

**2015 Ethics Officer Conference**  
**March 6, 2015**  
**Statements of Economic Interests**

**State Officials and Employees Ethics Act (5 ILCS 430)**

**(5 ILCS 430/20-23)**

Sec. 20-23. Ethics Officers. Each officer and the head of each State agency under the jurisdiction of the Executive Ethics Commission shall designate an Ethics Officer for the office or State agency. The board of each Regional Transit Board shall designate an Ethics Officer. Ethics Officers shall:

(1) act as liaisons between the State agency or Regional Transit Board and the appropriate Executive Inspector General and between the State agency or Regional Transit Board and the Executive Ethics Commission;

(2) review statements of economic interest and disclosure forms of officers, senior employees, and contract monitors before they are filed with the Secretary of State; and

(3) provide guidance to officers and employees in the interpretation and implementation of this Act, which the officer or employee may in good faith rely upon. Such guidance shall be based, wherever possible, upon legal precedent in court decisions, opinions of the Attorney General, and the findings and opinions of the Executive Ethics Commission.

(Source: P.A. 96-1528, eff. 7-1-11.)

**State of Illinois Constitution of 1970 (Ill. Const. 1970, art. XIII, § 2)**

**SECTION 2. STATEMENT OF ECONOMIC INTERESTS**

All candidates for or holders of state offices and all members of a Commission or Board created by this Constitution shall file a verified statement of their economic interests, as provided by law. The General Assembly by law may impose a similar requirement upon candidates for, or holders of, offices in units of local government and school districts. Statements shall be filed annually with the Secretary of State and shall be available for inspection by the public. The General Assembly by law shall prescribe a reasonable time for filing the statement. Failure to file a statement within the time prescribed shall result in ineligibility for, or forfeiture of, office. This Section shall not be construed as limiting the authority of any branch of government to establish and enforce ethical standards for that branch.

(Source: Illinois Constitution.)

## Illinois Governmental Ethics Act (5 ILCS 420/) Pertinent Sections

(5 ILCS 420/1-101) (from Ch. 127, par. 601-101)

Sec. 1-101. This Act shall be known and may be cited as the "Illinois Governmental Ethics Act."

(Source: Laws 1967, p. 3401.)

(5 ILCS 420/1-102) (from Ch. 127, par. 601-102)

Sec. 1-102. As used in this Act, unless the context otherwise requires, the terms described in this Article have the meanings ascribed to them in this Article.

(Source: P.A. 88-605, eff. 9-1-94.)

(5 ILCS 420/1-104) (from Ch. 127, par. 601-104)

Sec. 1-104. "Compensation" means any money, thing of value, or economic benefit conferred on, or received by, any person in return for services rendered, or to be rendered, by himself or another.

(Source: Laws 1967, p. 3401.)

(5 ILCS 420/1-105) (from Ch. 127, par. 601-105)

Sec. 1-105. "Economic opportunity" means any purchase, sale, lease, contract, option, or other transaction or arrangement involving property or services wherein a legislator may gain an economic benefit. The term shall not include gifts.

(Source: Laws 1967, p. 3401.)

(5 ILCS 420/1-106) (from Ch. 127, par. 601-106)

Sec. 1-106. "Legislative interest" means a substantial economic interest, distinct from that of the general public, in one or more legislative matters.

(Source: Laws 1967, p. 3401.)

(5 ILCS 420/1-107) (from Ch. 127, par. 601-107)

Sec. 1-107. "Legislative matter" means any bill, resolution, nomination, or other issue or proposal pending before the General Assembly or any committee, sub-committee, or commission thereof.

(Source: Laws 1967, p. 3401.)

(5 ILCS 420/1-108) (from Ch. 127, par. 601-108)

Sec. 1-108. "Legislator" means a member or member-elect of the General Assembly.

(Source: Laws 1967, p. 3401.)

(5 ILCS 420/1-109) (from Ch. 127, par. 601-109)

Sec. 1-109. "Lobbying" means promoting or opposing in any manner the passage by the General Assembly of any legislative matter affecting the interests of any individual, association or corporation as distinct from those of the people of the State as a whole.

(Source: Laws 1967, p. 3401.)

(5 ILCS 420/1-110) (from Ch. 127, par. 601-110)  
Sec. 1-110. "Lobbyist" means any person required to be registered under "An Act concerning lobbying and providing a penalty for violation thereof", approved July 10, 1957, as amended.

(Source: Laws 1967, p. 3401.)

(5 ILCS 420/1-111) (from Ch. 127, par. 601-111)

Sec. 1-111. "Person" or "entity" means an individual, proprietorship, partnership, association, trust, estate, business trust, group, or corporation, whether or not operated for profit, or a governmental agency, unit, or subdivision.

(Source: Laws 1967, p. 3401.)

(5 ILCS 420/1-112) (from Ch. 127, par. 601-112)

Sec. 1-112. "Person with whom the legislator maintains a close economic association" means a person associated with the legislator in a partnership, association or professional service corporation, whether as partner, officer, employee, associate, or otherwise.

(Source: Laws 1967, p. 3401.)

(5 ILCS 420/1-113) (from Ch. 127, par. 601-113)

Sec. 1-113. "Representation case" means the professional representation of any person, client or principal, with or without compensation, in any matter before any State agency where the action or non-action of the State agency involves the exercise of substantial discretion. However, the term shall not include inquiries for information or other services rendered in a legislative capacity on behalf of a constituent or other member of the public.

(Source: Laws 1967, p. 3401.)

(5 ILCS 420/1-114) (from Ch. 127, par. 601-114)

Sec. 1-114. "State agency" means any department, office, commission, board or authority within the Executive Department, and includes State-supported universities and colleges and the Illinois Building Authority.

(Source: Laws 1967, p. 3401.)

(5 ILCS 420/1-115) (from Ch. 127, par. 601-115)

Sec. 1-115.

"Instrument of Ownership" means deeds, common or preferred stock certificates, rights, warrants, options, bills of sale, contracts, interests in proprietorships, partnerships and joint ventures, and beneficial interests in trusts or land trusts.

(Source: P.A. 77-1806.)

(5 ILCS 420/1-116) (from Ch. 127, par. 601-116)

Sec. 1-116.

"Professional services" means services rendered in the practice of law, accounting, engineering, medicine, architecture, dentistry or clinical psychology.

(Source: P.A. 77-1806.)

