

## **Frequently Asked Questions and Guidance**

### **Why did I receive notice to complete the Supplemental Statement of Economic Interest?**

Executive Order 15-09 requires employees and officers under the jurisdiction of the Governor who are required to file a Statement of Economic Interest with the Secretary of State also to submit the Supplemental Statement of Economic Interest to the Executive Ethics Commission. Your agency has identified you as an employee or officer who is required to complete the Statement of Economic Interest filed with the Secretary of State.

### **If I complete this Supplemental Statement of Economic Interest, do I need to complete the regular Statement of Economic Interest form as well?**

Yes. The Supplemental Statement of Economic Interest and the Statement of Economic Interest to be filed with the Secretary of State are two separate filings. You should receive notice from the Secretary of State's Office about the regular Statement of Economic Interest process towards the end of March. You will need to complete both filings.

### **Is my agency subject to Executive Order 15-09?**

Agencies, boards and commissions under the jurisdiction of the Governor are subject to Executive Order 15-09. Employees and officers of the legislative or judicial branches of government are not subject to the Executive Order 15-09. Employees of other executive branch constitutional offices, i.e. Secretary of State, Attorney General, Comptroller and Treasurer, are not subject to Executive Order 15-09. You may wish to contact your agency's legal counsel or ethics officer if you are uncertain of your agency's status.

### **I am a member of the General Assembly. Why did I receive notice to complete a Supplemental Statement of Economic Interest?**

You may be serving by gubernatorial appointment on an executive branch board or commission, and forms were sent to all members of the board or commission. This form need not be completed by members of the General Assembly.

### **I do not think that I should be included among those persons required to file the Supplemental Statement of Economic Interest. How do I make sure that I did not receive the form in error?**

If you believe that you should not be included among those who are required to complete the Supplemental Statement of Economic Interest, you should contact your agency's ethics officer.

### **I have read all of the guidance but still have a question about one of the required disclosures. Where can I get more guidance?**

Your ethics officer is ready to assist in this process.

<http://www.illinois.gov/eec/ExecutiveOrder/Pages/Agency-Ethics-Officers.aspx>

**Do I need my ethics officer to review my Supplemental Statement of Economic Interest prior to its submittal?**

Your ethics officer is not required to review the supplemental form prior to filing. You may wish to contact your ethics officer for guidance on specific questions or review. Note that your agency's ethics officer will have viewing rights to your submitted Supplemental Statement of Economic Interest and may contact you after submission to discuss any issues they identify. Correction after submission of disclosures made in error will be completed via a manual process.

**Will I be able to get a copy of my Supplemental Statement of Economic Interest after electronic filing?**

You will be given an opportunity to print or save a PDF of your submittal at the time of submittal. Your completed Supplemental Statement of Economic Interest will be maintained in a comprehensive database.

**I made an error when I submitted my Supplemental Statement of Economic Interest. How do I correct my error?**

Correction of errors is a manual process. You will need to complete a paper version of the SSEI and submit the signed form to the Executive Ethics Commission, 401 S. Spring Street, Wm. Stratton Building, Room 513, Springfield, Illinois, 62706.

Visit <http://www.illinois.gov/eec/ExecutiveOrder/Pages/Home.aspx> for more information.

**QUESTIONS ABOUT THE DISCLOSURES:**

**The disclosures use terms with which I am unfamiliar. How do I know what the disclosures are asking?**

Set forth in part below and throughout the online disclosure application, you will find examples, definitions, and help buttons intended to assist in your completion of the SSEI. If after review of the examples and disclosures you are still uncertain about your response, contact your ethics officer for additional guidance.

**Disclosure 1**

During the preceding calendar year, 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? If yes, disclose the address and describe the nature of your interest in the real property. Do not include a primary personal residence.

