

## 200.1 Part 5. Inappropriate Advantage Derived from Board Membership

- a. **Purpose:** It is of critical importance that decisions made on behalf of the University by its governors, trustees, chief executive officers, and chief finance officers be in the best interest of the University and not be influenced by any potential financial gain to the decision-makers. Furthermore, to assure public confidence in the integrity of the University, it is important that the University not appear to be influenced by the personal financial interests of those in decision-making positions. The purpose of this policy is assure public confidence in the integrity of the University by preventing members of the governing boards and chief executive and finance officers of the University from using their positions, or appearing to use their positions, to influence the decisions of the University for their personal financial gain while at the same time allowing the University to take advantage of contracts that are advantageous to the citizens of North Carolina and to the University and also avoiding having service to the University be so restrictive that persons with substantial financial interests will be reluctant to serve.

### b. Definitions

As used in this policy, the following terms have the following meanings:

- i. "Business entity" means a "business" as defined in GS §128A-3(2)<sup>1</sup> or a not for profit corporation.
- ii. "Person" means a member of the Board of Governors or of a Board of Trustees of a Constituent Institution, the President, the Vice President for Finance, a chancellor, or the chief finance officer of a constituent institution.
- iii. "Substantial interest" means any of the following:

1. A "business with which associated" as that term is defined in GS § 138A-3(3)<sup>2</sup>, except that ownership of more than \$10,000 in a publicly traded corporation by itself is not a substantial interest; or

**Deleted:** an individual, corporation, partnership, joint venture, not for profit corporation, any other entity doing business, or any wholly owned subsidiary of any such entity.

**Deleted:** <#>ownership by a person, or by the person's spouse or dependent child, collectively, including ownership as the beneficiary of a trust, of an interest of 10% or more in a business entity.¶ <#>annual income, or expected annual income, by the person or by the person's spouse or dependent child, collectively, of more than \$10,000 from a business entity other than a publicly traded corporation.<sup>1</sup> Annual income includes earned income only if the person, or the person's spouse or dependent child, will receive a bonus, commission, or other payment in any amount directly as a result of a contract with or purchase by the University. Income does not include income from capital gains.¶ service by the person or by the person's spouse or dependent child, as an officer, trustee, or director of a business entity,

<sup>1</sup> G.S. 138A-3(2) defines a "business" as, "Any of the following organized for profit:

- a. Association.
- b. Business trust.
- c. Corporation.
- d. Enterprise.
- e. Joint venture.
- f. Organization.
- g. Partnership.
- h. Proprietorship.
- i. Vested trust.
- j. Every other business interest, including ownership or use of land for income.

2. A "nonprofit corporation or organization with which associated" as that term is defined in G.S 138A-3(24)<sup>3</sup>, except that uncompensated service as a director, officer, or trustee of a not for profit corporation is not a substantial interest.

- iv. "The University" as applied to members of the Board of Governors, the President, and the Vice President for Finance means the General Administration or any of the constituent institutions. "The University" as applied to members of the Boards of Trustees, a chancellor, or a chief finance officer of a constituent institution means the constituent institution on whose Board of Trustees the member serves or at which the chancellor or chief finance officer is employed.

**c. Requirements**

- i. Each person must contemporaneously submit to the Vice President of Finance, each Statement of Economic Interests that the person files with the State Ethics Commission pursuant to G.S. S 138A-22. These disclosure statements are public records.
- ii. Whenever a person has actual knowledge that a business entity in which the person has a substantial interest is attempting or planning to enter, is entering, or has entered into a contract with the University, the person must report the nature of the person's substantial interest and the nature of the contract to the chief finance office of the institution that is or would be a party to the contract. If the person is a chief finance officer, then the chief finance officer must make this report to the chancellor or to the President of the institution that is or would be a party to the contract.

**Deleted:** At the beginning of every fiscal year, e

**Deleted:** a Disclosure of Substantial Interests, on a form provided by the Office of the President, to the University Vice President for Finance. The University Vice President for Finance will distribute necessary information from the relevant forms to the chief finance officer of each constituent institution.