(5 ILCS 420/1-120)

Sec. 1-120. Unit of local government. "Unit of local government" has the meaning ascribed to it in Section 1 of Article VII of the Illinois Constitution and also includes school districts and community college districts.

(Source: P.A. 88-605, eff. 9-1-94.)

(5 ILCS 420/4A-101) (from Ch. 127, par. 604A-101)

Sec. 4A-101. Persons required to file. The following persons shall file verified written statements of economic interests, as provided in this Article:

(a) Members of the General Assembly and candidates for nomination or election to the General Assembly.

(b) Persons holding an elected office in the Executive Branch of this State, and candidates for nomination or election to these offices.

(c) Members of a Commission or Board created by the Illinois Constitution, and candidates for nomination or election to such Commission or Board.

(d) Persons whose appointment to office is subject to confirmation by the Senate and persons appointed by the Governor to any other position on a board or commission described in subsection (a) of Section 15 of the Gubernatorial Boards and Commissions Act.

(e) Holders of, and candidates for nomination or election to, the office of judge or associate judge of the Circuit Court and the office of judge of the Appellate or Supreme Court.

(f) Persons who are employed by any branch, agency, authority or board of the government of this State, including but not limited to, the Illinois State Toll Highway Authority, the Illinois Housing Development Authority, the Illinois Community College Board, and institutions under the jurisdiction of the Board of Trustees of the University of Illinois, Board of Trustees of Southern Illinois University, Board of Trustees of Chicago State University, Board of Trustees of Eastern Illinois University, Board of Trustees of Governor's State University, Board of Trustees of Illinois State University, Board of Trustees of Northeastern Illinois University, Board of Trustees of Northern Illinois University, Board of Trustees of Western Illinois University, or Board of Trustees of the Illinois Mathematics and Science Academy, and are compensated for services as employees and not as independent contractors and who:

(1) are, or function as, the head of a department, commission, board, division, bureau, authority or other administrative unit within the government of this State, or who exercise similar authority within the government of this State;

(2) have direct supervisory authority over, or direct responsibility for the formulation, negotiation, issuance or execution of contracts entered into by the State in the amount of \$5,000 or more;

(3) have authority for the issuance or promulgation of rules and regulations within areas under the authority of the State;

(4) have authority for the approval of professional licenses;

(5) have responsibility with respect to the financial inspection of regulated nongovernmental entities;

(6) adjudicate, arbitrate, or decide any judicial or administrative proceeding, or review the adjudication, arbitration or decision of any judicial or administrative proceeding within the authority of the State;

(7) have supervisory responsibility for 20 or more employees of the State;

(8) negotiate, assign, authorize, or grant naming rights or sponsorship rights regarding any property or asset of the State, whether real, personal, tangible, or intangible; or

(9) have responsibility with respect to the procurement of goods or services.

(g) Persons who are elected to office in a unit of local government, and candidates for nomination or election to that office, including regional superintendents of school districts.

(h) Persons appointed to the governing board of a unit of local government, or of a special district, and persons appointed to a zoning board, or zoning board of appeals, or to a regional, county, or municipal plan commission, or to a board of review of any county, and persons appointed to the Board of the Metropolitan Pier and Exposition Authority and any Trustee appointed under Section 22 of the Metropolitan Pier and Exposition Authority Act, and persons appointed to a board or commission of a unit of local government who have authority to authorize the expenditure of public funds. This subsection does not apply to members of boards or commissions who function in an advisory capacity.

(i) Persons who are employed by a unit of local government and are compensated for services as employees and not as independent contractors and who:

(1) are, or function as, the head of a department, division, bureau, authority or other administrative unit within the unit of local government, or who exercise similar authority within the unit of local government;

(2) have direct supervisory authority over, or direct responsibility for the formulation, negotiation, issuance or execution of contracts entered into by the unit of local government in the amount of \$1,000 or greater;

(3) have authority to approve licenses and permits by the unit of local government; this item does not include employees who function in a ministerial capacity;

(4) adjudicate, arbitrate, or decide any judicial or administrative proceeding, or review the adjudication, arbitration or decision of any judicial or administrative proceeding within the authority of the unit of local government;

(5) have authority to issue or promulgate rules and regulations within areas under the authority of the unit of local government; or

(6) have supervisory responsibility for 20 or more employees of the unit of local government.

(j) Persons on the Board of Trustees of the Illinois Mathematics and Science Academy.

(k) Persons employed by a school district in positions that require that person to hold an administrative or a chief school business official endorsement.

(l) Special government agents. A "special government agent" is a person who is directed, retained, designated, appointed, or employed, with or without compensation, by or on behalf of a statewide executive branch constitutional officer to make an ex parte communication under Section 5-50 of the State Officials and Employees Ethics Act or Section 5-165 of the Illinois Administrative Procedure Act.

(m) Members of the board of commissioners of any flood prevention district created under the Flood Prevention District Act or the Beardstown Regional Flood Prevention District Act.

(n) Members of the board of any retirement system or investment board established under the Illinois Pension Code, if not required to file under any other provision of this Section.

(o) Members of the board of any pension fund established under the Illinois Pension Code, if not required to file under any other provision of this Section.

(p) Members of the investment advisory panel created under Section 20 of the Illinois Prepaid Tuition Act.

This Section shall not be construed to prevent any unit of local government from enacting financial disclosure requirements that mandate more information than required by this Act.

(Source: P.A. 96-6, eff. 4-3-09; 96-543, eff. 8-17-09; 96-555, eff. 8-18-09; 96-1000, eff. 7-2-10; 97-309, eff. 8-11-11; 97-754, eff. 7-6-12.)

(5 ILCS 420/4A-102) (from Ch. 127, par. 604A-102)

Sec. 4A-102. The statement of economic interests required by this Article shall include the economic interests of the person making the statement as provided in this Section. The interest (if constructively controlled by the person making the statement) of a spouse or any other party, shall be considered to be the same as the interest of the person making the statement. Campaign receipts shall not be included in this statement.

(a) The following interests shall be listed by all persons required to file:

(1) The name, address and type of practice of any professional organization or individual professional practice in which the person making the statement was an officer, director, associate, partner or proprietor, or served in any advisory capacity, from which income in excess of \$1200 was derived during the preceding calendar year;

(2) The nature of professional services (other than services rendered to the unit or units of government in relation to which the person is required to file) and the nature of the entity to which they were rendered if fees exceeding \$5,000 were received during the preceding calendar year from the entity for professional services rendered by the person making the statement.