The online SSEI provides drop down boxes to capture the necessary information and includes the following example for Disclosure 1:

Disclosure 1 Example:

1629 South Grand Avenue West, Suite 101A, Springfield, Illinois, 62704, partner in a business that owns the property

## **Disclosure 2**

During the preceding calendar year, did you hold any non-governmental position(s) with any business entity, non-profit organization, labor group, educational institution, or other entity of any type? If yes, disclose the name of entity, the non-governmental position, the nature of compensation, and estimate whether you received no income or value, income or value of less than \$5,000, or income or value equal to or greater than \$5,000.

The following definitions are helpful for completing Disclosure 2:

“Non-governmental position” means a director or officer of a for-profit or not-for-profit entity. It includes employees, directors and officers and partners of corporations, LLCs and similar. It includes board members and officers of charitable organizations. It does not include mere membership in these organizations.

“Nature of compensation” means a general description of any benefit for service in the non-governmental position, including monetary and nonmonetary items. Examples include but are not limited to monetary items such as salary, consulting fees, partnership share, sales commissions, profit sharing, retirement plans/accounts; non-monetary items such as a company-paid vehicle, stock options, company-paid housing; or whether the position is on a volunteer basis without compensation. “Nature of compensation” does not require the listing of a dollar amount of money.

“Compensation amount” means an estimate of whether no income, a value of less than, equal to, or greater than \$5,000 was received for the non-governmental position during the preceding calendar year. “Compensation amount” does not require the listing of a dollar amount of money.

The online SSEI provides drop down boxes to capture the necessary information and includes the following examples for Disclosure 2:

### Disclosure 2 Example 1:

Name of entity: Springpatch Theater Group

Nongovernmental Position: Board of Managers, Treasurer

Compensation Amount: Volunteer

Compensation Amount: No income or value

### Disclosure 2 Example 2:

Name of Entity: Barnes and Noble Bookstore

Non-governmental Position: Sales clerk

Nature of compensation: Hourly wages

Compensation Amount: Income or value equal to or greater than \$5,000

### **Disclosure 3**

During the preceding calendar year, 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? If yes, identify the case name(s) and the court in which the case is or was pending.

The following definitions are helpful for completing Disclosure 3:

“Litigation” includes litigation involving the State of Illinois or any entity with a relationship with the State of Illinois, where you were named as a party in your personal capacity or have a financial interest in that litigation. Do not include litigation where you were named as a plaintiff or defendant in your capacity as an employee or officer of the State of Illinois.

“State of Illinois” includes all officers, departments, boards, commissions, agencies, institutions, authorities, universities, whether in the executive, legislative or judicial branch; and administrative units or corporate outgrowths of the State government which are created by or pursuant to statute. “State of Illinois” does not include units of local government and their officers, school districts and boards of election commissioners.

“Entity with a relationship with the State of Illinois” means an entity that has a contract or grant or a direct pecuniary interest in a contract or grant with or from the State of Illinois.

The online SSEI provides drop down boxes to capture the necessary information and includes the following example for Disclosure 3:

Disclosure 3 Example:

Case Name: Taylor v. State of Illinois

Court: Sangamon County Circuit Court

### **Disclosure 4**

Are you an officer, employee, or other individual who receives merit compensation and is exempt from the Personnel Code and from collective bargaining agreements, or are you appointed by the Governor?

If you checked “No,” please proceed to the certification and submission of this form.

If you checked “Yes,” do you have any relatives who are officers or employees of the Executive, Legislative, or Judicial branches of the State of Illinois? “Relatives” include:

Father, mother, son, daughter, grandfather, grandmother, grandson, granddaughter, brother, sister, uncle, aunt, first cousin, nephew, niece, husband, wife, father-in-law, mother-in-law, son-in-law, daughter-in-law, grandson-in-law, granddaughter-in-law,

brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, step-grandson, step-granddaughter, half-brother, or half-sister.

The online SSEI provides drop down boxes to capture the necessary information for Disclosure 4:

<u>Name</u>	<u>Position</u>
Jane Doe	Public Service Administrator

Filers who are compensated in accordance with a collective bargaining agreement should check “No” in response to this disclosure. Filers who are appointed by the Governor or who are exempt from the Personnel Code or other similar Code relevant to their employer should check “Yes” and identify the relative’s name and position.