**Deleted:** as well as the information distributed by the Vice President for Finance

<sup>2</sup> G.S. §138A-3(3) Business with which associated. – A business in which the person or any member of the person's immediate family does any of the following:

a. Is an employee.

b. Holds a position as a director, officer, partner, proprietor, or member or manager of a limited liability company, irrespective of the amount of compensation received or the amount of the interest owned.

c. Owns a legal, equitable, or beneficial interest of ten thousand dollars (\$10,000) or more in the business or five percent (5%) of the business, whichever is less, other than as a trustee on a deed of trust.

For purposes of this subdivision, the term 'business' shall not include a widely held investment fund, including a mutual fund, regulated investment company, or pension or deferred compensation plan, if all of the following apply:

a. The person or a member of the person's immediate family neither exercises nor has the ability to exercise control over the financial interests held by the fund.

b. The fund is publicly traded, or the fund's assets are widely diversified.

<sup>3</sup> G.S. §138A-3(24). Nonprofit corporation or organization with which associated. – Any public or private enterprise, incorporated or otherwise, that is organized or operating in the State primarily for religious, charitable, scientific, literary, public health and safety, or educational purposes and of which the person or any member of the person's immediate family is a director, officer, governing board member, employee, or independent contractor as of December 31 of the preceding year.

Reports required by this paragraph shall be in writing and will be public records retained by the respective chief finance officers.

- iii. The University will not enter into a contract with a value of \$10,000 or more, or with expected payments of \$10,000 or more per year, with a business entity in which a person has a substantial interest, unless one of the exceptions in paragraph C (iv) applies. A person will not in any way
1. participate in making a contract;
  2. attempt to cause or influence the University to make a contract, or
  3. attempt to influence the contract specifications or contracting process concerning a contract between a business entity in which the person has a substantial interest and the University.

The Vice President for Finance and the respective chief finance officers of the constituent institutions are responsible for determining whether the University is entering into a contract with a value of \$10,000 or more with a business entity in which a person has a substantial interest.

- iv. The restrictions on entering into a contract in paragraph c(iii) do not apply if the person with the substantial interest does not participate in making or administering the contract and:

1. The contract results from a competitive sealed bid or a competitive request for proposals with specifications and criteria;
2. The contract is for goods or services sold or provided to the general public at a uniform price or is for goods on state contract sold to state agencies at a uniform price, unless the contract is prohibited by state law;
3. The contract is an employment contract with the dependent child or spouse of the President, the Vice President for Finance, a chancellor or chief finance officer or the dependent child of a member of the Board of Governors or a Board of Trustees and the employment is allowed under Section 300.4.2 of these policies;
4. The contract is with a bank or a public utility; or
5. The committee of the Board of Governors or of the relevant Board of Trustees designated pursuant to paragraph d(i) below finds that the contract is in the best interest of the University. Examples of when a contract might be in the best interest of the University include, but are not limited to, when it has financially advantageous terms, when the goods or services to be provided are demonstrated to be unique, or when the contract is a continuation

Deleted: set out

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of a contract that was in effect before the person with the substantial interest became affiliated with the University.

- v. If a person is an employee or agent of a business entity, the person shall not attempt to influence the University to enter into a contract with the business entity that employs or retains the person.
- vi. A person shall not attempt to influence the administration of or payments under a contract between the University and a business entity in which the person has a substantial interest or between the University and the person's employer.
- vii. No person shall disclose or use confidential information or information concerning economic development or technology research or development which the person received in his capacity as a board member or employee of the University for the person's financial gain.
- viii. No person shall accept a gift or favor from a business entity, or the principal in a business entity, which has entered into a contract with the University within the past year, who currently has a contract with the University, or who intends to attempt to enter into a contract with the University if the person:
  - 1. has or will prepare plans, specifications, criteria or estimates for the contract;
  - 2. awards, approves, negotiates, or administers the contract; or
  - 3. inspects or supervises the contract.

This paragraph does not prohibit the receipt of advertising items of nominal value, awards such as plaques or trophies, food served at professional meetings or banquets, or gifts from family members or personal friends when it is clear that the friendship extends beyond the business relationship.