(3) The identity (including the address or legal description of real estate) of any capital asset from which a capital gain of \$5,000 or more was realized in the preceding calendar year.

(4) The name of any unit of government which has employed the person making the statement during the preceding calendar year other than the unit or units of government in relation to which the person is required to file.

(5) The name of any entity from which a gift or gifts, or honorarium or honoraria, valued singly or in the aggregate in excess of \$500, was received during the preceding calendar year.

(b) The following interests shall also be listed by persons listed in items (a) through (f), item (l), item (n), and item (p) of Section 4A-101:

(1) The name and instrument of ownership in any entity doing business in the State of Illinois, in which an ownership interest held by the person at the date of filing is in excess of \$5,000 fair market value or from which dividends of in excess of \$1,200 were derived during the preceding calendar year. (In the case of real estate, location thereof shall be listed by street address, or if none, then by legal description). No time or demand deposit in a financial institution, nor any debt instrument need be listed;

(2) Except for professional service entities, the name of any entity and any position held therein from which income of in excess of \$1,200 was derived during the preceding calendar year, if the entity does business in the State of Illinois. No time or demand deposit in a financial institution, nor any debt instrument need be listed.

(3) The identity of any compensated lobbyist with whom the person making the statement maintains a close economic association, including the name of the lobbyist and specifying the legislative matter or matters which are the object of the lobbying activity, and describing the general type of economic activity of the client or principal on whose behalf that person is lobbying.

(c) The following interests shall also be listed by persons listed in items (g), (h), (i), and (o) of Section 4A-101:

(1) The name and instrument of ownership in any entity doing business with a unit of local government in relation to which the person is required to file if the ownership interest of the person filing is greater than \$5,000 fair market value as of the date of filing or if dividends in excess of \$1,200 were received from the entity during the preceding calendar year. (In the case of real estate, location thereof shall be listed by street address, or if none, then by legal description). No time or demand deposit in a financial institution, nor any debt instrument need be listed.

(2) Except for professional service entities, the name of any entity and any position held therein from which income in excess of \$1,200 was derived during the preceding calendar year if the entity does business with a unit of local government in relation to which the person is required to file. No time or demand deposit in a financial institution, nor any debt instrument need be listed.

(3) The name of any entity and the nature of the governmental action requested by any entity which has applied to a unit of local government in relation to which the person must file for any license, franchise or permit for annexation, zoning or rezoning of real estate during the preceding calendar year if the ownership interest of the person filing is in excess of \$5,000 fair market value at the time of filing or if income or dividends in excess of \$1,200 were received by the person filing from the entity during the preceding calendar year.

For the purposes of this Section, the unit of local government in relation to which a person required to file under item (o) of Section 4A-101 shall be the unit of local government that contributes to the pension fund of which such person is a member of the board.

(Source: P.A. 96-6, eff. 4-3-09; 97-754, eff. 7-6-12.)

(5 ILCS 420/4A-105) (from Ch. 127, par. 604A-105)

Sec. 4A-105. Time for filing. Except as provided in Section 4A-106.1, by May 1 of each year a statement must be filed by each person whose position at that time subjects him to the filing requirements of Section 4A-101 unless he has already filed a statement in relation to the same unit of government in that calendar year.

Statements must also be filed as follows:

(a) A candidate for elective office shall file his statement not later than the end of the period during which he can take the action necessary under the laws of this State to attempt to qualify for nomination, election, or retention to such office if he has not filed a statement in relation to the same unit of government within a year preceding such action.

(b) A person whose appointment to office is subject to confirmation by the Senate shall file his statement at the time his name is submitted to the Senate for confirmation.

(b-5) A special government agent, as defined in item (1) of Section 4A-101 of this Act, shall file a statement within 30 days after making the first ex parte communication and each May 1 thereafter if he or she has made an ex parte communication within the previous 12 months.

(c) Any other person required by this Article to file the statement shall file a statement at the time of his or her initial appointment or employment in relation to that unit of government if appointed or employed by May 1.

If any person who is required to file a statement of economic interests fails to file such statement by May 1 of any year, the officer with whom such statement is to be filed under Section 4A-106 of this Act shall, within 7 days after May 1, notify such person by certified mail of his or her failure to file by the specified date. Except as may be prescribed by rule of the Secretary of State, such person shall file his or her statement of economic interests on or before May 15 with the appropriate officer, together with a \$15 late filing fee. Any such person who fails to file by May 15 shall be subject to a penalty of \$100 for each day from May 16 to the date of filing, which shall be in addition to the \$15 late filing fee specified above. Failure to file by May 31 shall result in a forfeiture in accordance with Section 4A-107 of this Act.

Any person who takes office or otherwise becomes required to file a statement of economic interests within 30 days prior to May 1 of any year may file his or her statement at any time on or before May 31 without penalty. If such person fails to file such statement by May 31, the officer with whom such statement is to be filed under Section 4A-106 of this Act shall, within 7 days after May 31, notify such person by certified mail of his or her failure to file by the specified date. Such person shall file his or her statement of economic interests on or before June 15 with the appropriate officer, together with a \$15 late filing fee. Any such person who fails to file by June 15 shall be subject to a penalty of \$100 per day for each day from June 16 to the date of filing, which shall be in addition to the \$15 late filing fee specified above. Failure to file by June 30 shall result in a forfeiture in accordance with Section 4A-107 of this Act.

(5 ILCS 420/4A-106) (from Ch. 127, par. 604A-106)

Sec. 4A-106. The statements of economic interests required of persons listed in items (a) through (f), item (j), item (l), item (n), and item (p) of Section 4A-101 shall be filed with the Secretary of State. The statements of economic interests required of persons listed in items (g), (h), (i), (k), and (o) of Section 4A-101 shall be filed with the county clerk of the county in which the principal office of the unit of local government with which the person is associated is located. If it is not apparent which county the principal office of a unit of local government is located, the chief administrative officer, or his or her designee, has the authority, for purposes of this Act, to determine the county in which the principal office is located. On or before February 1 annually, (1) the chief administrative officer of any State agency in the executive, legislative, or judicial branch employing persons required to file under item (f) or item (l) of Section 4A-101 and the chief administrative officer of a board or panel described in item (n) or (p) of Section 4A-101 shall certify to the Secretary of State the names and mailing addresses of those persons, and (2) the chief administrative officer, or his or her designee, of each unit of local government with persons described in items (h), (i) and (k) and a board described in item (o) of Section 4A-101 shall certify to the appropriate county clerk a list of names and addresses of persons described in items (h), (i), (k), and (o) of Section 4A-101 that are required to file. In preparing the lists, each chief administrative officer, or his or her designee, shall set out the names in alphabetical order.

