

STATE OF ILLINOIS
FINANCIAL DISCLOSURES AND CONFLICTS OF INTEREST

Financial Disclosures and Conflicts of Interest must be accurately completed and submitted by the vendor, its parent and known subcontractors. There are **nine** steps to this form and each must be completed as instructed in the step heading, unless otherwise provided. A bid, offer, or proposal that does not include this disclosure, except as otherwise provided, may not be considered responsive. We may consider this disclosure when evaluating the bid, offer, or proposal or awarding the contract.

The required disclosures are a continuing obligation and must be promptly supplemented for accuracy throughout the procurement process and throughout the term of the resulting contract if the bid/offer is awarded. If any circumstances change and the financial disclosures and/or conflicts of interest are no longer accurate, vendors must provide an updated Financial Disclosures and Conflicts of Interest.

Separate Disclosure and Potential Conflict of Interest Forms are required for the vendor, any parent and subcontractors. Subcontractor documents are provided with a copy of the contract within 20 days after execution of the contract or subcontract, whichever is later.

This disclosure is submitted for: Vendor Vendor's Parent Entity Subcontractor

Project Name and Number	Click here to enter text.
Vendor Name	Click here to enter text.
DBA	Click here to enter text.
Parent	Click here to enter text.
Subcontractor	Click here to enter text.
Ownership Type	Choose an item. <input type="checkbox"/> Other: Click here to enter text.

STEP 1
SUPPORTING DOCUMENTATION SUBMITTAL
(All vendors must complete regardless of annual contract value)

You must select one of the options below and you must provide the documentation the applicable section states. Select the documentation you are submitting:

Option 1 - Publicly Traded Entities

I have attached a copy of the corporate Form 10-K.

OR

I will complete Step 2 Option A for each qualifying individual or entity holding any ownership share in excess of 5% or an amount greater than 60% (\$106,447.20) of the annual salary of the Governor.

Option 2 - Privately Held Entities (with more than 200 Shareholders, Members, or Owners)

I will complete Step 2 Option A for each qualifying individual or entity holding any ownership share that is in excess of 5% and have attached information Federal 10k reporting companies are required to report under 17 CFR 229.401.

Option 3 - Privately held U.S. Entities (with 200 or fewer Shareholders, Members or Owners) Not Including Sole Proprietorships

I will complete Step 2 Option A for each qualifying individual or entity holding any ownership share in excess of 5% or an amount greater than 60% (\$106,447.20) of the annual salary of the Governor.

Option 4 - Not for Profit Entities

I will complete Step 2 Option B for each member of the board of directors.

Option 5 - Sole Proprietorships

I will skip to Step 3.

STEP 2

DISCLOSURE OF FINANCIAL INTEREST OR BOARD OF DIRECTORS

(All vendors must complete regardless of annual contract value)

Complete **either** Option A (all entities other than not-for profits) or Option B (not-for-profits).

Option A - Disclosure of Financial Interest: If you selected Options 1, 2, or 3 above, list the individuals (or entities) with financial interest in your company (or business) that exceeds 5% or a dollar amount greater than \$106,447.20. Please include an attachment if necessary.

Ownership Share

Name	Address	Financial Interest of Ownership Code	Actual Financial Interest Percentage (if greater than 5%) or Amount (if greater than \$106,447.20)

Financial Interest of Ownership Code (Use All that Apply):
1=Ownership Exceeding 5%
2=Ownership Value Exceeding \$106,447.20
3=Distributive Income Share Exceeding 5%
4=Distributive Income Share Exceeding \$106,447.20

Type of Distributive Income

Name	Address	Type of Ownership/Distributive Income

Type of Ownership/Distributive Income Code:
 1=Sole Proprietorship
 2=Stock
 3=Partnership
 4=Other (Explain)

If the disclosed individuals do not total 100% ownership, please certify that the following statement is true.

Any remaining ownership interest is held by individuals receiving less than \$106,447.20 (\$106,447.20) of the bidding entity's or parent entity's distributive income, and holding less than a 5% ownership interest.

Yes No

Option B – Disclosure of Board of Directors: List members of your board of directors. Please include an attachment if necessary.

Name	Address	Relationship to Vendor or Vendor's Parent

STEP 3
LOBBYIST OR AGENT
 (Complete only if contract has an annual value over \$25,000)

Yes No. Is your company represented by or do you employ a lobbyist or other agent required to register under the Lobbyist Registration Act (lobbyist must be registered pursuant to the Act with the Secretary of State) or other agent who is not identified through Step 2 above and who has communicated, is communicating, or may communicate with any State officer or employee concerning the bid or offer? If yes, please identify each lobbyist and agent, including name and address below and complete Step 6 for each identified lobbyist and agent.

