that they own is not located within the MPO or RPO area.

If no property is owned—complete the top section of the RED and insert “NA” or “None” on the first line of the table.



NORTH CAROLINA STATE ETHICS COMMISSION

2017 Real Estate Disclosure Form

ALL MPO AND RPO TAC MEMBERS MUST FILE THIS FORM WITH THE 2017 SEI

FOR ETHICS COMMISSION USE ONLY
Date Received: _____

____ Checked for completion
____ Scanned _____ Date

Entered in DB _____ by _____

Name of Person Filing Real Estate Disclosure Form				
Prefix	First Name	Middle Name	Last Name	Suffix
Name of MPO or RPO				
Please list all real estate (including real estate listed on question 1 of the Statement of Economic Interest) owned wholly or in part by you, a member of your <i>extended family</i> ¹ , or a <i>business with which you are associated</i> ² within the jurisdiction of the MPO or RPO on which you are serving.				
Name of Owner of Real Estate	Location by City		Location by County	

This entire document and any attachments are public record.

¹ "Extended family" includes your spouse, lineal descendants, lineal ascendants, siblings, spouse's lineal descendants, spouse's lineal ascendants, spouse's siblings, and the spouse of any of those individuals.

AFFIRMING YOUR RED IS CORRECT



[Save and Logout](#)

Section

[Contact Information](#)

[\\$10,000 Plus Disclosures \(1-8\)](#)

[Other Disclosures \(9-22\)](#)

[Review SEI](#)

[Affirmation](#)

Affirmation

I affirm that the information provided in this Statement of Economic Interest and any attachments hereto are true, complete, and accurate to the best of my knowledge and belief.

I also certify that I have not transferred, and will not transfer, any asset, interest, or property for the purpose of concealing it from disclosure while retaining an equitable interest.

I understand that my Statement of Economic Interest and any attachments or supplements thereto are public record.

I acknowledge that I have read and understand N.C.G.S. 138A-26 regarding concealing or failing to disclose material information and N.C.G.S. 138A-27 regarding providing false information:

138A-26. Concealing or failing to disclose material information.
A filing person who knowingly conceals or knowingly fails to disclose information that is required to be disclosed on a statement of economic interest under this Article shall be guilty of a Class 1 misdemeanor and shall be subject to disciplinary action under G.S. 138A-45. (2006-201, s. 1.)

138A-27. Penalty for false information
A filing person who provides false information on a statement of economic interest as required under this Article knowing that the information is false is guilty of a Class H felony and shall be subject to disciplinary action under G.S. 138A-45. (2006-201, s. 1.)

I Agree

After completing the RED form, review it and correct any errors.

Please *carefully read* the Affirmation information & check the "I Agree" box.

ELECTRONIC FILING

CONFIRMATION NUMBER AND COPY OF SEI AND RED

NORTH CAROLINA STATE ETHICS COMMISSION
2017 STATEMENT OF ECONOMIC INTEREST

CONFIRMATION

Your SEI was successfully submitted at 3/20/2017 3:51:39 PM.
Your confirmation number is a773-81e418cfaedf.

After electronically filing your SEI and RED, you will be given a confirmation number with the date and time your SEI and RED were successfully filed.

Click on “View Filed SEI” to open your filed SEI and RED and print and/or save a copy.

Please keep a copy for your records.

ELECTRONIC FILING CONFIRMATION



NORTH CAROLINA STATE ETHICS COMMISSION 2017 STATEMENT OF ECONOMIC INTEREST

CONFIRMATION

Your SEI was successfully submitted at 3/20/2017 3:51:39 PM.

Your confirmation number is a773-81e418cfaedf.

The following documents were attached and have been submitted with this filing:

Test SEI upload pdf.pdf



A filing confirmation page is included at the end of the filed SEI and RED. Printing a copy of the SEI and RED will include a copy of the Confirmation page.

Any attachments uploaded with your SEI or RED are listed on the confirmation page.

SEI Civil Fines and Criminal Penalties

For Late Filing, Incomplete or Non-Filing

Civil

- * \$250 civil penalty **shall** be imposed for late, incomplete, or non-filing. (except in extenuating circumstances as determined by the Ethics Commission)

Criminal

- * **Criminal penalties** for knowingly concealing information or providing false information.

Removal

- * May be removed from position as MPO or RPO member.