On or before April 1 annually, the Secretary of State shall notify (1) all persons whose names have been certified to him under items (f), (l), (n), and (p) of Section 4A-101, and (2) all persons described in items (a) through (e) and item (j) of Section 4A-101, other than candidates for office who have filed their statements with their nominating petitions, of the requirements for filing statements of economic interests. A person required to file with the Secretary of State by virtue of more than one item among items (a) through (f) and items (j), (l), (n), and (p) shall be notified of and is required to file only one statement of economic interests relating to all items under which the person is required to file with the Secretary of State.

On or before April 1 annually, the county clerk of each county shall notify all persons whose names have been certified to him under items (g), (h), (i), (k), and (o) of Section 4A-101, other than candidates for office who have filed their statements with their nominating petitions, of the requirements for filing statements of economic interests. A person required to file with a county clerk by virtue of more than one item among items (g), (h), (i), (k), and (o) shall be notified of and is required to file only one statement of economic interests relating to all items under which the person is required to file with that county clerk.

Except as provided in Section 4A-106.1, the notices provided for in this Section shall be in writing and deposited in the U.S. Mail, properly addressed, first class postage prepaid, on or before the day required by this Section for the sending of the notice. Alternatively, a county clerk may send the notices electronically to all persons whose names have been thus certified to him under item (h), (i), or (k) of Section 4A-101. A certificate executed by the Secretary of State or county clerk attesting that he or she has sent the notice by the means permitted by this Section constitutes prima facie evidence thereof.

From the lists certified to him under this Section of persons described in items (g), (h), (i), (k), and (o) of Section 4A-101, the clerk of each county shall compile an alphabetical listing of persons required to file statements of economic interests in his office under any of those items. As the statements are filed in his office, the county clerk shall cause the fact of that filing to be indicated on the alphabetical listing of persons who are required to file statements. Within 30 days after the due dates, the county clerk shall mail to the State Board of Elections a true copy of that listing showing those who have filed statements.

The county clerk of each county shall note upon the alphabetical listing the names of all persons required to file a statement of economic interests who failed to file a statement on or before May 1. It shall be the duty of the several county clerks to give notice as provided in Section 4A-105 to any person who has failed to file his or her statement with the clerk on or before May 1.

Any person who files or has filed a statement of economic interest under this Act is entitled to receive from the Secretary of State or county clerk, as the case may be, a receipt indicating that the person has filed such a statement, the date of such filing, and the identity of the governmental unit or units in relation to which the filing is required.

The Secretary of State may employ such employees and consultants as he considers necessary to carry out his duties hereunder, and may prescribe their duties, fix their compensation, and provide for reimbursement of their expenses.

All statements of economic interests filed under this Section shall be available for examination and copying by the public at all reasonable times. Not later than 12 months after the effective date of this amendatory Act of the 93rd General Assembly, beginning with statements filed in calendar year 2004, the Secretary of State shall make statements of economic interests filed with the Secretary available for inspection and copying via the Secretary's website.

(Source: P.A. 96-6, eff. 4-3-09; 96-1336, eff. 1-1-11; 97-754, eff. 7-6-12.)

(5 ILCS 420/4A-107) (from Ch. 127, par. 604A-107)

Sec. 4A-107. Any person required to file a statement of economic interests under this Article who willfully files a false or incomplete statement shall be guilty of a Class A misdemeanor.

Except when the fees and penalties for late filing have been waived under Section 4A-105, failure to file a statement within the time prescribed shall result in ineligibility for, or forfeiture of, office or position of employment, as the case may be; provided, however, that if the notice of failure to file a statement of economic interests provided in Section 4A-105 of this Act is not given by the Secretary of State or the county clerk, as the case may be, no forfeiture shall result if a statement is filed within 30 days of actual notice of the failure to file. The Secretary of State shall provide the Attorney General with the names of persons who failed to file a statement. The county clerk shall provide the State's Attorney of the county of the entity for which the filing of statement of economic interest is required with the name of persons who failed to file a statement.

The Attorney General, with respect to offices or positions described in items (a) through (f) and items (j), (l), (n), and (p) of Section 4A-101 of this Act, or the State's Attorney of the county of the entity for which the filing of statements of economic interests is required, with respect to offices or positions described in items (g) through (i), item (k), and item (o) of Section 4A-101 of this Act, shall bring an action in quo warranto against any person who has failed to file by either May 31 or June 30 of any given year and for whom the fees and penalties for late filing have not been waived under Section 4A-105.

All late filing fees and penalties collected pursuant to this Section shall be paid into the General Revenue Fund in the State treasury, if the Secretary of State receives such statement for filing, or into the general fund in the county treasury, if the county clerk receives such statement for filing. The Attorney General, with respect to the State, and the several State's Attorneys, with respect to counties, shall take appropriate action to collect the prescribed penalties.

Failure to file a statement of economic interests within the time prescribed shall not result in a fine or ineligibility for, or forfeiture of, office or position of employment, as the case may be; provided that the failure to file results from not being included for notification by the appropriate agency, clerk, secretary, officer or unit of government, as the case may be, and that a statement is filed within 30 days of actual notice of the failure to file.

Beginning with statements required to be filed on or after May 1, 2009, the officer with whom a statement is to be filed may, in his or her discretion, waive the late filing fee, the monetary late filing penalty, and the ineligibility for or forfeiture of office or position for failure to file when the person's late filing of a statement or failure to file a statement is due to his or her (i) serious or catastrophic illness that renders the person temporarily incapable of completing the statement or (ii) military service.

(Source: P.A. 96-550, eff. 8-17-09.)

**Joint Committee on Administrative Rules**  
**ADMINISTRATIVE CODE**

**TITLE 2: GOVERNMENTAL ORGANIZATION**  
**SUBTITLE C: CONSTITUTIONAL OFFICERS**  
**CHAPTER III: SECRETARY OF STATE**  
**PART 565 STATEMENTS OF ECONOMIC INTERESTS**

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The General Assembly's Illinois Administrative Code database includes only those rulemakings that have been permanently adopted. This menu will point out the Sections on which an emergency rule (valid for a maximum of 150 days, usually until replaced by a permanent rulemaking) exists. The emergency rulemaking is linked through the notation that follows the Section heading in the menu.

