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SEI Filing

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SEI FILING REQUIREMENTS

CURRENT EMPLOYEES & APPOINTEES APRIL 15, 2011 DEADLINE & FAQs.

- **WHEN IS THE FILING DEADLINE?** Complete SEIs must be hand-delivered or postmarked no later than **April 15, 2011**.
- **WHO HAS TO FILE AN SEI?**
 - **Most Public Servants.** However, employees who are covered by the State Government Ethics Act but whose compensation from the State is less than \$60,000 per year and ex-officio student members of university and community college boards of trustees do **not have to file** an SEI.
 - **Legislators.**
 - **Judicial Officers.** (Justices, judges, district attorneys and clerks of court).
 - **Former Elected Officials.** Elected officers who were subject to the SEI filing requirements while in office (Constitutional Officers, Legislators, Judicial Officers) must file an SEI the year after leaving office. For additional information on this requirement, please contact the State Ethics Commission.
- **WHERE CAN I GET A COPY OF THE FORM?** SEI forms are available on our website at: <http://www.ethicscommission.nc.gov/sei/blankForm.aspx>.
- **IS THERE A "SHORT FORM"?** No. All filers must file a **long form** this year.
- **DOES MY SEI HAVE TO BE NOTARIZED?** No. Your SEI no longer has to be notarized.
- **DO I STILL HAVE TO FILE IF MY TERM HAS ALREADY EXPIRED OR WILL EXPIRE ON OR BEFORE APRIL 15TH?** If your term has already expired or will expire on or before April 15, 2010 and **you have not been replaced or have not resigned prior to April 15th, you are still required to file an SEI on or before April 15, 2010.**
- **DO I HAVE TO RESPOND TO EVERY QUESTION?** Yes. You **must** respond to **all** questions, even if they do not apply to you or members of your immediate family.

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PROSPECTIVE NEW HIRES & APPOINTEES MUST FILE & BE EVALUATED *PRIOR* TO ASSUMING POSITION

MOST COVERED PERSONS. The State Government Ethics Act requires that most public servants, all legislators, and all judicial officers file a Statement of Economic Interest (SEI) **prior to their appointment, election, or employment.** This requirement includes persons who are appointed to fill a vacancy in an elective office. In addition, most public servants must also receive an **evaluation** of the SEI from the Commission **prior to assuming their public duties.** Therefore, those individuals cannot participate in board actions or begin their jobs until the SEI is both filed and evaluated. **Note:** this requirement applies to appointments to State non-advisory boards made by any appointing authority, **including appointments made by county commissioners and local boards of education, to boards covered by the State Government Ethics Act**

EMPLOYEES MAKING LESS THAN \$60,000 PER YEAR. Employees **who are otherwise covered by the State Government Ethics Act** but whose compensation from the State is less than \$60,000 per year do **not have to file** an SEI.

EX-OFFICIO STUDENT MEMBERS OF UNIVERSITY & COMMUNITY COLLEGE BOARDS. Ex-officio student members of university and community college boards of trustees do **not have to file** an SEI. However, these individuals are subject to all other requirements of the State Government Ethics Act.

UNIVERSITY & COMMUNITY COLLEGE EMPLOYEES & BOARD MEMBERS. Employees in the university and community college system who are covered by the State Government Ethics Act and members of the UNC Board of Governors, the State Board of Community Colleges, and the boards of trustees **must file** the SEI prior to being hired or appointed; however, the SEI does **not have to be evaluated prior to the individual taking his or her position.** These appointments are provisional subject to the Commission's evaluation of the SEI.

QUESTIONS

If you have questions about the SEI filing requirements or the SEI form, please contact the State Ethics Commission at (919) 715-2071 or by e-mail at SEI@doa.nc.gov.