- ix. A person shall not represent, as attorney, agent, or trustee, a third party who has an adverse relationship with the University. A person shall attempt to dissuade a firm or business entity in which the person has a substantial interest from engaging in representation adverse to the University.

**d. Procedures**

- i. The Chairman of the Board of Governors and each Chairman of a Board of Trustees shall designate a standing committee to determine whether a potential conflict is a permissible or impermissible activity and to make recommended findings as to whether this policy has been violated.

ii. Potential conflicts:

1. Any person who receives a report of a potential conflict shall forward that report to the chief finance officer of the institution that is or would be a party to the contract.
2. If the person with the substantial interest claims or the chief finance officer believes that the contract is permissible pursuant to paragraph c(iv)(1), (2), (3), or (4) above, the determination of whether the contract is permissible or impermissible may be made by the respective President or chancellor, or the President or chancellor may request that the designated committee make the determination. Any determination by the President or a chancellor shall be in writing and shall be a public record. The President and the chancellors shall report to the designated committee on an annual basis the contracts each has approved pursuant to this subparagraph. In addition, each chancellor shall report to the President on a quarterly basis the contracts the chancellor has approved pursuant to this subparagraph.
3. If the person claims that the contract is permissible pursuant to paragraph c(iv)(5) above, because the contract is in the best interest of the University, or if a chancellor or the President refers a conflict question to the committee, then the designated committee shall determine whether the proposed contract is a permissible or impermissible activity under this policy and shall enter its determination in the minutes of its proceedings.
4. If the person who has the potential conflict is a member of the designated committee, the person shall not participate in the deliberations of the committee, other than to present the relevant facts to the committee, and shall abstain from voting.

iii. Allegations of conflict

1. If any person or any Senior Academic or Administrative Officer becomes aware or alleges that a person covered by this policy has violated this policy, the person shall report the alleged violation to the chancellor or President of the institution that is or would be a party to the contract.
2. The person who receives the allegation shall forward the allegation:
  - a. to the designated committee of the Board of Trustees or of the Board of Governors if the person alleged to have violated this policy is a member of that Board;

- b. to the designated committee of the Board of Governors if the President is alleged to have violated this policy;
  - c. to the President if the person alleged to have violated this policy is a chancellor or the Vice President for Finance; or
  - d. to the respective chancellor if the person is a chief finance officer of that constituent institution.
- 3. If the person alleged to have violated the policy is the President or a member of a Board of Governors or of the Board of Trustees, then the designated committee will determine whether or not the policy has been violated. The chairperson of the designated committee will designate an individual to investigate the allegations and to make a report to the committee. After considering the report of the investigation and any response by the person alleged to have violated the policy, the committee shall make a determination as to whether the policy has been violated and, if so, a recommendation as to the appropriate sanction to the respective Board of Trustees or Board of Governors. The Board of Trustees or Board of Governors shall vote to affirm, reject, or modify the recommendation.
- 4. If the person who has the potential conflict is a member of the designated committee, the person shall not participate in the deliberations of the committee, other than to present the relevant facts and arguments to the committee on his own behalf, and shall abstain from voting.
- 5. A Board of Governors member, Board of Trustees member, or President who is alleged to have violated this policy is entitled to receive notice of the allegation, to be present to hear the report presented to the designated committee, and to inform the committee of any facts or arguments that demonstrate that he or she did not violate the policy.
- 6. If the Vice President for Finance, a chief finance officer or a chancellor is alleged to have violated this policy, that allegation will be investigated and acted upon in accordance with the procedures for disciplining, demoting, dismissing, or terminating the contract of employees of that position.
- iv. The President will present this policy annually to the Board of Governors and will present it to new members at the beginning of their service. The chancellors will present this policy annually to their respective Boards of Trustees and will present it to new members at the beginning of their service.