- [Section 565.20 Purpose](#)
- [Section 565.30 Definitions](#)
- [Section 565.35 Disclosure of Interest in State Contracts by Appointees](#)
- [Section 565.40 Requests For Extensions](#)
- [Section 565.50 Reasons For Which Extensions Will Be Granted](#)
- [Section 565.60 Reasons For Which Extensions Will Not Be Granted](#)
- [Section 565.70 Failure to File Upon Receipt of Extension](#)
  
- [Section 565.APPENDIX A Disclosure of Appointee Interest in State Contracts](#)

AUTHORITY: Implementing and authorized by Section 4A-105 of the Illinois Governmental Ethics Act [5 ILCS 420/4A-105].

SOURCE: Adopted at 20 Ill. Reg. 12485, effective September 1, 1996; amended at 29 Ill. Reg. 8908, effective June 10, 2005.

**Joint Committee on Administrative Rules**  
**ADMINISTRATIVE CODE**

**TITLE 2: GOVERNMENTAL ORGANIZATION**  
**SUBTITLE C: CONSTITUTIONAL OFFICERS**  
**CHAPTER III: SECRETARY OF STATE**  
**PART 565 STATEMENTS OF ECONOMIC INTERESTS**  
**SECTION 565.20 PURPOSE**

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**Section 565.20 Purpose**

Pursuant to Section 3A-30 of the Act [5 ILCS 420/3A-30], this Part shall apply to any appointees to a board, commission, authority, or task force authorized or created by State law or by executive order of the Governor, and to those persons notified by the Secretary of State of their requirement to file statements of economic interests pursuant to Section 4A-101 of the Act [5 ILCS 420/4A-101]. The purpose of this Part is to extend the filing deadline for statements of economic interests upon a showing of just cause as to why the form cannot be filed in a timely manner. Persons granted filing extensions shall have 30 days from their original filing deadline in which to file forms without penalty, unless a longer extension is granted pursuant to Section 565.50 of this Part. In addition, the disclosure requirements for appointees are set forth in regard to State contracts and financial interests held by appointees and immediate family members of appointees.

(Source: Amended at 29 Ill. Reg. 8908, effective June 10, 2005)

**Joint Committee on Administrative Rules**  
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**PART 565 STATEMENTS OF ECONOMIC INTERESTS**  
**SECTION 565.30 DEFINITIONS**

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**Section 565.30 Definitions**

"Act" means the Illinois Governmental Ethics Act [5 ILCS 420].

"Appointee" means any person appointed to a board, commission, authority, or task force authorized or created by State law.

"Department" means the Secretary of State Index Department.

"Disclosure" means the disclosure of any State contracts as established in Section 3A-30 of the Act.

"Filer" means a person notified by the Department of his or her requirement to file a statement of economic interests pursuant to Section 4A-101 of the Act and appointees to any board, commission, authority, or task force authorized or created by State law or by executive order of the Governor.

"Immediate family" means a spouse, parent, child or sibling or family members living with the filer.

"Serious illness" means any illness that can be documented to the Department by a physician's note.

(Source: Amended at 29 Ill. Reg. 8908, effective June 10, 2005)

**Joint Committee on Administrative Rules**  
**ADMINISTRATIVE CODE**

**TITLE 2: GOVERNMENTAL ORGANIZATION**  
**SUBTITLE C: CONSTITUTIONAL OFFICERS**  
**CHAPTER III: SECRETARY OF STATE**  
**PART 565 STATEMENTS OF ECONOMIC INTERESTS**  
**SECTION 565.35 DISCLOSURE OF INTEREST IN STATE CONTRACTS BY**  
**APPOINTEES**

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**Section 565.35 Disclosure of Interest in State Contracts by Appointees**

- a) Every appointee required to disclose contractual interests under Section 565.20 shall file a disclosure report approved by the Secretary of State upon appointment.
- 1) Copies of official forms may be obtained from the Index Department.
  - 2) Alternative methods of reporting are prohibited unless prior written approval has been received from the Director of the Index Department.
  - 3) Prior written approval will be given based on the compatibility of alternative methods with the Index Department's public disclosure procedures. Approval shall be granted if information reported meets the informational elements within Appendix A of this Part and is compatible with electronic data software used by the Secretary.
- b) The appointee shall file a disclosure for all contracts the appointee, his or her spouse, or immediate family members living with the appointee have with the State and all contracts between the State and any entity in which the appointee or his or her immediate family members living with the appointee have a majority financial interest.

(Source: Added at 29 Ill. Reg. 8908, effective June 10, 2005)

**Joint Committee on Administrative Rules**  
**ADMINISTRATIVE CODE**

**TITLE 2: GOVERNMENTAL ORGANIZATION**  
**SUBTITLE C: CONSTITUTIONAL OFFICERS**  
**CHAPTER III: SECRETARY OF STATE**  
**PART 565 STATEMENTS OF ECONOMIC INTERESTS**  
**SECTION 565.40 REQUESTS FOR EXTENSIONS**

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**Section 565.40 Requests For Extensions**

All requests for extensions shall be submitted in writing to the Secretary of State Index Department at 111 E. Monroe Street, Springfield, Illinois 62756. Requests shall include any documentation in support of the filer's reason, including, but not limited to, a physician's note or a receipt of mailing.

**Joint Committee on Administrative Rules**  
**ADMINISTRATIVE CODE**

**TITLE 2: GOVERNMENTAL ORGANIZATION**  
**SUBTITLE C: CONSTITUTIONAL OFFICERS**  
**CHAPTER III: SECRETARY OF STATE**  
**PART 565 STATEMENTS OF ECONOMIC INTERESTS**  
**SECTION 565.50 REASONS FOR WHICH EXTENSIONS WILL BE GRANTED**

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**Section 565.50 Reasons For Which Extensions Will Be Granted**

The Department will extend the filing deadline for 30 days, or longer if the Department deems a longer period is required by the circumstances, beyond the filer's due date for the following reasons:

- a) Death or hospitalization of an immediate family member;
- b) Hospitalization or serious illness of the filer;
- c) Filer was on sabbatical during the original filing period;
- d) Filer did not receive the form due to an incorrect address;
- e) Other reasons within the discretion of the Department. This provision shall be narrowly construed.