Name	Address	Relationship to Vendor or Vendor's Parent

Describe costs/fees/compensation/reimbursements related to assistance provided by the representative lobbyist or other agent) to obtain contract: [Click here to enter text.](#)

STEP 4

ACTUAL CONFLICTS OF INTEREST

(All vendors must complete regardless of annual contract value)

This step must be completed for each individual disclosed through Step 2 above. Please provide the name of the individual for whom responses are provided: [Click here to enter text.](#)

1. Do you, your spouse, or minor child hold an elective office in the State of Illinois or hold a seat in the General Assembly? Yes No
2. Have you, your spouse, or minor child been appointed to or employed in any office or agencies of State government and receive compensation for such employment in excess of 60% (\$106,447.20) of the salary of the Governor? Yes No
3. Are you an officer or employee or is your spouse or minor child an officer or employee of the Capital Development Board or the Illinois Toll Highway Authority? Yes No
4. Have you, your spouse, or an immediate family member who lives in your residence currently or who lived in your residence within the last 12 months been appointed as a member of a board, commission, authority, or task force authorized or created by State law or by executive order of the Governor? Yes No
5. If you answered yes to any question in 1-4 above, please answer the following: Do you receive more than 7.5% of the distributable income or an amount in excess of the salary of the Governor (\$177,412.00) of any firm, partnership, association or corporation? Yes No
6. If you answered yes to any question in 1-4 above, please answer the following: Is there a combined interest of self with spouse or minor child in excess of 15% in the aggregate of the distributive income or an amount in excess of two times the salary of the Governor (\$354,824.00)? Yes No

STEP 5

POTENTIAL CONFLICTS OF INTEREST RELATING TO PERSONAL RELATIONSHIPS

(Complete only if contract has an annual value over \$25,000)

This step must be completed for each individual disclosed through Step 2. Please provide the name of the individual for whom responses are provided: [Click here to enter text.](#)

1. Do you currently have or in the previous 3 years had State employment, including contractual employment of services? Yes No
2. Has your spouse, father, mother, son, or daughter, had State employment, including contractual employment for services, in the previous 2 years? Yes No

3. Do you hold currently or have you held in the previous 3 years elective office of the State of Illinois, the government of the United States, or any unit of local government authorized by the Constitution of the State of Illinois or the statutes of the State of Illinois? Yes No
4. Do you have a relationship to anyone (spouse, father, mother, son, or daughter) holding elective office currently or in the previous 2 years? Yes No
5. Do you hold or have you held in the previous 3 years any appointive government office of the State of Illinois, the United States of America, or any unit of local government authorized by the Constitution of the State of Illinois or the statutes of the State of Illinois, which office entitles the holder to compensation in excess of expenses incurred in the discharge of that? Yes No
6. Do you have a relationship to anyone (spouse, father, mother, son, or daughter) holding appointive office currently or in the previous 2 years? Yes No
7. Do you currently have or in the previous 3 years had employment as or by any registered lobbyist of the State government? Yes No
8. Do you currently have or in the previous 2 years had a relationship to anyone (spouse, father, mother, son, or daughter) that is or was a registered lobbyist? Yes No
9. Do you currently have or in the previous 3 years had compensated employment by any registered election or re-election committee registered with the Secretary of State or any county clerk in the State of Illinois, or any political action committee registered with either the Secretary of State or the Federal Board of Elections? Yes No
10. Do you currently have or in the previous 2 years had a relationship to anyone (spouse, father, mother, son, or daughter) who is or was a compensated employee of any registered election or reelection committee registered with the Secretary of State or any county clerk in the State of Illinois, or any political action committee registered with either the Secretary of State or the Federal Board of Elections? Yes No

STEP 6

POTENTIAL CONFLICTS OF INTEREST RELATING TO DEBARMENT & LEGAL PROCEEDINGS

(Complete only if contract has an annual value over \$25,000)

This step must be completed for each individual disclosed through Step 2 and Step 3.

1. Within the previous ten years, have you had debarment from contracting with any governmental entity? Yes No
2. Within the previous ten years, have you had any professional Licensure Discipline Yes No
3. Within the previous ten years, have you had any bankruptcies? Yes No
4. Within the previous ten years, have you had any adverse civil judgments and administrative findings? Yes No

5. Within the previous ten years, have you had any criminal felony convictions?

Yes No

STEP 7

EXPLANATION OF AFFIRMATIVE RESPONSES

(All vendors must complete regardless of annual contract value)

If you answered in the affirmative to any question in Step 4, Step 5 or Step 6, please provide a detailed explanation on an additional page that includes name, salary, agency, and position title. Please provide a detailed explanation on an additional page that includes all relevant names, salary information, State Agencies, and position titles.

STEP 8

DISCLOSURE OF CURRENT AND PENDING CONTRACTS

(Complete only if contract has an annual value over \$25,000)

Do you have any contracts, pending contracts, bids, proposals or other ongoing procurement relationships with units of State of Illinois government? Yes No. If "Yes", please specify below:

Agency/University	Project Title	Status	Value	Purchase Order or Contract Reference Number
Click here to enter text.				

[Click here to enter text.](#)

STEP 9

SIGN THE DISCLOSURE

(All vendors must complete regardless of annual contract value)

This disclosure is signed and made under penalty of perjury for all for profit entities by an authorized officer or employee on behalf of the vendor pursuant to Sections 50-13 and 50-35 of the Illinois Procurement Code. This disclosure information is submitted on behalf of (show official name of vendor, and if applicable, D/B/A and parent):

Name of Vendor: [Click here to enter text.](#)

D/B/A (if used): [Click here to enter text.](#)

Name of any Parent Organization: [Click here to enter text.](#)

Signature: _____

Printed Name: [Click here to enter text.](#)

Title: [Click here to enter text.](#)

Phone Number: [Click here to enter text.](#)

Email Address: [Click here to enter text.](#)