**e. Sanctions**

- i. If the Board of Governors or a Board of Trustees finds that one of its members has violated this policy, the Board may take one or more of the following actions:
  1. Reprimand or censure the member;
  2. Remove the person from any Board office the person holds or from any committee chairmanship or assignment; and
  3. Report the violation to the entity that appointed the member.
- ii. If the Board of Governors finds that the President has violated this policy, the Board of Governors may discipline, demote or dismiss the President, as it deems appropriate.
- iii. If the President finds that the Vice President for Finance has violated this policy, the President may discipline, demote, or dismiss the Vice President, and shall report the violation and the action taken by the President to the Board of Governors.
- iv. If the President finds that a chancellor has violated this policy, the President may discipline the chancellor and report the action taken to the Board of Governors and the relevant Board of Trustees, or the President may recommend to the Board of Governors that the employment of the chancellor be terminated and that the chancellor be demoted or dismissed.
- v. If a chancellor finds that a chief finance officer has violated this policy, the chancellor may discipline, demote or dismiss the chief finance officer and shall report the violation and the action taken to the President and the Board of Trustees.
- vi. Pursuant to North Carolina law, any contract between the University and an entity in which a person has a substantial interest which was entered into in violation of state laws governing conflicts of interest is void.

The provisions of Section 5 are effective July 1, 2001. Initial disclosure forms will be filed on or before October 1, 2001. The provisions of paragraph c(iii) will apply to all contracts entered into after January 1, 2002. The Statement of Economic Interest replaces all disclosure forms due to be filed on or after July 1, 2007; the initial Statement of Economic Interest for people employed or in office on January 1, 2008, must be submitted to the Vice President for Finance by April 15, 2008.

**THE UNIVERSITY OF NORTH CAROLINA  
DISCLOSURE OF SUBSTANTIAL INTERESTS**

Name: \_\_\_\_\_ Date: \_\_\_\_\_

Daytime Contact Number: \_\_\_\_\_

DESIGNATE YOUR POSITION (check one box):

Board of Governors    ☐

Board of Trustees    ☐

UNC President    ☐

Chancellor    ☐

CFO    ☐

Constituent Institution: \_\_\_\_\_

1. Your employer \_\_\_\_\_

Employer's address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

2. Spouse's name \_\_\_\_\_

Spouse's employer \_\_\_\_\_

Employer's address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

3. List dependent children

Child 1 \_\_\_\_\_

Child 2 \_\_\_\_\_

Child 3 \_\_\_\_\_

Child 4 \_\_\_\_\_

Child 5 \_\_\_\_\_

Additional dependent children:



See Definitions of "Business Entity" and "Substantial Interest" on page 4.

For questions 4 – 8, please attach additional pages if necessary.

4. List all business entities in which you personally own an interest of 10% or more.

Business 1. \_\_\_\_\_

Business 2. \_\_\_\_\_

Business 3. \_\_\_\_\_

Business 4. \_\_\_\_\_

Business 5. \_\_\_\_\_

Wholly owned Subsidiaries \_\_\_\_\_

Wholly owned Subsidiaries \_\_\_\_\_

Wholly owned Subsidiaries \_\_\_\_\_

Wholly owned Subsidiaries \_\_\_\_\_

Wholly owned Subsidiaries \_\_\_\_\_

5. List all business entities in which your spouse owns an interest of 10% or more.

Business 1. \_\_\_\_\_

Business 2. \_\_\_\_\_

Business 3. \_\_\_\_\_

Business 4. \_\_\_\_\_

Business 5. \_\_\_\_\_

6. List all business entities not included in #4 or #5 above in which you, your spouse, and your dependent children, collectively, own an interest of 10% or more.

Business 1. \_\_\_\_\_

Business 2. \_\_\_\_\_

Business 3. \_\_\_\_\_

Business 4. \_\_\_\_\_

Business 5. \_\_\_\_\_

7. List all other business entities, other than publicly traded corporations, from which you, your spouse and your dependent children, collectively, earn, or will earn, more than \$10,000 per annum in unearned income.

Business 1. \_\_\_\_\_

Business 2. \_\_\_\_\_

Business 3. \_\_\_\_\_

Business 4. \_\_\_\_\_

Business 5. \_\_\_\_\_

8. List all of the entities for which you, your spouse and your dependent children serve as a director, officer, or trustee, other than uncompensated service on the Board of a 'not for profit' corporation.