**Joint Committee on Administrative Rules**  
**ADMINISTRATIVE CODE**

**TITLE 2: GOVERNMENTAL ORGANIZATION**  
**SUBTITLE C: CONSTITUTIONAL OFFICERS**  
**CHAPTER III: SECRETARY OF STATE**  
**PART 565 STATEMENTS OF ECONOMIC INTERESTS**  
**SECTION 565.60 REASONS FOR WHICH EXTENSIONS WILL NOT BE GRANTED**

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**Section 565.60 Reasons For Which Extensions Will Not Be Granted**

The Department will not extend the filing deadline for the following reasons:

- a) Filer delegated the duty to an individual who failed to file on behalf of the filer for any reason;
- b) Filer claims that the Statement was mailed in a timely manner, yet cannot provide proof of mailing (this includes U.S. mail, overnight service, and inter-office mail);
- c) Filer was ill, but has no documentation from a physician;
- d) Other reasons within the discretion of the Department. The Department's refusal to grant a filing extension is not subject to appeal.

**Joint Committee on Administrative Rules**  
**ADMINISTRATIVE CODE**

**TITLE 2: GOVERNMENTAL ORGANIZATION**  
**SUBTITLE C: CONSTITUTIONAL OFFICERS**  
**CHAPTER III: SECRETARY OF STATE**  
**PART 565 STATEMENTS OF ECONOMIC INTERESTS**  
**SECTION 565.70 FAILURE TO FILE UPON RECEIPT OF EXTENSION**

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**Section 565.70 Failure to File Upon Receipt of Extension**

Statements of Economic Interests not filed within the extended filing period shall be subject to the statutory penalties of:

- a) \$15 for forms filed within 15 days after the extended filing deadline;
- b) \$15, plus \$100 per day, for forms filed more than 15 days after the extended filing deadline.

# STATEMENT OF ECONOMIC INTERESTS

TO BE FILED WITH  
THE SECRETARY OF STATE



(Type or print name and address in the blank space below.)

\_\_\_\_\_  
(List each office or position of employment for which this Statement is filed.)

## GENERAL DIRECTIONS

The interest (if constructively controlled by the person making the statement) of a spouse or any other party shall be considered to be the same as the interest of the person making the statement. Campaign receipts shall not be included in this statement.

(If more space is needed, please attach supplemental listing.)

1. List the name and instrument of ownership in any entity doing business in the State of Illinois, in which the ownership interest held by the person at the date of filing is in excess of \$5,000 fair market value or from which dividends in excess of \$1,200 were derived during the preceding calendar year. (In the case of real estate, location thereof shall be listed by street address or, if none, by legal description.) No time or demand deposit in a financial institution nor any debt instrument need be listed.

Business Entity

Instrument of Ownership

_____	_____
_____	_____
_____	_____
_____	_____

2. List the name, address and type of practice of any professional organization in which the person making the statement was an officer, director, associate, partner or proprietor, or served in any advisory capacity, from which income in excess of \$1,200 was derived during the preceding calendar year.

Name

Address

Type of Practice

_____	_____	_____
_____	_____	_____
_____	_____	_____

3. List the nature of professional services rendered (other than to the State of Illinois) of each entity from which income exceeding \$5,000 was received for professional services rendered during the preceding calendar year by the person making the statement.

\_\_\_\_\_  
\_\_\_\_\_

4. List the identity (including the address or legal description of real estate) of any capital asset from which a capital gain of \$5,000 or more was realized during the preceding calendar year.

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5. List the identity of any compensated lobbyist with whom the person making the statement maintains a close economic association, including the name of the lobbyist and specifying the legislative matter or matters that are the object of the lobbying activity, and describing the general type of economic activity of the client or principal on whose behalf that person is lobbying.

Lobbyist	Legislative Matter	Client or Principal
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>

6. List the name of any entity doing business in the State of Illinois from which income in excess of \$1,200 was derived during the preceding calendar year, other than for professional services, and the title or description of any position held in that entity. (In the case of real estate, location thereof shall be listed by street address or, if none, by legal description.) No time or demand deposit in a financial institution nor any debt instrument need be listed.

Entity	Position Held
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

7. List the name of any unit of government that employed the person making the statement during the preceding calendar year other than the unit or units of government in relation to which the person is required to file.

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8. List the name of any entity from which a gift or gifts, or honorarium or honoraria, valued singly or in the aggregate in excess of \$500, was received during the preceding calendar year.

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VERIFICATION

I declare that this Statement of Economic Interests (including any accompanying schedules and statements) has been examined by me and to the best of my knowledge and belief is a true, correct and complete statement of my economic interests as required by the Illinois Governmental Ethics Act. I understand that the penalty for willfully filing a false or incomplete statement shall be a fine not to exceed \$1,000 or imprisonment in a penal institution other than the penitentiary not to exceed one year, or both fine and imprisonment.

\_\_\_\_\_  
(Signature of person making Statement)

\_\_\_\_\_  
(Date)

**NOTE: This statement must be filed in the Office of the Secretary of State, Index Department, Ethics Section, 111 E. Monroe, Springfield, IL 62756.**



EXECUTIVE ORDER

15-09

**EXECUTIVE ORDER TO ENSURE  
ETHICAL AND RESPONSIVE GOVERNMENT**

WHEREAS, properly performing government business and maintaining the confidence of the people of Illinois requires employees of the State of Illinois to adhere to the highest standards of honesty, integrity, and impartiality in their conduct and the performance of their official duties; and

WHEREAS, meeting this standard requires State Employees to avoid conflicts of interest in both appearance and practice; and

WHEREAS, the people of Illinois deserve to know that their state government is being conducted in an open and honest manner and in the public interest; and

WHEREAS, a higher code of ethical conduct is required to restore the public's trust in state government and its officers, employees, and appointees; and

WHEREAS, Section 2 of Article XIII of the Constitution of the State of Illinois recognizes the authority of any branch of government to establish and enforce ethical standards for that branch; and

WHEREAS, investigations by organizations such as the Better Government Association continue to identify misconduct by various government officials in the State of Illinois, such as, for example, the Better Government Association's recent investigation into the hiring practices at the Illinois Department of Transportation;

THEREFORE, I, Bruce Rauner, Governor of Illinois, pursuant to the executive authority vested in me by Section 8 of Article V of the Constitution of the State of Illinois, hereby order as follows:

**I. DEFINITIONS**

As used in this Executive Order:

"Commission" means the Executive Ethics Commission.