RED Civil Fines and Criminal Penalties For Late Filing, Incomplete or Non-Filing

Civil

- * \$250 civil penalty **shall** be imposed for late, incomplete, or non-filing. (except in extenuating circumstances as determined by the Ethics Commission)

Criminal

- * **Criminal penalties** for knowingly concealing information or providing false information.

Removal

- * May be removed from position as MPO or RPO member.

SEI Evaluations

- Ethics Commission staff evaluates your SEI for actual and potential conflicts of interest and sends you the SEI Evaluation Letter.
 - NOTE: Having a potential conflict does not disqualify you from serving, but you may have to recuse yourself from certain official actions in certain situations.
- Norma Houston with the UNC School of Government answers questions and provides guidance regarding any actual conflict or potential conflict of interest identified in your SEI Evaluation Letter.

SEI Evaluation Letters

- **Evaluation letters help you (the TAC member) identify areas where you need to exercise caution – they point out potential “red flags”**
- **Remember**
 - **Having a conflict of interest does not mean you cannot serve**
 - **May require you to recuse yourself regarding a particular matter**

SEIs, REDS & Evaluation Letters are public records



STATE ETHICS COMMISSION
1324 MAIL SERVICE CENTER
RALEIGH, NC 27699-1324
WWW.ETHICSCOMMISSION.NC.GOV

ROBERT L. FARMER
CHAIRMAN

PERRY Y. NEWSON
EXECUTIVE DIRECTOR

July 20, 2010

Appointing Authority
Main Street
Raleigh, NC 27699

Via email

Re: Evaluation of Statement of Economic Interest filed by Mr. John Smith
North Carolina State Covered Board

Dear Appointing Authority:

I am in receipt of Mr. John Smith's Jan 26, 2010, Statement of Economic Interest as a member of the North Carolina State Covered Board. I have reviewed it for actual and potential conflicts of interest in accordance with G.S. Chapter 138A, the State Government Ethics Act ("the Ethics Act").

I did not find an actual conflict of interest; however, I did find the potential for a conflict of interest. The potential conflict identified does not prohibit service on this entity.

Ethics Act Education

- * You are **NOT** required to take the Ethics Education and Lobbying Awareness Training provided by the State Ethics Commission.
- * You **ARE** required to take the local government ethics education training required under state law pertaining to local government officials and any other training required by your unit of local government. Contact Norma Houston at the SOG for more details about these local government requirements.

*Overview of MPOs, RPOs &
The State Government Ethics Act:*

Complaints & Consequences

Complaints

- * Anyone can file a complaint against you with the State Ethics Commission alleging that you violated the SEI or RED filing requirements.
- * Commission **shall report** all received complaints of violations of the SEI and RED filing requirements **to the Director of the State Bureau of Investigation for investigation and possible prosecution.**

Consequences

- * **A civil fine of \$250 will apply for a SEI violation in 2017 and a civil fine of \$250 will apply for a RED filing violation in 2017, resulting in a total fine of \$500.**
- * **Referral to the State Bureau of Investigation for investigation and possible prosecution.**
- * **Criminal penalties will apply to SEI and RED filing violations in 2017.**
- * **Criminal penalties will apply for knowingly providing false information or failing to disclose information on the SEI or the RED.**

*Overview of MPOs, RPOs &
The State Government Ethics Act:*

Questions & Advice

Advice & Guidance

- * State Ethics Commission provides guidance and advice as to the SEI and RED filing requirements.
- * The UNC School of Government advises as to all other ethics questions, including conflicts of interest.

Important Dates & Deadlines

- * **January 1, 2017**
 - * 2017 SEI filing period opens.
- * **April 17, 2017**
 - * Deadline for filing your SEI and RED

Remember late filing or failure to file in 2017 will result in civil and criminal sanctions.

Contact Information

❖ MAILING ADDRESS

Mail Service Center
Raleigh, NC 27699-1324

❖ STREET ADDRESS

424 N. Blount Street
Raleigh, NC 27601-1010

❖ PHONE & FAX

Phone: 919-814-3600
Fax: 919-715-1644

MPO-RPO PARALEGAL – PEGGY MALPASS
SEI ATTORNEY - GRETCHEN AYCOCK
EDUCATION ATTORNEY – SUE LUNDBERG

❖ E-MAIL

- **SEI Questions:**
SEI@doa.nc.gov
- **RED Questions:**
SEI@doa.nc.gov
- **Education Questions:**
Education.Ethics@doa.nc.gov
- **Other Questions:**
nhouston@sog.org

❖ WEBSITE

www.ethicscommission.nc.gov