Entity 1. \_\_\_\_\_

Entity 2. \_\_\_\_\_

Entity 3. \_\_\_\_\_

Entity 4. \_\_\_\_\_

Entity 5. \_\_\_\_\_

9. What business relationships do you, your employer, your spouse, your spouse's employer or entities in which you have a substantial interest, currently have with the University?

10. What other business interests do you have, that are not disclosed above, that could cause a conflict of interest or the appearance of a conflict of interest, with the University?

## Definitions

As used in this disclosure, the following terms have the following meanings:

- a. "Business entity" means an individual, corporation, partnership, joint venture, 'not for profit' corporation, any other entity doing business, or wholly owned subsidiary of any such entity.
- b. "Substantial interest" means:
  - i. ownership by a person, or by any other person's spouse or dependent child, collectively, including ownership as the beneficiary of a trust, of an interest of 10% or more in a business entity.
  - ii. annual income, or expected annual income, by the person or by the person's spouse or dependent child, collectively, of more than \$10,000 from a business entity other than a publicly traded corporation. Annual income includes earned income only if the person, or the person's spouse or dependent child, will receive a bonus, commission, or other payment in any amount directly as a result of a contract with or purchase by the University. Income does not include income from capital gains.
  - iii. service by the person or by the person's spouse or dependent child, as an officer, trustee or director of a business entity, except that uncompensated service as a director, officer, or trustee of a 'not for profit' corporation is not a substantial interest.

# Statement of Economic Interest

## ("Long Form")

Mail original form to State Ethics Commission, 1324 Mail Service Center, Raleigh, NC 27699-1324  
Office location: Administration Building, 116 West Jones Street, Room G-068, Raleigh 27601

For assistance call: 919-807-4620

e-mail: [ethics.commission@ncmail.net](mailto:ethics.commission@ncmail.net) [www.doa.state.nc.us/ethics](http://www.doa.state.nc.us/ethics)

**DEADLINE FOR FILING: MARCH 15**

### CONTACT INFORMATION

Name of Person Filing

Home Address

Job Title/Employer

Daytime Phone Number

E-Mail Address

If you are filing because you are serving on or being considered for appointment to a State board, commission, task force, authority, or similar public body, please list the full name(s) of all boards on which you are serving or to which you are being considered for appointment:

Please provide the following information concerning your spouse and the other members of your immediate family\*\*. If the information requested does not apply, please indicate "none."

Name (First, Last)	Occupation	Employer	Business

\*\*Immediate family includes your spouse (unless legally separated) and members of your extended family (your and your spouse's children, grandchildren, parents, grandparents, and siblings, and the spouses of each of those persons) that reside in your household.

## **I. \$10,000 PLUS DISCLOSURES**

If you, your spouse, or other 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 31<sup>st</sup> of the preceding year, unless another time period is specified in the question.

? You are not required to include an estimated value of those assets and liabilities.

### **REAL ESTATE**

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

Owner of Real Estate	Location by County and City	% Ownership Interest

2. List all North Carolina real estate with a market value of \$10,000 or more that is leased or rented to or from the State by you, your spouse, or other members of your immediate family. Please identify the State agency involved in the property lease.

Identity of Lessor	Identity of Lessee (Renter)	Location by County and City

**IF YOU DO NOT HAVE INFORMATION THAT FITS WITHIN A PARTICULAR CATEGORY, PLEASE INDICATE "NONE."**

**PERSONAL PROPERTY**

3. List personal property with a market value of \$10,000 or more that was sold to or purchased from the State by you, your spouse, or other members of your immediate family *within the preceding two years*. Please identify the State agency involved in the purchase or sale of the property.

Identity of Purchaser	Identity of Seller	Nature and Location of Property

4. List personal property with a market value of \$10,000 or more that was leased or rented to or from the State by you, your spouse, or other members of your immediate family. Please identify the State agency involved in the property lease.

Identity of Lessor	Identity of Lessee (Renter)	Nature and Location of Property

**INTERESTS IN PUBLICLY OWNED COMPANIES**

5. List the name of each publicly owned company in which you, your spouse, or other members of your immediate family own securities valued at \$10,000 or more.

? Do not identify holdings in a mutual fund, including those mutual fund holdings in a 401(k), 403(b), 403(b)(7), or 457 Plan.