"Gift" has the meaning given to it in the State Officials and Employees Ethics Act (5 ILCS 430/1-5).

"Lobby" or "Lobbying" has the meaning given to it in the Lobbyist Registration Act (25 ILCS 170/2(e)).

"Lobbyist" has the meaning given to it in the Lobbyist Registration Act (25 ILCS 170/2(j)).

"Lobbying Entity" has the meaning given to it in the Lobbyist Registration Act (25 ILCS 170/2(k)).

"Prohibited Source" has the meaning given to it in the State Officials and Employees Ethics Act (5 ILCS 430/1-5).

"State Agency" means any officer, department, agency, board, commission, or authority of the Executive Branch of the State of Illinois.

"State Employee" means any employee, officer, or board member of any State Agency.

## II. REVOLVING DOOR BAN

1. No State Employee, while employed by or serving as an appointee of a State Agency, shall negotiate for employment or other compensation with any person or entity that is registered as a Lobbyist or Lobbying Entity and has identified that State Agency on its then-current Lobbyist or Lobbying Entity registration filed with the Secretary of State.
2. No former State Employee, within one year after leaving his or her position with a State Agency, shall accept compensation from any person or entity for Lobbying any State Agency.
3. The restrictions of this Section II are in addition to, and not in place of, the restrictions set forth in applicable law, including the State Officials and Employees Ethics Act (5 ILCS 430/5) and the Illinois Procurement Code (30 ILCS 500/50-30).

## III. GIFTS FROM PROHIBITED SOURCES: GIFT AND TRAVEL BAN

1. No State Employee, and no spouse of or immediate family member living with a State Employee, shall intentionally solicit or knowingly accept any Gift from any Prohibited Source that would be prohibited by Section 10-10 of the State Officials and Employees Ethics Act (5 ILCS 430/10-10) (the "statutory gift ban").
2. The exceptions to the statutory gift ban contained in Subsection (8) (food and refreshments of up to \$75 per day) and Subsection (12) (other gifts of up to \$100 per year) of Section 10-15 of such Act do not apply to State Employees. This provision is not intended to preclude a State Employee from accepting *de minimis* meals or refreshments served at a business meeting or reception attended by the State Employee in the course of his or her official duties, provided that the State Employee adheres to any rules issued by the Governor's Office of Management and Budget and his or her State Agency.
3. The exceptions to the statutory gift ban contained in Subsection (4) (educational missions) and Subsection (5) (travel expenses) of Section 10-15 of such Act do not apply to State Employees. This provision is not intended to preclude a Prohibited Source from paying for the cost of registration fees, travel, lodging, or meals, provided that, in addition to complying with all other applicable laws and regulations (including Section 1620.700 of the Illinois Administrative Code), (a) the Prohibited Source makes or arranges payment or reimbursement of such costs directly with the State Agency, and (b) the trip is approved in writing in advance by the Executive Director of the Commission.
4. Gifts, including but not limited to grants and monetary or in-kind donations, from any source to the State of Illinois are excluded from the statutory gift ban and this section.

## IV. ECONOMIC INTEREST DISCLOSURE

1. Each State Employee that is required to file a statement of economic interest pursuant to Article 4A of the Illinois Governmental Ethics Act (5 ILCS 420/4A-101 et seq.) shall, in conjunction with such filing each year, also disclose the following information:
  - (a) The address and nature of interest in any real property in which the employee or spouse or minor child of the employee has a greater than 5% financial interest and in which the State of Illinois is a tenant, lessor, or otherwise has an ownership or other beneficial interest in the real property, excepting the primary personal residence of those individuals;
  - (b) Any non-governmental position held, whether compensated or not, with any business entity, non-profit organization, labor group, educational institution,

**FILED**  
**DEX DEPARTMENT**

**JAN 13 2015**

**IN THE OFFICE OF**  
**SECRETARY OF STATE**

or other entity of any type, together with the nature and amount of any compensation; and

- (c) Any litigation involving the State of Illinois or any entity with a relationship with the State of Illinois, where the employee is a party to, or has a financial interest in, that litigation.
2. The Commission shall prepare forms or amend existing forms to be used to report the information described in this Section IV and shall provide those forms or amended forms to each individual required to report such information on or before April 1 of each year. Such statement shall be filed by each such individual with the Commission on or before May 1 of each year. The Commission shall ensure that all statements filed pursuant to this Section IV are made readily available for public inspection.
3. Each State Employee required to submit a statement pursuant to this Section IV shall notify the Commission in writing and without delay of any material change in circumstance that might result in a change to his or her disclosures filed pursuant to this Section IV.

#### V. COOPERATION WITH SPECIAL MASTER

Every State Agency and State Employee is directed to fully cooperate with the Special Master appointed by the United States District Court of the Northern District of Illinois pursuant to an order in *Michael L. Shakman and Paul M. Lurie et al. v. The Democratic Organization of Cook County et al.* (No. 69 C 2145) to investigate hiring practices in State Agencies.

#### VI. EMPLOYMENT CONTRACTS

1. No State Agency shall enter into any employment contract with any person without prior review and approval by the Governor's Office of Management and Budget.
2. As soon as practicable, the Governor's Office of Management and Budget shall conduct a thorough review of the use of employment contracts by other agencies, boards, commissions, institutions, universities, authorities, and units of local government established under state law and other subdivisions of the State and shall recommend to the Governor legislation, regulations, rules, and policies to prevent the use of employment contracts for political, wasteful, or other improper purposes.

#### VII. OTHER PROVISIONS CONTINUE TO APPLY

This Executive Order does not alter the application of any other provision to State Employees.

#### VIII. PRIOR EXECUTIVE ORDERS

This Executive Order supersedes any contrary provision of any prior Executive Order.

#### IX. SAVINGS CLAUSE

Nothing in this Executive Order shall be construed to contravene any state or federal law. This Executive Order is intended only to improve the internal management of the Executive Branch of the State of Illinois and does not create any right to administrative or judicial review, or any other rights or benefits, substantive or procedural, enforceable at law or in equity by a party against the State of Illinois, its agencies or instrumentalities, its officers or employees, or any other person.

#### X. SEVERABILITY

If any provision of this Executive Order or its application to any person or circumstance is held invalid by any court of competent jurisdiction, this invalidity does not affect any other provision or application of this Executive Order which can be given effect without the invalid provision or application. To achieve this purpose, the provisions of this Executive Order are declared to be severable.