? Do not state the value of your securities.

Owner of Securities	Name of Company

IF YOU DO NOT HAVE INFORMATION THAT FITS WITHIN A PARTICULAR  
CATEGORY, PLEASE INDICATE "NONE."

**INTERESTS IN NON-PUBLICLY OWNED COMPANIES OR BUSINESS ENTITIES**

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

Owner of Interest	Name of Company or Business Entity	Specify if the owner is an officer, employee, owner, director, or partner of the company, or a member or manager of a limited liability company

6(b). For each of those non-publicly owned companies or business entities identified in question 6(a) (the "Primary Companies" for the purposes of this question), 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*.

Non-Publicly Owned Company (the Primary Company)	Other Companies in which the Primary Company Owns Securities or Equity Interests

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

Identify Company or Business Entity	Nature of Business Relationship with the State

**IF YOU DO NOT HAVE INFORMATION THAT FITS WITHIN A PARTICULAR CATEGORY, PLEASE INDICATE "NONE."**

### **VESTED TRUSTS**

7. If you, your spouse, or other members of your immediate family are the beneficiaries of a vested trust with a value of \$10,000 or more that is created, established, or controlled *by you*, provide the following information.

Name & Address of Trustee	Description of the Trust	Your Relationship to the Trust

### **LIABILITIES**

8. List each liability of \$10,000 or more incurred by you, your spouse, or other members of your immediate family, excluding indebtedness on your residence.

Name of Debtor	Type of Creditor (Commercial Bank, Credit Union, Individual, etc.)

## **II. OTHER DISCLOSURES**

9. If you, your spouse, or other members of your immediate family are a director, officer, governing board member, employee, or independent contractor of an organization established for religious, charitable, scientific, literary, public health and safety, or educational purposes, provide the following information. If that organization does business with the State, please describe the nature of that business relationship.

Identify Person	Name of Organization	Nature of Business	Describe State Business

**IF YOU DO NOT HAVE INFORMATION THAT FITS WITHIN A PARTICULAR CATEGORY, PLEASE INDICATE "NONE."**



10. List each *source of income* (not specific amounts) of more than \$5,000 received by you, your spouse, or other members of your immediate family during the preceding year. Include salary or wages, professional fees, honoraria, interest, dividends, capital gains, and business income.

Recipient of Income	Identify Source	Nature of Business	Type of Income

11. If you are a practicing attorney, please check each category of legal representation in which you or the law firm with which you are associated has earned legal fees of \$10,000 or more during the preceding year.

- |   |  |   |                                   |
|---|--|---|-----------------------------------|
| <input type="checkbox"/> Administrative                         | <input type="checkbox"/> Admiralty     | <input type="checkbox"/> Corporate            | <input type="checkbox"/> Criminal |
| <input type="checkbox"/> Decedents' Estates                     | <input type="checkbox"/> Environmental | <input type="checkbox"/> Insurance            | <input type="checkbox"/> Labor    |
| <input type="checkbox"/> Local Government                       | <input type="checkbox"/> Real Property | <input type="checkbox"/> Securities           | <input type="checkbox"/> Tax      |
| <input type="checkbox"/> Tort litigation (including negligence) |  | <input type="checkbox"/> Utilities regulation |                                   |

12. If you are a licensed professional (other than an attorney) or provide consulting services individually or as a member of a professional association, provide the following information for those services for which you charged or were paid over \$10,000 during the preceding year.

Type of Business	Nature of Services Rendered

IF YOU DO NOT HAVE INFORMATION THAT FITS WITHIN A PARTICULAR CATEGORY, PLEASE INDICATE "NONE."

13. If, as of December 31<sup>st</sup> of the preceding year, you, your employer, your spouse, or other members of your immediate family, or their employer, were licensed or regulated by, or had a business relationship with, a board or employing entity with which you are or will be associated, please provide the following information.

? You are not required to complete this question if you are a legislator or a judicial officer (a justice or judge of the General Court of Justice, district attorney, or clerk of court). Please indicate if this is the case.

Identify Person	Identify Employer (if applicable)	Business or Regulatory Relationship

14. If, as of December 31<sup>st</sup> of the preceding year, you, your spouse, or other members of your immediate family were members or officers of, or otherwise affiliated with, any societies, organizations, or advocacy groups which had an interest in issues over which your agency or board has jurisdiction, please provide the following information.

? You are not required to complete this question if you are a legislator or a judicial officer. Please indicate if this is the case.

Identify Person	Identify Name of Organization	Relationship with Group, including Leadership Positions

15. Have you ever been convicted of a felony? \_\_\_ Yes \_\_\_ No If so, please provide the following information.

Offense	Date of Conviction	County and State of Conviction

IF YOU DO NOT HAVE INFORMATION THAT FITS WITHIN A PARTICULAR CATEGORY, PLEASE INDICATE "NONE."

? Questions 16 and 17 are applicable to SEI's filed beginning on January 1, 2008. If you are filing this SEI in 2007, do not complete these questions.

16. During any calendar quarter in the preceding year (but only the time period after you were appointed, employed, or filed or were nominated as a candidate), have you received any gifts with a total value of over \$200 from a person or a group of persons acting together and under circumstances that would lead a reasonable person to conclude that the gifts were given for the purpose of lobbying? \_\_\_ Yes \_\_\_ No If so, and if the gifts were given to you while you and the donor were outside the State of North Carolina, please provide the following information.

Date Item Rec'd	Name of Recipient	Donor	Describe Items Received

17. During the preceding year (but only the time period after you were appointed, employed, or filed or were nominated as a candidate) have you accepted a scholarship (defined as a "grant-in-aid to attend a conference, meeting, or similar event") of over \$200 from a person or a group of persons acting together? \_\_\_ Yes \_\_\_ No If so, and if the scholarship was given to you by a donor who was outside the State of North Carolina at the time the scholarship was granted, please provide the following information.

Name of Recipient	Donor	Describe Items Received

? Question 18 is applicable to SEI's filed by individuals appointed or reappointed to State boards and commissions on or after January 1, 2007.

18. Are you currently registered as a lobbyist? \_\_\_ Yes \_\_\_ No If so, identify each lobbyist principal that you represent in your capacity as a lobbyist and over which any public body to which you were appointed or reappointed had regulatory authority.

Lobbyist Principal	Effective Date of Registration	Date of Registration Expiration

19. Please provide any other information necessary to fully disclose any actual or potential conflicts of interest you may have had during the preceding year or have currently. This includes actual or potential conflicts of interest related to past personal or business relationships. If you are uncertain as to whether additional information should be disclosed, please contact the Commission for guidance.

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IF YOU DO NOT HAVE INFORMATION THAT FITS WITHIN A PARTICULAR CATEGORY, PLEASE INDICATE "NONE."

Please ensure that you have responded to all questions and that you have stated "None" in response to those questions in which you have nothing to disclose. In the event you fail to answer a question, your disclosure statement will be returned and you will be required to correct any deficiencies, reaffirm the content of the form, and have the reaffirmation notarized.

**\*\* North Carolina law establishes a fine of \$250 for failure to file a complete Statement of Economic Interest. In addition, it is a Class 1 misdemeanor to knowingly conceal or fail to disclose required information, and a Class H felony to provide false information on a Statement. Such actions can also subject you to disciplinary action in connection with your employment.\*\***

### **Oath or Affirmation**

I hereby swear or affirm, under penalty of perjury and other penalties established by North Carolina law, that I have read this Statement of Economic Interest and any attachments and that the information provided on the Statement and any attachments is true, correct, and complete 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.

\_\_\_\_\_  
Signature of Person Filing

STATE OF NORTH CAROLINA  
COUNTY OF \_\_\_\_\_

Signed and sworn to or affirmed before me this day by \_\_\_\_\_  
(Name of Person Filing)

Date: \_\_\_\_\_  
(Official Seal)

\_\_\_\_\_  
Official Signature of Notary Public

Notary's printed or typed name: \_\_\_\_\_

My Commission Expires: \_\_\_\_\_

**IF YOU DO NOT HAVE INFORMATION THAT FITS WITHIN A PARTICULAR CATEGORY, PLEASE INDICATE "NONE."**