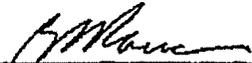
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**INDEX DEPARTMENT**

JAN 13 2015

IN THE OFFICE OF  
SECRETARY OF STATE

**XI. EFFECTIVE DATES**

Section II of this Executive Order shall take effect on February 15, 2015, and the remainder of this Executive Order shall take effect immediately upon filing with the Secretary of State.

  
\_\_\_\_\_  
Bruce Rauner, Governor

Issued by Governor: January 13, 2015  
Filed with Secretary of State: January 13, 2015

**FILED**  
**INDEX DEPARTMENT**  
JAN 13 2015  
IN THE OFFICE OF  
SECRETARY OF STATE

# Supplemental Statement of Interests

For officers and employees subject to the jurisdiction of the Illinois Governor per Executive Order 15-09

Executive Order 15-09, "Executive Order to Ensure Ethical and Responsive Government," requires certain officers and employees to disclose and file the following information with the Executive Ethics Commission on or before May 1 of each year. **If you are uncertain whether you should complete this form or are uncertain about how to answer the questions, please contact your agency's ethics officer.**

**Instructions:** Please answer the following questions concerning calendar year 2014. Attach additional sheets if necessary. Kindly return it by **May 1, 2015** to: Illinois Executive Ethics Commission, 401 S. Spring Street, Wm. Stratton Bldg. Room 513, Springfield, IL 62706 or email a scanned, signed copy to [EEC.Statement@illinois.gov](mailto:EEC.Statement@illinois.gov).

\_\_\_\_\_  
Name State Agency

\_\_\_\_\_  
Home Address

\_\_\_\_\_  
City, State, Zip Code

1. Did you, your spouse, or minor child have a financial interest of greater than 5% in any real property for which the State of Illinois is a tenant, lessor or has some other ownership or beneficial interest? (Do **not** include a primary personal residence.)

\_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, give the address and describe the nature of your ownership interest: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

2. Did you hold any non-governmental position with any business entity, non-profit organization, labor group, educational institution, or other entity of any type? (Include the positions even if you received no compensation.)

\_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, identify the position and the amount of compensation, if any: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

3. Were you a party to, or have a financial interest in, any litigation involving the State of Illinois or any entity with a relationship with the State of Illinois?

\_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, identify the case name(s) and the court in which such case is or was pending: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Date)

**NOTE: Return the completed, signed form via mail to the Executive Ethics Commission, 401 S. Spring Street, Wm. Stratton Bldg. Room 513, Springfield, Illinois 62706 or email a scanned, signed copy to [EEC.Statement@illinois.gov](mailto:EEC.Statement@illinois.gov).**



STATE OF ILLINOIS  
EXECUTIVE ETHICS COMMISSION

TO: Agency Directors and Ethics Officers

FROM: Chad D. Fornoff, Executive Director, Executive Ethics Commission

RE: Supplemental Statement of Economic Interest, Executive Order 15-09

DATE: February 27, 2015

Pursuant to Executive Order 15-09, the Executive Ethics Commission has created a supplemental statement of economic interest form for those employees who are required to file a statement of economic interest and who are subject to Executive Order 15-09. A copy of Executive Order 15-09 and the supplemental form are attached to this email.

The forms, printed on yellow paper, will be mailed to employees' home addresses during the first week of March. Note that these forms are a supplement to, and not a substitute for, the regular statement of economic interest distributed by the Secretary of State. Employees should complete and return both forms. The regular statement should be forwarded, as in past years, to the agency ethics officer for review prior to the May 1 filing deadline.

The yellow, supplemental form must be completed, signed and returned by May 1. It may be scanned and returned electronically to [EEC.Statement@illinois.gov](mailto:EEC.Statement@illinois.gov) or by USPS or interoffice mail to the Executive Ethics Commission, 401. S. Spring, Wm. Stratton Bldg. Room 513, Springfield, Illinois 62706. We intend to consider mail postmarked on or before May 1 to be timely filed. Original signatures are not required and this form need not be forwarded to the agency ethics officer for review in advance of filing.

There will likely be a number of questions from employees about this supplemental filing. Please attempt to answer these as best you can. If you do not believe you can give proper guidance, please contact me and I'll be happy to work with you to get the correct answer. If it would be advantageous to create a frequently asked question (FAQ) and answer memo, I would be glad to do that, too.

Thank you in advance for your cooperation. It is my hope that this supplemental statement could be incorporated into a new and improved statement for 2016, thereby reducing any duplication and confusion.

# Supplemental Statement of Interests

For officers and employees subject to the jurisdiction of the Illinois Governor per Executive Order 15-09

Executive Order 15-09, "Executive Order to Ensure Ethical and Responsive Government," requires certain officers and employees to disclose and file the following information with the Executive Ethics Commission on or before May 1 of each year. **If you are uncertain whether you should complete this form or are uncertain about how to answer the questions, please contact your agency's ethics officer.**

**Instructions:** Please answer the following questions concerning calendar year 2014. Attach additional sheets if necessary. Kindly return it by **May 1, 2015** to: Illinois Executive Ethics Commission, 401 S. Spring Street, Wm. Stratton Bldg. Room 513, Springfield, IL 62706 or email a scanned, signed copy to [EEC.Statement@illinois.gov](mailto:EEC.Statement@illinois.gov).

\_\_\_\_\_  
Name State Agency

\_\_\_\_\_  
Home Address

\_\_\_\_\_  
City, State, Zip Code

1. Did you, your spouse, or minor child have a financial interest of greater than 5% in any real property for which the State of Illinois is a tenant, lessor or has some other ownership or beneficial interest? (Do **not** include a primary personal residence.)

\_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, give the address and describe the nature of your ownership interest: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

2. Did you hold any non-governmental position with any business entity, non-profit organization, labor group, educational institution, or other entity of any type? (Include the positions even if you received no compensation.)

\_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, identify the position and the amount of compensation, if any: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

3. Were you a party to, or have a financial interest in, any litigation involving the State of Illinois or any entity with a relationship with the State of Illinois?

\_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, identify the case name(s) and the court in which such case is or was pending: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Date)

**NOTE: Return the completed, signed form via mail to the Executive Ethics Commission, 401 S. Spring Street, Wm. Stratton Bldg. Room 513, Springfield, Illinois 62706 or email a scanned, signed copy to [EEC.Statement@illinois.gov](mailto:EEC.Statement@illinois.gov).**